**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
* 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

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)

**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 Certification---Previous 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
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