

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

## **Schedule Number: N1-440-87-002**

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 7/31/2023

### **ACTIVE ITEMS**

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

All items except those listed below are active

### **SUPERSEDED AND OBSOLETE ITEMS**

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

Items 1a1/2, 1b1/2 is superseded by N1-440-93-004 #1

Items 2a/b is superseded by N1-440-93-004 #2a-e

Item 3a is superseded by N1-440-93-004 #3a/b

Item 5a/b is superseded by N1-440-93-004 #4

Item 4 is superseded by N1-440-99-002 #4

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b> <i>(See Instructions on reverse)</i>		LEAVE BLANK	
TO <b>GENERAL SERVICES ADMINISTRATION</b> <b>NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408</b>		JOB NO <b>N1-440-87-2</b>	DATE RECEIVED <b>2-25-87</b>
1. FROM (Agency or establishment) <b>Health Care Financing Administration</b>		NOTIFICATION TO AGENCY	
2. MAJOR SUBDIVISION <b>Office of Administrative Services</b>		In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10. If no records are proposed for disposal, the signature of the Archivist is not required.	
3. MINOR SUBDIVISION <b>Telecommunications, Records and Mail Section</b>			
4. NAME OF PERSON WITH WHOM TO CONFER <b>Reba D. Henighan</b>	5. TELEPHONE EXT <b>FTS 934-8712</b>	DATE <b>3-26-87</b>	ARCHIVIST OF THE UNITED STATES <i>Frank A. Bunker</i>
6. CERTIFICATE OF AGENCY REPRESENTATIVE			

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records, that the records proposed for disposal in this Request of 5 page(s) are not now needed 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, if required under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is attached

A GAO concurrence  is attached, or  is unnecessary

B DATE <b>2/13/86</b>	C SIGNATURE OF AGENCY REPRESENTATIVE <i>George Deal</i> <b>Dr. George Deal</b>	D TITLE <b>Department of Health and Human Services Records Management Officer</b>
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7 ITEM NO	8 DESCRIPTION OF ITEM <i>(With Inclusive Dates or Retention Periods)</i>	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN <i>(NARS USE ONLY)</i>
1	Office of Prepaid Health Care formerly the Health Resources and Services Administration became a part of the Health Care Financing Administration June 1986. <i>Office of Health Maintenance Organizations</i>	Appendix B-341 NCI-90-82-5 <del>NCI-90-81-3</del>	<i>13 items</i>

Request for Records Disposition Authority - Continuation	JOB NO	PAGE OF <del>48</del> 2	
7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
82	<p><b>RECONSIDERATION FILES</b></p> <p>Case files which document a reconsideration review by the Department and/or the National Council for Health Planning. A complete record of the request for reconsideration of a decision by the Regional Health Administrator to allow or disallow reimbursement under Section 1122 of the Social Security Act is maintained.</p> <p style="text-align: center;">Description</p> <p><u>Non-Permanent.</u> <u>Office of Record.</u> Retain 10 years after review is completed and destroy.</p>		
83	<p><b>RECORDS OF STATE AND LOCAL ACTIONS</b></p> <p>Copies of HRA-45, Record of State and Local Action Pursuant to Section 1122 of the Social Security Act and State Certificate of Need Program, which, since June 1979, document planning reviews conducted by State Health Planning and Development Agencies and Health Systems Agencies. Data from the forms are entered into an automated information system.</p> <p style="text-align: center;">Description</p> <p><u>Non-Permanent.</u> <u>Office of Record.</u> Retain 5 years and destroy.</p>		
84	<p><b>HEALTH MAINTENANCE ORGANIZATION FILES (Job No. NC1-90-81-3)</b></p> <p>Title XIII of the Public Health Service (PHS) Act and Sections 1310 and 1312 require the implementation of a program for qualifying HMOs and a program for monitoring the compliance of these organizations on an ongoing basis. Organizations to be recognized as "qualified" must meet certain organizational and operational requirements (as specified in Section 1301(b) and (c) of the PHS Act) and are required to submit periodic reports to the Office of Health Maintenance Organization (OHMO) on their membership, utilization and finances. A wide range of benefits accrue to these organizations that are recognized as qualified.</p> <p>On September 19, 1978, OHMO was officially established. The Division of Compliance (DOC), OHMO, was created to monitor all federally qualified HMOs to assure their continuing compliance with the HMO authorities. Implementing these authorities requires the development of policies, procedures and regulations to govern the ongoing compliance of qualified HMOs.</p>		

Request for Records Disposition Authority - Continuation		JOB NO	PAGE OF <del>41</del> 3
7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
	<p><del>DOC gathers a wide range of information to identify problems or support regulatory determinations, maintains records, and monitors the progress of qualified HMOs. DOC provides necessary coordination with Federal, and State agencies, employer groups and other appropriate organizational components to assure compliance with the regulations and proper documentation of all actions.</del></p> <p>QUALIFICATION FILES (Job No. NC1-90-81-3)</p> <p>a. <u>Official Application Files</u></p> <p>This file consist of individual official case folders on "federally qualified HMO's" pursuant to statutory and regulatory requirements under Title XIII, as amended. These files are comprised of the following records: the application including supporting documentation related to six functional areas: health services delivery, structural and contractual, management information system, management, financial, and marketing; and other pertinent data as officially required.</p> <p style="text-align: center;">Description</p> <p>1. <u>Office of Record</u>. <sup>Cutoff on close of case.</sup> Transfer to WNRC when 15 years old. Destroy when 25 years old.</p> <p>2. <u>Other Offices</u>. Destroy when no longer needed for day-to-day program operations.</p> <p>b. <u>Official Correspondence File</u></p> <p>This file consists of incoming and out going correspondence and essential back up material pertaining to individual HMO applications for general reference and control purposes. These files consist of or relate to correspondence on such matters as site visits, reviews, evaluations, specialty reports, meetings, and other associated documentation as necessary.</p> <p>1. <u>Office of Record</u>. <sup>Cutoff annually.</sup> Transfer to WNRC when 15 years old. Destroy when 25 years old.</p> <p>2. <u>Other Offices</u>. Destroy when no longer needed for day-to-day program operations.</p>	<p>NC1-90-81-3</p> <p>19(1)</p> <p>19(2)</p> <p>1A(1)</p> <p>1A(2)</p>	

Request for Records Disposition Authority - Continuation		JOB NO	PAGE OF <del>42</del> 4
7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
<del>68</del> 2,	<p>COMPLIANCE FILES (Job No. NC1-90-81-3)</p> <p><u>Official Compliance Files</u></p> <p>This file consist of material in support of the continuing compliance function. These files include or relate to program correspondence on such matters as analyses, reports, evaluations, non-compliance, revocations and other associated documentations as necessary.</p> <p style="text-align: center;">Description</p> <p><i>Cutoff annually.</i></p> <p>a. <u>Office of Record.</u> Transfer to WNRC when 15 years old. Destroy when 25 years old.</p> <p>b. <u>Other Offices.</u> Destroy when no longer needed for day-to-day program operations.</p>		
<del>68</del> 3,	<p>LOAN/LOAN GUARANTEE FILES (Job No. NC1-90-81-3)</p> <p>This file is maintained for each loan or loan guarantee. These records comprise 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.</p> <p style="text-align: center;">Description</p> <p><i>Cutoff on final payment or resolution.</i></p> <p>a. <u>Office of Record.</u> Destroy 6 years and 3 months after final payment by the borrower or upon resolution or upon resolution of any adverse audit findings, whichever occurs later. (Transfer to FRC 2 years after final repayment.)</p> <p>b. <u>Uncollected Loans.</u> Transfer to the General Accounting Office 1 year after loan is determined uncollectable.</p> <p>c. <u>Other Offices.</u> Destroy 2 years after final repayment.</p>		
<del>68</del> 4,	<p>SERVICE AREA EXPANSION FILES (Job No. NC1-90-81-3)</p> <p>This file consists of material for complete service area expansion documentation. The file includes application related material, guidelines, specialists reports, reviews, approvals, site visits, notices, and other required correspondence.</p>		

Request for Records Disposition Authority - Continuation		JOB NO	PAGE OF 485
7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
5	<p style="text-align: center;">Description <i>Cutoff annually</i></p> <p>a. <u>Office of Record.</u> Transfer to WNRC when 15 years old. Destroy when 25 years old.</p> <p>b. <u>Other Offices.</u> Destroy when no longer needed for day-to-day program operations.</p> <p>HMO GRANTEE DEVELOPMENT FILES (Job No. NC1-90-83-5)</p> <p>These files consist of feasibility, planning, initial Development and expansion grant applications for funds to develop an organization into a qualified HMO. A file would typically 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 consists of organizations which did or did not become qualified.</p>	4a 4b	
	<p style="text-align: center;">Description <i>Cutoff on close of file.</i></p> <p>a. <u>Office of Record.</u> Transfer to WNRC when no longer needed for day-to-day program operations. Destroy when 25 years old.</p> <p>b. <u>Other Offices.</u> Destroy when no longer needed for day-to-day program operations.</p> <p>HEALTH RESOURCES ADMINISTRATION RECORDS CONTROL SCHEDULE</p> <p><u>SECTION III -- NON-RECORD MATERIALS</u></p> <p>This section pertains to file materials that are not included within the definition of the word "records" contained in the Records Disposal Act of 1943. This definition may be found in PHS: Chapter 4-00 entitled, "General Information," of the Department's Records Management Manual.</p> <p><u>Section III - Non-Record Materials</u></p> <p>Materials preserved solely for purposes of reference, e.g., public laws, Executive Orders, books, manuals, handbooks, circulars, regulations, directives, guidelines, bulletins, and policy and procedures documents published within DHHS, by other Federal Agencies, by State and Local government activities, and public entities and activities.</p>	NC1-90-83-5	