

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER N1-440-10-1	
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received 11-27-2009	
1. FROM (Agency or establishment) Department of Health and Human Services		NOTIFICATION TO AGENCY	
2. MAJOR SUBDIVISION Centers for Medicare & Medicaid Services			
3. MINOR SUBDIVISION Consortium for Health Plan Operations, Moshe Schneider, Records Manager (212) 616-2218		In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
4. NAME OF PERSON WITH WHOM TO CONFER Vickie Robey, CMS Records Officer (410) 786-7883	1. TELEPHONE NUMBER (410) 786-7883	DATE <i>11 Aug 10</i>	ARCHIVIST OF THE UNITED STATES 
<p>2. AGENCY CERTIFICATION I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached <u>4</u> page(s) are not needed now for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,</p> <p><input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.</p>			
<i>11/24/09</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>Yvonne X. Wilson</i>		TITLE DHHS Records Management Officer
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION Medicare Health Plan Organization Records The attached schedule covers the Medicare Prescription Drug and Health Plan Organization Records.	9. GRS OR SUPERSEDED JOB CITATION N1-440-99-2/1 & 2; N1-440-95-1/15; N1-440-01-6/1f; NC1-440-79-1/7; N1-440-93-4/3; N1-440-98-2;	10. ACTION TAKEN (NARA USE ONLY)
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MEDICARE HEALTH PLAN ORGANIZATION RECORDS

Medicare Health Plan Organizations (MHPDs) encompass any federally-qualified Medicare-contracting organization, which may provide a network of health providers and/or pharmacies and related services, under Titles XIII of the Public Health Service Act and XVIII of the Social Security Act Parts C and D as well as similarly constituted health plan organizations meeting future program expansion. This currently includes, but is not limited to, Medicare Advantage (MA) Plans (formerly known as HMOs), Medicare Advantage – Prescription Drug (MA-PD) Plans, Prescription Drug (PDP) Plans, Programs of All-Inclusive Care for the Elderly (PACE), Health Care Prepayment Plans (HCPP) and Cost-based Plans.

A1 + A2

Superseded by:

+ A3

DAA-0440-2a(5)-0006-0001

DATE (MM/DD/YYYY):

8/15/2017

A. MHPD Application Files

1. Initial Application Files

This file consists of individual case folders on federally-qualified and Medicare-contracting Health Plan Organizations (MHPDs) pursuant to statutory and regulatory requirements under Titles XIII of the Public Health Service Act and XVIII of the Social Security Act, as amended. These files comprise the initial applications including supporting documentation related to functional areas such as health services delivery, structural and contractual, management information system, management, financial, marketing; formulary, Part D related and other pertinent data as officially required.

DISPOSITION:

a. Central Office (official file) – Cutoff at the end of the calendar year. Destroy 10 years after case is closed (i.e., closed or no longer actively used, added to or otherwise modified; refers to being the final version).
 (Disposition Authority: N1-440-99-2, Item 1a1)

b. Regional Office – Cutoff at the end of the calendar year. Destroy 2 years after case is closed.
 (Disposition Authority: N1-440-99-2, Item 1a2)

2. Service Area Expansion Files

These files consist of material for complete service area expansion documentation. The files include application related material, guidelines, specialists reports, reviews, approvals, site visits, notes, and other required correspondence.

DISPOSITION:

a. Central Office – Cutoff at the end of the calendar year. Destroy 10 years after case is closed.
 (Disposition Authority: N1-440-99-2, Item 4a1)

b. Regional Offices – Cutoff at the end of the calendar year. Destroy 2 years after case is closed.
 (Disposition Authority: N1-440-99-2, Item 4a2)

3. Official Medicare Health Plan Organization (MHPD) Correspondence File

This file consists of incoming and outgoing correspondence and essential back up material pertaining to individual MHPD applications related to monitoring, compliance and enforcement. These files consist of, or

~~relate to, correspondence on such matters as site visits, reviews, evaluations, specialty reports, meetings, letters of approval, denial, revocation, and other related documentation as necessary.~~

~~**DISPOSITION:** Cutoff at the end of the calendar year. Destroy 10 years after cutoff.~~

~~(Disposition Authority: N1-440-99-2, Item 1b)~~

ITEM B

Superseded by:

DAA-0440-2015-0006-0001

DATE (MM/DD/YYYY):

8/15/2017

B. Compliance Files

1. Official Compliance Files

These files consist of material in support of the continuing compliance with the statutory and regulatory requirements of Title XIII of the Public Health Service Act and Title XVIII of the Social Security Act. These files include or relate to program correspondence on such matters as analyses, reports, evaluations, non-compliance, revocations, financial reports and other associated documentation. Financial reporting is accomplished through the use of the National Data Reporting Requirements (NDRR) and audited financial reports.

- ~~a. Financial Reports (Audited and Revoked) – **DISPOSITION:** Cutoff at the end of the fiscal year. Destroy 7 years after cutoff. (Disposition Authority: N1-440-99-2, Item 2a, 2b)~~
- b. Annual NDRR Reports – **DISPOSITION:** Cut off at the end of the fiscal year. Destroy 3 years after cutoff. (Disposition Authority: N1-440-93-4, Item 2c)**
- c. Quarterly NDRR Reports - **DISPOSITION:** Cut off at the end of the fiscal year. Destroy 1 year after cutoff. (Disposition Authority: N1-440-93-4, Item 2d)**
- d. Compliance Program Correspondence – These files include but are not limited to: analyses, reports, evaluations, noncompliance actions, program compliance audit files, related compliance material such as warning letters, noncompliance notices and related audit material such as ad hoc compliance event correspondence, focused audit correspondence and file & use certification forms.**

DISPOSITION: CMS Central & Regional Offices – Originator of the correspondence maintains and destroys after a total retention of 10 calendar years. (New)

- e. Enrollment Certifications – This file consist of but is not limited to, the certification form of monthly enrollment and payment data relating to CMS payment.**

DISPOSITION: Cutoff at the end of the calendar year. Destroy 6 years after cutoff.

~~(Disposition Authority: N1-440-01-6, Item 1f)~~

- f. Marketing Materials – These files include, but are not limited to, annual materials related to the marketing of MHPD benefits to the public.**

DISPOSITION: Cutoff at the end of the calendar year in which the study/review is completed. Destroy 2 years after cutoff.

C. Loan/Loan Guarantee Files

This file is maintained for each loan made to or loan guarantee made on behalf of a Health Plan Organization. These records comprise the official file copy of the application, evaluation, recommendations, correspondence, standard commitment and loan closing documents (including certifications, promissory

notes, Operating Cost Assistance Agreement, or Escrow Agreement, etc.) program narratives, and other related documentation.

Superseded by Job Item number:

DISPOSITION:

DAA-0440-2015-0004-001

ITEM
C

1. Loans Paid in Full - Cutoff at the end of the calendar year after final payment. Destroy when 7 years old on receipt of final payment.

2. Uncollected Loans - Transfer the original loan file to the Department of Justice (DOJ). Retain onsite one copy of all pertinent loan documentation. Destroy the onsite copy after a total retention of 7 calendar years from the date of transfer to DOJ.

DAA-0440-2015-0006-001

ITEM
D

D. MHPO Grantee Development Files

These files consist of feasibility, planning, and initial development and expansion grant applications for funds, to develop an organization into a qualified MHPO. These files consist of application for funds specialists reports, notice-of-grants awards, audit reports, progress reports, consultants reports, reviews, grantee site visit reports, and related correspondence. The files include such materials as when the organizations became a qualified MHPO.

DISPOSITION: Cutoff at the end of the calendar year. Destroy 10 years after case is closed.

(Disposition Authority: N1-440-99-2, Item 3)

DAA-0440-2015-0008-001

ITEM
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E. Adjusted Community Rate (ACR) Proposal

Date (MM/DD/YYYY):

7/25/2017

These files consist of a MHPOs documentation supporting its proposed monthly premium charge to Medicare beneficiaries who enroll. Additionally, the file contains the value of health benefits it will provide to the Medicare enrollees which are over and above what Medicare covers. These benefits can be described as additional, optional and mandatory supplemental benefits. CMS's letters of approval to the health plans are also contained in each of the folders.

DISPOSITION: Cutoff at the end of the calendar year. Destroy 7 years after case is closed.

F. Plan Submissions (Formulary Submissions, Medication Therapy Management Program, Health Plan Bids)

All files related to formularies such as the formulary reference file, administrative and program submissions; any submissions other than formulary submissions related to Part D prescription drug benefit not otherwise covered above; each Part D Sponsor is required to incorporate a Medication Therapy Management Program (MTMP) into their plans' benefit structure; Also includes bids received from prescription drug or other MHPOs.

DAA-0440-2015-0006-001, 8/15/2017

DISPOSITION: Cutoff at the end of the calendar year for which submitted. Destroy 10 years after cutoff.

G. Performance Measurement Reports

Documents relating to the establishment of minimum performance levels and setting benchmarks for MHPOs to achieve specific goals.

DISPOSITION: Cutoff at the end of the calendar year for which submitted. Destroy 10 years after cutoff.

DAA-0440-2015-0042-001, 9/20/2017