

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: NC1-440-80-04

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules.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These items, unless subsequently superseded, may be used by the agency to disposition records.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## **SUPERSEDED AND OBSOLETE ITEMS**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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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

NC1-440-80-004 / 1/a and 1/b are superseded by DAA-0440-2015-0008-0001

NC1-440-80-004 / 2 is superseded by DAA-0440-2015-0008-0001

NC1-440-80-004 / 3/a and 3/b are superseded by DAA-0440-2015-0008-0001

NC1-440-80-004 / 4/a and 4/b are superseded by DAA-0440-2015-0008-0001

NC1-440-80-004 / 5 is superseded by DAA-0440-2015-0008-0001

NC1-440-80-004 / 6/a is superseded by DAA-0440-2015-0008-0001

**REQUEST FOR RECORDS DISPOSITION AUTHORITY**  
(See Instructions on reverse)

*Revised NCP 20 Aug 80*

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

1. FROM (AGENCY OR ESTABLISHMENT)  
Health Care Financing Administration

2. MAJOR SUBDIVISION  
Division of General Services

3. MINOR SUBDIVISION  
Records Management Branch

4. NAME OF PERSON WITH WHOM TO CONFER  
Fred Brickenkamp

5. TEL. EXT.  
48710

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JOB NO  
NCI-440-80-4

DATE RECEIVED  
August 22, 1980

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disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10.

1-13-81 Robert H. Ware  
Date Archivist of the United States

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 4 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>AUG 15 1980</u>	D. SIGNATURE OF AGENCY REPRESENTATIVE <u>William F. Kirkner</u>	E. TITLE <u>HCFA Records Officer</u>
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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
1	<p><u>Bureau of Program Operations</u></p> <p><u>Group Health Plans Operations Staff</u></p> <p><u>Program Records -- Retention &amp; Disposal Schedule</u></p> <p><u>Group Health Plan (GHP) Contracts:</u></p> <p>These are contracts or other documents which serve as the basis for agreements between BPO, HCFA (For the Secretary) and Health Maintenance Organizations (HMO's) and other Group Prepayment Health Plans. In the case of HMO's they are based on a model contract. The contracts constitute agreements between HCFA and the Plans that the latter will provide services to Medicare-covered enrollees in accordance with provisions of Title 18 of the Social Security Act as amended and establish the means for the Agency's reimbursing the Plans in accordance with Section 1876. The contracts are renewable automatically until terminated or revised. An Initial Report of the Plan, consisting of a review of the Plan's Title XVIII qualifications, and the staff recommendation to the Director, BPO on whether to enter into an agreement with the Plan is included in the contract file.</p>		

*all changes have been concurred in by Fred Brickenkamp (HCFA) 10/20/80*

*11 items*

**Request for Records Disposition Authority - Continuation**

JOB NO.

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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>A. <u>HCFA Headquarters</u></p> <p>Eligible for destruction <del>15</del> <sup>6</sup> years <sup>3 months</sup> after supersession or termination. Place in inactive file at the close of the calendar year in which superseded or terminated, as applicable. Hold four years and transfer to FARC. <del>Destroy 11 years thereafter.</del> Earlier transfer is authorized; however, records must be retained for <del>15 years after the end of the calendar year in which superseded or terminated.</del> <i>Destroy 6 years, 3 months after supersession or termination.</i></p> <p>B. <u>Health Maintenance Organizations and Other Plans</u></p> <p>Destroy three years after termination or supersession of contract.</p>		
2	<p><u>Group Health Plans (GHP) Contract Development Files:</u></p> <p>These files contain background and information developed by HCFA and provided by the Group Health or Prepayment Plan during the course of writing contracts or establishing bases for payment between the Agency and the Plan.</p> <p>Eligible for destruction 5 years after contract has been signed by both parties or the decision made not to enter into an agreement. Retain on site for 2 years after contract has been signed by both parties or the decision made not to enter into an agreement. Transfer to FARC; destroy <del>5 years thereafter</del> <i>contract has been signed by both parties or the decision made not to enter into an agreement.</i></p>		
3	<p><u>Cost Reports:</u></p> <p>These files consist of actual and projected Cost Reports submitted by Comprehensive Health Centers (CHC's); Budget Reports, Periodic Payment Invoices, and Cost Reports submitted by Group Practice Prepayment Plans (GPPP's); and Budgets, Enrollment Forecasts, Quarterly and Certified Final Reports submitted by Health Maintenance Organization, and similar reports submitted by Group Health or Prepayment Plans to HCFA. The reports are used by HCFA for determining reimbursable costs and establishing and adjusting rate determinations (CHC's) and determining allowable reimbursements (HMO's and GPPP's). The files also contain notification of changes to or continuation of established rates; notice of program reimbursement (amount to be paid by or refunded to HCFA); and directly related correspondence consisting of informal appeals and their resolution.</p>		

## Request for Records Disposition Authority - Continuation

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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>A. <u>Quarterly Cumulative Reports:</u></p> <p>Cut off at end of reporting year; <del>retain for 1 year and destroy</del> <i>one year after cutoff.</i></p> <p>B. <u>Other Reports:</u></p> <p>Eligible for destruction six years after close of calendar year during which notification of rate change or continuation was made or informal appeal resolved. Cut off file at end of calendar year during which notification was made or informal appeal resolved. Retain for three years. Forward to FARC, and <del>destroy three years thereafter.</del> <i>six years after cutoff.</i></p> <p>Note: Do not transfer cost reports files that are subject to formal appeal, in the process of litigation, or subject to any other administrative proceedings, e.g., collection of outstanding overpayments, until the matter has been settled.</p>		
4	<p><u>Cost Report Formal Appeal Files:</u></p> <p>These are files for formal appeals of HCFA rate determinations (Comprehensive Health Centers) or amounts of allowable reimbursement (Health Maintenance Organizations and Group Practice Prepayment Plans) or similar determinations for other types of Group Health Plans based on submitted cost and budget reports. The files consist of the cost reports and other documentation, audits and audit reports, correspondence between HCFA and the Plan, and the final resolution of the case. The Hearings Staff, BPP, maintains record copies of HQ involvement in these cases.</p> <p>A. <u>Record Copy (Hearings Staff):</u></p> <p>Place in inactive files after final action on the case. Cut off inactive file at the close of the calendar year in which final action was taken, hold 2 additional years, and then transfer to the FARC. Destroy when 6 years old.</p> <p>B. <u>Other Copies:</u></p> <p>Destroy 2 years after final action on case.</p>		

**Request for Records Disposition Authority - Continuation**

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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
5	<p><u>Audit Reports</u></p> <p>These are audits of cost reports and audits of Health Maintenance Organizations or Group Prepayment Premium Plans operations by auditors under contract to HCFA.</p> <p>Associate audit report with audited cost report. Place in inactive file at end of calendar year in which issues under audit were resolved. Retain for three years. Transfer to FARC and destroy <del>three years thereafter</del> or when inactive for a total of six years.</p>		
6	<p><u>System Requirements Specifications</u> (automated cost reporting systems)</p> <p>These files consist of definitions of the system, including functional requirements, data requirements, system/subsystem specifications, requests for the system, and authorizing directives.</p> <p>A. <u>Disapproved Proposed System:</u></p> <p>Dispose of one year after final action.</p> <p>B. <u>Approved System for Which all Related Magnetic Data Files are Authorized for Disposal</u></p> <p>Dispose of one year after discontinuance of the system.</p> <p>C. <u>Approved System for Which any Related Magnetic Data File is not Authorized for Disposal</u></p> <p>Retain with related data file.</p>		