

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-440-95-001

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: **01/05/2023**

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These items, unless subsequently superseded, may be used by the agency to disposition records.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 other items are still considered 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SUPERSEDED AND OBSOLETE ITEMS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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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 as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

N1-440-95-001 / 1 is superseded by DAA-0440-2015-0004-0001
N1-440-95-001 / 3 is superseded by DAA-0440-2015-0004-0001
N1-440-95-001 / 4/a and 4/b is superseded by DAA-0440-2015-0012-0001
N1-440-95-001 / 5/a and 5/b is superseded by DAA-0440-2015-0001-0001
N1-440-95-001 / 6/a and 6/b is superseded by DAA-0440-2015-0001-0001
N1-440-95-001 / 7 is superseded by DAA-0440-2015-0012-0001
N1-440-95-001 / 8 is superseded by DAA-0440-2015-0004-0001
N1-440-95-001 / 9/a/1 to 9/b/2/b is superseded by DAA-0440-2015-0008-0001
N1-440-95-001 / 10 is superseded by DAA-0440-2015-0006-0001
N1-440-95-001 / 11/a is superseded by DAA-0440-2015-0012-0001
N1-440-95-001 / 12 is superseded by DAA-0440-2015-0012-0001
N1-440-95-001 / 14 is superseded by DAA-0440-2015-0004-0001
N1-440-95-001 / 15 is superseded by DAA-0440-2015-0008-0001
N1-440-95-001 / 16 is superseded by DAA-0440-2015-0008-0001

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

REQUEST FOR RECORDS DISPOSITION AUTHORITY

(See Instructions on reverse)

TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)
WASHINGTON, DC 20408

1. FROM (Agency or establishment)
DHHS/Health Care Financing Administration

2. MAJOR SUBDIVISION
OFHR/Office of Administrative Services

3. MINOR SUBDIVISION Division of Printing,
Distribution & Graphics Services

4. NAME OF PERSON WITH WHOM TO CONFER 5. TELEPHONE

Vickie Robey
Vickie Robey

(410) 966-7883

LEAVE BLANK (NARA use only)

JOB NUMBER
NI-440-95-1

DATE RECEIVED
3-20-95

NOTIFICATION TO AGENCY

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.

DATE ARCHIVIST OF THE UNITED STATES

10-8-98

John W. Carl

6. 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 10 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, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

is not required; is attached; or has been requested.

DATE MAR 10 1995	SIGNATURE OF AGENCY REPRESENTATIVE <i>A. Prentice Barnes, Sr.</i> A Prentice Barnes, Sr.	TITLE DHHS Records Management Officer
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7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
1	<p>HCFA RECORDS RETENTION SCHEDULE</p> <p>ADMINISTRATIVE/MANAGEMENT RECORDS</p> <p><u>Rulemaking Record for Regulations</u></p> <p>The rulemaking record consists of the memorandum to the Secretary for the proposed rule, proposed rule signed by the Secretary, public comments received in response to the proposal, the memorandum to the Secretary for the final rule, the final rule signed by the Secretary. Also included are any studies, surveys, final actuarial determinations or other documents that were relied upon in developing the policies included in the rule. The rulemaking support file contains interim drafts of the rules, internal comments received on the drafts, logs, specifications, preliminary actuarial estimates, recommendations and similar records which provide a basis for the policies and decisions included in the published document.</p>	NC1-440-79-2	

OCT 28 1998 *MW*

*Copy: to: Agency, NWMD
NR, NWCTC*

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse)		HAVE BLANK (NARA use only)	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER	
1. FROM (Agency or establishment) DHHS/Health Care Financing Administration		DATE RECEIVED	
2. MAJOR SUBDIVISION		NOTIFICATION TO AGENCY	
3. MINOR SUBDIVISION		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 <i>Vickie Robey</i> ^{3/19/97}	5. TELEPHONE (410) 786-7883		

6. 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 10 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, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

is not required; is attached; or has been requested.

DATE	SIGNATURE OF AGENCY REPRESENTATIVE A Prentice Barnes, Sr.	TITLE DHHS Records Management Officer
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7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
1	<p>HCFA's COMPREHENSIVE RECORDS SCHEDULE</p> <p>ADMINISTRATIVE/MANAGEMENT RECORDS</p> <p><u>Rulemaking Record for Regulations</u></p> <p>The official Rulemaking record file consists of all public comments received in response to the proposed rule, any computer runs, external/internal studies, surveys, final actuarial determinations or other documents that were relied upon in developing the policies included in the rule. Office of Record: BPD, Regulations Staff</p> <p>DISPOSITION:</p> <p>a) Hardcopy Records - PERMANENT. Cutoff file 6 months after publication of final notice or rule and transfer to the Federal Records Center. Transfer to the National Archives when ³⁰20 years old.</p> <p><i>per 6/18/03 & 12/8/04 email fr. V. Robey</i></p>		

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b) Microfiche - Destroy when no longer needed for Agency reference.

File Containing Internal and Preliminary Drafts and Comments Pertaining to Rulemaking

This file contains internal, predecisional documents and drafts, including interim drafts of the rules internal comments received on the drafts, regulation logs, regulation specifications (if applicable), preliminary actuarial estimates, and internal recommendations. This file may also contain the proposed rule, any summary of comments, the final rule, the memorandum to the Secretary for the proposed rule, the proposed rule signed by the Secretary, the memorandum to the Secretary for the final rule, and the final rule signed by the Secretary. Office of Record: BPD, Regulations Staff

DISPOSITION: Cutoff file 1 year after publication of final notice or rule and transfer to the Federal Records Center. Destroy 9 years after cutoff.

MEDICARE PROGRAM RECORDS

3

Intermediary and Carrier Closing Agreements

The accepted final settlement for all intermediary and carrier costs of administration and consist of the Closing Agreement, Appendix, and Schedules of Balances due the intermediary, carrier, or Secretary. Office of Record: Bureau of Program Operations

DISPOSITION: Cutoff file after HHS audit and final settlement. Transfer to the Federal Records Center 3 years after cutoff. Destroy 10 years after cutoff.

BHI:g.
40-2
Item X

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
4	<p><u>Ambulatory Surgical Center (ASC) Surveys</u></p> <p>The survey response files contain ASC identification information and audited and non-audited charge and cost data used by HCFA to establish the current ASC payment rates. Audited reports also contain the <u>Management Report of the Field Audit</u>. ASC survey data used to develop a rule establishing ASC rates must also be included in the relevant Rulemaking record file. Office of Record: BPD, Division of Special Payment Programs.</p> <p>DISPOSITION:</p> <p>a) <u>Reports and Summary Reports</u> - Cutoff file after completion of the survey. Transfer to the Federal Records Center 1 year after the report is completed. Destroy 10 years after cutoff.</p> <p>b) <u>Surveys</u> - Cutoff file after completion of the study. Destroy 5 years after the final and/or summary reports are completed.</p>		
5	<p><u>Program Operational Studies</u></p> <p>Documents related to reviews and special studies of HCFA Central Office, Regional Office and Medicare contractors to determine the degree of adherence to established policies, instructions or specifications. Office of Record: All HCFA offices.</p> <p>a) <u>Final Report</u> - PERMANENT. Cutoff at the close of the calendar year in which the final report/study is completed or after final payment is made, whichever is later. Retire to the Federal Records Center 10 years after cutoff. Transfer to the National Archives 20 years after cutoff.</p> <p>b) <u>Background Information</u> - Cutoff file after completion of the study. Destroy 5 years after the completion of all reports.</p>		

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Congressional Studies

Files consist of studies mandated by public laws and contains surveys, survey materials, working papers, correspondence, final report and related materials. Office of Record: BPO, Office of Quality & Evaluation, PAB.

DISPOSITION:

A) Final Report - **PERMANENT**. Cutoff after the final report is released to Congress. Transfer to the Federal Records Center 3 years after cutoff. Transfer to the National Archives 15 years after cutoff. 10 cubic feet, from 1994 to present, arranged by contract number.

B) Background Information - Cutoff when final report has been released to Congress or after the survey process is completed, whichever is later. Transfer to the Federal Records Center 6 months after cutoff. Destroy 5 years after cutoff.

7

Completed Medicare Contractor Pension Cost Questionnaire and Supporting Documentation

Documents relating to Medicare contractor and subcontractor pension segmentation. In accordance with the Medicare contract/agreement Appendix B, Section XVI, the Medicare contractors were required to perform a pension asset allocation to substantiate the assets allocated to the "Medicare Segment". Contractors were required to complete "The Medicare Contractor Pension Cost Questionnaire" and to maintain the documentation specified therein to assist HHS OIG auditors in determining compliance with that section of the contract. In cases where the contractor does not agree with the findings of the audits, legal action ensues until the disagreement is resolved. Involved are the questionnaire and all documents, records and files supporting the questionnaire. Office of Record: Office of the Actuary, Pension Actuarial Staff.

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
8	<p>DISPOSITION:</p> <p>a) <u>Carriers, Intermediaries and Subcontractors</u> - Cutoff after final settlement and/or after all appeals are exhausted. Provide a copy to the DHHS/Office of the Inspector General. Destroy 6 years and 3 months after cutoff.</p> <p>b) <u>HCFA Headquarters</u> - Cutoff after final settlement or after all appeals are exhausted. Retire to the Federal Records Center 1 year after cutoff. Destroy 6 years and 3 months after cutoff.</p> <p>PENSION ACTUARIAL ANALYSIS</p> <p>Documents from completed actuarial analysis of Medicare contractors or provider special projects, e.g., provider pension issues, HMO loans, contract negotiations. Office of Record: Office of the Actuary, Pension Actuarial Staff.</p> <p>DISPOSITION: Cutoff after completion of the project. Transfer to the FRC 1 years after cutoff. Destroy 6 years after cutoff.</p> <p style="text-align: center;">PROVIDER RECORDS</p> <p>Provider Certification Files</p> <p>Documents relating to the survey and certification of suppliers and providers of service. Included are official certification and transmittal forms, survey report forms, utilization review plans, provider agreements, transfer agreements, plans of correction, civil rights compliance forms, intermediary designation and tie-in notices, certification letters, and various forms and correspondence used in the certification process with respect to individual facilities. Excluded from this definition are surveyor's notes, rough copy survey report forms, and other work papers which are merged into and superseded by a final product. Office of Record: HCFA Regional Offices, State Agencies</p>	BHI.g:40-2	

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7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>DISPOSITION:</p> <p>A. <u>HCFA Regional Office</u></p> <p>1) <u>Non-participating Facilities</u> - Cutoff file after termination or denial. Destroy 6 years after cutoff.</p> <p>2) <u>Participating Facilities</u></p> <p>a) Maintain the Form HCFA-1561 - Health Insurance Benefits Agreement, the two most recent certifications and background/support materials. Destroy all other records.</p> <p>b) <u>Survey report forms and related documents</u> - Cutoff file After completion of survey. Destroy 6 years after cutoff.</p> <p>c) <u>Survey report forms and related documentation pertaining to access hospitals</u> - Cutoff file after removal from the access category and completion of the survey. Destroy 4 years after cutoff.</p> <p>d) <u>Mammography Files</u> - Cutoff file upon approval of schedule and transfer immediately to the FRC. Destroy 3 years after cutoff.</p> <p>B. <u>State Agencies</u></p> <p>1) <u>Non-participating Facilities</u> - Cutoff file after termination, closure, withdrawal, or denial. Destroy 4 years after cutoff.</p> <p>(a) <u>Non-Certified Facilities</u> - Cutoff file after last contact or correspondence. Destroy 1 year after cutoff.</p>	Item II.AA.1	
	<p>1) <u>Non-participating Facilities</u> - Cutoff file after termination, closure, withdrawal, or denial. Destroy 4 years after cutoff.</p> <p>(a) <u>Non-Certified Facilities</u> - Cutoff file after last contact or correspondence. Destroy 1 year after cutoff.</p>	Item II.AA.2	

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	<p>2) Participating Facilities</p> <p>a) Retain a facility's (hospitals and skilled nursing facilities (SNFs)) current utilization review plan, transfer agreements and floor plan or physical plant layout. Destroy when superseded, obsolete or when facility becomes non-participating.</p> <p>b) Maintain the two most recent certification actions at all times. Destroy all other records when 4 years old.</p>		
10	<p><u>Supplementary Medical Insurance--General Enrollment Period Records</u></p> <p>Records consisting of source documents, (the HCFA-L40D) all individuals who responded in the direct mail solicitation for SMI enrollment. The records contain such information as beneficiary name, claim number, address, premium amount, and check mark reflecting individual's election or refusal of enrollment. Office of Record: Bureau of Data Management & Strategy</p> <p>DISPOSITION:</p> <p>A. <u>Source Document</u> - Cut off at the close of the General Enrollment Period. Destroy 1 year after cutoff.</p> <p>B. <u>Timely Filed Yes Reply List</u> - Cut off at the end of the calendar year. Destroy 3 years after cutoff.</p>	NC1-440-79-1	
11	<p><u>Contractor Performance Review Visit Files</u></p> <p>Documents relating to scheduled or special visits to intermediaries and carriers to review their Medicare operations and to determine the degree of adherence to established policy, adequacy of service to the public, and to verify the accuracy of reporting. Included are reports of staff visits, follow-up reports, communications concerning improvements in operations and other documents relating to contract performance review visits.</p>	BHI: g:40-2 Item II.V.	

Medical contractors ←
now arrived from V. Ashby 5/27/75

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7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
a.	<p>1. HCFA Headquarters - Cutoff at the close of the calendar year in which action on the review is completed, hold <u>7</u> years, and then transfer to the FRC. Destroy 12 years after cutoff.</p>	<p><i>6</i> <i>For email from V. Koberg 5/27/97</i></p>	
b.	<p>2. Other Offices - Destroy after a total retention of 4 years after the close of the CY in which action on the review is completed.</p>		
	MEDICAID RECORDS		
12	<p><u>State Sampling Plans (Active and Negative)</u></p> <p>Basic plan and modifications which details States' methodology for selecting cases used in State Medicaid Quality Control Reviews. Plans are developed by States with Regional Office assistance. Record copy maintained at HCFA RO. Both HCFA and the States retain copies. Office of Record: Medicaid Bureau, Statistical Analysis Branch.</p> <p>DISPOSITION: Move superseded or obsolete material to an inactive file. Cutoff inactive file at the end of the fiscal year. Destroy 3 years after cutoff.</p>		
13	<p><u>Computer Printouts</u></p> <p>Includes all DATAMED reports from HCFA Headquarters Headquarters to the Regional Office (RO), copies of DATAMED listings sent to HCFA Headquarters; copies of minicomputer printouts generated at the RO which include data analysis pertinent to error rate projections, and related subjects not maintained as part of another file. Office of Record: Bureau of Data Management and Strategy.</p> <p>DISPOSITION: Cutoff file 1 year after closeout of review period. Destroy 3 years after cutoff and all appeals are exhausted.</p>		

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OFFICE OF RESEARCH AND DEMONSTRATION**Demonstration Cost Reports**

Cost reports are required for certain demonstrations to reimburse providers and collect data for the demonstration evaluation. The cost reports are unique to each demonstration. For cost type demonstrations, providers are granted hearing and appeal rights should they dispute the government's determination of program liability. Cost reports are currently utilized for the Municipal Health Services Program, Alzheimer Disease Demonstration and the Community Nursing Organization Demonstrations. Office of Record: Office of Research and Demonstrations.

DISPOSITION: Cutoff file upon final determination of program liability and all appeals are exhausted or 1 year after the issuance of a report to Congress, whichever is later. Destroy 6 years and 3 months after cutoff.

HEALTH MAINTENANCE ORGANIZATION RECORDS

15

Official Compliance Files

Regional Office program correspondence, analyses reports, evaluations, and non-compliance actions. Office of Record: Office of Prepaid Health Care.

DISPOSITION: Cut off annually. Destroy after a total retention of 4 years.

PROVIDER REIMBURSEMENT REVIEW BOARD RECORDS

16

Hearing Decision Case File (previously Hearing Record Case Files)

Case files containing documents accumulated in the hearing process. Included are the provider's request for a hearing, provider position papers, fiscal intermediary position papers, cost reports, notice of hearing, hearing transcripts, hearing decision by the Board, and related documents. Hearing decisions may be reviewed by the Secretary of HHS, and provider may seek judicial review of unfavorable decisions.

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Item II.A

Request for Records Disposition Authority - Continuation

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17	<p>Office of Record: Office of Hearings and Appeals</p> <p>DISPOSITION: Cutoff file after a dismissal or final decision and transfer to the Federal Records Center at the end of the fiscal year. Destroy 6 years after cutoff. 200 cubic feet annually, arranged numerically by case number.</p> <p>Hearing Record Status File (previously Hearing Record Card File)</p> <p>A 5 x 8 card file recording the status of each hearing case record (Medicare Part A reimbursement appeals) from 1994 through 1990 filed with the Provider Reimbursement Review Board (PRRB). Information includes name of the provider, provider number, fiscal year at issue and fiscal intermediary, whether the case is active, has been dismissed, or a hearing decision rendered. Approximately 28,200 cards. Office of Record: Office of Hearings and Appeals.</p> <p>DISPOSITION: Transfer to an Agency Records Holding Area immediately. Destroy in the year 2000. (15 cubic feet, from 1974 through 1990, arranged numerically by case number.)</p>	Item II.D.	

a:195-1

Attachment to SF 115 N1-440-95-1

Conversion table for records housed at WNRC

Accessions to be converted to N1-440-95-1, item 1a

440-91-0009
440-94-0049
440-94-0050
440-94-0051
440-95-0058
440-95-0059
440-95-0089
440-96-0059

Accessions to be converted to N1-440-95-1, item 2

440-90-0024
440-90-0030
440-91-0007
440-94-0067
440-95-0090
440-95-0156
440-96-0032
440-96-0062