

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: NC1-440-79-02

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules.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These items, unless subsequently superseded, may be used by the agency to disposition records.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SUPERSEDED AND OBSOLETE ITEMS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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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Items 1, 3, 8, 11a/b, 12b is superseded by DAA-0440-2015-0002

Items 4, 6, 7 is superseded by DAA-0440-2015-0001

Item 9 is superseded by DAA-0440-2012-0001-0001 (schedule inactive; schedule superseded by DAA-0440-2015-0001-0001)

Item 27 is superseded by DAA-0440-2013-0008 (schedule inactive; superseded by DAA-0440-2015-0002-0001)

Item 12 is superseded by DAA-0440-2015-0011

Item 5 is superseded by DAA-0440-2015-0012

Item 9 is superseded by N1-440-99-003 #1 (schedule inactive; records destroyed)

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

LEAVE BLANK	
JOB NO. NC1-440-79-2	
DATE RECEIVED 8-1-79	
NOTIFICATION TO AGENCY In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10.	
12-21-79, <i>James E. O'hell</i> Date <i>(O'hell)</i> Archivist of the United States	

TO: GENERAL SERVICES ADMINISTRATION,
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408

1. FROM (AGENCY OR ESTABLISHMENT)
Department of Health, Education, and Welfare

2. MAJOR SUBDIVISION
Health Care Financing Administration

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER
Fred Heuschele

5. TEL. EXT.
48094

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 6 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

- A Request for immediate disposal.
- B Request for disposal after a specified period of time or request for permanent retention.

C. DATE <u>7-24-79</u>	D. SIGNATURE OF AGENCY REPRESENTATIVE <i>Fred Heuschele</i>	E. TITLE HCFA Records Officer
---------------------------	----------------------------------------------------------------	----------------------------------

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
1	<p><u>HCFA Records Retention and Disposal Schedule</u></p> <p>The files described in this schedule are created in the administration of the Title XI, Title XVIII and Title XIX of the Social Security Act, as amended. They are accumulated by intermediaries, carriers, health care providers and practitioners, Professional Standards Review Organizations, and the Health Care Financing Administration (HCFA) headquarters and regional offices. <i>This schedule covers the Federal records for which HCFA is responsible.</i></p> <p><u>Agreement Files</u></p> <p>Documents relating to agreements between elements of HCFA, between HCFA and other HEW components or Federal agencies and between HCFA and other nonfederal organizations or agencies. These agreements are negotiated to provide for continued understanding between recognized organizations and HCFA for the purpose of providing or obtaining various types of support services. The services include logistic, medical, fire protection, administrative, facilities, and similar support on a one-time or continuing basis; and on a reimbursable or nonreimbursable basis. Included are agreements, amendments, review comments, and related correspondence.</p> <p><i>Changes Approved 12-12-79</i></p>		

115-107

William F. Kirby HCFA Records Officer

Close out copy to all FRC + NNB, NNI = 113/80 SE

12 items

STANDARD FORM 115
Revised April, 1975
Prescribed by General Services Administration
FPMR (41 CFR) 101-11.4

Request for Records Disposition Authority - Continuation		JOB NO.	PAGE OF 2
7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
2.	<p>Destroy 5 years after supersession, cancellation, or termination of the agreement.</p> <p><u>Committee Files</u></p> <p>Documents relating to establishing, operating, and dissolving committees which consider, advise, take action, and report on specifically assigned functions of HCFA. Included are proposals, approvals, and disapprovals to establish the committee; charters, notices, agendas, minutes, and reports of committee meetings; and related documents.</p> <p>A. Committees relating to substantive programs or organizational functions of HCFA.</p> <p>1. Office of the Committee Chairman or Secretariat, whichever is designated the office of record.</p> <p>a. Agenda, minutes, reports. PERMANENT. Cutoff file when no longer needed for current operations and transfer to WNRC. Offer to NARS when 15 years old.</p> <p>b. Other records. Cutoff file when no longer needed for current operations and transfer to WNRC. Destroy when 15 years old.</p> <p>2. Records of other committee members. Destroy when no longer needed for current operations.</p> <p>B. Other Committees.</p> <p>1. Office of Committee Chairman or Secretariat, whichever is the office of record. Cutoff file when no longer needed for current operations and transfer to FARC. Destroy when 15 years old.</p> <p>2. Offices of other committee members. Destroy when no longer needed for current operations.</p>		

Request for Records Disposition Authority - Continuation		JOB NO.	PAGE OF 2-2
7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
<i>Part 2</i> 2	<p>Destroy 5 years after supersession, cancellation, or termination of the agreement.</p> <p><u>Committee Files</u></p> <p>Documents relating to establishing, operating, and dissolving committees which consider, advise, take action, and report on specifically assigned functions of the Health Care Financing Administration. Included are proposals, approvals, and disapprovals to establish the committee; charters, notices, agenda, minutes, and reports of committee meetings; and related documents.</p> <p>Office of Committee Chairman or Secretariat, whichever is designated office of record:</p> <p>Permanent. Cutoff when no longer needed for current operations, transfer to Federal Records Center after two years, offer to National Archives 10 years thereafter.</p> <p>Office of other Committee members:</p> <p>Destroy when no longer needed for current operations.</p>		
3	<p><u>Staff Visit Files</u></p> <p>Documents relating to scheduled or special visits (but exclusive of inspections, surveys, or audits) for the purpose of performing staff or technical supervision or for conducting studies. Included are requests for permission to visit, reports of visits, recommendations and other directly related documents.</p> <p>A. Office performing visit:</p> <p>Destroy 1 year after completion of next comparable visit or on completion of related study.</p> <p>B. Office Visited:</p> <p>Destroy after two years, except files relating to recurring staff visits will be destroyed on completion of the next visit.</p>		

Request for Records Disposition Authority - Continuation		JOB NO.	PAGE OF 3
7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
4	<p><u>Organization Planning Files</u></p> <p>Documents relating to the establishment of and changes in organization functions and relationships of HCFA components (Bureaus, Divisions, Branches, Sections, etc.) Included are staff studies, copies of organization and functions plans, functional statements, charts and related documents.</p> <p>Permanent. Cutoff annually except that plans, charts, and manuals or portions thereof will not be cutoff until superseded or rescinded. Transfer to Federal Archives and Records Centers, 2 years after cutoff or supersession or recession as applicable. Offer to National Archives when 10 years old.</p>		
5	<p><u>Management Survey Case Files</u></p> <p>Documents relating to the systematic formal review of organizational structure or operational procedures and accumulated in the office conducting the survey or the office sponsoring a contract for survey services. Individual studies and surveys may range in scope from a comprehensive review of organization and operative procedures to a study of one particular procedure, process, or method of a particular phase of management. Included are documents reflecting request or authorization to conduct the survey, the finished survey report, and actions taken as a direct result of the survey.</p> <p>Office conducting the survey or office sponsoring the contract:</p> <p>Cutoff on completion of action directed, hold two years and transfer to Federal Archives and Records Center. Destroy when 10 years old.</p>		
6	<p><u>Forms Management Case Files</u></p> <p>Documents accumulated in approving forms and resulting from the consideration, approval, control during existence, and revision or recession of specific forms. Included are requests for approval of form, justifications, coordination papers and similar papers.</p>		

Request for 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 TAKEN
7.	<p><i>File</i></p> <p>A. Record Copy of HCFA-created form. PERMANENT. Transfer to FARC 2 years after obsolescence. Offer to NARS in 5-year blocks 15 years after obsolescence.</p> <p>B. Case History files. Transfer to FARC 3 years after obsolescence or when volume warrants. Destroy 15 years after obsolescence.</p> <p><u>Instruction Files</u></p> <p>Manuals, directives, handbooks, regulations, other formal policy and procedural issuances, booklets, and directories prepared and published by components in performance of their program or administrative staff responsibilities.</p> <p>Office responsible for preparation:</p> <p>PERMANENT. Transfer to FARC at the close of the calendar year in which superseded or discontinued. Offer to NARS 10 years after supersession or discontinuance.</p> <p>Other Offices;</p> <p>Destroy when superseded or discontinued.</p>	NC-47-75-23 # A-1.	

Request for Records Disposition Authority - Continuation

JOB NO.

PAGE OF
5

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
8	<p><u>Instructions Background Files</u></p> <p>Records accumulated in the preparation, clearance, and publication of manuals, directives, handbooks, regulations, and other formal policy and procedural issuances. Included are studies, clearance comments, recommendations, and similar records which provide a basis for publication or contribute to the content of the issuance.</p> <p><i>Part</i> A. Office responsible for preparation of the issuance: Transfer to FARC 2 years after publication of issuance. Destroy 10 years after publication.</p> <p>B. Other offices: Destroy 2 years after the close of the calendar year in which dated.</p>	NC-47-75- 23 Item A2	
9	<p><u>Policy and Precedent Files</u></p> <p>Policy memorandums, interpretations, clarifications, and similar records which serve as precedent for future policy determinations. The files are used in the development of formal policy issuances, in responding to inquiries, and in commenting upon proposed legislation, regulations, standards, and similar documents.</p> <p>Office responsible for preparation: Permanent. Review files annually and transfer to the FARC those files which do not have continuing applicability. Offer to the National Archives 20 years thereafter.</p>	NC-47-75- 23 Item B40	
10	<p><u>Administrative Files</u></p> <p>Files created by most HCFA offices in the performance of their assigned functions.</p> <ol style="list-style-type: none"> 1. Official file copies of outgoing correspondence relating to office functions. 2. Comments on draft reports, studies, and proposals prepared by other offices. 3. Contributions to and/or comments on proposed legislation. 4. Suggestion evaluations. <p>Destroy 2 years after the close of the calendar year in which dated.</p>	NC-47-75- 23 Item A3	

Request for Records Disposition Authority - Continuation

JOB NO.

PAGE OF

6

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
11	<p><u>Delegation of Authority Files</u></p> <p>Program and administrative delegation of continuing authority and revocation thereof. Included are approved program delegations having statutory basis in Titles II, XI, XVIII, and XIX of the Social Security Act. Also included are approved administrative delegations of authority, i.e., personnel, printing, procurement, travel, etc.</p> <p>A. Official file copies - Program Delegations:</p> <p>Place in inactive file upon revocation or supersession. Cut-off inactive file at the end of the calendar year, hold two years, and transfer to the Federal Archives and Records Center. Destroy 10 years after cutoff.</p> <p>B. Official file copies - Administrative Delegations:</p> <p>Destroy 3 years after supersession or revocation.</p>		
12	<p><u>Training Publication Files</u></p> <p>Official file copies of manuals, textbooks, training aids, and similar materials developed in the performance of training courses, seminars and other activities.</p> <p>Included are documents related to the various Health Care Financing Administration program matters and administrative issues.</p> <p>A. Official copies of Program Issuances:</p> <p>Cut-off annually. Transfer to the Federal Archives and Records Center after 3 years. Destroy 10 years after cutoff.</p> <p>B. Official file copies of Administrative Issuances:</p> <p>Destroy 5 years after supersession or obsolescence.</p>		