

Division of Medical Assistance Programs (DMAP)

Department of Human Services

Records Retention Schedule: 2006-0008

Effective Date: April, 2007

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Organizational Placement

Schedule #: 2006-0008

Agency: Department of Human Services
Division: Medical Assistance Programs (DMAP)
Section: Administration

Program Description:

DMAP's Administration is responsible for directing the operation of the Division of Medical Assistance Programs (DMAP). DMAP pays health care costs for eligible low-income Oregonians, funded jointly through state and federal resources. DMAP is currently implementing a federal waiver demonstration project to expand the Medicaid program under the Oregon Health Plan, monitored by the Center for Medicare and Medicaid Services. The original five-year project began in 1994 and has been extended.

Administrative responsibilities include providing leadership to DMAP units, coordinating DMAP's activities with other divisions within the Department of Human Services, participating in a variety of committees and work groups, legislative tracking, budget monitoring, monitoring incoming correspondence to assure timely response, and maintaining an administrative reference library. Administration is responsible for agency-wide support services such as personnel, payroll, purchasing, business services, space planning, word processing, records management, and reception.

Program Records:

- 001 Medicaid Advisory Committee Records, 1974 - [ongoing], 6 c.f.**
 - (a) Retain minutes permanently, transfer to State Archives after 10 years
 - (b) Retain all other records 3 years, destroy
- 002 Oregon Health Plan Implementation, Policy and Budget Records, 1990 – [ongoing], 36 c.f.**

Retain permanently, transfer to State Archives after 10 years
- 003 Oregon Health Plan Waiver and Implementation Records, 1989 – [ongoing], 16 c.f.**

Retain permanently, transfer to State Archives after 10 years
- 004 Closed Court Case Records (Oregon Association of Hospitals vs. DHR)**

Retain 20 years, destroy

State Agency General Records Retention Schedule Records:

Includes but is not limited to

Administrative Records - OAR 166-300-0015

Agency Organizational Records
Business Plan Records
Calendar and Scheduling Records
Conference, Seminar, and Training Program Records
Contracts and Agreements
Correspondence
Mailing Lists
Policy and Procedure Guidelines and Manuals
Policy Development and Planning Records
Telecommunications Logs

Facilities/Property Records - OAR 166-300-0020

Equipment Maintenance Records
Equipment/Property Disposition Records

Financial Records - OAR 166-300-0025

Accounts Payable Reports
Accounts Receivable Reports
Annual Financial Reports
Budget Allotment Records
Budget Preparation Records
Invoices
Legislatively Adopted Budgets
Purchasing Records
Receipts

Payroll Records - OAR 166-300-0035

Employee Payroll Records
Employee Time Records
Oregon State Payroll Application (OSPA) Reports
Payroll Administrative Reports (Non-OSPA)

Personnel Records - OAR 166-300-0040

Employee Personnel Records
Employee Training Records
Position Description and Reclassification Records
Position Inventory Control System (PICS) Reports
Recruitment and Selection Records
Work Schedules and Assignment Records

Databases:

MEDICAID MANAGEMENT INFORMATION SYSTEM

Organizational Placement

Schedule #: 2006-0008

Agency: Department of Human Services
Division: Medical Assistance Programs (DMAP)
Section: Budget and Financing
Unit: Office Manager

Program Description:

The Office Manager provides administrative assistance to DMAP executive staff, supervises staff, administers personnel, purchasing, conducts space analysis and utilization, manages staff positions (e.g. position numbers, classifications), and provides general office management. Additionally, the Office Manager works on the administrative budget for DMAP, conducts contract administration and problem resolution.

Program Records:

005 DMAP Managers Meeting Minutes

Retain 5 years, destroy

006 Training Program Records

- (a) Retain training records related to Oregon Health Plan programs and policies 5 years after superseded or obsolete, destroy
- (b) Retain all other records 2 years after superseded or obsolete, destroy

State Agency General Records Retention Schedule Records:

Includes but is not limited to

Administrative Records - OAR 166-300-0015

Agency Organizational Records
Business Plan Records
Calendar and Scheduling Records
Conference, Seminar, and Training Program Records
Contracts and Agreements
Correspondence
LEDS Certification Records
Mailing Lists
Policy and Procedure Guidelines and Manuals
Policy Development and Planning Records
Telecommunications Logs

Financial Records - OAR 166-300-0025

Accounts Payable Reports
Accounts Receivable Reports
Annual Financial Reports
Budget Allotment Records
Budget Preparation Records
Invoices
Legislatively Adopted Budgets
Purchasing Records
Receipts

Payroll Records - OAR 166-300-0035

Employee Payroll Records
Employee Time Records
Oregon State Payroll Application (OSPA) Reports
Payroll Administrative Reports (Non-OSPA)

Personnel Records - OAR 166-300-0040

Employee Personnel Records
Employee Training Records
Position Description and Reclassification Records
Position Inventory Control System (PICS) Reports
Recruitment and Selection Records
Work Schedules and Assignment Records

Databases:

C REPORT
MEDICAID MANAGEMENT INFORMATION SYSTEM

Organizational Placement

Schedule #: 2006-0008

Agency: Department of Human Services
Division: Medical Assistance Programs (DMAP)
Section: Communications
Unit: Analysis and Research

Program Description:

The Analysis and Research unit is responsible for conducting research related to quality assurance for all managed care plans operating under the Oregon Health Plan, and for analyzing qualitative as well as quantitative data for statistical and information purposes. The program monitors and evaluates the plans for compliance to state and federal regulations for quality assurance. Program staff conduct on-site reviews of plan administrative practices; develop rules and methods for quality improvement; monitor and evaluate plan preventive services; and coordinate external quality reviews by outside contractors. Reports are produced on enrollment, eligibility, utilization, and outcome of medical services provided to clients, compiled from surveys of Oregon's Medicaid population. The unit designs and develops satisfaction and population surveys, compiles and analyzes data, produces final reports, and distributes them to wide variety of internal and external recipients.

Program Records:

Includes but is not limited to

- 007 Centers for Medicare/Medicaid Services Evaluation Reports**
Retain 5 years after demonstration project ends, destroy
- 008 Complaint Logs**
Retain 10 years, destroy
- 009 Evaluation/Research Records**
Retain 5 years after demonstration project ends, destroy
- 010 External Quality Review Organization Records (EQRO)**
Retain 6 years after demonstration project ends, destroy
- 011 Final Reports (and Support Records)**
Retain 10 years, destroy
- 012 Hospital and Pharmaceutical Claims Payment Reports**
Retain 5 years, destroy
- 013 Plan Specific Records**
 - (a) Retain policies, procedures, and manuals 3 years, destroy
 - (b) Retain all other records 5 years after demonstration project ends, destroy
- 014 Program Specific Expenditure Reports**
Retain 5 years, destroy
- 015 Project Prevention Records**
Retain 5 years after demonstration project ends, destroy
- 016 Quality Improvement Committee Records**
 - (a) Retain minutes 5 years after demonstration project ends, destroy
 - (b) Retain all other records 3 years, destroy
- 017 Raw Survey Data**
Retain 12 years, destroy
- 018 Survey Design Forms and Records**
Retain until obsolete or no longer needed, destroy

State Agency General Records Retention Schedule Records:

Includes but is not limited to

Administrative Records - OAR 166-300-0015

Calendar and Scheduling Records

Contracts and Agreements

Correspondence

LEDS Certification Records

Telecommunications Logs

Information and Records Management Records - OAR 166-300-0030

Computer System Program Documentation

Information System Planning and Development Records

Databases:

MEDICAID MANAGEMENT INFORMATION SYSTEM

Organizational Placement

Schedule #: 2006-0008

Agency: Department of Human Services
Division: Medical Assistance Programs (DMAP)
Section: Communications
Unit: Communications

Program Description:

The Communications unit is responsible for producing and disseminating educational and informational materials explaining DMAP rules, policies, medical program coverage, and billing procedures. The unit develops materials for clients and providers such as provider guides for service providers, and notices of plan or procedure changes, as well as materials used for outreach purposes such as brochures and pamphlets. The unit also produces published materials such as budgets, reports, training materials, and DMAP's quarterly U.S. Health Care Financing Administration report. In addition, the unit coordinates administrative rule development for the agency.

Program Records:

- 019 U.S. Health Care Financing Administration Annual and Quarterly Reports for the Oregon Health Plan, Medicaid Demonstration Project [1994 – Present], 1 c.f.**
 - (a) Retain one copy of report permanently, transfer to State Archives after 25 years
 - (b) Retain preparation records 1 year after report published, destroy
- 020 Action Request Transmittals**
Destroy when obsolete or no longer needed
- 021 Information Memoranda Transmittals**
Destroy when obsolete or no longer needed
- 022 Medical Transportation Program Rulebook**
Retain one copy 5 years after obsolete, destroy
- 023 Oregon Health Plan: An Historical Overview**
Retain one copy 5 years after obsolete, destroy
- 024 Oregon Health Plan Application Packet**
Retain until obsolete or no longer needed
- 025 Oregon Health Plan Client Handbook**
Retain one copy 5 years after obsolete, destroy
- 026 Policy Transmittals**
Destroy when obsolete or no longer needed
- 027 Publication and Provider/Client Notices Preparation Records**
Retain 1 year after final document published (printed), destroy
- 028 Supplemental Information for Oregon Medicaid Providers**
Retain one copy 5 years after obsolete, destroy

State Agency General Records Retention Schedule Records:

Includes but is not limited to

Administrative Records - OAR 166-300-0015

Administrative Rule Preparation Records

Calendar and Scheduling Records

Conference, Seminar, and Training Program Records

Correspondence

Mailing Lists

Policy and Procedure Guidelines and Manuals

Postal Records

Press Releases

Publication Preparation Records

Staff Meeting Records

Databases:

PROJECT TIMELINE

Organizational Placement

Schedule #: 2006-0008

Agency: Department of Human Services
Division: Medical Assistance Programs (DMAP)
Section: Communications
Unit: Special Projects

Program Description:

Special Projects coordinates the monitoring and evaluation of the Oregon Health Plan, determines policy change impacts on the Oregon Health Plan, coordinates high-level program policy and structure changes, develops responses to information requests, monitors state and federal policy changes, implements legislative directives, conducts projects related to the Oregon Health Plan, its clients, its providers, and the health care system in Oregon. Special Projects responds to requests that require collaborative resources from multiple DMAP units, in order to develop internal position papers, project summaries, policy analyses, responses to information requests, surveys, and official correspondence.

Program Records:

029 Special Project Records

Retain 5 years after project ends, destroy

State Agency General Records Retention Schedule Records:

Includes but is not limited to

Administrative Records - OAR 166-300-0015

Calendar and Scheduling Records
Conference, Seminar, and Training Program Records
Contracts and Agreements
Correspondence
Mailing Lists
Policy and Procedure Guidelines and Manuals
Press Releases
Publication Preparation Records
Staff Meeting Records

Databases:

Special Projects utilizes all database resources available to staff at DMAP

Organizational Placement

Schedule #: 2006-0008

Agency: Department of Human Services
Division: Medical Assistance Programs (DMAP)
Section: Medical
Unit: Medical Director

Program Description:

The Office of the Medical Director is responsible for providing professional medical input by participating in medical/clinical-related aspects of the Oregon Health Plan and other DMAP programs across department and agency lines. Functions include determining clinical appropriateness of administrative decisions and providing medical input for all DMAP units. The program also authorizes services and coordinates medical care and payment for transplants and non-emergent out-of-state requests for complex medical care services; negotiates service contracts with potential transplant and other specialty service providers; and develops and modifies administrative rules relating to transplants. In addition, the program operates as medical liaison with the medical community, other state agencies, and medical organizations, as well as conducts medical research and evaluation. The program also provides support services for the Medical Directors Meeting, which is comprised of medical directors from the Oregon Health Plan pre-paid plan organizations. The meeting provides the opportunity for members to communicate, review medical research, and make policy recommendations to various committees.

Program Records:**030 Medical Director's Meeting Records, 1993 - [ongoing], 5 c.f.**

- (a) Retain all other records permanently, transfer to State Archives after 10 years
- (b) Retain sub-committee records 10 years, destroy

031 Annual Transplant Survey for Oregon Health Plan Experience

Retain 10 years, destroy

032 Disenrollment Decision Records

Retain 2 years, destroy

033 Patient Records

- (a) Retain patient record when no request is received 2 years, destroy
- (b) Retain all other records 7 years after last action, destroy

034 Transplant/Out-of-State Patient Records

- (a) Retain patient record when no request is received 2 years, destroy
- (b) Retain all other records 7 years after last action, destroy

035 Transplant/Out-of-State Fee-for-Service Log

Retain 10 years, destroy

036 Transplant Log for Fee-for-Service and Pre-Paid Health Plans

Retain 10 years, destroy

State Agency General Records Retention Schedule Records:*Includes but is not limited to***Administrative Records - OAR 166-300-0015**

Administrative Rule Preparation Records
Calendar and Scheduling Records
Contracts and Agreements
Correspondence
Mailing Lists
Policy and Procedure Guidelines and Manuals
Policy Development and Planning Records
Professional Membership Records
Signature Authorizations

Databases:

MEDICAID MANAGEMENT INFORMATION SYSTEM

Organizational Placement

Schedule #: 2006-0008

Agency: Department of Human Services
Division: Medical Assistance Programs (DMAP)
Section: Medical
Unit: Quality Assurance and Improvement

Program Description:

The Quality Assurance and Improvement unit is responsible for conducting research related to quality improvement for all managed care plans operating under the Oregon Health Plan. The unit monitors and evaluates the plans for compliance to state and federal regulations and standards for quality assurance. Program staff conduct on-site reviews of plan administrative practices; develop rules and methods for quality improvement; monitor and evaluate plan preventive services; and coordinate external quality reviews by outside contractors. Program staff also participate in a variety of committees related to quality improvement issues.

Program Records:

037 Evaluation/Research Records

Retain 5 years after demonstration project ends, destroy

038 External Quality Review Organization Records (EQRO)

Retain 5 years after demonstration project ends, destroy

039 Plan Specific Records

(a) Retain policies, procedures, and manuals 3 years, destroy

(b) Retain all other records 5 years after demonstration project ends, destroy

040 Project Prevention Records

Retain 5 years after demonstration project ends, destroy

041 Quality Improvement Committee Records

(a) Retain minutes 5 years after demonstration project ends, destroy

(b) Retain all other records 3 years, destroy

042 Quality Improvement Evaluation Reports

Retain 5 years after demonstration project ends, destroy

043 Quality and Performance Improvement Workgroup Minutes

Retain 5 years, destroy

State Agency General Records Retention Schedule Records:

Includes but is not limited to

Administrative Records - OAR 166-300-0015

Administrative Rule Preparation Records

Calendar and Scheduling Records

Contracts and Agreements

Correspondence

Mailing Lists

Databases:

MEDICAID MANAGEMENT INFORMATION SYSTEM

Organizational Placement

Schedule #: 2006-0008

Agency: Department of Human Services
Division: Medical Assistance Programs (DMAP)
Section: Medical
Unit: Hearings

Program Description:

The Hearings unit is responsible for coordinating and conducting DMAP's fee-for-service and managed health care plan hearings. Clients may request a hearing to contest notices of denial, reduction, or suspension of services, or the denial of medical and/or dental claims. Staff review hearings requests, collect needed medical documentation, represent DMAP at the hearing, and ensure compliance with applicable federal and state rules and regulations. Following the hearing, program staff follow through with corrective action and interact with the provider, client, managed health care plan, or legal representative to resolve a disputed outcome. In addition, they identify areas in which policy may require clarification or change. The unit also generates reports based on statistics and other information needed to monitor the hearings process.

Program Records:

- 044 Annual Hearings Log**
Retain 10 years, destroy
- 045 Hearings Case Records**
Retain 5 years after final disposition of case, destroy
- 046 Hearings Statistics Reports**
Retain 10 years, destroy

State Agency General Records Retention Schedule Records:

Includes but is not limited to

Administrative Records - OAR 166-300-0015

Attorney General Opinions
Calendar and Scheduling Records
Conference, Seminar, and Training Program Records
Correspondence
Litigation records
Mailing Lists
Policy and Procedure Guidelines and Manuals
Policy Development and Planning Records

Databases:

MEDICAID MANAGEMENT INFORMATION SYSTEM

Organizational Placement

Schedule #: 2006-0008

Agency: Department of Human Resources (DHR)
Division: Office of Medical Assistance Programs (OMAP)
Section: Operations
Unit: Administration

Program Description:

The Operations Administration unit is responsible for directing and coordinating the operation of DMAP's Operations Division. It is responsible for coordinating effective provider and client enrollment under the Oregon Health Plan, processing and paying claims for medical services, and providing assistance to clients and providers to ensure timely payments. In addition, the program compiles, develops, and analyzes a variety of production and statistical data reports used for trend analysis and decision making purposes. Staff also process and monitor those cases where eligible clients are required to pay health insurance premiums under the Oregon Health Plan.

Program Records:

- 047 Analysis Reports**
Retain 6 years, destroy
- 048 Health Insurance Premium Payment Case Records**
Retain 5 years after closure, destroy
- 049 Statistics Reports**
Retain 6 years, destroy
- 050 Weekly Management and Staffing Reports**
Retain 2 years, destroy

State Agency General Records Retention Schedule Records:

Includes but is not limited to

Administrative Records - OAR 166-300-0015

Administrative Rule Preparation Records
Business Plan Records
Calendar and Scheduling Records
Conference, Seminar, and Training Program Records
Contracts and Agreements
Correspondence
Legislative Tracking Records
Mailing Lists
Policy and Procedure Guidelines and Manuals
Policy Development and Planning Records
Signature Authorizations
Staff Meeting Records
Telecommunications Logs

Databases:

The Operations Administration utilizes all databases used within the section.

Organizational Placement

Schedule #: 2006-0008

Agency: Department of Human Services
Division: Medical Assistance Programs (DMAP)
Section: Operations
Unit: Claims

Program Description:

The Claims program is responsible for processing provider service payment claims for approval or denial of payment. If a claim needs further review or research, or a suspended claim needs to be resolved, the claim is reviewed and/or adjusted so that it may then be processed. The Suspense Resolution group corrects minor errors so that a claim can be processed correctly. The Claims Technical Review group receives high level claims that require secondary inspection before processing. The Financial Adjustments group review claims that have already been settled which turn out to be incorrect, and require adjustment. Claims Management awards payment for medical claims on medical services received outside of Oregon, as well as for specialized care only available outside of state. Financial aid is provided for medical services needed by families with adopted children that have special needs, as well as for extended care nursing home claims. In addition, private health insurance premiums may be paid by DMAP under special circumstances.

Program Records:

Includes but is not limited to

051 Adjustment Records

Retain 7 years, destroy

052 Financial Transaction Records and Reports

Retain 7 years, destroy

053 Out-of-State Claim Records

(a) Retain paid claims history, clinical records, and special check face sheet for transplants and special circumstances 5 years after last action, destroy

(b) Retain denial records 2 years after date of denial notice, destroy

(c) Retain all other claim records 1 year after date claim submitted for

054 Provider Claim Records and Reports

Retain 7 years, destroy

055 Remittance Advices

Retain 7 years, destroy

056 Services to Children and Families Claim Records (County 60 Files)

(a) Retain claims request history and clinical records 3 years after child reaches age of majority or 5 years after last action, whichever is longer, destroy

(b) Retain denial records 2 years after date of denial notice, destroy

(c) Retain all other claim records 1 year after date claim submitted for payment, destroy

057 Suspense Resolution Claim Worksheet

Destroy when obsolete or no longer needed.

058 Systems Summaries

Retain 5 years, destroy

059 Transplant Claim Records

(a) Retain paid claims history, denial face sheet, and special check face sheet 7 years, destroy

(b) Retain all other denial records 2 years after date of denial notice, destroy

(c) Retain all other claim records 1 year after date claim submitted for payment, destroy

060 Turn Around Document (TAD) - Nursing Home Claim Records

Retain 7 years, destroy

State Agency General Records Retention Schedule Records:

Includes but is not limited to

Administrative Records - OAR 166-300-0015

Correspondence

Mailing Lists

Signature Authorizations

Financial Records - OAR 166-300-0025

Accounts Payable Reports

Audit Reports

Budget Allotment Reports

Databases:

MEDICAID MANAGEMENT INFORMATION SYSTEM

TURN AROUND DOCUMENT (TAD) DATABASE

Organizational Placement

Schedule #: 2006-0008

Agency: Department of Human Services
Division: Medical Assistance Programs (DMAP)
Section: Operations
Unit: Client Advisory Services

Program Description:

The Client Advisory Services unit provides support services for clients on the Oregon Health Plan/Medicaid. Client Advisory Services advises and finds resolutions for clients from Children, Adults and Families, Seniors and People with Disability, Office of Mental Health and Addiction Services regarding what medical benefits they have, how to deal with a provider bill, how to appeal denied services, managed care enrollment/disenrollment, and the prioritized list of coverage. The communications center is a call center where those with inquiries can request information. The Billing Team researches discrepancies and problems with bills that a client may have received. The Special Assistance Team conducts further research and resolution on inquiries that communications center staff is unable to answer.

Program Records:

- 061 Client Call Reports**
Retain 7 years, destroy
- 062 Client Complaints**
Retain 7 years, destroy

State Agency General Records Retention Schedule Records:

Includes but is not limited to

Administrative Records - OAR 166-300-0015

Staff Meeting Records
Telecommunications Logs

Personnel Records - OAR 166-300-0040

Employee Personnel Records
Employee Training Records
Work Schedules and Assignment Records

Databases:

MEDICAID MANAGEMENT INFORMATION SYSTEM

Organizational Placement**Schedule #: 2006-0008**

Agency: Department of Human Services
Division: Medical Assistance Programs (DMAP)
Section: Operations
Unit: Medical

Program Description:

The Medical unit oversees the Registered Nurse (RN) and Claims Analysis, Technical Authorization Review, and Technical Assistance groups, and is responsible for providing comprehensive nursing and medical professional consultation to medical providers regarding which medical condition and medically appropriate treatment conditions are covered under the Oregon Health Plan. Staff licensed registered nurses provide comprehensive nursing/medical knowledge and judgment to make payment decisions on complex medical billings and review cases for prior authorization requests. The program resolves claims questions that require an RN review that may or may not result in a claim adjustment. A majority of the communication/consultation is done by phone through the Oregon Health Plan Benefit RN Hotline, managed by this program. In addition, the program makes recommendations to the DMAP Policy unit for informed decision-making and participates in the development of program administrative rules and policies.

Program Records:**063 Claims Worksheets**

Retain 6 years after claim resolved, destroy

064 Fax Transaction Reports

Retain 18 months, destroy

065 Oregon Health Plan Benefit Registered Nurse Hotline Statistic Reports

Retain 10 years after termination of waiver, destroy

066 Prior Authorization Records

Retain 5 years, destroy

State Agency General Records Retention Schedule Records:*Includes but is not limited to***Administrative Records - OAR 166-300-0015**

Administrative Rule Preparation Records

Calendar and Scheduling Records

Correspondence

Mailing Lists

Policy and Procedure Guidelines and Manuals

Databases:

MEDICAID MANAGEMENT INFORMATION SYSTEM

PRIOR AUTHORIZATION

Organizational Placement

Schedule #: 2006-0008

Agency: Department of Human Services
Division: Medical Assistance Programs (DMAP)
Section: Operations
Unit: Provider Enrollment

Program Description:

The Provider Enrollment unit is responsible for enrolling all eligible medical providers that provide Medicaid services into the Oregon Health Plan. The unit processes applications, inputs information into the Medicaid Management Information System, orients providers to DMAP, Oregon Administrative Rules, and to billing instructions, processes all subsequent adjustments to the provider record, resolves enrollment issues and questions, responds to complaints, and disenrolls providers as needed.

Program Records:

- 067 Electronic Funds Transfer Applications**
Retain 6 years, destroy
- 068 Provider Enrollment Application Records**
Retain 7 years, destroy
- 069 Provider Enrollment Records**
Retain 7 years, destroy

State Agency General Records Retention Schedule Records:

Includes but is not limited to

Administrative Records - OAR 166-300-0015
Contracts and Agreements
Correspondence
Mailing Lists
Policy and Procedure Guidelines and Manuals
Telecommunications Logs

Databases:

MEDICAID MANAGEMENT INFORMATION SYSTEM

Organizational Placement

Schedule #: 2006-0008

Agency: Department of Human Services
Division: Medical Assistance Programs (DMAP)
Section: Operations
Unit: Provider Services

Program Description:

The Provider Services unit assists the medical provider community in obtaining correct and timely reimbursement for services rendered to eligible Medicaid and Oregon Health Plan recipients. The program reviews, researches, analyzes, and monitors medical provider claims to resolve discrepancies and ensures optimum provider success. Much of the assistance is provided through a toll-free phone line and dedicated e-mail address. The program answers inquiries and provides information, advice, and interpretation of regulations, policies, procedures, and program to providers about all DMAP programs.

Part of Provider Services Unit is located at the Oregon State Correctional Institution (OSCI), using inmate labor under contract with Oregon Correctional Enterprises. Use of inmates in the DMAP Telecommunications Center provides cost effective telecommunications customer service for the unit. The inmates answer routine inquiries from medical providers allowing staff to deal with more difficult or technical questions. DMAP staff train, supervise, and direct inmates at the Telecommunications Center.

Program Records:

- 070 Formal Appeals**
Retain 7 years after claim is settled, destroy
- 071 Inmate Employee Evaluations**
Retain 1 year after termination, destroy
- 072 Provider Claim Worksheets**
Retain until claim resolved, destroy
- 073 Provider Services Activity Logs**
Retain 5 years, destroy
- 074 Provider Services Appeal Records**
Retain 7 years after claim is settled, destroy
- 075 Provider Services Statistics Reports**
Retain 5 years, destroy

State Agency General Records Retention Schedule Records:

Includes but is not limited to

Administrative Records - OAR 166-300-0015

Conference, Seminar, and Training Program Records

Correspondence

Mailing Lists

Policy and Procedure Guidelines and Manuals

Telecommunications Logs

Information and Records Management Records - OAR 166-300-0030

Telecommunications System Management Records

Personnel Records - OAR 166-300-0040

Criminal Background Check Records

Employee Training Records

Recruitment and Selection Records

Databases:

APPEALS LOG

MEDICAID MANAGEMENT INFORMATION SYSTEM

Organizational Placement

Schedule #: 2006-0008

Agency: Department of Human Services
Division: Medical Assistance Programs (DMAP)
Section: Operations
Unit: Operations System Support
Program: Business Process Analysis

Program Description:

The Business Process Analysis program identifies opportunities for cost savings and benefits; Promotes understanding of complex information flows and information requirements; Conducts workload flow evaluation and analysis to determine the costs of workflow processes and reporting mechanisms; assists in the development, implementation, and maintenance of workflow quality standards and procedures; and ensures that improvement initiatives are controlled and managed effectively. The program produces several internal reports that provide internal business review for DMAP.

Program Records:

076 Analysis and Statistical Reports

Retain 6 years, destroy

077 Hospital Tax Report

Retain 6 years, destroy

078 Hysterectomy and Sterilization Reports

Retain 6 years, destroy

State Agency General Records Retention Schedule Records:

Includes but is not limited to

Administrative Records - OAR 166-300-0015

Business Plan Records
Calendar and Scheduling Records
Contracts and Agreements
Correspondence

Financial Records - OAR 166-300-0025

Accounting System Input Documents and Listings, and Agency Control Reports
Accounts Payable Reports
Accounts Receivable Reports
Annual Financial Reports
Audit Reports
Budget Allotment Reports
Expenditure and Revenue Reports
Internal Audit Reports

Databases:

ACCOUNTING TRACKING
DECISION SUPPORT/SURVEILLANCE AND UTILIZATION REVIEW SYSTEM
MEDICAID MANAGEMENT INFORMATION SYSTEM

Organizational Placement

Schedule #: 2006-0008

Agency: Department of Human Services
Division: Medical Assistance Programs (DMAP)
Section: Operations
Unit: Operations System Support
Program: Business Process Analysis
Sub-Program: Premium Billing Contract Administration

Program Description:

The premium billing and contract administration program serves to monitor and support the premium billing and contracting process for the Oregon Health Plan (OHP). The program serves to act as a liaison between DMAP and the contractor, monitor contractor performance, premium billings and collections, ensures contractor invoices are paid and troubleshoots system problems or client/caseworker concerns related to the premium billing process. In addition, the program provides advice and assistance to the Premium Sponsorship Workgroup, an external advocacy group that focuses on raising and distributing funds to assist OHP clients with unpaid monthly premiums.

State Agency General Records Retention Schedule Records:

Includes but is not limited to

Administrative Records - OAR 166-300-0015

Business Plan Records
Calendar and Scheduling Records
Conference, Seminar, and Training Program Records
Contracts and Agreements
Correspondence
Mailing Lists
Policy and Procedure Guidelines and Manuals
Staff Meeting Records

Databases:

DECISION SUPPORT/SURVEILLANCE AND UTILIZATION REVIEW SYSTEM
MEDICAID MANAGEMENT INFORMATION SYSTEM

Organizational Placement

Schedule #: 2006-0008

Agency: Department of Human Services
Division: Medical Assistance Programs (DMAP)
Section: Operations
Unit: Operations System Support
Program: Medicaid Management Information System

Program Description:

The Medicaid Management Information System program is responsible for DMAP's information system integrity, data security, support of the computerized Medicaid Management Information System (MMIS) and the Decision Support/Surveillance and Utilization Review System (DSSURS). Program staff conduct research, analysis, strategic planning, needs assessment, and technical support for DMAP's information systems. The program implements MMIS and DSSURS changes and enhancements, in coordination with the Department of Human Services' (DHS) Office of Information Services, to support compliance with federal and state rules and policy. The program is actively involved in the development of DMAP's replacement MMIS project. In addition, the program performs data validation and analysis, ensuring data integrity and interfacing with other DHS agencies and outside entities to maintain uninterrupted data transmissions. The program is also responsible for the security and confidentiality of database files. Program staff evaluate and authorize requests for data access from DHS and non-DHS agencies and contractors.

Program Records:

079 Claim Resolution Instructions

Retain 7 years after superseded, destroy

080 Computer Screen Development Records

Retain 1 year after life of system, destroy

081 Edit/Audits Listings

Retain 1 year after life of system, destroy

082 Explanation of Benefits and Error Message Table Records

Retain 1 year after life of system, destroy

083 Information Systems Requirements and/or Enhancements Alteration Requests

Retain 1 year after life of system, destroy

084 MMIS Replacement Project Files

Retain 1 year after life of the system, destroy

085 New Medicare Modifier Records

Retain 1 year after life of system, destroy

086 System Request Records

Retain 1 year after life of system, destroy

State Agency General Records Retention Schedule Records:

Includes but is not limited to

Administrative Records - OAR 166-300-0015

Agency Organizational Records
Calendar and Scheduling Records
Contracts and Agreements
Correspondence
Legislative Development Advisory Committee Records
Legislative Tracking Records
Policy and Procedure Guidelines and Manuals
Signature Authorizations
Staff Meeting Minutes
Telecommunications Logs

Information and Records Management Records - OAR 166-300-0030

Computer System Maintenance Records
Computer System Program Documentation
Computer System Security Records
Filing System Records
Forms Development Records
Information System Planning and Development Records
Records Management Records
Software Management Records
User Support Records

Databases:

DECISION SUPPORT/SURVEILLANCE AND UTILIZATION REVIEW SYSTEM
MEDICAID MANAGEMENT INFORMATION SYSTEM

Organizational Placement

Schedule #: 2006-0008

Agency: Department of Human Services
Division: Medical Assistance Programs (DMAP)
Section: Operations
Unit: Operations System Support
Program: Facility Settlements

Program Description:

The Facility Settlements program is responsible for conducting financial and program reviews of Federally Qualified Health Care Centers, Rural Health Clinics, Hospital Based Rural Health Clinics, and Acute Care Hospitals providing medical services to Oregon Medicaid clients. Annual cost settlement audits are required by the Centers for Medicare and Medicaid Services (CMS) and are reviewed periodically by CMS auditors. Financial reviews have a limited scope and include reviewing actual payments against rate settings and negotiating settlements regarding DMAP overpayments. Program reviews include determining client eligibility, appropriateness of the level of services provided, and assessing compliance with program policy. In addition, the program also conducts cost settlement reviews of Transportation Brokerages, which provides transportation services for Medicaid clients.

Program Records:

087 Claim Detail Reports

- (a) Retain hospital claim detail reports 7 years, destroy
- (b) Retain all other claim detail reports 7 years, destroy

088 Cost Reports

Retain 7 years, destroy

089 Cost Settlement Records

- (a) Retain hospital cost settlement records 7 years, destroy
- (b) Retain all other cost settlement records 7 years, destroy

State Agency General Records Retention Schedule Records:

Includes but is not limited to

Administrative Records - OAR 166-300-0015

Contracts and Agreements

Correspondence

Mailing Lists

Policy and Procedure Guidelines and Manuals

Financial Records - OAR 166-300-0025

Annual Financial Reports

Audit Reports

Databases:

DECISION SUPPORT/SURVEILLANCE AND UTILIZATION REVIEW SYSTEM

MEDICAID MANAGEMENT INFORMATION SYSTEM

Organizational Placement

Schedule #: 2006-0008

Agency: Department of Human Resources (DHR)
Division: Medical Assistance Programs (DMAP)
Section: Operations
Unit: Delivery Systems
Program: Administration

Program Description:

The Delivery Systems' Administration program is responsible for coordination and planning activities related to delivery of services under health care plan contracts, as well as providing leadership and direction for the Delivery Systems' Unit. The program is also responsible for coordinating and facilitating a variety of special projects for DMAP, relating to various medical assistance analysis and planning issues. Project activities may include facilitating task forces, committees, or other work groups. Project results may be implemented as strategic plans, policies, or procedures. In addition, the program conducts planning research and analysis, and facilitates strategies and teams to implement them, as well as tracks and monitors legislation.

Program Records:

090 Enrollment Histories

Retain until managed care program ends in the state, destroy

091 Special Project Records

Retain 5 years after project ends, destroy

State Agency General Records Retention Schedule Records:

Includes but is not limited to

Administrative Records - OAR 166-300-0015

Business Plan Records
Calendar and Scheduling Records
Contracts and Agreements
Correspondence
Legislative Tracking Records
Mailing Lists
Policy and Procedure Guidelines and Manuals
Policy Development and Planning Records

Databases:

DECISION SUPPORT/SURVEILLANCE AND UTILIZATION REVIEW SYSTEM
MEDICAID MANAGEMENT INFORMATION SYSTEM

Organizational Placement

Schedule #: 2006-0008

Agency: Department of Human Resources (DHR)
Division: Medical Assistance Programs (DMAP)
Section: Operations
Unit: Delivery Systems
Program: Pre-Paid Health Plan Contract Coordination

Program Description:

The Pre-Paid Health Plan Coordination program is responsible for developing, coordinating and managing the contracts between pre-paid health plans and the state. The program develops and monitors contracts (which are renewed on an annual basis), responds to a variety of inquiries from health plans/providers, provides technical assistance, and resolves problems and issues. Issues include policy interpretation, contract or rule violations, quality improvement, access to care issues, and specific client issues. The program also updates contracts when plan or service area changes occur; approves retroactive enrollment payment requests from plans; ensures that all activities necessary to implement the contracts are completed; and ensures that current enrollment activities and strategies are effective. In addition, the program monitors plan marketing activities and maintains plan outreach facilities statistics.

Program Records:

- 092 Client Specific Interpretation Records**
Retain 6 months after resolved, destroy
- 093 Contract Capacity Reports**
Retain 5 years, destroy
- 094 Contract File Updates**
Retain 6 years after contract expiration, destroy
- 095 Plan Specific Marketing Records**
Retain 5 years, destroy
- 096 Pre-paid Health Plan Contract Related Records**
Retain 6 years after contract expiration, destroy
- 097 Retroactive Enrollment Payment Request Records**
Retain 4 years, destroy

State Agency General Records Retention Schedule Records:

Includes but is not limited to

Administrative Records - OAR 166-300-0015

Business Plan Records
Calendar and Scheduling Records
Contracts and Agreements
Correspondence
Legislative Tracking Records
Mailing Lists
Policy and Procedure Guidelines and Manuals
Policy Development and Planning Records

Databases:

DECISION SUPPORT/SURVEILLANCE AND UTILIZATION REVIEW SYSTEM
MEDICAID MANAGEMENT INFORMATION SYSTEM

Organizational Placement

Schedule #: 2006-0008

Agency: Department of Human Resources (DHR)
Division: Medical Assistance Programs (DMAP)
Section: Operations
Unit: Delivery Systems
Program: Primary Care Case Management

Program Description:

The Primary Care Case Management (PCCM) program is responsible for recruiting physicians in Oregon to participate in the PCCM program as part of the Oregon Health Plan. A primary care case manager is a physician or other DMAP approved medical provider who is responsible for providing primary care and maintaining the continuity of care, supervising and coordinating care to patients, initiating referrals for consultations and specialist care. The program initiates calls and provides technical assistance by answering a variety of inquiries from physicians and other providers.

Program Records:

- 098 Monthly Primary Care Case Management Enrollment Reports**
Retain 10 years, destroy
- 099 Primary Care Case Management Working Records**
Retain 2 years, destroy

State Agency General Records Retention Schedule Records:

Includes but is not limited to

Administrative Records - OAR 166-300-0015

Business Plan Records
Calendar and Scheduling Records
Correspondence
Legislative Tracking Records
Mailing Lists
Policy and Procedure Guidelines and Manuals
Policy Development and Planning Records

Databases:

DECISION SUPPORT/SURVEILLANCE AND UTILIZATION REVIEW SYSTEM
MEDICAID MANAGEMENT INFORMATION SYSTEM

Organizational Placement

Schedule #: 2006-0008

Agency: Department of Human Resources (DHR)
Division: Medical Assistance Programs (DMAP)
Section: Operations
Unit: Delivery Systems
Program: Health-Screens Maintenance

Program Description:

The Health-Screens Maintenance program is responsible for ensuring that eligible Medicaid or Oregon Health Plan clients are properly enrolled or disenrolled from managed care plans. The program acts as liaison between field offices and health care plans, reviews and processes client exemption requests for disenrollment from plans, notifies plans about the births of newborns, and processes claims for plans with clients having dual medical coverage. The program also reviews and resolves those cases and requests that need individual attention.

Program Records:

- 100 Client Enrollment Records**
Retain 5 years after case closed, destroy
- 101 Discrepancy Reports**
Retain 5 years, destroy
- 102 Incident/Capitation Adjustment Requests**
Retain 3 years, destroy
- 103 Third Party Resources Reports**
Retain 5 years, destroy

State Agency General Records Retention Schedule Records:

Includes but is not limited to

Administrative Records - OAR 166-300-0015

Calendar and Scheduling Records
Contracts and Agreements
Correspondence
Mailing Lists
Policy and Procedure Guidelines and Manuals

Databases:

DECISION SUPPORT/SURVEILLANCE AND UTILIZATION REVIEW SYSTEM
MEDICAID MANAGEMENT INFORMATION SYSTEM

Organizational Placement

Schedule #: 2006-0008

Agency: Department of Human Resources (DHR)
Division: Medical Assistance Programs (DMAP)
Section: Operations
Unit: Delivery Systems
Program: Financial Solvency

Program Description:

The Financial Solvency program is responsible for monitoring, analyzing, and communicating about the financial solvency and status of managed care health plans to DMAP management. The plans provide services under the Oregon Health Plan. The program develops policy on financial solvency issues; maintains contracts and contractual amendments between the state and health plans; researches and analyzes a variety of information which is provided by the plans; produces quarterly reports on each plan; performs health research; and provides technical assistance to plans about financial issues and policy. In addition, the program also performs financial analysis for agency requests for applications. Program staff also participates in a financial solvency workgroup.

Program Records:

104 Quarterly Financial and Utilization Final Reports (Exhibit A), 1994 - [ongoing], 5c.f.

Retain permanently, transfer to State Archives after 6 years

105 Health Plan Financial Records

Retain 6 years, destroy

106 Financial Solvency Workgroup Records

(a) Retain minutes 5 years, destroy

(b) Retain all other records 3 years, destroy

107 Financial Topics Working Records

Retain 10 years, destroy

State Agency General Records Retention Schedule Records:

Includes but is not limited to

Administrative Records - OAR 166-300-0015

Business Plan Records

Calendar and Scheduling Records

Contracts and Agreements

Correspondence

Legislative Tracking Records

Mailing Lists

Policy and Procedure Guidelines and Manuals

Policy Development and Planning Records

Public Records Disclosure Request Records

Financial Records - OAR 166-300-0025

Accounts Receivable Reports

Annual Financial Reports

Audit Records

Bank Statements

Expenditure and Revenue Reports

Databases:

DECISION SUPPORT/SURVEILLANCE AND UTILIZATION REVIEW SYSTEM

MEDICAID MANAGEMENT INFORMATION SYSTEM

Organizational Placement

Schedule #: 2006-0008

Agency: Department of Human Services
Division: Medical Assistance Programs (DMAP)
Section: Operations
Unit: Encounter and Electronic Data
Program: EDI Registration Outreach Team and Support Services

Program Description:

The Electronic Data Interchange (EDI) Registration Outreach Team and Support Services program analyzes HIPAA standard transactions between medical providers and the Department of Human Services (DHS) to ensure industry compliance with HIPAA rules and regulations. The program electronically manages claims billing, remittance advices, payment, beneficiary enrollments, claims, eligibility inquiries, and authorizations. The program also oversees Trading Partner Agreements, which are contracts with enrolled providers to ensure compliance with DHS' methods for electronic claims, security, protection of privacy, and contact information.

Program Records:

108 Trading Partner Agreements

Retain 6 years after expiration, destroy

109 Transaction Testing Report Documents

Retain 6 years after expiration, destroy

State Agency General Records Retention Schedule Records:

Includes but is not limited to

Administrative Records - OAR 166-300-0015

Conference, Seminar, and Training Program Records

Contracts and Agreements

Correspondence

Mailing Lists

Policy and Procedure Guidelines and Manuals

Financial Records - OAR 166-300-0025

Account Transfer Records

Accounts Payable Reports

Accounts Receivable Reports

Encumbrance Registers

Databases:

APPLICATIONS

MEDICAID MANAGEMENT INFORMATION SYSTEM

REGISTRATION

Organizational Placement

Schedule #: 2006-0008

Agency: Department of Human Services
Division: Medical Assistance Programs (DMAP)
Section: Operations
Unit: Encounter and Electronic Data
Program: Encounter Data

Program Description:

The Encounter Data program is responsible for ensuring that medical, dental and mental health plans understand encounter data requirements and submit accurate and timely data to DMAP for services provided to patients enrolled in the Oregon Health Plan. Encounter Data monitors contractual compliance of DMAP's prepaid health plans, dental organizations, mental health organizations, chemical dependency organizations, and physician care organizations for Medicaid compliance. Program staff advise and assist health plan representatives in developing and implementing processes for submittal of electronic encounter data, and monitor and evaluate data transmitted for quality, accuracy, and timeliness of submission and contract compliance. In addition, a variety of technical, management, and projection reports are produced by this program and used for evaluating compliance, identifying operational problems, and making recommendations for improvements.

Program Records:

- 110 Encounter Data Validation Reports**
Retain 5 years, destroy
- 111 Monthly Encounter Data Workgroup Meeting Notes**
Retain 2 years, destroy
- 112 Oregon Health Plan Penalty Records**
Retain 7 years, destroy
- 113 Provider Capacity Reports**
Retain 7 years, destroy
- 114 Routine Request Records**
Retain until obsolete or no longer needed, destroy
- 115 Specific Plan Records**
Retain 7 years, destroy

State Agency General Records Retention Schedule Records:

Includes but is not limited to

Administrative Records - OAR 166-300-0015
Conference, Seminar, and Training Program Records
Contracts and Agreements
Correspondence
Mailing Lists
Staff Meeting Records

Databases:

DECISION SUPPORT/SURVEILLANCE AND UTILIZATION REVIEW SYSTEM
MEDICAID MANAGEMENT INFORMATION SYSTEM

Organizational Placement

Schedule #: 2006-0008

Agency: Department of Human Services
Division: Medical Assistance Programs (DMAP)
Section: Operations
Unit: Electronic and Encounter Data
Program: Health Insurance Portability and Accountability Act (HIPAA) and Managed Care Contract Compliance

Program Description:

The HIPAA Compliance program ensures and monitors DMAP's compliance to federal HIPAA standards for the electronic claims that are processed by office. The program conducts federal performance reviews, monitors the compliance of health information systems of managed care plans as well as Eligibility Information Vendors.

Program Records:

116 Federal Performance Reviews

Retain 7 years, destroy

State Agency General Records Retention Schedule Records:

Includes but is not limited to

Administrative Records - OAR 166-300-0015

Conference, Seminar, and Training Program Records

Contracts and Agreements

Correspondence

Mailing Lists

Staff Meeting Records

Databases:

DECISION SUPPORT/SURVEILLANCE AND UTILIZATION REVIEW SYSTEM

MEDICAID MANAGEMENT INFORMATION SYSTEM

Organizational Placement

Schedule #: 2006-0008

Agency: Department of Human Services
Division: Medical Assistance Programs (DMAP)
Section: Policy and Planning

Program Description:

The Policy and Planning section is responsible for fee-for-service program and policy development for various health care services covered under the medical assistance program to ensure compliance with state and federal requirements. The program translates federal and state requirements into policy and administrative rules that govern the practitioners who provide services to eligible clients and the reimbursement for those services. The section is responsible for the contracts and administration rules regarding Managed Care Plans, and for maintaining drug and medical procedure codes.

The section also provides support services for and receives recommendations from the Drug Use Review Board relating to criteria and standards for appropriate and medically necessary drug utilization (drug prescribing, drug dispensing, and patient medication usage). In addition, the Policy program develops and maintains state plans, required by the Centers for Medicare/Medicaid Services. Program staff also participate in a variety of agency, state, and national committees relating to medical assistance policy issues.

Program Records:

117 Federal Medicaid Correspondence, 1975 - [ongoing], 6 c.f.

- (a) Retain policy related correspondence permanently, transfer to State Archives after 10 years
- (b) Retain all other records 5 years, destroy

118 Policy Development, Analysis and Budget Records, 1987 - [ongoing], 22 c.f.

- (a) Retain records relating to policy development unique to Oregon permanently, transfer to State Archives after 10 years
- (b) Retain all other records 5 years after implemented or abandoned, destroy

119 Title XIX and XXI State Plan Records, 1967 - [ongoing], 12 c.f.

Retain permanently, transfer to State Archives after 10 years

120 Contractors Workgroup Meeting Records

- (a) Retain minutes 5 years, destroy
- (b) Retain all other records 3 years, destroy

121 Drug File Records

Retain 5 years, destroy

122 Drug Use Review Board Records

- (a) Retain minutes 5 years, destroy
- (b) Retain all other records 3 years, destroy

123 Durable Medical Equipment Advisory Group Records

- (a) Retain minutes 5 years, destroy
- (b) Retain all other records 3 years, destroy

124 Miscellaneous Workgroup Committee Records

- (a) Retain minutes 5 years, destroy
- (b) Retain all other records 3 years, destroy

125 Reference File (MMIS) Update Records

Retain 5 years, destroy

- 126 Rules Advisory Committee Records
(a) Retain minutes 5 years, destroy
(b) Retain all other records 3 years, destroy

127 Special Project Records

Retain 5 years after project ends, destroy

State Agency General Records Retention Schedule Records:

Includes but is not limited to

Administrative Records - OAR 166-300-0015

Administrative Rule Preparation Records

Agency Organizational Records

Business Plan Records

Calendar and Scheduling Records

Contracts and Agreements

Correspondence

Mailing Lists

Policy and Procedure Guidelines and Manuals

Policy Development and Planning Records

Professional Membership records

Staff Meeting Records

Information and Records Management Records - OAR 166-300-0030

Computer System Program Documentation

Information System Planning and Development Records

Databases:

MEDICAID MANAGEMENT INFORMATION SYSTEM