

REQUEST FOR RECORDS DISPOSAL AUTHORITY
(See Instructions on reverse)

LEAVE BLANK	
JOB NO NCL-440-82-4	
DATE RECEIVED 8/18/82	
NOTIFICATION TO AGENCY	
In accordance with the provisions of 44 USC 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10	
3/21/83 Date	<i>Robert J. King</i> Archivist of the United States

TO **GENERAL SERVICES ADMINISTRATION,
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408**

1. FROM (AGENCY OR ESTABLISHMENT)
Department of Health and Human Services

2. MAJOR SUBDIVISION
Health Care Financing Administration

3. MINOR SUBDIVISION
Division of Communications Services

4. NAME OF PERSON WITH WHOM TO CONFER
E. J. Frack

5. TEL EXT (FTS)
934-0040

6. CERTIFICATE OF AGENCY REPRESENTATIVE

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of _____ page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

A Request for immediate disposal.

B Request for disposal after a specified period of time or request for permanent retention.

C. DATE 8/13/82	D. SIGNATURE OF AGENCY REPRESENTATIVE <i>George E. Deal</i> Dr. George E. Deal	E. TITLE Department Records Management Officer
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7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
	Attached is the Health Care Financing Administration's record schedule for HCFA Regional Office Medicaid Records. The schedule includes 29 items. The files described in the schedule are created in the administration of Title XIX of the Social Security Act, as amended. They are accumulated by the regional offices of the HCFA.		38 items

*No Mass Data Change Sheet Required
Copy to agency, 3-23-83, 88.*

HCFA REGIONAL OFFICES
MEDICAID PROGRAM AND RELATED RECORDS
RECOMMENDATIONS FOR RECORDS DISPOSITION

1. Technical Reference Materials

Printed manuals, directives, handbooks, instructions, regulations, schedules and other formal policy and procedural issuances related to Medicaid Administration and Programs, not originated in office. Record copy is retained by originating office.

Disposition: Destroy when superseded or obsolete.

2. Extra Copy Convenience Files

A. Chronological (Day, Reading) Files

Duplicate copies of all outgoing letters and memoranda, filed chronologically and maintained for reference and as indexes. Official copies are filed in appropriate case or subject files.

B. Trip Reports

Duplicate copies of program specialists' reports of visits to state facilities included in the Medicaid Program, filed chronologically. Original is filed in appropriate state subject file.

C. Contact Reports

Duplicate copies of reports documenting all staff personal or telephone contact on program issues. Original is filed in appropriate state subject file.

Disposition: Cut off active file at end of CY. File ~~is~~ⁱⁿ inactive file. Destroy 1 year after cut off or when no longer required for reference, whichever is sooner.

3. Medicaid "All State Letters"

Printed Regional Office (RO) issuances sent to state public welfare administrators which communicate information or requests pertaining to both administrative or program matters.

Disposition: A. Record copy (signed original bulletin). File superseded or obsolete bulletins separately in FY increments.

Destroy 2 years after end of ^F CY in which superseded or obsolete.

- B. All other copies. Destroy when superseded, obsolete or no longer needed for reference.

4. Medicaid Administrative Subject Files (Division Level)

Correspondence, memoranda, reports, studies and other documents concerning the general administration, management and organization of HHS and HCFA. Includes reports of meetings, unofficial copies of travel, personnel and attendance records retained only for reference.

Disposition: ^{a.} Cut off active file at end of CY. Place in inactive file.
^{b.} Destroy 2 years after cut off. ^{b.} Exception: Bring forward to current file, File Maintenance plans, Records Transmittal and Receipt forms. Destroy when superseded or obsolete.

5. Medicaid Program General Subject File

Correspondence, reports, policy and procedures information, reports of meetings and other general program related documents. Records specific to a state's program are filed in state subject files or in program case files described elsewhere.

Disposition: Cut off at end of CY. Retire to inactive file. Destroy 2 years after cut off.

6. Medicaid Program State Subject Files

Correspondence, memoranda and reports not filed in specific program case files which ^{and} are needed by RO to carry out the day to day liaison, assistance, review of state Medicaid program activities. Filed by state and thereunder by subject. These files do not include record copies of legal agreements or financial or other records held for HHS or GAO audit.

Disposition: Cut off active file at end of CY. Retire to inactive file. Destroy 2 years after cut off.

7. Medicaid State Plans and Agreements Files

Approved state plans for states' administration of the Medicaid program. Includes Attorney General certifications, formal transmittal and approval notices. Superseded materials are filed separately.

- Disposition: A. Record copy of state plan - superseded and obsolete material. Remove from active file. File in inactive file by state and FY withdrawn. ~~Retire to a record center in 5 year blocks, when most recent material is 3 years old. Offer to National Archives when most recent material in block is 20 years old. Destroy when no longer needed for reference.~~
- B. Duplicate copies of state plan - superseded and obsolete material. File in inactive file. Destroy when no longer needed for reference.

8. Medicaid State Plan Correspondence File

Correspondence, memoranda, background material and other working papers relating to state plan and amendments but not part of official state plan file.

Disposition: Maintain separately from state plan. Cut off active file at end of FY. Destroy 5 years after cut off.

9. Compliance Reports File

RO copies of narrative quarterly reports such as HCFA OFO-2 equivalent prepared for HCFA Headquarters which document old, new and continuing compliance issues. Includes copies of correspondence to states reporting non-compliance and HCFA summary reports.

Disposition: Cut off file at end of CY. File in inactive file. Destroy 1 year after cut off, or when no longer required for current operations, whichever is longer.

10. State ADP Systems Plans Files (MMIS or Mechanized Claims Processing Information Retrieval Systems)

RO file documents all phases of planning and bid selection process for state claims payment and management information ADP systems prior to award of contract. Includes advance planning documents, HCFA RO and Headquarters approvals, requests for proposals.

Disposition: Cut off active file upon award of contract. Retire to inactive file. Destroy 3 years after termination or completion of contract.

11. States ADP Contract Case Files (MMIS or Mechanized Claims Processing Information Retrieval Systems)

Copies of contracts made between state and suppliers of ADP systems used by state for claims payment and Medicaid management information. Includes all correspondence, background and briefing materials, technical reports and papers related to the development, installation and maintenance of the system. HCFA Headquarters maintains record copy of contract. RO file is used for RO approval and HCFA Headquarters certifications.

Disposition: Cut off file upon termination or completion of contract.
File in inactive file. Destroy 3 years after cut off.

12. Medicaid Program Reports From States

RO copies of NCSS 120, NCSS 2082 or equivalent, and other statistical reports sent directly to the Regional Offices and/or HCFA Headquarters by states. Data collected includes number of Medicaid recipients, type of services, expenditures, and other relevant data. RO copy is retained to assure states reporting compliance.

Disposition: Cut off active file at end of FY. Retire to inactive file.
Destroy 3 years after cut off.

13. Utilization Control Quarterly Reports (Quarterly Showings)

Includes RO copies of unmarked and marked "Quarterly Showings" (except marked copy used for survey), state certifications and all supporting documentation sent quarterly by states to RO for review and forwarded to HCFA Headquarters. RO copies are used for RO validation surveys and may be used in preparation of disallowance cases by Regional Attorneys.

Disposition: Cut off active file upon transmittal of related survey verification correspondence to HCFA Headquarters, or upon final settlement of all financial or legal issues. Destroy 3 years after cut off.

14. Utilization Control On-Site Validation Survey Files

Includes marked copy of "Quarterly Showing" used in RO surveys, documentation of survey findings which either verify or refute data sent by states in that report and related materials.

Disposition: Cut off active file upon transmittal of verification correspondence to HCFA Headquarters, or upon final settlement of all financial or legal issues. Destroy 3 years after cut off.

15. Federal Monitoring Re-review Schedule Case Files (Active)

Includes all documentation used for RO Quality Control re-review of state Medicaid program active cases. Includes Sample Selection Lists, disposition lists, Medicaid Federal review schedule, Recipient Claims for Medicaid Reimbursement computer print-outs from states, state review schedule; may include state reviewer's finding sheets, summaries, copies of court orders and other source documents needed for RO review. Data elements from individual schedules are transmitted via DATAMED for calculation of state error rate.

Disposition: A. Cases not appealed by state. Cut off active file 18 months after closeout of the review period. File in inactive file. ~~If volume is sufficient, retire to Federal Records Center.~~ Destroy 2 years after cut off, or after 4 complete review periods, whichever is longer. Earlier cut off is authorized as long as the records are then inactive. ~~If earlier shipment to the Federal Records Center is made the records must be retained a total of 3 1/2 years after close out of review period or for 4 complete review periods, whichever is longer.~~

B. Cases appealed by state. Cut off active file 18 months after resolution of an appeal by state. File in inactive file. ~~If volume is sufficient, retire to Federal Archives Records Center.~~ Destroy 2 years after cut off, or after 4 complete review periods, whichever is longer. Earlier cut off is authorized as long as the records are then inactive. ~~If earlier shipment to the Federal Records Center is made, the records must be retained a total of 3 1/2 years after close out of review period or for 4 complete review periods, whichever is longer.~~

16. Federal Monitoring Re-review Schedule Case Files (Negative)

Includes all documentation used in quality control re-review of state Medicaid program negative cases (termination or denial of eligibility).

Disposition: Cut off active file 1 year after close out of review period. ~~Retire to Federal Records Center and~~ Destroy 2 years after cut off.

17. State Review Schedules

Copies of state review schedules sent by state but not files^d in Federal re-review case files. Used by RO as a source document from which to compute data on state error rates for transmission to HCFA Headquarters via DATAMED. Also used to recompute error rates, or to support documentation in event of appeal or litigation.

Disposition: Destroy 18 months after closeout of review period.

18. State "Disposed of List" Files

Includes summary forms of state Quality Control Reviews, case listing of selected data on all cases reviewed by the state. Information is also retained in DATAMED for 1 year.

Disposition: A. Files of cases not appealed by state. Cut off active file 18 months after closeout of the review period. Place in inactive file and destroy 2 years after cut off.

B. Files of cases appealed by state. Cut off active file 18 months after resolution of appeal by state. File in inactive file. Destroy 2 years after cut off.

19. Computer Print-Outs

Includes all DATAMED reports from HCFA Headquarters to RO, copies of DATAMED listings sent to HCFA Headquarters; copies of minicomputer print-outs generated at RO which include data analysis pertinent to error rate projections, and related subjects not maintained as part of another file.

Disposition: Cut off file 1 year after close out of review period. File in inactive file. Destroy 2 years after cut off.

20. State-Contractor Contracts for Administration of Medicaid Programs

Copies of contracts between state and contractors for administration of Medicaid programs, HCFA approvals of contracts over \$100,000, and related documents.

Disposition: Cut off file at end of FY in which all appropriate expenditures under the contract have been claimed by the state and approved by HCFA RO. File in inactive file. Destroy 5 years after cut off.

21. State's Annual Budget Projections (3 year estimates)

Includes HCFA 25 reports, state's estimated expenditures worksheets, HCFA RO review and analysis data, transmittal and related correspondence sent to HCFA Headquarters. Retained for HHS audit.

Disposition: Cut off file at end of FY following final closing of HHS audit. File in inactive file and destroy 3 years after cut off or 3 years, 6 months after close of fiscal year covered by estimate, whichever is longer.

22. State's Accountable Expenditures and Estimate of Account Files

Includes quarterly expenditures reports and estimated expenditures reports from states for approved programs. Included are state payment vouchers, cash transaction reports and related documents, copies of HCFA grant awards approvals and computation sheets, review correspondence, decision letters and other related documents. Retained for HHS and GAO site audits.

Disposition: Cut off file at end of FY covered by account. Place in inactive file. Destroy 6 years, 3 months after period covered by account. (GRS 6/1A and FPMR B-111, 7/7/81)

23. Disallowance Case File

Correspondence and related records which document HCFA disallowance of a state claim for funding, from inception of a disallowance through recovery of funds.

Disposition: Cut off active file upon final resolution and recovery of funds. Place in inactive file. Destroy 3 years after cut off.

24. HHS Audit Agency Reports Files

Includes HHS Audit Agency reviews of financial and management practices of state agencies, project grantees and selected aspects of the states' Medicaid program administration. Also includes correspondence and other documents pertinent to RO resolution of findings and documents each audit from first action through final resolution of findings.

Disposition: Cut off file at end of FY following final closing of HHS audit. Place in active file and destroy 3 years after cut off.

25. State Reapproval Review Files (Mechanized Claims Processing Information Retrieval Systems)

RO file contains all workpapers, review documentation, score sheets, and correspondence relating to the annual System Performance Review (SPR) for MMIS system reapproval and funding. File is used for RO reapproval/disapproval, funding notification and for HCFA Headquarters review of appeals.

a. Disposition: If review does not result in appeal, cut off active file upon next subsequent notification of reapproval/disapproval and funding. Place in inactive file. Destroy 3 years after cut off.

b. If review results in appeal, cut off upon final resolution or next subsequent notification of reapproval/disapproval and funding, whichever comes later. Place in inactive file. Destroy 3 years after cut off.

26. System Performance Review File

Documentation of RO review of state's automated Medicaid Management Information System. The review covers all aspects of the claims processing and payment system including eligibility systems security, privacy, and overall management. The file includes the documentation of the reviews and reports. States which fail to meet minimum standards can be penalized through loss of a portion of their Federal financial participation.

Disposition: A. If no penalty is involved, cut off file at the close of the fiscal year in which report was published and any corrective action occurred. Destroy 6 years thereafter.

B. If penalties are involved, cut off file at the close of the fiscal year in which HCFA and the state agreed upon corrective action and penalties to be taken. Destroy 6 years thereafter.

NOTE: Do not destroy files needed for litigation. Record copies of litigation files should be destroyed in accordance with appropriate disposition authorities.

27. State Sampling Plans (Active and Negative)

Basic plan and modifications which detail states' methodology for selecting cases used in state Medicaid Quality Control Reviews. Plans are

developed by state with RO assistance. Record copy maintained at HCFA RO. States and HCFA retain copies.

Disposition: File superseded or obsoleted material separately. Destroy 5 years after end of FY in which superseded or obsoleted.

28. Medicaid State Corrective Action Plans Files

Includes formal Corrective Action Plans (CAPS) submitted by each state to RO. CAPS are developed to correct deficiencies in a state's quality control of eligibility factors, so that the state does not incur funding liability penalties. Also includes background data, correspondence with states and HCFA Headquarters which relate to corrective action.

Disposition: Cut off active file at end of CY upon resolution of all elements in plan or after resolution of all appeals. Place in inactive file. ~~Retain 3 years in inactive file or until no longer needed for reference, whichever is sooner.~~ *Destroy 3 years after cut-off or when no longer needed for reference, whichever is sooner.*

29. Medicaid State Assessment Files

Includes published Annual State Evaluation Reports (ASER) prepared at HCFA RO for each state and all documents retained at RO relevant to preparation of each ASER. Typical subjects included in the ASER are claims processing, eligibility, financial management, abortion, sterilization, program integrity, administration and management, service delivery, provider enrollments, etc. Also included in the files are draft ASERs, interim reports, correspondence and comments. Final ASER's are distributed by RO to state, HCFA Headquarters other HCFA RO's and other interested parties.

Disposition: A. Regional Office responsible for preparation of final ASER.

(1) Published Final Report: Destroy 10 years after publication.

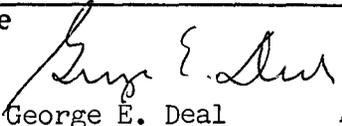
(2) Draft ASER's, background materials. Cut off file at end of CY in which ASER is published. Destroy 2 years after cut off.

B. All other offices: Destroy ASER on receipt of updated report.

APPROVED:

Department Records
Management Officer

Title _____



Dr. George E. Deal

Aug. 13, 1982

Signature

Date