



Health Care Fraud Records Retention Schedules

The table below list records retention schedules for the Ohio Attorney General’s Office that have been approved by the Department of Administrative Services (DAS), State Archives, and Auditor of State. To view the official agency retention schedules, please go to the [Ohio Government Records Database](#). **Disclaimer:** If you have any issues reading this document, please feel free to [Contact Us](#) and we will try to provide an accessible version.

Record Series Title	Agency and Series Authorization Numbers	Record Series Description	Confidential Description	Vital Description	Retention Period	Retention Justification	Method of Disposal	Date Schedule Approved
Evidence Master Log	075-OAG-06 055-0576	Chronological list of evidence received. Formerly OAG-75-9a.			Paper – Retain in office prior to case closing, then scan into the electronic master file and destroy.	Needs to be kept at least as long as master files (075-OAG-04).	Paper – Wastepaper	6/14/2005



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Record Series Title	Agency and Series Authorization Numbers	Record Series Description	Confidential Description	Vital Description	Retention Period	Retention Justification	Method of Disposal	Date Schedule Approved
Non-Prosecuted Cases	075-OAG-09 055-0710	Cases not prosecuted and related materials for Workers' Compensation Fraud Unit (WCFU) and Medicaid Fraud Control Unit (MFCU) through 2004.	42CFR 431.300, ORC 149.43(A)(1)(a), ORC 149.43(A)(1)(h), ORC 149.43(A)(2)(a), ORC 149.43(A)(2)(c), ORC 109.02, ORC 109.84, ORC 109.85, ORC 109.86		Paper – Retain in office prior to closing, after closing, transfer to state storage for 4 years, then destroy.	No value at Conversion.	Paper – Wastepaper	4/11/2008
Grand Jury Recordings	075-OAG-12 10551230	Contains Special Grand Jury Recordings.	Ohio Criminal Rule 6E. All grand jury records must be kept confidential.		Machine Readable – Retain Electronically for 20 Years.	Legal References.	Machine Readable – Shred	9/9/2008



Record Series Title	Agency and Series Authorization Numbers	Record Series Description	Confidential Description	Vital Description	Retention Period	Retention Justification	Method of Disposal	Date Schedule Approved
Prosecuted Case Files	075-OAG-17 10551632	Prosecuted case files for Healthcare fraud section, including, but not limited to the Medical Fraud Control Unit (MFCU) and Worker's Compensation Fraud Unit (WCFU), investigatory materials, administrative documents, attorney work product, research, pleadings, correspondence, discovery, expert materials and settlement materials.	42CFR 431.300, ORC 149.43(A)(1)(a)(g), ORC 149.43(A)(1)(h), ORC 149.43 (A)(2)(c), ORC 109.02, ORC 109.84, ORC 109.85 and ORC 109.86.		Machine Readable – Retain electronically for 20 years from case closure. Paper – Retain for 20 years from case closure, unless saved electronically.	Reference and research purposes, often used to find repeating themes or patterns of abuse.	Machine Readable – Delete Paper – Shred	12/1/2016
Non-Prosecuted Cases	075-OAG-18 10551633	Research and investigatory materials, as well as administrative documents, for the Healthcare Fraud section, including, but not limited to the Medicated Fraud Control Unit (MFCU) and Worker's Compensation Fraud Unit (WCFU) for investigations but cases not prosecuted.	42CFR 431.300, ORC 149.43(A)(1)(a)(g), ORC 149.43(A)(1)(h), ORC 149.43 (A)(2)(c), ORC 109.02, ORC 109.84, ORC 109.85 and ORC 109.8.		Machine Readable – Retain electronically for 20 years from case closure. Paper – Retain for 20 years from case closure, unless saved electronically.	Reference and research purposes, often used to find repeating themes or patterns of abuse.	Machine Readable – Delete Paper – Shred	12/1/2016



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Medicaid Fraud Control Grant Documentation	074-OAG-19 10551660	Documents grant application and awarding of grant funding from the federal Department of Health & Human Services. Records include, but are not limited to, reports, quarterly financial and statistical reports outlining the unit's indictments and convictions, correspondence, and expenditure records received by Medicaid Fraud Control Unit's Federal Grant group that is from the Department of Health and Human Services.			Machine Readable – Retain 20 years. Paper – Retain 20 years, unless scanned and saved electronically.	Reference and reporting purposes.	Machine Readable – Delete Paper – Shred	8/3/2017
Grand Jury Records	075-OAG-02 10551200	Contains attendance records, subpoenas, court filings and correspondence. (Formerly OAG-75-6)	Ohio Criminal Rule 6E All grand jury records must be kept confidential.		Machine Readable – Retain electronically for two years.	Legal references.	Machine Readable – Wastepaper	4/11/2008



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Electronic Docket System	075-OAG-20 10551659	System that helps track and manage investigations and prosecutions handled by the Health Care Fraud section. System contains, but is not limited to, case information, (suspects, defendants, charges, sentences, significant events etc.), agent activities, evidence control documentation, supporting files, calendar appointments, and some financial-related information (restitutions, investigation costs, civil recoveries, etc.) related to case work.	Safeguarding Information on Applicants and Recipients (42 CFR 431.300); trial preparation and confidential law enforcement investigatory records (ORC 149.43).	Some records are the only record.	Machine Readable – Retain 20 years after closure. Paper – Retain 20 years after case closure, unless scanned and saved electronically.	Reference and reporting purposes.	Machine Readable – Delete Paper – Shred	8/3/2017



Record Series Title	Agency and Series Authorization Numbers	Record Series Description	Confidential Description	Vital Description	Retention Period	Retention Justification	Method of Disposal	Date Schedule Approved
Documentary Evidence	075-OAG-21 10551717	Originals and copies of records collected from external providers, informants, other agencies or records created internally by the Health Care Fraud section. Records include, but are not limited to, video surveillance recordings, interview recordings, medical records, and banking records.	Records may contain Medicaid, medical, or confidential investigatory information protected by ORC 5160.45 (Disclosure of medical assistance information), ORC 149.43 (Availability of public records for inspection and copying, and 45 CFR 1007.11 (Duties and responsibilities of the unit [State Medicaid fraud control unit]).		Machine-Readable & Paper – Transfer originals to owner as mandated by statute or court order. If evidence is not claimed but consists of copies of original documents, which are maintained by original source, destroy. If the evidence consists of originals and is either not claimed or was created internally, retain 4 years from case closing. If evidence was created internally and a copy of materials is already being retained as part of a case file, destroy.		Machine-Readable – Delete Paper – Shred	3/5/2019



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Prosecuted Case Files	075-OAG-4 10551236	All prosecuted case files for the Medicaid Fraud Control Unit (MFCU) and Workers' Compensation Fraud Unit (WCFU) through 2004. (Formerly OAG-75-8 A&B)	42CFR 431.300, ORC 149.43(A)(1)(a), ORC 149.43(A)(1)(h), ORC 149.43(A)(2)(a), ORC 149.43(A)(2)(c), ORC 109.02, ORC 109.84, ORC 109.85, ORC 109.86		Paper – Retain in office prior to closing. After closing, transfer to state storage for 7 years, prior to destroying.	Files may overlap and may be reopened at any time.	Paper – Shred	12/22/2008



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Law Enforcement Automated Data Systems (LEADS)	075-OAG-L 10551223	Contains printouts of Law Enforcement Automated Data Systems (LEADS) records which include driver's license, Bureau of Motor Vehicles information and criminal records checks.	ORC 4501:2-10-06 Access to LEADS shall be limited to certified operators. Each operator has a password. An audit trail is maintained at LEADS agencies. All computerized criminal history inquiries must be maintained as specified per BCI&I training manual or an automated log whose format is approved by BCI&I.		Paper – Retain in office 30 days after case is closed, then destroy.	Reference and research on suspect witnesses.	Paper – Shred	3/12/2008