

## State of Nevada HCFP Division

Version Date: 2/28/2014

### **1992019 Civil Rights Review Files**

Reviewed: 03/13/2013

Description: DHCFP is designated by the Office for Civil Rights and the Centers for Medicare and Medicaid Services to conduct and report the results of tri-annual self-evaluations of provider compliance with various Civil Rights laws and regulations or undergo an on-site compliance review. These records consist of, but are not limited to: Civil Rights/Advance Directive provider certifications and associated documentation; On-site survey reports and evaluations, and; Related correspondence

Retention: Retain certification actions for a period of six (6) calendar years from the end of the calendar year to which they pertain. Retain all other records for a period of four (4) calendar years from the end of the calendar year to which they pertain.

Disposition: Destroy Securely

### **2002020 Clearance Process Files**

Reviewed: 12/16/2002

Description: This record series is used to develop, review and/or amend formal policies and regulations to the Medicaid Services Manual (MSM) by Division staff prior to adoption. The files document the planning, research of related background information and the formal Clearance Process Review meetings (called Clearance Meetings for short) done by the Division. The files may consist of, but are not limited to: Procedure memos (used to create and amend the MSM); Agendas, minutes of meetings, etc.; Copies of fiscal and budget documents; Decision document, and; Related correspondence

Retention: Retain these records for a period of six (6) calendar years from the adoption of regulations in the MSM or the decision not to proceed with adoption.

Disposition: Permanent: Transfer to State Archives

### **2013003 Electronic Health Record Technology Incentive Program Records**

Reviewed: 03/13/2013

Description: These records document the providers participating in the Electronic Health Record Technology Incentive Program (See 42 CFR 495.300 et seq.). The records may include, but are not limited to: Applications with related records; Annual and periodic reports; Monitoring and compliance documentation (See 42 CFR 495.316); Expenditure records, and; Related correspondence

Retention: Retain these records for a period of six (6) federal fiscal years from the date the final payment is disbursed to the provider.

Disposition: Destroy Securely

### **1991824 Facility Files**

Reviewed: 03/13/2013

Description: This record series consists of the files maintained by Medicaid on each health care facility. The files may contain, but are not limited to: Report of Medical/Independent Professional Review with associated documentation; Audit reports with supportive documentation; Standard Facility Census, narrative report and a list of residents reviewed; Facility information such as staffing, sub-contracts and agreements, policies and procedures, training records, and other operational-related documentation; Copies of complaints with related documentation; Related correspondence, and; Home and Community Based Waivers (NRS 442.2708 and 42 U.S.C. § 1396n)

Retention: Retain these records for a period of six (6) calendar years from the end of the calendar year in which it was received or created.

Disposition: Destroy Securely

### **2002019 Fair Hearings Files**

Reviewed: 12/16/2002

Description: This Record series documents the hearings held for applicants, recipients and/or providers concerning adverse determinations by the Division. The files may consist of, but are not limited to: Request for hearing with related supporting documents; Hearing preparation meeting documents and pre-hearing conference reports; Hearing documentation with supportive documentation; settlement agreements and related documents, and; Related

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correspondence  
Retention: Retain these records for a period of six (6) calendar years from the calendar year in which the final determination of the hearing was made.  
Disposition: Destroy Securely

### **1991254 Hearings Files: Provider Complaints**

Reviewed: 08/20/1997  
Description: This record series is used to document hearings requested by providers to protest rate schedules established by the Division. If the decision is appealed to the District Court, the case is given to the office of the Deputy Attorney General. The files may consist of, but are not limited to: Request for hearing with associated documentation; Background information; Hearing records, including exhibits and recordings of the proceedings, and; Related correspondence.  
Retention: Retain these records for a period of six (6) calendar years from the date of decision or notice of entry or renewal of judgment.  
Disposition: Destroy Securely

### **2006040 Hospital Audits**

Reviewed: 04/12/2006  
Description: These records document audit reports submitted by hospitals with 200 beds or less in accordance with NRS 439B.440 (3) and NAC 439B.250. The files may consist of, but are not limited to: Formal audit reports (from an independent auditor hired by the hospital), and; Related correspondence  
Retention: Retain these records for a period of five (5) calendar years from the date of the report.  
Disposition: Destroy Securely

### **2006041 Hospital Audits: Division Appointed Auditor**

Reviewed: 04/12/2006  
Description: These records document audits of hospitals with 200 beds or more conducted by independent auditors appointed by the Division in accordance with NRS 439B.440 (2) and NAC 439B.260. The files may consist of, but are not limited to: Formal audit reports; Scope of audit documentation (See NAC 439B.260 (1)), and; Related correspondence  
Retention: Retain these records for a period of five (5) calendar years from the date of the report. Any audit workpapers may be disposed of 30 days after the production of the formal audit report (See NAC 239.705 (2)(b)).  
Disposition: Destroy Securely

### **1989049 Hospital Contracts**

Reviewed: 08/20/1997  
Description: This record series consists of copies of contracts sent to the Division in accordance with NRS 439B.420 (10) and NAC 439B.480 & 439B.490. They are used to determine whether prohibited contracts and agreements have been made and whether a hearing should occur in accordance with NRS 439B.520. The files may consist of, but are not limited to: Copies of contracts between hospitals (and related entities) and health care practitioners with supportive documentation (See NAC 439B.470 (2)), and; Related correspondence  
Retention: Retain these records for a period of three (3) calendar years from the date of receipt.  
Disposition: Destroy Securely

### **2006042 Hospital Contracts: Hearings**

Reviewed: 04/12/2006  
Description: This record series is used to document hearings held in accordance with NRS 439B.430 to determine if a hospital has violated the laws against prohibited contracts (See NRS 439B.420). The files may contain, but are not limited to: Examination (investigation) reports; Notice of reasonable cause; Information submitted by hospitals (See NAC 439B.490); Complaint and hearing documentation; Documentation on fines and penalties, and; Related correspondence  
Retention: Retain these records for a period of three (3) calendar years from the date of decision or final action.  
Disposition: Destroy Securely

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### **2006045 Hospital Inpatient Data Form**

Reviewed: 04/12/2006

Description: This record series is used to enter information into a computer system maintained by the Center for Health Information Analysis (UNLV) in accordance with NRS 439A.082. The form contains information on inpatient admissions to acute care facilities in the state of Nevada, including, but not limited to: Patient control number (name not included); Medical ID number; Birth date, sex, marital status, address; Admission type; Admitting diagnosis, discharge status, attending physician ID, etc., and; Type of bill, payer, etc.

Retention: Retain this information for a period of ninety (90) days from date of input into the computer database.

Disposition: Destroy Securely

### **2006046 Hospital Utilization Reports**

Reviewed: 04/12/2006

Description: This record series consists of reports on the utilization of hospitals, long term health care facilities, etc. required to be sent to the Division in accordance with NRS 439B.440 (1) and NAC 439B.220 (1)(b) (See also 42 CFR 403.304 (b)(3)). The files are used to track utilization performance of these organizations. The files may consist of, but are not limited to: Original and compiled forms and reports from hospitals, and; Related correspondence

Retention: Retain these records for a period of seven (7) calendar years from the end of the calendar year to which they pertain.

Disposition: Destroy Securely

### **2011033 Medicaid Claims**

Reviewed: 10/19/2011

Description: These records document the invoices requesting reimbursement or adjustments for medical services, supplies and/or equipment under the Medicaid Program (See NRS chapter 422 and 42 U.S.C. 1396, et seq.). The record may consist of, but is not limited to: Claims with supportive documentation, Adjustment records; CMS (Centers for Medicare and Medicaid Services) forms, and; Related correspondence

Retention: Retain these records for a period of six (6) Federal Fiscal years from the end of the fiscal year to which they pertain.

Disposition: Destroy Securely

### **2012027 Medicaid Claims: Clinical Information**

Reviewed: 03/13/2013

Description: These records document clinical detail provided in support of prior authorization requests. The record may consist of, but is not limited to: Physician reports, clinical notes, progress notes; Lab and radiology reports, and; Case Narratives

Retention: Retain these records for as long as administratively useful.

Disposition: Destroy Securely

### **2006030 Medicaid Computer Reports: Current Lists**

Reviewed: 04/12/2006

Description: This record series consists of a computer reports containing information on the most current: (A) authorized vendors, authorized facilities, authorized medical procedures, authorized drugs, authorized supplies and similar information, and (B) terminology, policies & procedures, forms, products and similar information.

Retention: Retain until superseded with an updated report.

Disposition: Destroy

### **2006031 Medicaid Computer Reports: Regular Financial**

Reviewed: 04/12/2006

Description: This record series contains reports printed either on a regular basis or upon request and are used in the financial management of Medicaid programs. The files may include, but are not limited to: Claims management,

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financial status, budgeting, auditing and similar financial functions.

Retention: Retain those records which cannot be reproduced through the electronic database for a period of five (5) federal fiscal years from the end of the fiscal year to which they pertain. Records that can be reproduced through the electronic database may be discarded when no longer administratively useful.

Disposition: Destroy Securely

### **2006032 Medicaid Computer Reports: Regular Program**

Reviewed: 04/12/2006

Description: This record series contains statistical reports printed on a regular basis and used to administer and monitor the Medicaid Program. The files may include, but is not limited to, information on: applicants, recipients, vendors, providers; facilities; authorization of services (including medical procedures, housing, transportation, etc.), eligibility, caseload (recipient); claims; hearings (including appeals); investigations, and; similar types of information.

Retention: Retain those records which cannot be reproduced through the electronic database for a period of six (6) calendar years from the end of the calendar year to which they pertain. Records that can be reproduced through the electronic database may be discarded when no longer administratively useful.

Disposition: Destroy Securely

### **2006033 Medicaid Computer Reports: Statistical**

Reviewed: 04/12/2006

Description: This record series contains statistical reports printed either on a regular basis or upon request and used to administer and monitor the Medicaid Program. The statistical reports may include, but is not limited to, information on: applicants, recipients; facilities; services and types of benefits; vendors; requests for services; hearings (including complaints, responses, appeals, etc.); program activities, and; similar information.

Retention: Retain those records which cannot be reproduced through the electronic database for a period of six (6) calendar years from the end of the calendar year to which they pertain. Records that can be reproduced through the electronic database may be discarded when no longer administratively useful.

Disposition: Permanent: Transfer to State Archives

### **2006034 Medicaid Computer Reports: Temporary**

Reviewed: 04/12/2006

Description: This record series consists of periodic computer generated reports prepared for, or distributed to Nevada Medicaid Program. These reports, however, do not document the eligibility for or receipt of benefits or services, but are used to provide information that leads to the creation of official records, or are used to check, verify and correct data. The reports contain, but are not limited to, information on: applicants, recipients; vendors, providers; facilities; medical procedures, housing, transportation; claims, hearings (including appeals); investigations, and; similar types of information.

Retention: Retain for a period of thirty (30) days from the accomplishment of the action for which they were generated or from the running of a subsequent report.

Disposition: Destroy Securely

### **2003190 Medicaid Estate Recovery Records**

Reviewed: 03/13/2013

Description: These records document the process of transfer of assets and life estate recovery (See NRS 422.291 to 422.293, NRS 422.310 to 422.350, 42 U.S.C. § 404, 42 U.S.C. §1395gg and 42 U.S.C. §1396p). The records may include, but are not limited to: Correspondence to representatives/survivors regarding action against estate, including lien notices and court documents; Financial information including documentation of assets, hardship documentation, recovery amount calculations and supporting documentation, and; Related correspondence

Retention: Retain these records for a period of three (3) fiscal years from the end of the recovery process.

Disposition: Destroy Securely

### **2002014 Medicaid Nursing Facility and Waiver Files**

Reviewed: 03/13/2013

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**Description:** These records document the eligibility determination and payment for Medicaid waiver services. The files may include, but are not limited to:\* Application/intake forms/enrollment, eligibility determination documents (including notices of decision, denial, disenrollment or other status), placement requests and acknowledgements, authorizations, notification of requirements to apply for Medicare, physician statements and reviews, out of state prior authorizations, etc.; Signed recipient rights and responsibility forms, statements of understanding, election forms, personal representative agreements, personal care provider authorizations and certifications and other recipient acknowledgements, transition plans, etc.; Assessments/screenings/determinations/case narratives and reviews, contact sheets, serious occurrence reports, etc.; Provider screenings, auditing tools and reports, facility assessment documents, etc., and; Related correspondence

**Retention:** Retain these records for a period of six (6) calendar years from the receipt or creation of the records

**Disposition:** Destroy Securely

### **2008049 PERM and Other Audit Files**

**Reviewed:** 01/14/2009

**Description:** These records are used to document audits conducted under the Payment Error Rate Measurement (PERM) Project (See 33 U.S.C. § 3321 [PL 107-300], 42 U.S.C. § 1396b (z) and 42 CFR 431.970) and other federal and in-house audits. The record may contain but is not limited to: Audit reports; Workpapers and supportive documentation, and; Related correspondence

**Retention:** Retain these records for a period of three (3) federal fiscal years from the end of the audit.

**Disposition:** Destroy Securely

### **2012028 Prescription Drug Rebate Program Files**

**Reviewed:** 03/13/2013

**Description:** These records document rebates between the DHCFP and manufacturers of drugs (See 45 CFR Part 423 and 42 U.S.C. §§ 1302, 1306, 1395 w-101 through 1395w-152 and 1395hh). The record may consist of, but is not limited to: State of Nevada rebate agreements, addendums and associated documentation; Financial transaction documents including cash receipts, receipts, reports, ledgers, journal entries, reconciliation documentation, spreadsheets, etc., and; Related correspondence

**Retention:** Retain these records for a period of ten (10) fiscal years from the end of the fiscal year to which they pertain.

**Disposition:** Destroy Securely

### **2012011 Program Manuals and Plans**

**Reviewed:** 03/13/2013

**Description:** These records document manuals and plans produced to administer programs under the jurisdiction of the Centers for Medicare and Medicaid Services (CMS) (See 42 U.S.C. § 622, 42 U.S.C. § 602, 42 U.S.C. § 1397aa, etc.). The record may consist of, but is not limited to: Nevada Medicaid Services Manual; Nevada Medicaid Operations Manual; Nevada Check-Up Manual; Nevada Title 21 State Plan (Nevada Check-Up); State Plan including amendments, and; Related correspondence

**Retention:** Retain these records for a period of five (5) calendar years from the date the manual or plan is superseded by a newer one.

**Disposition:** Permanent: Transfer to State Archives

### **2002162 Provider Files**

**Reviewed:** 04/30/2003

**Description:** This record series documents the enrollment of providers of services and/or supplies & equipment within the State Medicaid Plan as required by 42 USC s. 1396a (27) and 42 CFR 431.107 (b). The files may contain, but are not limited to: Enrollment records/contracts, change /re-enrollment/termination correspondence, disclosure statements; Evaluation/census/review forms and associated documents, occupancy/admit/discharge reports, Preadmission Screening and Resident Review, Level of Care and Consultant Activity Forms, facility review documentation, plans of correction, penalty assessments, etc.; Compliance certification forms (false claims act), overpayment reports/payment suspension notifications; Supportive documentation, including Social Security cards, federal tax ID forms, medical and business licenses, DEA registration, etc.; Training materials including training sign-in sheets, and; Related correspondence

**Retention:** Retain this record series for six (6) calendar years from the end of the calendar year in which the file was closed [provider does not renew agreement, provider is suspended or revoked, etc.].

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Disposition: Destroy Securely

### **1991772 Provider Tax**

Reviewed: 12/06/2012

Description: This record series consists of the documentation of assessment and collection of a tax on in-patient skilled nursing facility services and supplies.

Retention: Retain these records for a period of three (3) federal fiscal years from the end of the fiscal year to which they pertain.

Disposition: Destroy Securely

### **2006048 Rate Development Records**

Reviewed: 03/13/2013

Description: These records document the development of the rate schedules for services, procedures, supplies, etc. for hospitals, long term care facilities and other health care providers developed by the Division in accordance with the State Medicaid Plan and federal law (See NRS chapters 439A & 439 B and 42 CFR 403.304 (b)(3)). The most current rate schedules are available on the Division's webpage. The records include, but are not limited to: Quarterly and annual financial reports (See NRS 439B.440 (1) and NAC 439B.220 to 439B.240); Statement of substantial changes; Medicare Cost Reports; Rate Schedules and; Hospital financial data.

Retention: Retain these records for a period of five (5) calendar years from the end of the calendar year to which they pertain.

Disposition: Destroy Securely

### **2006037 SURS (Surveillance and Utilization Review) Case Files**

Reviewed: 04/12/2006

Description: This record series is used in the investigation of providers of Medicaid services and/or supplies as required by 42 U.S.C. § 1396a (30) & (64), 42 CFR 455.1 to 455.22 and 42 CFR 456.2 & 456.3 as well as the State Medicaid Plan and NRS 422.2366. The files may consist of, but are not limited to: (a) letters of complaint, referrals, investigator reports, determination memorandum, related correspondence and; (b) copies of claims, copies of computer print outs, copies of medical records, copies of provider files, copies of administrative hearing documents, etc.

Retention: Retain the records described under (a) in the description for seven (7) calendar years from the end of the calendar year in which the case was closed. Records described under (b) in the description may be purged from the file upon completion of the review.

Disposition: Destroy Securely

### **2002159 SURS Conflicting Procedures Edit (CPE)**

Reviewed: 02/19/2003

Description: This record series consists of an online weekly generated edit process designed to assist SURS (Surveillance and Utilization Review) in detecting incompatible claims that may indicate fraud, overpayment or other types of mistakes. The report is audited by SURS as a post-payment review. The report includes all areas of Medicaid assistance. A claim will bump if a conflict exists. The records may include, but are not limited to: Conflicting Procedure Edits reports and related fiscal documents.

Retention: Retain these records for a period of four (4) calendar years from the end of the calendar year to which they pertain.

Disposition: Destroy Securely

### **1991778 Travel Authorization and Invoice**

Reviewed: 12/06/2012

Description: This record series consists of travel authorization and invoice. Transportation services include non-emergency travel, both in and out-of-state. Authorization may include, but is not limited to: Patient information; Transportation details; Referring physician information; Travel Reimbursement documentation, and; Remarks.

Retention: Retain these records for a period of three (3) federal fiscal years from end of the year to which they pertain.

Disposition: Destroy Securely