



Department of Education and Early Development  
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# STATE OF ALASKA

## Records Retention and Disposition Schedule

**Agency I.D: 616      Schedule No: 06-616.1**

DEPARTMENT OF HEALTH AND SOCIAL SERVICES  
 DIVISION OF FINANCE & MANAGEMENT SERVICES  
 616 - OFFICE OF HEARINGS & APPEALS

The Agency will follow retention periods for common records as listed in the most current State of Alaska General Administrative Records Retention Schedule (GARRDS), unless those records have been listed on this schedule.

Unless otherwise noted all records series are confidential under AS 47.05.030. This schedule supersedes #67100.

All records that have potential permanent legal and historical value may be reviewed by the State Archivist for possible permanent retention in the State Archives in accordance with AS 40.21.030.

Under 4 AAC 59.005, it is the responsibility of agencies to ensure that records created and maintained in electronic systems remain accessible and durable for their prescribed retention period. This requires addressing the issues of periodic media refreshment, digital migration strategies and security plans. Backups produced for system recovery purposes do not serve a recordkeeping function or substitute for archived business essential duplicates.

Pursuant to the provisions of AS 40.21 and 4 AAC 59, the records listed on this schedule are approved for retention and disposition as indicated.

Division Director	Signature of Division Director <i>Original signature held on file.</i>	Date 10/22/1999
Attorney General/Designee <i>Original signature held on file.</i>	Date 11/2/1999	Commissioner of Administration/Designee <i>Original signature held on file.</i>
State Archivist <i>Original signature held on file.</i>	Date 11/16/1999	Records Analyst <i>Original signature held on file.</i>
		Date 9/28/1999

Item No - Record Series Title & Description	Format	Total Retention	Bus. Ess.	Remarks
<p><b>001 - Fair Hearings &amp; Appeals Case Files</b>                      This series documents informal fair hearings on client public assistance and medical assistance appeals. Consists of hearing officer final decision, medical reports, transcripts, correspondence. Hearing Officer decisions may be appealed to the division director. The director's decision is the final administrative action, and can be appealed to the Superior Court.</p> <p>Arranged alphabetically by last name.</p>		C+3		<p>C = Until the case is settled.</p> <p>Certain information is input into the Fairhear Database (item #005) and #2 Hearing Database (item #006). Fair hearings are informal proceedings adjudicated by a Hearing Officer for the following programs: Adult Public Assistance, Aid to Families with Dependent Children, Food Stamps, Medicaid, General Relief, Energy Assistance, Job Opportunities and Basic Skills Training Program and Employment and Training Program. Hearings comply with due process standards guaranteed by federal and state constitutions.</p>
<p><b>002 - Appeals Case Files (Not Heard)</b>                      Some cases do not go to hearing and are denied, conceded, withdrawn or abandoned. See item #001.</p> <p>Arranged alphabetically by last name.</p>		C+2		<p>C = Until the case is denied, conceded, withdrawn or abandoned.</p> <p>Certain information is input into the Fairhear Database (item #005).</p>
<p><b>003 - Facilities Hearing Files</b>                      Medicaid payment rates and audit findings for operation of health facilities may be appealed under AS 47.07.075. This series consists of status and evidentiary hearing documentation including evidence, arguments, transcripts, final decision, correspondence. The Commissioner's decision is the final administrative action, and is subject to appeal to the Superior Court.</p> <p>Arranged alphabetically by facility.</p>		C+10		<p>C = Until the case is settled.</p> <p>Certain information is input into the #2 Hearing Database (item #006).</p> <p>Health care facility appeals are adjudicated in formal hearings governed by the Administrative Procedures Act. Hearings comply with due process standards guaranteed by federal and state constitutions.</p>

You can transfer records to an approved records center at any point - complete a Records Transfer List (RTL) and submit it to your Records Officer for approval.

<p><b>Retention Key</b></p> <p>A = Until Audit                      C = Cut-off event/date                      CY = Current Year                      CFY = Current Fiscal Year                      PA = Permanent (Transfer to State Archives)</p> <p>PO = Permanent (Retain in agency office)                      S = Until Scanned                      T = Transfer                      TO = Term of Office</p>	<p><b>Format Key</b></p> <p>H = Hardcopy                      E = Electronic                      D = Database                      M = Microform</p>	<p><b>Bus. Ess = Business Essential</b></p> <p>1. Are necessary for emergency response                      2. Are necessary to resume or continue operations</p>
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Item No - Record Series Title & Description	Format	Total Retention	Bus. Ess.	Remarks
<p><b>004 - Provider Case Files</b>                      The hearing examiner hears cases brought by DMA involving allegations of improper behavior by medical personnel. The file consists of final decision, transcripts, correspondence, and miscellaneous documents.</p> <p>Cases are assigned a case number; arranged alphabetically by name of provider.</p>		C+10		C = Until the decision is rendered.
<p><b>005 - Fairhear Database</b>                      This database is used for reporting purposes and includes the following types of data: client name; case number; type of program for which a client requests a fair hearing; EIS case number; date of request; date of fair hearing; date of decision mailed; hearing authority's decision; issues of the case, if the case was appealed to the director; director's decision, and mailed date.</p>		C		C = Until obsolete, superseded or administrative/management need is met.  This information system is administered by the legal secretary and compiled from the Case Files, items #001 - #004.  EIS = Eligibility Information System
<p><b>006 - #2 Hearing Database</b>                      This database is used for reporting purposes and includes the following types of data: hospital names; attorneys involved; case numbers; descriptions (e.g. "Medicaid Rate Findings for Fiscal Year 1989"); specific fiscal year being appealed; counsel's addresses and phone numbers; facility's addresses and phone numbers; information on closure for aging; and cases that have been appealed to the Superior Court, and outcome.</p>		C		C = Until obsolete, superseded or administrative/management need is met.  This information system is administered by the legal secretary and compiled from the Case Files, items #001 - #004.

You can transfer records to an approved records center at any point - complete a Records Transfer List (RTL) and submit it to your Records Officer for approval.

<p align="center"><b>Retention Key</b></p> <p>A = Until Audit                      C = Cut-off event/date                      CY = Current Year                      CFY = Current Fiscal Year                      PA = Permanent (Transfer to State Archives)</p> <p>PO = Permanent (Retain in agency office)                      S = Until Scanned                      T = Transfer                      TO = Term of Office</p>	<p align="center"><b>Format Key</b></p> <p>H = Hardcopy                      E = Electronic                      D = Database                      M = Microform</p>	<p align="center"><b>Bus. Ess = Business Essential</b></p> <p>1. Are necessary for emergency response                      2. Are necessary to resume or continue operations</p>
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