

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER <i>N7-440 01-04</i>	
To NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		DATE RECEIVED <i>06/08/01</i>	
1 FROM (Agency or establishment) Centers for Medicare & Medicaid Services Health Care Financing Administration		NOTIFICATION TO AGENCY	
2 MAJOR SUBDIVISION Center for Medicaid & State Operations (Dolores Leckert, 410-786-3497)		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	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			
4 NAME OF PERSON WITH WHOM TO CONFER Vickie Robey	5 TELEPHONE (410) 786-7883	DATE 4-3-02	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, X is not required, <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested OGC Concurrence: <i>JSDavis</i>			
DATE MAY 18 2001	SIGNATURE OF AGENCY REPRESENTATIVE <i>Arnette Barnes, Sr.</i> Arnette 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7 Item No	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)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	 <p>Clinical Laboratory Improvement Amendments (CLIA)</p> <p>The files described in this schedule are created in the administration of the Clinical Laboratory Improvement Amendments. CLIA establishes quality standards for all laboratory testing to ensure the accuracy, reliability and timeliness of patient test results regardless of where the test was performed.</p> <p>A. <u>User Fee Related Files</u></p> <p>(1) Bank Media - These records document only the basic final transaction, money received by the lockbox bank and forwarded to HCFA. Records include deposit tickets, debit vouchers, credit vouchers, account batch listings, and copies of checks received from laboratories to pay their CLIA User Fees.</p> <p><i>cc Agency, NWMD, NWMA</i></p> 	See next page	

7 Item No	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKE (NARA USE ONLY)
1	<p><u>Clinical Laboratory Improvement Amendments (CLIA)</u> The files described in this schedule are created in the administration of the Clinical Laboratory Improvement Amendments. CLIA establishes quality standards for all laboratory testing to ensure the accuracy, reliability and timeliness of patient test results regardless of where the test was performed. CLIA requires facilities performing laboratory testing subject to CLIA apply for certification in the CLIA program. These facilities must pay biannual user fees to HHS which covers costs to administer the program.</p> <p>1a <u>User Fee Related Files</u></p> <p>1a(1) Bank Media - These records document only the basic final transaction, money received by the lockbox bank and forwarded to HCFA. Records include deposit tickets, debit vouchers, credit vouchers, account batch listings, and copies of checks received from laboratories to pay their CLIA User Fees.</p> <p>DISPOSITION: Cutoff at the close of the calendar year in which paid, or voided, as applicable, hold 1 additional year, and then transfer to the ERC. Destroy 6 years and 3 months after cutoff.</p> <p>1a(2) Canceled Payments - These records are listings of refund checks that are returned to the United States Treasury. These listings include information necessary to reapply the money to the appropriate account(s).</p> <p>DISPOSITION: Cutoff at the close of the calendar year in which paid, or voided, as applicable, hold 1 additional year, and then transfer to the ERC. Destroy 6 years and 3 months after cutoff.</p> <p>1a(3) Refund Reports - These reports include the names and addresses of all person who overpaid CLIA and are receiving refunds. The reports are generated and forwarded to the United States Treasury who in turns sends the checks</p>	<p>Retire to FRC 1 year After cutoff. OK via Email 8/8-4-02</p> <p>Retire to FRC 1 year After cutoff. 8/8-4-02 OK via Email</p>	

7 Item No	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TA (NARA USE O
	<p>to the recipients.</p> <p>DISPOSITION: Cutoff at the close of the calendar year, hold 1 additional year, and then transfer to the FRC. Retire After to FRC 1 year cutoff. Destroy 6 years and 3 months after cutoff. 8-4-02 OK via EMAIL</p>		
1a(4)	<p>Administrative Accounts Reconciliation Files - Correspondence, weekly reports and data relating to the user fee operation.</p> <p>DISPOSITION: Cutoff at the close of the calendar year, hold 1 additional year, and then transfer to the FRC. Retire After to FRC 1 year cutoff. Destroy 6 years and 3 months after cutoff. 8-4-02 OK via EMAIL</p>		
1b	<p><u>CLIA Proficiency Testing Program Files</u></p> <p>The proficiency testing (PT) is a means of measuring a laboratory's performance by comparing it to the accuracy of tests performed by laboratories across the nation. PT involves sending sample specimens with known values to each laboratory 3 times per year to evaluate which laboratory results match the specimens known value. PT samples are provided by private non-profit organizations, Federal or State agencies. The CLIA Amendments of 1988 require the annual approval of each PT program. The specific standards applicable to the annual approval of each PT program are found in 42 CFR 493.901 through 493.959. The PT program files include the letters, documents, correspondence and participant summary reports necessary for the annual approval of each PT program.</p>		
1b(1)	<p>DISPOSITION: <u>Annual Approval Letters, Documents and Correspondence</u> - Maintain last 2 PT program approvals files onsite.</p>		
1b1(a)	<p>Currently Approved PT programs - Cutoff at the end of approval year ^{ed} then transfer ^{Retire} to the FRC. Destroy 10 years after cutoff. Calendar year in which it is 8-4-02 OK via EMAIL</p>		
1b1(b)	<p>Discontinued PT programs - Cutoff at the end of discontinuance ^{ed} then transfer ^{Retire} to the FRC. Destroy 5 years after cutoff. Calendar year in which it is 8-4-02 OK VIA E-mail</p>		

7 Item No	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
1c	<p><u>PT Participant Summary Reports</u> - Cutoff 2 years after the date of the PT Participant Summary Report, then transfer to the FRC. Destroy 4 years after cutoff.</p>		
1d	<p><u>CLIA Validation Review Files</u></p> <p>Documents related to annual validation review of laboratory accreditation organizations, whose accreditation programs have been approved as equivalent to the CLIA program requirements. The validation reviews evaluate the extent to which the accreditation organization's respective laboratories maintain equivalency in laboratory practices and testing</p> <p>DISPOSITION: Cutoff 3 years after the validation review, then transfer to the FRC. Destroy 3 years after cutoff.</p>	<p><i>Cut off at end of calendar year. Retire to FRC 2 years after cutoff. Destroy 6 years after cutoff.</i></p> <p><i>8-4-02 OK via E-mail</i></p>	
1e	<p><u>Electronic Mail and Word Processing System Copies</u></p> <p>Electronic copies of records that are created on electronic and mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items on this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision or dissemination.</p>		
1e(1)	<p>Copies that have no other administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.</p> <p>DISPOSITION: Delete after recordkeeping copy is made or when copies are no longer needed, whichever is later.</p>	<p><i>within 180 days - per 11/13/02 email from V. Robey</i></p>	
1e(2)	<p>Copies used for dissemination, revision or updating that are maintained in addition to the recordkeeping copy.</p> <p>DISPOSITION: Destroy/delete when dissemination, revision, or updating is completed.</p> <p>f:115clia-nara rev</p>	<p><i>within 180 days - per 11/13/02 email from V. Robey</i></p>	