NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-440-99-002

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: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These items, unless subsequently superseded, may be used by the agency to disposition records.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SUPERSEDED AND OBSOLETE ITEMS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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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.

N1-440-99-002 / 1/a is superseded by DAA-0440-2015-0008-0001 N1-440-99-002 / 1/b is superseded by DAA-0440-2015-0008-0001

N1-440-99-002 / 2/a is superseded by DAA-0440-2015-0004-0001

N1-440-99-002 / 3 is superseded by DAA-0440-2015-0008-0001

| DECLIEST FOR RECORDS DISPOSITION AUTHORITY | LEAVE BLANK (NARA use only) |
|--|--|
| REQUEST FOR RECORDS DISPOSITION AUTHORITY | JOB NUMBER |
| (See Instructions on reverse) | N1-440-99-2 |
| NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408 | DATÉ RECEIVED 2-6-99 |
| FROM (Agency or establishment) | NOTIFICATION TO AGENCY |
| DHHS/Health Care Financing Administration | |
| 2. MAJOR SUBDIVISION | In accordance with the provisions of 44 |
| Center for Health Plans and Providers | U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition |
| 3. MINOR SUBDIVISION | for items that may be marked "disposition not approved" or "withdrawn" in column 10 |
| Health Plan Purchasing & Admin. Group | not approved of withdrawn in column to |
| 4. NAME OF PERSON WITH WHOM TO CONFER 5. TELEPHONE | DATE ARCHIVIST OF THE UNITED STATE |
| Vickie Robey // Lokue Robey (410) 786-7883 | 5-25-99 Kok W. Cal |
| 6. AGENCY CERTIFICATION I hereby certify that I am authorized to act for this agency in matters p and that the records proposed for disposal on the attached page of this agency or will not be needed after the retention periods spect the General Accounting Office, under the provisions of Title 8 of the Agencies, | ertaining to the disposition of its records e(s) are not now needed for the business ified; and that written concurrence from e GAO Manual for Guidance of Federal |
| | • |
| is not required; is attached; or | has been requested. |
| DATE SIGNATURE OF AGENCY REPRESENTATIVE TITLE | |
| DEC 23 1998 A Prentice Barnes, Sr. 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) |
|-------------------|--|---|--|
| | HEALTH CARE FINANCING ADMINISTRATION RECORD SCHEDULE | | |
| 1 | HEALTH MAINTENANCE ORGANIZATION (HMO) APPLICATION FILES | N1-440- 93 - 4 | |
| | a. Initial and Expansion Application Files - 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. | Items 1a(1), 1a(2) | |
| | <u>DISPOSITION</u> : Cut off on close of case. Transfer to the Federal Records Center (FRC) when 3 years old. Destroy 10 years after cutoff. | | |

NSN 7540-00-634-4064
PREVIOUS EDITION NOT USABLE

Copy to agency

STANDARD FORM 115 (REV. 3-91) Prescribed by NARA 36 CFR 1228

| | Request f | or Records Disposition Authority – Continuation | JOB NO | | PAGE OF 2 of |
|--|---------------|---|-----------------------|-----------|--------------------|
| 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. DISPOSITION: Cut off annually and transfer to the FRC. Destroy 10 years after cutoff. COMPLIANCE FILES Official Compliance Files 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. DISPOSITION: a. Audited Financial Reports. Cut off annually and transfer to the FRC unless revoked. Destroy 7 years after cutoff. b. Revoked Audited Financial Reports. Cut off annually and transfer to the FRC. | 7. ITEM NO | | | SAMPLE OR | 10. ACTION TAKE |
| Official Compliance Files 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. DISPOSITION: a. Audited Financial Reports. Cut off annually and transfer to the FRC unless revoked. Destroy 7 years after cutoff. b. Revoked Audited Financial Reports. Cut off annually and transfer to the FRC. | | consists of incoming and outgoing correspondence and essential backup material pertains to individual HMO applications for general reference and control purposes. These file consist of, or relate to, correspondence of 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. DISPOSITION: Cut off annually and transfer | n- ning es n | 1b(1), | |
| 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. DISPOSITION: a. Audited Financial Reports. Cut off annually and transfer to the FRC unless revoked. Destroy 7 years after cutoff. b. Revoked Audited Financial Reports. Cut off annually and transfer to the FRC. | 2 | COMPLIANCE FILES | | | |
| a. Audited Financial Reports. Cut off annually and transfer to the FRC unless revoked. Destroy 7 years after cutoff. b. Revoked Audited Financial Reports. Cut off annually and transfer to the FRC. | | This file consists of material in support of the continuing compliance with the statutor and regulatory requirements of Title XIII of the Public Health Service Act and Title XV 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 | ry of III e | | |
| annually and transfer to the FRC unless revoked. Destroy 7 years after cutoff. b. Revoked Audited Financial Reports. Cut off annually and transfer to the FRC. | İ | DISPOSITION: | | - | |
| | | annually and transfer to the FRC unless revoked. Destroy 7 years after cutoff. b. Revoked Audited Financial Reports. Cut | t | | |
| | | | | | |

| Request f | or Records Disposition Authority – Continuation | JOB NO | | PAGE OF | 4 |
|---------------|---|----------|---------------------------|-------------------|-----|
| 7. ITEM NO | 8. DESCRIPTION OF ITEM (With inclusive Dates or Retention Periods) | | 9. SAMPLE OR JOB NO | 10. ACTION TAI | KEN |
| | d. <u>Program Correspondence</u> , <u>Analyses</u> , <u>Reports</u> , <u>Evaluations</u> , <u>Non-Compliance Action</u> Cutoff annually and transfer to the FRC. Destroy 7 years after cutoff. | ons. | | | |
| 3 | HMO GRANTEE DEVELOPMENT FILES | | N1-440- | | |
| | These files consist of feasibility, planninitial 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-granawards, audit reports, progress reports, consultants' reports, reviews, grantee sit visit reports and related correspondence. The files include such material as whether the organization became a qualified HMO. | e its | 93-4 Item 4 | | |
| | DISPOSITION: Cutoff and transfer to the Manhen file is closed and is no longer needs for day-to-day program operations. Destroit 10 years after cutoff. | ed | | | |
| 4 | SERVICE AREA EXPANSION FILES | | N1-440- 87-2 | | |
| | These files consist of material for comples service area expansion documentation. The Files include application related material Guidelines, specialists reports, reviews, approvals, site visits, notes and other required correspondence. | 3 | Item 4 | | |
| | DISPOSITION: | | | , | |
| م، | Records dated 1987 through 1993: | | | | |
| | Office of Record - Cut off annually ar transfer to the FRC. Destroy 10 years after cutoff. | nd | 10 | | |
| | Other Offices - Destroy when no longer needed for day-to-day program operation | | | | |
| <i>b</i> · | Records dated 1994 to present: | | | | |
| | File with the Official Application File (See N1-440-93-4, Item 1a) | | | • | |

| Request fo | equest for Records Disposi Authority - Continuation | | PAGE, OF |
|------------|--|----------------------|----------|
| TEM NO. | B. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods) | SAMPLE OR JOB NO. | |
| 5 | E-Mail, Electronic Word Processing Documents Documents created or received in the transaction of Agency business deemed appropriate as evider of HCFA's organization, policies, decisions, operations or other activities because of the information value of the data in them. | i i | |
| | DISPOSITION: Destroy immediately after a recordkeeping copy is produced. SA 3/12/99 Con cms. | | |
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| | f: 115 title: hmo-115 | | |

115-203

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

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Prescribed by General Services
Administration
FPMR (41 CFR) 101-11 4