

Provider Compliance Group

Date: 11/15/2011

Policy for Handling Lost or Destroyed Eligibility Review Records and Documentation

The PERM eligibility review involves the review of eligibility case records, including eligibility worker notes, hard copy case records and other sources, that provide information to review the eligibility status of selected cases. The Medicaid agency may be unable to obtain necessary documents due to loss from a natural disaster. In the event that an eligibility review cannot be completed due to such losses, the affected State will be allowed to drop the sampled case and replace it with an oversample case.

Excluding a Case with Lost or Destroyed Documentation

If a State is not able to locate a record due to it being lost or destroyed in a FEMA declared disaster please provide the following to CMS¹:

- Case ID number
- Whether the case record was lost or destroyed (completely or partially)²
- Approximate date the loss occurred
- Indicate that the record was lost or destroyed by³:
 - Flood
 - Fire
 - Hurricane
 - Other

Many states receive §1115 waivers as part of disaster recovery efforts. A reference to the State's approved waiver should be included in the approximate date of the loss. If a lost or destroyed case record is later located or can be built to complete a review, the review finding must be submitted.

¹ This information can be provided via secure email as long as the Case ID number is randomly assigned and does not include PII.

² For partial documentation, there must be an attempt to complete the review.

³ Note these must be FEMA declared disasters. Lost or destroyed records included in this policy do not include loss due to agency error.