

DEPARTMENT OF HUMAN RESOURCES
DIVISION OF MEDICAL ASSISTANCE

Records Retention and Disposition Schedule

The Records Retention and Disposition Schedule and retention periods governing the records series listed herein are hereby approved. In accordance with the provisions of Chapters 121 and 132 of the General Statutes of North Carolina, it is agreed that the records of

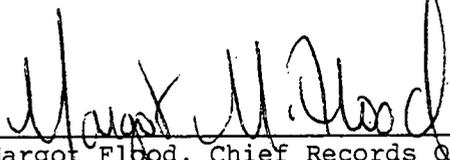
DIVISION OF MEDICAL ASSISTANCE

do not and will not have further official use or value for administrative, research, or reference purposes after the respective retention periods specified herein. The N.C. Department of Cultural Resources consents to the destruction or other disposition of these records in accordance with the retention and disposition instructions specified in this schedule. However, records subject to audit or those legally required for ongoing official proceedings must be retained until released from such audits or official proceedings, notwithstanding the instructions of this schedule. Public records including machine readable records not listed in this schedule are not authorized to be destroyed.

DIVISION OF MEDICAL ASSISTANCE

agrees to destroy, transfer or dispose of records in the manner and at the times specified herein. This schedule is to remain in effect until superseded.

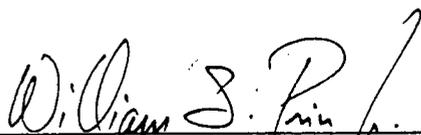
APPROVAL RECOMMENDED



Margot Flood, Chief Records Officer
Department of Human Resources



Barbara D. Matula, Director
Division of Medical Assistance

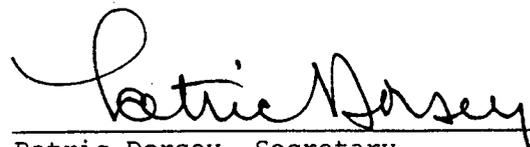


William S. Price, Jr., Director
Division of Archives and History

APPROVED



David T. Flaherty, Secretary
Department of Human Resources



Patric Dorsey, Secretary
Department of Cultural Resources

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Records Retention and Disposition Schedule

Organizational Name Change

An organizational name change to this Records Retention and Disposition Schedule is hereby approved. The Records Retention and Disposition Schedule reflects an organizational change from **Department of Human Resources to Department of Health and Human Services**. No new items have been added, no items have been deleted, and no changes have been made to any existing series descriptions or disposition instructions in the most recent schedules of the Department of Human Resources. In accordance with the provisions of Chapters 121 and 132 of the General Statutes of North Carolina, it is agreed that the records of the

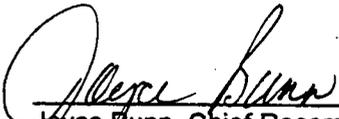
DEPARTMENT OF HEALTH AND HUMAN SERVICES

do not and will not have further official use or value for administrative, research, or reference purposes after the respective retention periods specified herein. The N.C. Department of Cultural Resources consents to the destruction or other disposition of these records in accordance with the retention and disposition instructions specified in this schedule. Public records including machine readable records not listed in the schedule are not authorized to be destroyed. The

DEPARTMENT OF HEALTH AND HUMAN SERVICES

agrees to destroy, transfer or dispose of records in the manner and at the times specified herein. This schedule is to remain in effect until superseded.

APPROVAL RECOMMENDED

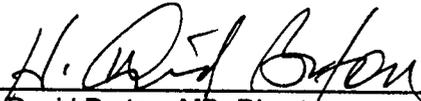


Joyce Bunn, Chief Records Officer
Department of Health and Human
Services

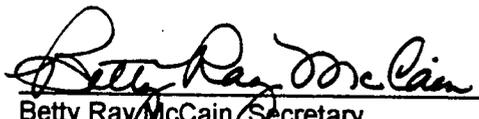


Jeffrey J. Crow, Director
Division of Archives and History

APPROVED



H. David Bruton, MD, Director
Department of Health and Human
Services



Betty Ray McCain, Secretary
Department of Cultural Resources

July 1, 1997

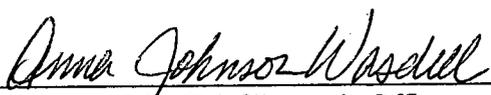
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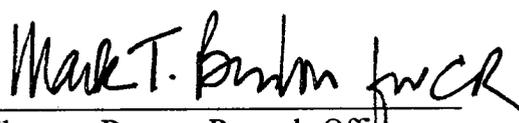
PROGRAM RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT

DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF MEDICAL ASSISTANCE
AUDIT SECTION

Amend the program records retention and disposition schedule approved March 24, 1992 by adding Item 47252 as shown on substitute page dated April 27, 2004.

APPROVAL RECOMMENDED


Anna Wasdell, Chief Records Officer
Department of Health and Human Services


Clarence Rogers, Records Officer
Division of Medical Assistance


Gary Fuquay, Director
Division of Medical Assistance


David Brook, Director
Division of Historical Resources

APPROVED


Carmen Hooker Odom, Secretary
Department of Health and Human Services


Lisbeth C. Evans, Secretary
Department of Cultural Resources

April 27, 2004

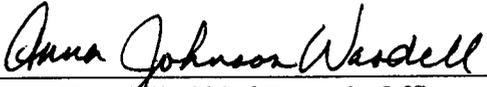
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PROGRAM RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT

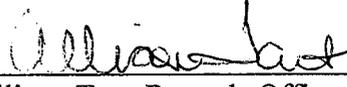
DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF MEDICAL ASSISTANCE
PERSONNEL SECTION

Amend the program records retention and disposition schedule approved July 1, 1997 by changing the disposition instructions for Item 6409 as shown on substitute page dated April 11, 2003.

APPROVAL RECOMMENDED



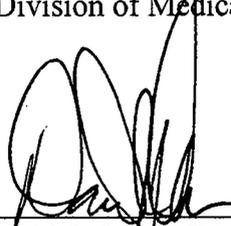
Anna Wasdell, Chief Records Officer
Department of Health and Human Services



Allison Tart, Records Officer
Division of Medical Assistance



Nina M. Yeager, Director
Division of Medical Assistance



David J. Olson, Director
Division of Historical Resources

APPROVED



Carmen Hooker Odum, Secretary
Department of Health and Human Services



Lisbeth C. Evans, Secretary
Department of Cultural Resources

April 11, 2003

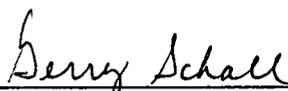
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RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT

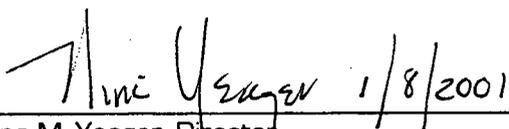
DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF MEDICAL ASSISTANCE
FINANCIAL OPERATIONS SECTION
DIVISION ACCOUNTING SYSTEMS BRANCH

Amend the records retention and disposition schedule approved March 24, 1992 by adding Item 45957 as shown on substitute page dated December 21, 2001.

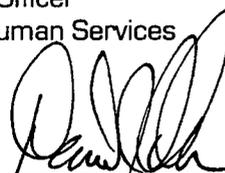
APPROVAL RECOMMENDED



Gerry Schall, Chief Records Officer
Department of Health and Human Services

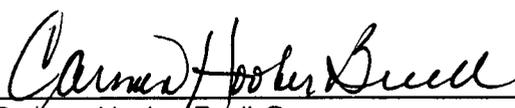


Nina M. Yeager, Director
Division of Medical Assistance

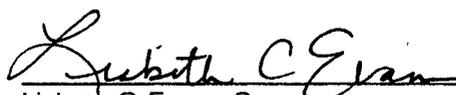


David J. Olson, Director
Division of Historical Resources

APPROVED



Carmen Hooker Buell, Secretary
Department of Health and Human Services



Lisbeth C. Evans, Secretary
Department of Cultural Resources

December 21, 2001

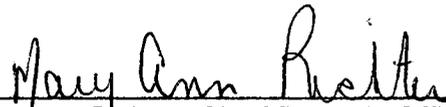
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RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT

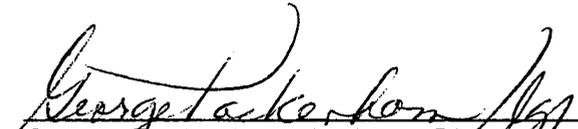
DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF MEDICAL ASSISTANCE
MEDICAL POLICY AND UTILIZATION CONTROL SECTION
ADMINISTRATION

Amend the records retention and disposition schedule approved July 1, 1997 by changing the disposition instructions of Items 44322 and 45292 as shown on substitute page dated November 21, 2000.

APPROVAL RECOMMENDED



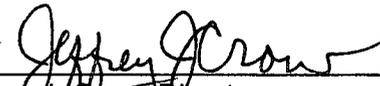
Mary Ann Richter, Chief Records Officer
Department of Health and Human Services



George Packenham, Assistant Director
Medical Policy and Utilization Control Section



Paul R. Perruzzi, Director
Division of Medical Assistance



Jeffrey J. Crow, Director
Division of Archives and History

APPROVED



H. David Bruton, MD, Secretary
Department of Health and Human Services



Betty Ray McCain, Secretary
Department of Cultural Resources

November 21, 2000

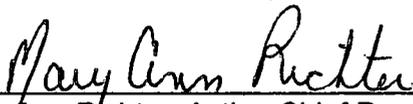
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RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT

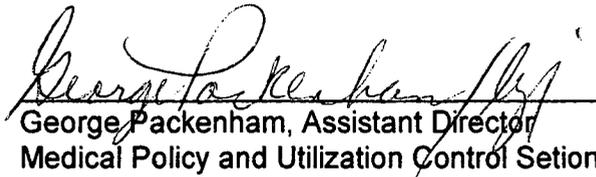
DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF MEDICAL ASSISTANCE
MEDICAL POLICY AND UTILIZATION CONTROL SECTION
ADMINISTRATION

Amend the records retention and disposition schedule approved March 24, 1992 by adding Items 44322 and 45292 as shown on substitute pages dated August 25, 2000.

APPROVAL RECOMMENDED



Mary Ann Richter, Acting Chief Records Officer
Department of Health and Human Services



George Packenham, Assistant Director
Medical Policy and Utilization Control Section



Paul R. Perruzzi, Director
Division of Medical Assistance



Jeffrey J. Crow, Director
Division of Archives and History

APPROVED



H. David Bruton, MD, Secretary
Department of Health and Human Services



Betty Ray McCain, Secretary
Department of Cultural Resources

August 25, 2000

KLS

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF MEDICAL ASSISTANCE
ADMINISTRATION AND REGULATORY AFFAIRS SECTION**

ITEM 6412. FEDERAL STATISTICAL REPORTS ON MEDICAID FILE.

Monthly and annual statistical reports concerning medical care, recipient characteristics, institutional care, physicians' services, and payments to aged/disabled. File includes statistical data on sterilization, and Early Periodic Screening and Diagnostic Treatment reports.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 10 year(s). Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

ITEM 6413. CONTRACTS AND MEMORANDUMS OF UNDERSTANDING (MOU) FILE.

Contracts and documents concerning the Division of Medical Assistance. (File excludes Fiscal Agent contracts.)

DISPOSITION INSTRUCTIONS: Destroy in office 3 year(s) after termination of contracts.

ITEM 6418. UNITED PARCEL SERVICE (UPS) LOG BOOK FILE.

Daily records of UPS meter register readings, UPS invoices, and itemized daily listings of addresses showing individual package weight, zone, and charges.

DISPOSITION INSTRUCTIONS: Destroy in office after released from all audits and notification to UPS.

ITEM 6419. COUNTY REQUESTS FOR DIVISION OF MEDICAL ASSISTANCE FORMS FILE.

Requests from each county for forms maintained by the Division of Medical Assistance.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year.

ITEM 6420. PREPAID HEALTH PLAN FILE.

Records concerning requests for prepaid health plan waiver and contract provisions. File includes correspondence with providers and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

ITEM 6421. HEALTH MAINTENANCE ORGANIZATION (HMO) FILE.

Correspondence with potential HMO contractors. File also includes draft contracts.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF MEDICAL ASSISTANCE
AUDIT SECTION**

ITEM 47252. PERMANENT CORPORATE FILE.

Records concerning financial documentation of providers for nursing facilities, hospitals, intermediate care facilities (ICF), mentally retarded (MR) facilities, home offices, and adult care. File includes correspondence, cost settlements, lease agreements, adjustment reports, trial balances, quarterly statements, and other related records. Amended 4-27-04

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 4 year(s). Records will be held for agency in the State Records Center 4 additional years and then destroyed.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF MEDICAL ASSISTANCE
FINANCIAL OPERATIONS SECTION
ADMINISTRATION**

ITEM 6363. INTRADIVISION CORRESPONDENCE FILE.

Correspondence and memorandums routed to various sections within the Division of Medical Assistance.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

ITEM 6366. INTERAGENCY CORRESPONDENCE FILE.

Correspondence between the Division of Medical Assistance and other state government agencies.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 6368. GENERAL CORRESPONDENCE FILE.

Correspondence concerning Medicaid accounting, providers, policies, and procedures. File also includes county correspondence and sight drafts.

DISPOSITION INSTRUCTIONS: Destroy in office after 4 years.

ITEM 6370. LONG-TERM CARE REIMBURSEMENTS FILE.

Notes, regulations, accounts of reimbursement, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 year(s) and when released from all audits, whichever occurs later.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF MEDICAL ASSISTANCE
FINANCIAL OPERATIONS SECTION
DIVISION ACCOUNTING SYSTEMS BRANCH**

ITEM 6369. FINANCIAL PARTICIPATION REPORTS AND GROSS EXPENDITURE REPORTS FILE.

Financial participation reports and gross expenditure reports.

DISPOSITION INSTRUCTIONS: Destroy in office when released from all audits and administrative value ends.

ITEM 6375. COST SETTLEMENTS FILE.

Checks for cost settlements and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 4 year(s) if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 6379. DEPARTMENTAL ACCOUNTING SYSTEMS (DAS) RECORDS FILE.

Financial records concerning budget codes 14445, 34445, and 64445. File includes copies of Summary of Allotments and Appropriations, Summary by Purpose, Summary by Object, Monthly Report on Budget, Voucher Register, Voucher Register A/C Statement of Receipts, Disbursements, Balanced, Outstanding Obligations, General Ledgers, Detail Registers, Detail Journals, Detail Listing by Vendor Identification Number, Medical Assistance Expenditure by Federal Type of Service, and Expenditures by Federal Reimbursement Code and Responsibility Cost Center.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 year(s) if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 6380. BLUE COPIES OF CHECKS (VOUCHER AND ORDER) FILE.

Checks, Departmental Accounting System forms, invoices, and copies of purchase orders.

DISPOSITION INSTRUCTIONS: Destroy in office after 4 year(s) if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 45957. FEDERALLY QUALIFIED HEALTH CENTER (FQHC) AND RURAL HEALTH CLINIC (RHC) COST REPORTS FILE.

Records in paper and electronic formats concerning cost reports dealing with cost settlements of Medicaid payments. File includes financial statements, trial balances, audit summaries, providers' cost reports, and other related records. File also includes social security numbers. (File maintenance and backup procedures conducted by LAN administrator.) (Comply with applicable provisions of 5 USC Sec. 552a regarding confidentiality of records maintained on individuals.) Amended 12-21-01

DISPOSITION INSTRUCTIONS: Print electronic records and interfile with related paper records. Destroy in office electronic versions of records when reference value ends. Transfer paper records to the State Records Center after 4 years. Records will be held for agency in the State Records Center 4 additional years and then destroyed.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF MEDICAL ASSISTANCE
FINANCIAL OPERATIONS SECTION
MEDICAID MANAGEMENT INFORMATION SYSTEMS (MMIS) BRANCH**

ITEM 6371. FISCAL AGENT CORRESPONDENCE FILE.

Correspondence with the fiscal agent contractor concerning financial arrangements.

DISPOSITION INSTRUCTIONS: Destroy in office after 7 years.

ITEM 6374. CONTRACTOR/MEDICAID MANAGEMENT INFORMATION SYSTEMS (MMIS) FILE.

Records concerning contractor MMIS certification. File includes Medicaid Management procedures as mandated by the certifications. (Records become the property of the division at the end of the contract.)

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 6469. MEDICAID MANAGEMENT INFORMATION SYSTEM REPORTS (MMIS) FILE.

Microfiche and paper reports generated by and for the North Carolina MMIS. File includes reports concerning management level, summary level, and detail level.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

ITEM 6471. REMITTANCE ADVICE FILE.

Microfiche listing of accounts of paid claims.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 year(s) and when released from all audits, whichever occurs later.

ITEM 6472. FISCAL AGENT CONTRACTS FILE.

Records concerning North Carolina Title XIX Fiscal Agent Contracts. File includes amendments and administrative changes.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends and when released from all audits, whichever occurs later.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF MEDICAL ASSISTANCE
FINANCIAL OPERATIONS SECTION
REIMBURSEMENT AND RATE BRANCH**

ITEM 1865. HOSPITAL COST REPORTS FILE.

Filed and unaudited reports submitted by hospitals participating in the Medicaid Program.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

ITEM 1869. HOME HEALTH COST REPORTS FILE.

Filed and unaudited reports submitted by home health agencies participating in the Medicaid Program.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

ITEM 6387. MEDICAID PROVIDER RATE SETTING FILE.

Rate calculations for all providers participating in the Medicaid Program.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

ITEM 39114. MEDICAID PROVIDER RATE SETTING/Appeals FILE.

Rate calculation concerning all providers participating in the Medicaid Program including hospitals, nursing home facilities, intermediate care facilities, and mental retardation facilities. File includes correspondence and other related legal documents pertaining to appeals by providers and decisions rendered. Amended 8-15-96

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center 5 years after all audits and appeals have been completed. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF MEDICAL ASSISTANCE
MEDICAL POLICY AND UTILIZATION CONTROL SECTION
ADMINISTRATION**

ITEM 1861. GENERAL CORRESPONDENCE FILE.

Correspondence with Electronic Data Systems Federal (EDSF) and sections of the Division. File also includes Division of Facility Services quarterly reports and copies of audits and project records.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

ITEM 1862. MEDICAID ON-SITE MEDICAL REVIEW REPORTS FILE.

On-site reviews completed for long-term care facilities and outpatient clinics in North Carolina which have Medicaid patients.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 2 year(s). Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

ITEM 1873. EARLY PERIODIC SCREENING AND DIAGNOSTIC TREATMENT (EPSDT) CORRESPONDENCE FILE.

Correspondence with providers, county departments of social services, Federal Medicaid Agency, other agencies, and individuals concerning EPSDT.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 3953. PROVIDER CORRESPONDENCE (PHYSICIAN CONSULTANT) FILE.

Correspondence sent to individual providers concerning reimbursement, coding for reimbursement, and adherence to policy as set forth by Department of Health and Human Services and the state.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 2 year(s). Records will be held for agency in the State Records Center 3 additional years and then destroyed.

ITEM 6394. CONSULTANTS' CORRESPONDENCE FILE.

Correspondence sent to county health departments and to county departments of social services.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

ITEM 6395. NURSE CONSULTANT CORRESPONDENCE FILE.

Correspondence sent to recipients/providers concerning Electronic Data Systems Federal authorizing payment and Department of Health and Human Services (DHHS) in Atlanta and Washington for clarification of policy.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

ITEM 6397. PHYSICIAN CONSULTANT'S CORRESPONDENCE FILE.

Correspondence written or received by the physician consultant.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

ITEM 6398. AUDIT MATERIALS AND RECORDS FILE.

Reference copies of audits of pharmacies throughout the state.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

ITEM 6399. WORKING AGREEMENTS (PHARMACY) FILE.

Reference copies of pharmacy agreements.

DISPOSITION INSTRUCTIONS: Destroy in office 1 year after expiration.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF MEDICAL ASSISTANCE
MEDICAL POLICY AND UTILIZATION CONTROL SECTION
ADMINISTRATION**

ITEM 6400. BULLETINS, REPORTS, PRICES, GUIDELINES, DIRECTIVES, AND FORMS FILE.

Directives and regulations received from Department of Health and Human Services. File also includes state initiated forms, bulletins, and other related records concerning the pharmacy program.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

ITEM 6401. PHARMACY GENERAL CORRESPONDENCE FILE.

Correspondence between pharmacies and the division concerning policy and reimbursements.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

ITEM 6457. EARLY PERIODIC SCREENING AND DIAGNOSTIC TREATMENT (EPSDT) FILE.

Reports and statistics concerning recipient participation in EPSDT.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

ITEM 44322. LOCAL EDUCATION AGENCY (LEA) FILE.

Remittance advice/status reports listing checks written to schools throughout the state of North Carolina for children with disabilities/special education programs. Reports list provider numbers, names of county schools, addresses, recipient names, total bills, paid amounts, and other related data. Amended 11-21-00.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved. Destroy records currently stored in the State Records Center 5 years from date received.

ITEM 45292. INDEPENDENT PRACTITIONERS (IP) REPORTS FILE.

Remittance advice/status reports listing checks written to physical therapists, occupational therapists, speech and language therapists, and respiratory therapists for exceptional children and children with disabilities. Reports list provider names, addresses, recipient names, dates of service, medicaid numbers, paid amounts, and other related data. Amended 11-21-00

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved. Destroy records currently stored in the State Records Center 5 years from date received.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF MEDICAL ASSISTANCE
MEDICAL POLICY AND UTILIZATION CONTROL SECTION
COMMUNITY CARE BRANCH
COMMUNITY ALTERNATIVE PROGRAM UNIT**

ITEM 6455. COMMUNITY ALTERNATIVES PROGRAM (CAP) WAIVERS FILE.

CAP waiver requests approved by Federal Medicaid Agency. File also includes reports, directives, and statistics concerning waivers.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 6456. COMMUNITY ALTERNATIVES PROGRAM (CAP) CORRESPONDENCE FILE.

Correspondence with state and county agencies that are involved in provision of services and/or administration of the CAP waivers.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

ITEM 17447. COMMUNITY ALTERNATIVES PROGRAM FOR CHILDREN (CAP/C) CASE RECORDS FILE.

Case records for each person for whom a request has been made to the Division of Medical Assistance for participation in the CAP/C. Client records contain confidential information about the client, plans of care, assessment/evaluation information, and related correspondence with local agencies and service providers. (Comply with applicable provisions of G.S. 108A-80 regarding confidentiality of records of persons applying for or receiving public assistance.)

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF MEDICAL ASSISTANCE
MEDICAL POLICY AND UTILIZATION CONTROL SECTION
COMMUNITY CARE BRANCH
SPECIALIZED CARE SERVICES UNIT**

ITEM 32107. HEAD INJURY REHABILITATION SERVICES FILE.

Head Injury Rehabilitation (HIR) Service case records for each person for whom a request has been made to the Division of Medical Assistance. Recipient records contain confidential information regarding the recipient, progress reports, assessment/evaluation information, and related correspondence with local agencies and service providers. (Comply with applicable provisions of G.S. 108A-80 regarding confidentiality of records of persons applying for or receiving public assistance.)

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

ITEM 32108. PRIVATE DUTY NURSING SERVICE FILE.

Case records for each person for whom a request has been made to the Division of Medical Assistance for Private Duty Nursing service. Recipient records contain confidential information about the recipient, plans of care, assessment/evaluation information, and related correspondence with local agencies and service providers. (Comply with applicable provisions of G.S. 108A-80 regarding confidentiality of records of persons applying for or receiving public assistance.)

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF MEDICAL ASSISTANCE
OFFICE OF THE DIRECTOR**

ITEM 1853. DIRECTOR'S CORRESPONDENCE FILE.

Correspondence with state agencies, corporations, divisions within Department of Human Resources, and providers concerning the medical assistance program. (Comply with applicable provisions of G.S. 108A-80 regarding confidentiality of records of persons applying for or receiving public assistance.)

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 5 year(s). Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

ITEM 4074. ASSISTANT DIRECTORS' FILE.

Letters and memorandums originated by the assistant directors and signed by the deputy director or director. File also includes memorandums written and signed by the assistant directors.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

ITEM 4075. CONTROL CORRESPONDENCE FILE.

Letters concerning recipients and programs of the division and signed by the Director, Department of Human Resources, Secretary, Governor, and Lt. Governor. (Comply with applicable provisions of G.S. 108A-80 regarding confidentiality of records of persons applying for or receiving public assistance.)

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 5 year(s). Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

ITEM 6361. DIVISION OF MEDICAL ASSISTANCE CARELINE LETTERS FILE.

Reference copies of letters forwarded to the Division of Medical Assistance from Department of Human Resources, Division of Information and Referral for attention.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

ITEM 6362. CONFERENCE MEETINGS ATTENDED BY THE DIVISION OF MEDICAL ASSISTANCE DIRECTOR/DEPUTY FILE.

Pamphlets and other related records collected at conferences by the director and/or deputy director.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

ITEM 33273. DEPUTY DIRECTOR'S CORRESPONDENCE FILE.

Correspondence to and from Medicaid applicants concerning appeals and long-term care. File also includes audits, budget reports, and other related records. (Comply with applicable provisions of G.S. 108A-80 regarding confidentiality of records of persons applying for or receiving public assistance.)

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center when administrative value ends. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

ITEM 33274. HEALTH CARE FINANCING ADMINISTRATION (HCFA) CORRESPONDENCE FILE.

Correspondence to and from HCFA officials concerning Medicaid regulations.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 5 year(s). Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF MEDICAL ASSISTANCE
PERSONNEL SECTION**

ITEM 6402. CORRESPONDENCE FILE.

Correspondence prepared or received by the division personnel office.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 6409. INACTIVE PERSONNEL FILE.

Records concerning former employees of the division. File includes applications, resumes, personnel action forms, and other related records. (Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records.) Amended 4-11-03

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center 5 years after employee terminates service. Records will be held for agency in the State Records Center 25 additional years and then destroyed. Destroy records currently being held for agency in the State Records Center 30 years from date of record.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF MEDICAL ASSISTANCE
PROGRAM INTEGRITY SECTION
ADMINISTRATION**

ITEM 1856. RECIPIENTS FILE.

Correspondence and other related records between county departments of social services and the Program Integrity Section concerning possible fraud or abuse of Medicaid laws or regulations by recipients.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center 1 year after case is adjudicated. Records will be held for agency in the State Records Center 4 additional years and until completion of all legal and official actions and resolution of issues involved and then destroyed.

ITEM 1857. PROVIDERS CLOSED CASES FILE.

Providers summary profile reports and audit listings of possible providers fraud. File also includes related correspondence.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 2 years or when investigation is closed, whichever occurs later. Records will be held for agency in the State Records Center 3 additional years and then destroyed.

ITEM 1858. PROJECT INTEGRITY REPORTS FILE.

Reports and other related records used in the investigation of possible Medicaid fraud by both physicians and pharmacies.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

ITEM 1874. LONG-TERM CARE FILE.

Records concerning extension of level of care. File includes retroactive approval for level of care and therapeutic leave, correspondence concerning requests for appeal of level of care changes and scheduled hearings, and hearing decisions.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

ITEM 6425. ADMINISTRATIVE FILE.

Directives, reports, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 6426. GENERAL INFORMATION FILE.

Medicare bulletins, plans, policies, procedures, newspaper clippings, subrogation rights records, fraud surveys, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF MEDICAL ASSISTANCE
PROGRAM INTEGRITY SECTION
AUDIT BRANCH**

ITEM 1872. LONG-TERM CARE (SKILLED NURSING AND INTERMEDIATE CARE) COST REPORTS FILE.

Cost reports submitted by long-term care providers for skilled nursing and intermediate care of medicaid recipients.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center 4 years after designated inactive or after resolution of all official actions, litigation, or audits involving the records. Records will be held for agency in the State Records Center 5 additional years and then destroyed.

ITEM 6467. ACTIVE PROVIDERS AND FACILITIES PERMANENT FILE.

Lease agreements, certifications, depreciation schedules, and statistical data concerning facilities and providers.

DISPOSITION INSTRUCTIONS: Transfer to Terminated Providers and Facilities Permanent File (Item 6468) when providers and facilities are terminated from Medicaid Program.

ITEM 6468. TERMINATED PROVIDERS AND FACILITIES PERMANENT FILE.

Records concerning medical assistance providers and facilities terminated from the Medicaid Program. File includes lease agreements, certifications, depreciation schedules, and statistical data concerning providers and facilities that have been terminated from the medicaid program.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center 4 years after termination or after resolution of all official actions, litigation, or audits involving the records. Records will be held for agency in the State Records Center 5 additional years and then destroyed.

ITEM 6470. HOME HEALTH AGENCY COST REPORTS FILE.

Cost reports submitted by home health agencies for home health care of Medicaid recipients.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center 4 years after designated inactive or after resolution of all official actions, litigation, or audits involving the records. Records will be held for agency in the State Records Center 5 additional years and then destroyed.

ITEM 7070. AUDIT SECTION CORRESPONDENCE FILE.

Interoffice and interagency correspondence concerning the Medicaid Program. File also includes reports and correspondence to the general public.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

ITEM 7076. CORPORATION FILE.

Correspondence to corporate owners of medical facilities and home offices of nursing home providers.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center 4 years after designated inactive or after resolution of all official actions, litigation, or audits involving the records. Records will be held for agency in the State Records Center 5 additional years and then destroyed.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF MEDICAL ASSISTANCE
PROGRAM INTEGRITY SECTION
THIRD PARTY RECOVERY BRANCH**

ITEM 1863. CLOSED RECIPIENT CASE FILE.

Closed Medicaid cases concerning third-party collections. File includes correspondence, accounts receivable transactions, Medicaid recipient profile, copy of checks, and other related records.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center at end of state fiscal year in which case was closed. Records will be held for agency in the State Records Center 3 additional years and then destroyed.

ITEM 6389. OPEN RECIPIENT CASE FILE.

Medicaid cases being investigated by field investigators and case analysts. File includes cases awaiting settlement.

DISPOSITION INSTRUCTIONS: Transfer to Closed Recipient Case File (Item 1863) when case is closed.

ITEM 44318. CLOSED ESTATE RECOVERY INVOICES FILE.

Records concerning invoices paid for Medicaid recipients in long term care and community alternate program. File includes estate recovery invoices, Medicaid recovery forms 5051, 5052, 5053, 5054, and other related records by county.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center at end of state fiscal year in which the case was closed. Records will be held for agency in the State Records Center 3 additional years and then destroyed.

ITEM 44319. OPEN ESTATE RECOVERY INVOICES FILE.

Estate Recovery cases being investigated by Estate Recovery Analyst. File includes invoices, recovery forms and related records awaiting possible refund from Medicaid recipient estates.

DISPOSITION INSTRUCTIONS: Transfer to Closed Recipient Case File (Item 1863) when case is closed.

ITEM 44320. CLOSED MEDICAL SUPPORT CASE FILE.

Records concerning Medicaid cases involving absent parent that owes money to Medicaid for medical services for child or children. File includes court orders, documentation of paid history, eligibility inquiry, information on absent parent, correspondence, and other related records.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after placed on set off debt list and no activity has occurred in current fiscal year. Records will be held for agency in the State Records Center 3 additional years and then destroyed.

ITEM 45288. OPEN MEDICAL SUPPORT CASE FILE.

Records concerning investigation of insurance of absent parent and payment of child/children's medical expenses. File includes Medicaid recipient profile, eligibility inquiry, correspondence, and other related records.

DISPOSITION INSTRUCTIONS: Dependent upon outcome of investigation, transfer to Closed Medical Support Case File (Item 44320) or Closed Recipient Case File (Item 1863) at end of fiscal year with no activity.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF MEDICAL ASSISTANCE
PROGRAM INTEGRITY SECTION
THIRD PARTY RECOVERY BRANCH**

ITEM 45289. CLOSED MEDICAID CREDIT BALANCE REPORTS FILE.

Records concerning Medicaid credit balance reports ensuring that providers have reimbursed money owed Medicaid by providers. File includes Medicaid credit balance reports, adjustment forms, documentation verifying that the credit has been received by Medicaid, and other related records.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center at end of state fiscal year in which the credit balances are satisfied. Records will be held for agency in the State Records Center 5 additional years and then destroyed if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 45290. PENDING MEDICAID CREDIT BALANCE REPORTS FILE.

Medicaid credit balance reports being investigated to determine if the credit has been paid back to Medicaid.

DISPOSITION INSTRUCTIONS: Transfer to Closed Medicaid Credit Balance Reports File (Item 45289) when all credits are satisfied.

ITEM 45423. MEDICAID CREDIT BALANCE DATABASE (ELECTRONIC) FILE.

Electronic records concerning providers of Medicaid credit balance. Electronic file includes provider numbers, names, addresses, amounts reported for 4 quarters and other related data. (File maintenance and backup procedures are conducted by Department of Health and Human Services, Division of Medical Assistance Local Area Network (LAN) Administrator.)

DISPOSITION INSTRUCTIONS: Erase/destroy in office when superseded or obsolete.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF MEDICAL ASSISTANCE
QUALITY ASSURANCE SECTION**

ITEM 1854. MEDICAID QUALITY CONTROL (MQC) CASE REVIEW SCHEDULES FILE.

Medicaid quality control schedules for active and negative case actions.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 2 years. Records will be held for agency in the State Records Center 4 additional years and until completion of all legal and official actions and resolution of issues involved and then destroyed.

ITEM 1855. CLAIMS PRICING FILE.

Alphabetical and numerical computer printouts of Medicaid providers and drug suppliers. File also includes schedules of fees, microfiche listings of fees charged by providers and suppliers, and updates.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 2 years. Records will be held for agency in the State Records Center 4 additional years and until completion of all legal and official actions and resolution of issues involved and then destroyed.

ITEM 6391. CLAIMS PAID ASSESSMENT SYSTEM (CPAS) FILE.

Division of Medical Assistance CPAS error claim reports, referrals, tables, summary sheets, memorandums, logs, and general correspondence used in reviewing claims.

DISPOSITION INSTRUCTIONS: Destroy in office after 4 years.

ITEM 6427. WEEKLY REPORTS FILE.

Weekly listings of negative and active case actions and status reports for negative case actions.

DISPOSITION INSTRUCTIONS: Destroy in office after 6 year(s) if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 6428. REPORTS AND TABLES FILE.

Six-month reports for negative and active actions, sampling plans, and corrective action plans. File also includes Medical Assistance Only special tables and Claims and Third Party Liability special tables.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 6429. MEDICAID QUALITY CONTROL (MQC) NEGATIVE AND ACTIVE ELIGIBILITY ASSIGNMENT SHEETS FILE.

Computer printouts of negative and active samples showing each recipient's name, account number, review number, authorization period, and other related data.

DISPOSITION INSTRUCTIONS: Destroy in office after 4 year(s) if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 6430. QUALITY ASSURANCE PAYMENT REVIEW MASTER FILE.

Microfiche records concerning claims paid by the Medicaid fiscal agent. Microfiche lists claim information for the Aid to Families with Dependent Children (AFDC) and Medical Assistance Only (MAO) recipients on which the Quality Assurance Branch has performed eligibility reviews in specified months.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 year(s) if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF MEDICAL ASSISTANCE
QUALITY ASSURANCE SECTION**

ITEM 6431. INTERAGENCY/INTERDIVISION CORRESPONDENCE FILE.

Quality Assurance correspondence sent to various sections within the division, to other divisions, and to other state and federal agencies.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 6434. MEDICAID QUALITY CONTROL (MQC) ERROR REFERRAL MEMORANDUMS FILE.

Memorandums concerning eligibility and claims errors referrals.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 6435. REVIEW DATA (ELECTRONIC) FILE.

Computer tapes and floppy disks containing active and negative review data.

DISPOSITION INSTRUCTIONS: Transfer one security copy of machine readable record (magnetic tape/disk, etc.) to an off-site location for backup storage. Agency representative will update periodically. Erase agency copies in office when administrative value ends.

ITEM 32110. HEALTH MAINTENANCE ORGANIZATION (HMO) ENROLLMENT REPORTS FILE.

Lists of individuals in the Prepared Plan Participation Program. (Lists are arranged in name order and identification number order.)

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF MEDICAL ASSISTANCE
RECIPIENT AND PROVIDER SERVICES SECTION
ADMINISTRATION**

ITEM 6437. INTRADIVISION CORRESPONDENCE FILE.

Correspondence and memorandums between the section and other Division of Medical Assistance sections.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 6438. INTERAGENCY CORRESPONDENCE FILE.

Correspondence between the section and other state government agencies.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 6439. FISCAL AGENT CORRESPONDENCE FILE.

Correspondence between the section and the fiscal agent.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF MEDICAL ASSISTANCE
RECIPIENT AND PROVIDER SERVICES SECTION
CLAIMS ANALYSIS BRANCH**

ITEM 1868. BUY-IN FILE.

Microfiche monthly reports of Medicare premiums paid for Medicaid recipients. Reports include general information on buy-in administration by fiscal agent.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

ITEM 6441. RECIPIENTS FILE.

Correspondence and logs of telephone contacts between the unit and recipients regarding claims payment issues.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

ITEM 6442. COUNTY DEPARTMENTS OF SOCIAL SERVICES (DSS) FILE.

Correspondence and logs of telephone contacts with county DSS offices regarding child abuse referrals, claims payment issues, and buy-in.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

ITEM 6443. PROVIDERS FILE.

Correspondence and logs of telephone contacts with providers regarding claims payment issues, buy-in, and overrides of billing time limit.

DISPOSITION INSTRUCTIONS: Destroy in office claims payment records and buy-in records after 1 year. Destroy in office overrides after 2 years.

ITEM 6444. STATE AUTHORIZED PAYMENTS FILE.

Forms submitted from Medicaid providers and used to authorize claim payments.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 year(s) if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 6445. FEDERAL CORRESPONDENCE FILE.

Correspondence with the Federal Medicaid Agency and the Social Security Administration regarding buy-in agreements, problems, and related matters.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 32106. ELIGIBILITY UPDATE FILE.

Correspondence and other related records used as eligibility updates to Eligibility Information Systems and the Claims Processing Contractor.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF MEDICAL ASSISTANCE
RECIPIENT AND PROVIDER SERVICES SECTION
MEDICAID ELIGIBILITY BRANCH**

ITEM 6447. RECIPIENTS FILE.

Correspondence from various sources concerning recipient eligibility. File also includes agency's responses.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year.

ITEM 6448. COUNTY DEPARTMENTS OF SOCIAL SERVICES FILE.

Correspondence and other related records received from and sent to county departments of social services regarding eligibility policies and recipients.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

ITEM 6449. REGIONAL DEPARTMENTS OF SOCIAL SERVICES (DSS) FILE.

Correspondence and other related records received from and sent to regional DSS offices and staff regarding eligibility and policies and recipients.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

ITEM 6450. FEDERAL CORRESPONDENCE FILE.

Correspondence received from and sent to the Federal Medicaid Agency regarding its administration eligibility policies.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 6451. SUBJECT (RESEARCH) FILE.

Research data and other related records used in the development of specific eligibility issues.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 6452. WELFARE PROGRAMS MANUALS FILE.

Reference copies of obsolete eligibility policy manuals (1952-1975).

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

ITEM 6453. ELIGIBILITY MANUAL (PART I) FILE.

Reference copy of obsolete eligibility manual (1975).

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

ITEM 6454. APPEAL HEARINGS FILE.

Appeal hearing decisions upholding the appellant.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF MEDICAL ASSISTANCE
RECIPIENT AND PROVIDER SERVICES SECTION
PROVIDER SERVICES BRANCH**

ITEM 6459. MEDICAL CARE ADVISORY COMMITTEE FILE.

Agendas, reference copies of minutes of meetings, correspondence with members, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 6460. MEDICAID PROVIDER CORRESPONDENCE FILE.

Correspondence with Medicaid providers and clients regarding covered services and claims payment matters.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 6462. DURABLE MEDICAL EQUIPMENT (DME) FILE.

Requests and prior approval decisions for DME.

DISPOSITION INSTRUCTIONS: Item discontinued. Destroy in office immediately.

ITEM 6463. MEDICAID PROVIDER ENROLLMENT CORRESPONDENCE FILE.

Correspondence with providers concerning enrollment procedures, qualification, and assigned number.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

ITEM 6464. MEDICAID PROVIDER AGREEMENTS FILE.

Signed agreements between Medicaid providers and the Division of Medical Assistance. File also includes electronic billing agreements.

DISPOSITION INSTRUCTIONS: Transfer to the Office of the Attorney General 2 years after termination of agreement.

ITEM 6465. BLUE CROSS FILE.

Service agreements and correspondence concerning enrollment, provider number assignment, and licensure status.

DISPOSITION INSTRUCTIONS: Item discontinued. Destroy in office immediately.

ITEM 6466. INTRA-AGENCY CORRESPONDENCE FILE.

Correspondence with other sections of the agency. File also includes guidelines for licensure and certification.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 32109. MEDICAID PROVIDER SANCTION FILE.

Correspondence from federal entities and licensing boards regarding provider terminations, suspensions, and reinstatements.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.