

# State of Nevada HCFP Division

Version Date: 10/10/2018

Department ID /HHS/5512/551204/

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

Description: Division of Health Care Financing and Policy is designated by the Office for Civil Rights and the Centers for Medicare and Medicaid Services to conduct 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 surveys and associated documentation.

Minimum

Retention: Retain the two most recent surveys for six (6) calendar years from the end of the calendar year in which the survey was completed.

Disposition: Destroy Securely

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

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.

Minimum

Retention: Retain for six (6) federal fiscal years from the end of the federal fiscal year in which the final payment is disbursed to the provider.

Disposition: Destroy Securely

## **1991824 Facility Files**

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, complaints, and Home and Community Based Waivers (NRS 442.2708 and 42 U.S.C. § 1396n), related documentation and correspondence.

Minimum

Retention: Retain for six (6) calendar years from the end of the calendar year in which the file was received or created.

Disposition: Destroy Securely

## **2002019 Fair Hearings Files**

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, hearing preparation meeting documents and pre-hearing conference reports; hearing documentation, settlement agreements, and related correspondence.

Minimum

Retention: Retain for six (6) calendar years from the end of the calendar year in which the final determination of the hearing was made.

Disposition: Destroy Securely

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

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 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.

Minimum

Retention: Retain for six (6) calendar years from end of the calendar year in which the decision, notice of entry, or renewal of judgment was made.

Disposition: Destroy Securely

## **2006040 Hospital Audits**

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, and related correspondence

Minimum

Retention: Retain for five (5) calendar years from the end of the calendar year in which the report was submitted.

Disposition: Destroy Securely

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

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.

Minimum

Retention: Retain for five (5) fiscal years from the end of the fiscal year in which the report was dated.

Disposition: Destroy Securely

## **2006042 Hospital Contracts: Hearings**

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.

Minimum

Retention: Retain for three (3) calendar years from the end of the calendar year in which the decision or final action was made.

Disposition: Destroy Securely

## **2006045 Hospital Inpatient Data Form**

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, and type of bill, payer.

Minimum

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

Disposition: Destroy Securely

## **2006046 Hospital Utilization Reports**

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

Minimum

Retention: Retain for seven (7) calendar years from the end of the calendar year in which the report was finalized.

Disposition: Destroy Securely

## **2011033 Medicaid Claims**

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.

Minimum

Retention: Retain for six (6) federal fiscal years from the end of the federal fiscal year in which the reimbursement was completed.

Disposition: Destroy Securely

## **2003190 Medicaid Estate Recovery Records**

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

Minimum

Retention: Retain for three (3) fiscal years from the end of the fiscal year in which the recovery was completed.

Disposition: Destroy Securely

**2002014 Medicaid Nursing Facility and Waiver Files**

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, dis-enrollment or other status), placement requests and acknowledgments, authorizations, notification of requirements to apply for Medicare, physician statements and reviews, out of state prior authorizations, signed recipient rights and responsibility forms, statements of understanding, election forms, personal representative agreements, personal care provider authorizations and certifications and other recipient acknowledgments, transition plans, assessments/screenings/determinations/case narratives and reviews, contact sheets, serious occurrence reports, provider screenings, auditing tools and reports, facility assessment documents, and related correspondence

Minimum

Retention: Retain for six (6) calendar years from the end of the calendar year in which the wavier was finalized.

Disposition: Destroy Securely

**2006031 Medicaid Reports: Regular Financial**

Description: This record series contains reports that are used in the financial management of Medicaid programs. The files may include, but are not limited to: claims management, financial status, budgeting, auditing, and similar financial functions.

Minimum

Retention: Retain for five (5) federal fiscal years from the end of the federal fiscal year in which the budget closed.

Disposition: Destroy Securely

**2006032 Medicaid Reports: Regular Program**

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

Minimum

Retention: Retain for six (6) calendar years from the end of the calendar year in which the report was finalized.

Disposition: Destroy Securely

**2006033 Medicaid Reports: Statistical**

Description: This record series contains statistical reports 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), program activities, and similar information.

Minimum

Retention: Retain for six (6) calendar years from the end of the calendar year in which the report was finalized.

Disposition: Permanent: Transfer to State Archives

**1991778 Patient Travel Authorization and Invoice**

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.

Minimum

Retention: Retain for three (3) federal fiscal years from end of the federal fiscal year in which invoice was paid.

Disposition: Destroy Securely

**2008049 Payment Error Rate Measurement (PERM) Files**

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).The record may contain but is not limited to: audit reports, work papers and supportive documentation, and related correspondence.

Minimum

Retention: Retain for ten (10) federal fiscal years from the end of the audit.

Disposition: Destroy Securely

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

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, and related correspondence.

Minimum

Retention: Retain for ten (10) fiscal years from the end of the fiscal year in which the rebate was completed.

Disposition: Destroy Securely

## **2012011 Program Manuals and Plans**

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, 42 CFR § 447.205) (NRS 422.2369). 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.

Minimum

Retention: Retain for five (5) calendar years from the end of the calendar year in which the manual or plan is superseded.

Disposition: Permanent: Transfer to State Archives

## **2002162 Provider Files**

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, pre-admission screening and resident review, Level of Care and Consultant Activity Forms, facility review documentation plans of correction, penalty assessments, 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, training materials including training sign-in sheets, and related correspondence.

Minimum

Retention: Retain for six (6) calendar years from the end of the calendar year in which the file was closed.

Disposition: Destroy Securely

## **1991772 Provider Tax**

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

Minimum

Retention: Retain for three (3) federal fiscal years from the end of the federal fiscal year in which the tax was paid.

## **2006048 Rate Development Records**

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 web page. 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.

Minimum

Retention: Retain for five (5) calendar years from the end of the calendar year in which the rate schedule was finalized.

Disposition: Destroy Securely

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

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) and (64), 42 CFR 455.1 to 455.22 and 42 CFR 456.2 and 456.3 as well as the State Medicaid Plan and NRS 422.2366. The files may consist of, but are not limited to: letters of complaint, referrals, investigator reports, determination memorandum, and related correspondence.

Minimum

Retention: Retain for seven (7) calendar years from the end of the calendar year in which the case was closed.

Disposition: Destroy Securely

### **2002159 Surveillance and Utilization Review (SUR) Conflicting Procedures Edit (CPE)**

Description: This record series consists of an online weekly generated edit process designed to assist Surveillance and Utilization Review (SUR) in detecting incompatible claims that may indicate fraud, overpayment or other types of mistakes. The report is audited by SUR 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.

Minimum

Retention: Retain for four (4) calendar years from the end of the calendar year in which the report was finalized.

Disposition: Destroy Securely

### **1989049 Third Party Contracts: Review**

Description: This record series consists of contracts sent to the Division in accordance with NRS 439B.420 (10) and NAC 439B.480 & 439B.490. They are reviewed by the Division to determine whether prohibited contracts and agreements have been made and whether a hearing should occur. The files may consist of but are not limited to: contracts between hospitals (and related entities) and health care practitioners with supportive documentation (See NAC 439B.470 (2)), and related correspondence.

Minimum

Retention: Retain for three (3) calendar years from the end of the calendar year in which the final determination was made.

Disposition: Destroy Securely