Archiving File Types and How to Categorize them for Archiving or Off Site Storage 6-2013

Archiving File Types and How to Categorize for Archiving or Off Site Storage

Definitions

Archive – closed providers ONLY includes the provider file and any additional files related to the provider can be Voluntary or Involuntary closures with Auxiliary files such as reports and investigations or site reviews and BCU Variances along with CPR Waivers

Off Site Storage – Open Volumes for ACTIVE providers include the previous certification period and any additional materials but NOT the materials that are kept ON SITE for the current certification period. There are no auxiliary files for OPEN Volumes.

Open Providers - Provider Certification Previous Volumes - Currently Certified 001.1

Current Active Providers have 1 certification period stored on site (the current Certification period) the remainder of paperwork from previous certification periods is stored in *Off Site Storage* and is entered under *Provider Certification Previous Volumes – Currently Certified 001.1* by their ACTIVE provider numbers. IF the agency has had a change of numbers due to ownership or business changes or a lapse in Certification enter under the OPEN number or the Number on the file. There are exceptions made on a case by case basis, based on the provider i.e. if the business is sold to a new owner but keeps the name of the business the same, then the old materials are archived under the CLOSED provider number while the new owner would have their materials eventually sent off site under the NEW provider number.

Off Site Storage of Non-Core-Certification Files

Audits

APS Audits, RAC, M&S etc

Open Audits

- Open Volumes
- Voluntary Closure Auxiliary files
- Involuntary Closure Auxiliary files

Inclusive Date

- Audit Completion date for Open providers
- Provider end date for all closed files

Notes

- APS Healthcare Audit Final Report date xx/xx/xxxx
- M&S Audit Final Report date xx/xx/xxxx

BCU Variances

Name

- Provider Name
- Closest city on application for multi-site agencies
- Provider number if available

Dates

Barrier end date

Archiving File Types and How to Categorize them for Archiving or Off Site Storage 6-2013

Variance end date

Notes

- Entered under one provider or many providers
- Note if there is more than one provider that the individual is working for
- More than one variance or a continuance

CPR Waivers

Name

• Provider Name/Location of Main Office (Anchorage, Juneau, Fairbanks etc)/Number

Inclusive Date

Grouped together by fiscal year

Closed Provider Files

Criteria for Involuntary Closed files - Must be approved for entry and transfer by manager

- Sanctions
- Negative actions

Criteria for Voluntary Closure

- Give up ALH License
- Notify SDS of closure
- Notify SDS not recertifying
- Do not recertify but do not notify SDS

Investigation or Abandoned Provider Records Archived as Auxiliary Files

Name

Provider Name & Number

Inclusive Date

- Latest date found in file
- Flag page the date is found on

Open

Send Off-Site as Open Volume

Closed

- Voluntary Auxiliary file
- Involuntary must be approved by manager

Labels

Provider Name	Provider Numbers
APS Healthcare Audit	Date from NEWEST letter

Provider Name	Provider Numbers
BCU Variance	Variance End Date

Provider Name	Provider Numbers
CPR Waivers	Date

Provider Name Provider Numbers

Archiving File Types and How to Categorize them for Archiving or Off Site Storage 6-2013 City

Date

Each folder may have other labels on the second line such as Sanction Actions, Investigation, Client Name (for abandoned files). Each file will have a second label indicating the retention schedule it is filed under.

Each folder will have on the body of the folder a sticker indicating retention schedule the file is to be entered under. ALL the files in a box MUST be the same!

Provider Certification Previous Volumes Currently Certified 001.1

Voluntary Closure

001.2 - Provider Certification

Steps of Conversion

Hard Files

Check status open or closed, if closed determine voluntary or involuntary & set aside
Place completion or newest letter on top of pile for first 2 sections of multi file and stack on left side of soft file folder, take section 3 and pile it on section 4. If file is oversize break into 2 folders distributing documents as needed and labeling identically to first folder

Conversion for Re-Certifications

Closed Files

Voluntary Closure - 001.2 – Provider Certification (Voluntary Closure)

The business has decided to close or the provider has decided to no longer serve Medicaid clients. This should be the main certification file and any historic file documentation. If it is found at time of closure and archive entry this may include investigations, complaints, site reviews etc.

Certified But Never Enrolled (HCX-NE etc.)

These are certified providers who completed the process of certification but did NOT enroll with First Health, ACS or Xerox for some reason and are thus classified as *Provider Certification – Closed 001.2*

001.3 – Provider Certification (Auxiliary Files – Voluntary Closure) Audits, Reviews, Complaints, Corrective Action Files, Additional materials found after archive of main folder (not part of main provider folder)

Archiving File Types and How to Categorize them for Archiving or Off Site Storage 6-2013 **Involuntary Closure**

001.4 - Provider Certification Closed (Involuntary Closure)

Certified providers who are under sanctions or have had other negative actions by the state forcing the closure of the provider i.e. ALH License is revoked

001.5 – Provider Certification Closed (Auxiliary Files – Involuntary Closure)

Audits, Reviews, Complaints, Corrective Action Files, Additional materials found after archive of main folder (not part of main provider folder)

DO NOT ARCHIVE

Actions such as lawsuits and sanctions are still pending. These files will not go off site until all actions have resolved. They will reside in the bottom drawer of the hall file cabinet or a manager's office. There needs to be a File Location note in DS3.

DS3 Notes for Archiving:

Open Provider CertificationPrevious Volume Files (Cert History; Complaints; Audits; any auxiliary)
Ds3 notes: "Box Number" "Barcode" describe cert file or complaint file; site review; etc.
Sharepoint notes: Describe cert file or complaint file; QA review; etc. and start end dates
Closed Provider Certification – Voluntary 7 Year
Ds3 notes: "Box Number" "Barcode" describe cert file or complaint file; site review; etc.
Sharepoint notes: Describe cert file or complaint file; QA review; etc. and start/end dates
Closed Provider Certification – Involuntary 10 Year
Ds3 notes: "Box Number" "Barcode" describe cert file or complaint file; site review; etc.
Sharepoint notes: Describe cert file or complaint file; QA review; etc. and start/end dates
Note: the easiest way to do the DS3 notes is by running a report from SharePoint, exporting to Excel and sorting it by provider then copying the data from Excel to DS3.

Voluntary & Involuntary Closure Archive Procedure 6-2013

- 1. Check DS3 by the provider number
- 2. Red numbers on the Main page indicate closed

Archiving File Types and How to Categorize them for Archiving or Off Site Storage 6-2013

- 3. Click a provider number to go to the Medicaid status page to find out what the closure status is set to
- 4. If it is Voluntary closure enter in SharePoint under 001.2 Voluntary Closure
- 5. If it is INVOLUNTARY Closure then set aside for later processing
- 6. Individual Care Coordinators (CM) are found under Individual Provider not Agency but may share the same box with agency files.

CPR Waivers

- 1. Separate each provider by fiscal year July 1 thru June 30
- 2. Look up each provider and record PCG number from DS3. Multi-site agencies should use a main office such as Anchorage, Fairbanks or Juneau etc. (Note) July 1, 2013 a new form is in use which will list the provider number and thus waivers can be separated by location in future archiving batches.
- 3. Use the END of the Fiscal year for the Inclusive date on the label.
- 4. Label format is as above under Labels