

RECORDS RETENTION SCHEDULE

Form RC-050 (Revised 01/2010)

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STATE OF CONNECTICUT

Connecticut State Library

Office of the Public Records Administrator

231 Capitol Avenue, Hartford, CT 06106

www.cslib.org/publicrecords

RETENTION SCHEDULE

10-8-1

- AUTHORITY:** The Office of the Public Records Administrator issues this retention and disposition schedule under the authority granted it by CGS §11-8 and §11-8a.
- FORMAT:** Retention periods listed on this schedule apply to the record, regardless of physical format. Records may be either hard copy or electronic. If the record is electronic, the custodian of the record must be able to interpret and retrieve the data for the minimum retention period listed for the records series.
- DISPOSITION AUTHORIZATION:** This schedule is used concurrently with the *Records Disposition Authorization* (Form RC-108). The RC-108 must be signed by the agency Records Management Liaison Officer (RMLO), the State Archivist, and the Public Records Administrator *prior* to the destruction of public records.

AGENCY: Office of the Healthcare Advocate (OHA)	AGENCY ADDRESS: 153 Market Street, Hartford, CT 06144	This schedule is: <input checked="" type="checkbox"/> new <input type="checkbox"/> revised
PROGRAM / UNIT: All		If revised, superseded retention schedule number(s):

RMLO (type or print): Victoria L. Veltri	TITLE (type or print): General Counsel	APPROVED (State Archivist): Mark H. Jones (signature on file)	DATE: 10/12/2010
APPROVED (RMLO): Victoria L. Veltri (signature on file)	DATE: 09/21/2010	APPROVED (Public Records Administrator): LeAnn R. Power (signature on file)	EFFECTIVE DATE OF SCHEDULE: 10/12/2010

SERIES NUMBER	RECORDS SERIES TITLE & DESCRIPTION	APPROVED RETENTION PERIOD			NOTES & CITATIONS
		Office (A)	Off-site (B)	Total (A + B)	
1.	<p>Consumer Files</p> <p>This series documents assistance provided to health insurance consumers with managed care plan selection, understanding rights and responsibilities under managed care plans, review of consumer health insurance records, and the filing of complaints and appeals related to managed care plans. Including but not limited to: referrals, correspondence, complaints, appeals, grievances, related documentation, notices concerning the services that the OHA provide (aka "posters"), and database.</p>	7 years	- 0 -	7 years	Records maintained pursuant to CGS §38a-1041(b)(1), (2), (4), and (8) and §38a-1046; See CGS §38a-478n for the appeal process after internal mechanisms provided by a managed care organization have been exhausted; Pursuant to CGS §38a-1043(b), records provided pursuant to this section to OHA are exempt from disclosure under the Freedom of Information Act (FOIA).

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		Office (A)	Off-site (B)	Total (A + B)	
2.	<p>Legislative Advocacy and Legislative Testimony Records</p> <p>This series documents OHA participation in legislative advocacy and testimony. Including but not limited to: comments on statutes and proposed changes, draft statutes, summaries of legislation, testimony, and related correspondence.</p>	3 years	- 0 -	3 years	Records maintained pursuant to CGS §38a-1041(b); May have historical value – contact State Archivist prior to submission of Form RC-108.
3.	<p>Litigation Records</p> <p>This series documents OHA participation in litigation. Including but not limited to: briefs, memos, motions, pleadings, decisions, grievances, records of administrative hearings, and related correspondence.</p>	6 years from expiration of appeal period	- 0 -	6 years from expiration of appeal period	Records maintained pursuant to CGS §38a-1041, et. seq.
4.	<p>Managed Care Organization Case Files</p> <p>This series documents investigation and referrals to the Insurance Department if OHA finds that a preferred provider network may have engaged in a pattern or practice that may be in violation of CGS §38a-226 to 38a-226d, 38a-479aa to 38a-479gg, or 38a-815 to 38a-819. Including but not limited to: records of investigations and related documentation.</p>	7 years	- 0 -	7 years	Records maintained pursuant to CGS §38a-1041(c).
5.	<p>Managed Care Organization Complaint Lists</p> <p>This series documents the maintenance of the annual list of complaints received against managed care organizations and preferred provider networks pursuant to CGS §38a-1041(d).</p>	7 years	- 0 -	7 years	Records maintained pursuant to CGS §38a-1041(d).
6.	<p>Mental Health Parity Program Records</p> <p>This series documents the activities of the workgroup to monitor compliance with Connecticut mental health parity laws, including representation from managed care representatives, consumers, and OHA employees. Including but not limited to: correspondence, meeting notes, studies, memos outlining strategy, and related documentation.</p>	3 years	- 0 -	3 years	Records maintained pursuant to CGS §38a-1041(e).
7.	<p>Public Education Program Records</p> <p>This series documents the public education outreach program which educates health insurance consumers of the existence of the appeals procedure for denials of claims. Including but not limited to: press releases and periodic evaluations of the effectiveness of educational efforts.</p>	3 years	- 0 -	3 years	Pursuant to CGS §38a-478n(f), OHA coordinates the outreach program and oversees the education process with the Insurance Department.