

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse)		LEAVE BLANK (NARA use only)	
TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER N1-440-99-2	
1. FROM (Agency or establishment) DHHS/Health Care Financing Administration		DATE RECEIVED 2-6-99	
2. MAJOR SUBDIVISION Center for Health Plans and Providers		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
3. MINOR SUBDIVISION Health Plan Purchasing & Admin. Group			
4. NAME OF PERSON WITH WHOM TO CONFER Vickie Robey <i>Vickie Robey</i>	5. TELEPHONE (410) 786-7883	DATE 5-25-99	ARCHIVIST OF THE UNITED STATES <i>John W. Carl</i>
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 <u>4</u> 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, <input checked="" type="checkbox"/> is not required; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE DEC 23 1998	SIGNATURE OF AGENCY REPRESENTATIVE <i>Arthur Barnes, Sr.</i> A Prentice Barnes, Sr.	TITLE DHHS Records Management Officer	

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
1	HEALTH CARE FINANCING ADMINISTRATION RECORD SCHEDULE HEALTH MAINTENANCE ORGANIZATION (HMO) APPLICATION FILES <u>a. Initial and Expansion Application Files</u> - This file consists of individual case folders on "federally-qualified and Medicare-contracting HMOs" 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 and expansion applications 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. DISPOSITION: Cut off on close of case. Transfer to the Federal Records Center (FRC) when 3 years old. Destroy 10 years after cutoff.	N1-440-93-4 Items 1a(1), 1a(2)	

Copy to Agency
NID

Request for Records Disposition Authority - Continuation

JOB NO

PAGE OF

2 of 4

7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
2	<p>b. <u>Official Correspondence Files</u> - This file consists of incoming and outgoing correspondence and essential backup 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, letters of approval, letters of denial and letters of revocation, and other associated documentation as necessary.</p> <p><u>DISPOSITION:</u> Cut off annually and transfer to the FRC. Destroy 10 years after cutoff.</p> <p>COMPLIANCE FILES</p> <p><u>Official Compliance Files</u></p> <p>This file consists 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.</p> <p><u>DISPOSITION:</u></p> <p>a. <u>Audited Financial Reports.</u> Cut off annually and transfer to the FRC unless revoked. Destroy 7 years after cutoff.</p> <p>b. <u>Revoked Audited Financial Reports.</u> Cut off annually and transfer to the FRC. Destroy 7 years after cutoff.</p>	Items 1b(1), 1b(2)	
		Items 2a, 2b	

Request for Records Disposition Authority - Continuation		JOB NO	PAGE OF 3 of 4
7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
	<p>d. <u>Program Correspondence, Analyses, Reports, Evaluations, Non-Compliance Actions.</u> Cutoff annually and transfer to the FRC. Destroy 7 years after cutoff.</p>		
3	<p><u>HMO GRANTEE DEVELOPMENT FILES</u></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 include such material as whether the organization became a qualified HMO.</p> <p><u>DISPOSITION:</u> Cutoff and transfer to the FRC when file is closed and is no longer needed for day-to-day program operations. Destroy 10 years after cutoff.</p>	<p>N1-440-93-4 Item 4</p>	
4	<p><u>SERVICE AREA EXPANSION FILES</u></p> <p>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.</p> <p><u>DISPOSITION:</u></p> <p>a. Records dated 1987 through 1993:</p> <ol style="list-style-type: none"> 1. Office of Record - Cut off annually and transfer to the FRC. Destroy 10 years after cutoff. 2. Other Offices - Destroy when no longer needed for day-to-day program operations. <p>b. Records dated 1994 to present:</p> <p>File with the Official Application File (See N1-440-93-4, Item 1a)</p>	<p>N1-440-87-2 Item 4</p>	

Request for Records Disposal Authority - Continuation

JOB NO.

PAGE OF

4 OF 4

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
5	<p>E-Mail, Electronic Word Processing Documents</p> <p>Documents created or received in the transaction of Agency business deemed appropriate as evidence of HCFA's organization, policies, decisions, operations or other activities because of the information value of the data in them.</p> <p>DISPOSITION: Destroy ^{30 days} immediately after a recordkeeping copy is produced. SA 3/12/99</p> <p>V. Robey Concurs.</p> <p>f: 115 file: hmo-115</p>		

115-263

Four copies, including original, to be submitted to the National Archives

STANDARD FORM 115-A
Revised July 1974
Prescribed by General Services
Administration
FPMR (41 CFR) 101-11.4

GPO : 1975 O - 579-287

TOTAL P.02