

Retention and Classification Report

Agency: Department of Health. Division of Medicaid and Health Financing. Bureau of Financial Services (411)
288 North 1460 West
P.O. Box 143101
Salt Lake City, UT 84114-3101

Records Officer: _____

27799	*Audit unit correspondence letters
82064	*Car mileage reports
00614	*Claim processing review schedule pending, reviews, errors fi
12380	*Claims Processing Assessment System annual procedure, plans,
80578	*Claims processing assessment system audit files
81536	*Correspondence file
27959	*Federally Qualified Health Centers cost settlements
29702	Financial Services accounts payable and receivable records
81540	*Interdepartment transfer requests
81541	Inventory lists
81544	*Medicaid Management Information System user manuals
82061	*Medicaid and Utah medical assistance program report
82063	*Payroll information report
82065	*Personnel files
81543	*Purchase requisitions
82060	*Recruitment files
00621	*Sample purge from review tracking history fiche
00611	*Statistical information, strata information, data sheet, and
00620	*Strata review competition time fiche
81542	*Training records
81539	*Travel reimbursement requests

AGENCY: Department of Health. Division of Medicaid and Health Financing. Bureau of Financial Services

SERIES: 27799

3

TITLE: Audit unit correspondence letters

DATES: 2000-2014.

ARRANGEMENT: Chronological.

DESCRIPTION:

Business-related correspondence that is routine or transitory in nature and does not offer unique information about agency functions or programs. These records include acknowledgment files and most day-to-day office and housekeeping correspondence. These records may originate on paper, electronic mail, or other media. This correspondence is filed separately from program and project case files.

RETENTION:

Retain for 7 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Local government routine administrative correspondence, GRS-1760.

AUTHORIZED: 07-12-2018

FORMAT MANAGEMENT:

Paper: For records beginning in 2000 through 2009. Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 6 years and then destroy.

Computer data files: For records beginning in 2010 and continuing to the present. Retain in Office for 3 years and then delete.

APPRAISAL:

These records have administrative, fiscal, and/or legal value(s).

AGENCY: Department of Health. Division of Medicaid and Health Financing. Bureau of Financial Services
SERIES: 27799
TITLE: Audit unit correspondence letters

(continued)

PRIMARY DESIGNATION:

Public

AGENCY: Department of Health. Division of Medicaid and Health Financing. Bureau of Financial Services

SERIES: 82064

3

TITLE: Car mileage reports

DATES: 1985-2014.

ARRANGEMENT: Chronological

DESCRIPTION:

This is a report of mileage use on state motor pool cars prepared so that the motor pool can bill Health Care Finance Division. Since the department moved to the new building, this report is no longer being prepared. The information includes the report month, the date the vehicle was used, the miles driven, the destination, and the activity number to be charged.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 06/1987

FORMAT MANAGEMENT:

Paper: Retain in Office for 3 years after submission of annual or final expenditure report and then destroy.

APPRAISAL:

These records have administrative, and/or fiscal value(s).
This record is subject to federal audit and the retention is set by 45 CFR Subpart D.

AGENCY: Department of Health. Division of Medicaid and Health Financing. Bureau of Financial Services

SERIES: 614

3

TITLE: Claim processing review schedule pending, reviews, errors fiche

DATES: 1989-2014.

ARRANGEMENT: Numerical by claim number.

DESCRIPTION:

This is a record used to verify programs and claim audits by the federal government. Includes sample lists, data sheets, claims processing review schedule reports, audit programs, and samples of computer screens. These lists and data sheets contain medical payment codes, sex, age, date of birth, social security number, signature, telephone number, and name. This fiche is produced weekly.

RETENTION:

Retain for 9 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 03/1990

FORMAT MANAGEMENT:

Computer output microfiche master: Retain in State Records Center for 9 years and then destroy.

Computer output microfiche duplicate: Retain in Office for 9 years and then destroy.

APPRAISAL:

These records have administrative, and/or fiscal value(s).

This record is governed by CFR 42-434-6 which states that this record is to be kept for a period of 6 years for auditing purposes. The agency has requested to keep this record for a period of 9 years.

AGENCY: Department of Health. Division of Medicaid and Health Financing. Bureau of Financial Services
SERIES: 614
TITLE: Claim processing review schedule pending, reviews, errors fiche

(continued)

PRIMARY DESIGNATION:

Private

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 11/2019.

AGENCY: Department of Health. Division of Medicaid and Health Financing. Bureau of Financial Services

SERIES: 12380 3

TITLE: Claims Processing Assessment System annual procedure, plans, and monthly progress reports

DATES: 1986-2014.

ARRANGEMENT: Chronological

DESCRIPTION:

Policies and procedures that govern the operation and administration of various programs within the organization.

RETENTION:

Permanent. Retain for 1 year(s)

DISPOSITION:

Transfer to Archives.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Program and policy development records, GRS-1717.

AUTHORIZED: 02-26-2020

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year and then microfilm and destroy provided microfilm has passed inspection.

Microfilm master: Retain in State Archives permanently with authority to weed.

Microfilm duplicate: Retain in Office until administrative need ends and then destroy.

APPRAISAL:

These records have fiscal, and/or historical value(s).

This disposition is based on the historical operational procedures of the agency. Information documents procedures of the system.

AGENCY: Department of Health. Division of Medicaid and Health Financing. Bureau of Financial Services
SERIES: 12380
TITLE: Claims Processing Assessment System annual procedure, plans, and monthly progress reports

(continued)

PRIMARY DESIGNATION:

Private

AGENCY: Department of Health. Division of Medicaid and Health Financing. Bureau of Financial Services

SERIES: 80578

3

TITLE: Claims processing assessment system audit files

DATES: 1985-2014.

ARRANGEMENT: Alphanumerical by month, thereunder numerical by case number

DESCRIPTION:

This is a file of claims randomly selected by the computer for this CPAS audit which is a federal mandated state audit. This audit is required of HCF to perform 600 inquiries per fiscal year. This audit samples files from UB-82 claims, LTC claims, HCFA 1500 claims, Dental claims, EPSDT claims, and Pharmacy claims. This file includes the claims processing review schedule with unit number, recipient ID number, service date, local code, recipient name, vendor billing, original claim history inquire, provider master record, and client data sheet.

RETENTION:

Retain for 3 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 12/1989

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 2 years and then destroy.

Microfilm master: Retain in State Records Center for 3 years or until audit and then destroy.

Microfilm duplicate: Retain in Office for 2 years or until audit and then destroy.

Microfiche master: Retain in Office until administrative needs ends and then destroy.

AGENCY: Department of Health. Division of Medicaid and Health Financing. Bureau of Financial Services
SERIES: 80578
TITLE: Claims processing assessment system audit files

(continued)

APPRAISAL:

These records have administrative, and/or fiscal value(s).
This audit file is governed by 42 CFR 431.800 which sets up a quality control section to verify claims paid by state agencies with medicaid money . This retention is recommended by 45 CFR 205.145. This record series was approved in Febuary 1988 and now the agency is requesting to microfilm this record and has requested these Retention changes to be made to this record series.

PRIMARY DESIGNATION:

Private

SECONDARY DESIGNATION(S):

Protected. 63G-2-305(11) (2008)

AGENCY: Department of Health. Division of Medicaid and Health Financing. Bureau of Financial Services

SERIES: 81536

3

TITLE: Correspondence file

DATES: 1980-2014.

ARRANGEMENT: Alphanumerical by unit

DESCRIPTION:

This is a file of all the correspondence generated by the bureau. It includes correspondence and internal memoranda to other bureaus and divisions in the department, to department management, to other state agencies, to the general public, and to federal agencies.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 06/1987

FORMAT MANAGEMENT:

Paper: Retain in Office for 90 days or until no longer needed and then destroy.

Paper: Retain in Office for 2 years or until no longer needed and then destroy.

Paper: Retain in Office for 2 years and then transfer to State Records Center. Retain in State Records Center for 1 year and then transfer to State Archives with authority to weed.

APPRAISAL:

These records have administrative, and/or historical value(s). Records not duplicated elsewhere that document the organization and function of the bureau and show its policies, achievements, and activities are of long-term value and should be retained. However, correspondence dealing with routine day-to-day matters should be weeded out when no longer needed: Letters of transmittal that do not add any information to that in the transmitted material; quasi-official notices e.g. of holidays or charity and welfare fund appeals; records relating to office org, staffing, procedures, and communications; day-to-day administration of personnel; supplies, services and equipment requests.

AGENCY: Department of Health. Division of Medicaid and Health Financing. Bureau of Financial Services
SERIES: 81536
TITLE: Correspondence file

(continued)

PRIMARY DESIGNATION:

Private

AGENCY: Department of Health. Division of Medicaid and Health Financing. Bureau of Financial Services

SERIES: 27959

1

TITLE: Federally Qualified Health Centers cost settlements

DATES: 2004-2014.

ARRANGEMENT: Alphabetical by health center name thereunder chronological

DESCRIPTION:

These are audit work papers used to calculate annual cost settlements. Documents include correspondence, financial statements, claims, worksheets, etc.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is proposed and has not yet been approved.

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year after case file closes and then transfer to State Records Center. Retain in State Records Center for 10 years and then destroy provided no litigation is pending.

APPRAISAL:

These records have fiscal, and/or legal value(s).

PRIMARY DESIGNATION:

Private 63G-2-302(1)(b)

AGENCY: Department of Health. Division of Medicaid and Health Financing. Bureau of Financial Services

SERIES: 29702

3

TITLE: Financial Services accounts payable and receivable records

DATES: 1985-

ARRANGEMENT: Numeric by batch number thereunder chronological by billing quarter.

DESCRIPTION:

Collection of monies billed, paid, and reconciled for the Division of Medicaid and Health Financing. They are used to refer back to payments made, date checks were mailed and where they are posted in the State's accounting system. Contains invoice and posting information for accounting payment system, copies of checks with account numbers and any other pertinent information needed to reconcile payments made and refunds issued.

RETENTION:

Retain for 7 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule State government accounts payable and receivable records, GRS-1854.

AUTHORIZED: 02-11-2019

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 6 years and then destroy.

Computer data files: Retain in Office for 7 years and then delete.

APPRAISAL:

These records have administrative, and/or fiscal value(s).

AGENCY: Department of Health. Division of Medicaid and Health Financing. Bureau of Financial Services
SERIES: 29702
TITLE: Financial Services accounts payable and receivable records

(continued)

PRIMARY DESIGNATION:
Protected Utah Code 63G-2-305 (2018).

AGENCY: Department of Health. Division of Medicaid and Health Financing. Bureau of Financial Services

SERIES: 81540

3

TITLE: Interdepartment transfer requests

DATES: 1985-2014.

ARRANGEMENT: numerical by request number

DESCRIPTION:

This is a request to the Division of Finance to transfer funds from one agency's account to another agency's account in payment of supplies or services rendered.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 06/1987

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year or until audited and then transfer to State Records Center. Retain in State Records Center for 2 years and then destroy.

APPRAISAL:

These records have administrative, and/or fiscal value(s). Although General Retention Schedule 6 Item 5 calls for a one year retention, this form is subject to internal audit and should be retained three years.

AGENCY: Department of Health. Division of Medicaid and Health Financing. Bureau of Financial Services

SERIES: 81541

3

TITLE: Inventory lists

DATES: 1983-

ARRANGEMENT: Alphabetical by bureau

DESCRIPTION:

This is a record of the capital equipment in the division.

RETENTION:

Retain for 2 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 06/1987

FORMAT MANAGEMENT:

Paper: Retain in Office for 2 years and then destroy.

APPRAISAL:

These records have administrative, and/or fiscal value(s).

Based on General Retention Schedule 3 Item 10.

AGENCY: Department of Health. Division of Medicaid and Health Financing. Bureau of Financial Services

SERIES: 82061

3

TITLE: Medicaid and Utah medical assistance program report

DATES: 1965-2014.

ARRANGEMENT: Chronological

DESCRIPTION:

This is an annual report published by the medical assistance programs administered by the Health Department. It includes narrative descriptions and statistical tables on funding, eligibility, trends, medical services, and administration.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 06/1987

FORMAT MANAGEMENT:

Paper: Retain in Office until administrative need ends and then transfer to State Archives with authority to weed.

Microfiche master: Retain in State Archives permanently with authority to weed.

Microfiche duplicate: Retain in State Archives permanently with authority to weed.

APPRAISAL:

These records have administrative, and/or historical value(s). This report documents the activities of the division and as such has long-term value. Duplicate copies of the report are prepared for distribution. These should be kept as long as there is a need for them.

PRIMARY DESIGNATION:

Public

AGENCY: Department of Health. Division of Medicaid and Health Financing. Bureau of Financial Services

SERIES: 81544

3

TITLE: Medicaid Management Information System user manuals

DATES: 1983-2014.

ARRANGEMENT: Alphabetical by subject

DESCRIPTION:

These are manuals for users of the MMIS automated data system. It is used as a reference book and to instruct employees on how to use the data system. This includes computer codes, description of reports, purpose of reports, and definition of terms used by the system.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 06/1987

FORMAT MANAGEMENT:

Paper: Retain in Office until updated or obsolete and then destroy.

APPRAISAL:

These records have administrative value(s).

The record copy of this manual is kept in the Bureau of EDP.

AGENCY: Department of Health. Division of Medicaid and Health Financing. Bureau of Financial Services

SERIES: 82063

3

TITLE: Payroll information report

DATES: 1983-2014.

ARRANGEMENT: Chronological

DESCRIPTION:

This file is used to transmit payroll information to the payroll clerk and to personnel. The information includes the employee's name, social security number, grade and step, pay rate, leave without pay hours, and on call hours worked.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 06/1987

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 2 years and then destroy.

APPRAISAL:

These records have administrative, and/or fiscal value(s).

This record is subject to audit by the department and may also be used for FLSA purposes.

PRIMARY DESIGNATION:

Public

AGENCY: Department of Health. Division of Medicaid and Health Financing. Bureau of Financial Services

SERIES: 82065

3

TITLE: Personnel files

DATES: 1963-2014.

ARRANGEMENT: alphabetical by name

DESCRIPTION:

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 06/1987

FORMAT MANAGEMENT:

Paper: Retain in Office until employee terminates state employment or until he transfers to another agency and then transfer to Bureau of Personnel.

APPRAISAL:

These records have administrative value(s).

This retention is based both on General Retention Schedule 1 Item 1 and on the department's internal procedures.

PRIMARY DESIGNATION:

Private

AGENCY: Department of Health. Division of Medicaid and Health Financing. Bureau of Financial Services

SERIES: 81543

3

TITLE: Purchase requisitions

DATES: 1985-2014.

ARRANGEMENT: Numerical by purchase order number

DESCRIPTION:

These are records of requests by the bureaus in the division to purchase needed supplies or equipment.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 06/1987

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 2 years and then destroy.

APPRAISAL:

These records have administrative, and/or fiscal value(s).
This record may be subject to internal audit and should be kept for the entire audit period.

PRIMARY DESIGNATION:

Public

AGENCY: Department of Health. Division of Medicaid and Health Financing. Bureau of Financial Services

SERIES: 82060

3

TITLE: Recruitment files

DATES: 1985-2014.

ARRANGEMENT: none

DESCRIPTION:

These are the records created in the recruitment of employees by the division. The files include position descriptions, register of applicants, job announcement, list of eligibles, notification of interview results, and questions asked during the interviews.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 06/1987

FORMAT MANAGEMENT:

Paper: Retain in Office for 2 years and then destroy.

APPRAISAL:

These records have administrative value(s).

Retention based on the limitation of actions for filing an EEO complaint. See 29 CFR 1602.21.

PRIMARY DESIGNATION:

Private

AGENCY: Department of Health. Division of Medicaid and Health Financing. Bureau of Financial Services

SERIES: 621

3

TITLE: Sample purge from review tracking history fiche

DATES: 1989-2014.

ARRANGEMENT: Numerical by claim number.

DESCRIPTION:

This is a record used to verify programs and claim audits by the federal government. Includes sample lists, data sheets, claims processing review schedule reports, audit programs, and samples of computer screens. These lists and data sheets contain medical payment codes, sex, age, date of birth, social security number, signature, telephone number, and name. This fiche is run annually.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 03/1990

FORMAT MANAGEMENT:

Computer output microfiche master: Retain in State Records Center for 9 years and then destroy.

Computer output microfiche duplicate: Retain in Office for 9 years and then destroy.

APPRAISAL:

These records have administrative, and/or fiscal value(s).

This record is governed by CFR 42-434-6 which states that this record is to be kept for a period of 6 years for auditing purposes. The agency has requested to keep this record for a period of 9 years.

PRIMARY DESIGNATION:

Private

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 07/2017.

AGENCY: Department of Health. Division of Medicaid and Health Financing. Bureau of Financial Services

SERIES: 611 3

TITLE: Statistical information, strata information, data sheet, and claims processing review schedule report fiche

DATES: 1989-2014.

ARRANGEMENT: Numerical by claim number.

DESCRIPTION:

This is a record used to verify programs and claim audits by the federal government. Includes sample lists, data sheets, claims processing review schedule reports, audit programs, and samples of computer screens. These lists and data sheets contain medical payment codes, sex, age, date of birth, social security number, signature, telephone number, and name. This fiche is produced monthly.

RETENTION:

Retain for 9 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 03/1990

FORMAT MANAGEMENT:

Computer output microfiche master: Retain in Office for 9 years and then destroy.

Computer output microfiche duplicate: Retain in Office for 9 years and then destroy.

APPRAISAL:

These records have administrative, and/or fiscal value(s).
This record is governed by CFR 42-434-6 which states that this record is to be kept for a period of 6 years for auditing purposes. The agency has requested to keep this record for a period of 9 years.

AGENCY: Department of Health. Division of Medicaid and Health Financing. Bureau of Financial Services

SERIES: 611

TITLE: Statistical information, strata information, data sheet, and claims processing review schedule report fiche

(continued)

PRIMARY DESIGNATION:

Private

SECONDARY DESIGNATION(S):

Protected

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 11/2019.

AGENCY: Department of Health. Division of Medicaid and Health Financing. Bureau of Financial Services

SERIES: 620

3

TITLE: Strata review competition time fiche

DATES: 1989-2014.

ARRANGEMENT: Numerical by claim number

DESCRIPTION:

This is a record used to verify programs and claim audits by the federal government. Includes sample lists, data sheets, claims processing review schedule reports, audit programs, and samples of computer screens. These lists and data sheets contain medical payment codes, sex, age, date of birth, social security number, signature, telephone number, and name. This fiche is only run on request.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 03/1990

FORMAT MANAGEMENT:

Computer output microfiche master: Retain in State Records Center for 9 years and then destroy.

Computer output microfiche duplicate: Retain in Office for 9 years and then destroy.

APPRAISAL:

These records have administrative, and/or fiscal value(s).

This record is governed by CFR 42-434-6 which states that this record is to be kept for a period of 6 years for auditing purposes. The agency has requested to keep this record for a period of 9 years.

PRIMARY DESIGNATION:

Private

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 07/2017.

AGENCY: Department of Health. Division of Medicaid and Health Financing. Bureau of Financial Services

SERIES: 81542

3

TITLE: Training records

DATES: 1983-2014.

ARRANGEMENT: Alphabetical by name

DESCRIPTION:

Applications, training logs and other records relating to the availability of training and employee participation in programs sponsored by other government agencies or non-government institutions.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 06/1987

FORMAT MANAGEMENT:

Paper: Retain in Office for 2 years or until superseded or obsolete and then transfer to State Records Center. Retain in State Records Center for 3 years and then destroy.

APPRAISAL:

These records have administrative value(s).
Based on General Retention Schedule 1 Item 29.

PRIMARY DESIGNATION:

Public

AGENCY: Department of Health. Division of Medicaid and Health Financing. Bureau of Financial Services

SERIES: 81539

3

TITLE: Travel reimbursement requests

DATES: 1985-2014.

ARRANGEMENT: Chronological

DESCRIPTION:

These are requests for reimbursement for personal expenses incurred while traveling on official business.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 2 years and then destroy.

APPRAISAL:

These records have administrative, and/or fiscal value(s).
General Retention Schedule 9 Item 3.

PRIMARY DESIGNATION:

Public