

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-440-96-001

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules.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These items, unless subsequently superseded, may be used by the agency to disposition records.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SUPERSEDED AND OBSOLETE ITEMS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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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

N1-440-96-001 / 1 is superseded by DAA-0440-2015-0004-0001

N1-440-96-001 / 2/b is superseded by DAA-0440-2015-0012-0001

N1-440-96-001/ 3 is superseded by DAA-0440-2015-0002-0002

N1-440-96-001 / 5 is superseded by DAA-0440-2015-0012-0001

REQUEST FOR RECORDS DISPOSITION AUTHORITY

(See Instructions on reverse)

TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)
WASHINGTON, DC 20408

1. FROM (Agency or establishment)

DHHS/Health Care Financing Administration

2. MAJOR SUBDIVISION

OFHR/Office of Administrative Services

3. MINOR SUBDIVISION

Division of Printing,**Distribution & Graphics Services**

4. NAME OF PERSON WITH WHOM TO CONFER 5. TELEPHONE

Vickie Robey
Vickie Robey

5/6/96

(410) 786-7883

LEAVE BLANK (NARA use only)

JOB NUMBER

N1-440-96-1

DATE RECEIVED

9-25-96

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10

DATE

4-30-97

ARCHIVIST OF THE UNITED STATES

*John W. Carl***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 4 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,

is not required;



is attached; or



has been requested.

DATE

MAY 13 1996

SIGNATURE OF AGENCY REPRESENTATIVE

A Prentice Barnes, Sr.
A Prentice Barnes, Sr.

TITLE

DHHS Records Management Officer7.
ITEM
NO.

8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION

HEALTH CARE FINANCING ADMINISTRATION9. GRS OR
SUPERSEDED
JOB CITATION10. ACTION
TAKEN (NARA
USE ONLY)

1

Medicare Waivers for Hospital Payments

Includes the records for the evaluation, approval and monitoring of HCFA waivers concerning payments for hospital services under the provisions of Section 1886 of the Medicare law.

2 cubic feet annually, arranged alphabetically by state and/or hospital. Office of Record: BPD, Office of Payment Policy.

DISPOSITION: Cut off file at the end of the calendar year in which the waiver has been terminated or expired. Destroy 6 years and 3 months after final settlement is made, unless the matter is in litigation at that time, in which case, destroy after all appeals are exhausted.*See
revision*

2

MEDIGAP FILES**A. State Review Files** - Documents relating administrative review of State Medigap plan operations and certificationMAY - 5 1997 *MMR**Copy to: Agency, NWDD, NWRE, NR*

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	
1. FROM (Agency or establishment) DHHS/Health Care Financing Administration		DATE RECEIVED	
2. MAJOR SUBDIVISION		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			
4. NAME OF PERSON WITH WHOM TO CONFER Vickie Robey <i>Vickie Robey</i> ¹²⁻³¹⁻⁹⁶	5. TELEPHONE (410) 786-7883	DATE	ARCHIVIST OF THE UNITED STATES
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	SIGNATURE OF AGENCY REPRESENTATIVE 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 MEDICARE <u>Medicare Waivers for Hospital Payments</u> Includes the records for the evaluation, approval and monitoring of HCFA waivers concerning payments for hospital services under the provisions of Section 1886 of the Medicare law. Office of Record: BPD, Office of Payment Policy. DISPOSITION: Cut off annually at the end of the calendar year in which the waiver has been terminated, expired or after all appeals are exhausted. Transfer to the FRC. Destroy 6 years and 3 months after cutoff.		
2	MEDIGAP <u>State Review Files</u> Documentation relating to the administrative review of State		

Request for Records Disposition Authority - Continuation

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
3	<p>Medigap plan operations and certification procedures. Substantiates that the State has been and continues to meet the requirements as stated in Section 1882 of the Social Security Act. Included are State reviews that determine the degree of adherence to Federal Medigap requirements, plan approval documentation, memoranda to insurance commissioners, regulations and similar material.</p> <p>100 cubic feet from 1988 to present, arranged alphabetically by state. Office of Record: BPO, Division of Medigap Operations</p> <p>DISPOSITION:</p> <p>(a) <u>HCFA Headquarters</u> - PERMANENT Cutoff file annually. Maintain the last two reviews onsite. Transfer all other reviews to the Federal Records Center 3 years after cutoff. Transfer to the National Archives 13 years after cutoff.</p> <p>(b) <u>Other Offices</u> - Cutoff file annually. Destroy 2 years after cutoff.</p> <p><u>Instructions/Background Files</u></p> <p>Records accumulated in the preparation, clearance, and publication of manuals, directives, handbooks, and other formal policy and procedural issuances. Included are studies, clearance comments, recommendations, and similar records which provide basis for publication or contribute to the content of the issuance.</p> <p>DISPOSITION:</p> <p>a) <u>Office Responsible for Instructions Coordination</u> Cutoff file when no longer needed for current operations. Transfer inactive file to the Federal Records Center annually. Destroy 10 years after</p>		

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>cutoff.</p> <p>(b) <u>Other Offices</u> Destroy 2 years after the close of the calendar year in which dated.</p>		
4	<p><u>Program Files</u></p> <p>Documents relating to reviews and special studies of HCFA Central and Regional Offices, and Medicare Contractors to determine the degree of adherence to established policy, instructions and specifications. Includes chronological files (also known as reading files).</p> <p>DISPOSITION: Destroy 2 years after the close of the calendar year.</p> <p>CLINICAL LABORATORY IMPROVEMENT ACT</p> <p>The Clinical Laboratory Improvement Act (CLIA) law was published in 1988 because of public concerns regarding the quality of laboratory testing in the U.S., particularly Pap smears. Final CLIA regulations were published and effective in 1992 containing comprehensive, baseline requirements for quality laboratory testing based on the complexity of testing performed on human specimens, not the test location. The law mandates that the program be entirely self-funded through certificate and survey fees. Some entities, especially those which have never been regulated, consider the CLIA requirements burdensome and costly. Additional regulations have been published or proposed to relieve burden without negatively affecting quality.</p>		
5	<p><u>Laboratory Personnel Report, Form HCFA-114</u></p> <p>Used to collect data regarding the qualifications of the laboratory director and all other laboratory staff which have supervisory or consultant responsibilities, or perform laboratory tests. It is used for laboratories which have been issued CLIA</p>		

Request for Records Disposition 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
6	<p>certificates and CLIA waivers. Office of Record: Health Standards & Quality</p> <p>DISPOSITION:</p> <p>a. <u>Form HCFA-114 (for CYs 1992 through 1994)</u> - Destroy immediately upon approval of schedule.</p> <p>b. <u>Form HCFA-114 (from CY 1997 forward)</u> - Cutoff file at the end of the calendar year. Transfer to the Federal Records Center 1 year after cutoff. Destroy 6 years after cutoff.</p> <p><u>Clinical Laboratory Application, Form HCFA-116</u></p> <p>Used to collect general information regarding clinical laboratories. This information includes address, CLIA identification number, name of director, type of laboratory, hours, number of operating sites, accreditation and ownership information. Office of Record: Health Standards & Quality</p> <p>DISPOSITION:</p> <p>a) <u>Form HCFA-116</u> - Cutoff file at the end of the calendar year. Transfer to the Federal Records Center 2 years after cutoff. Destroy 6 years after cutoff.</p> <p>b) <u>HCFA-116 Database</u> - Destroy or delete data files when superseded, obsolete, or no longer needed for administrative, legal, audit, or other operational purposes.</p> <p><i>If the HCFA-116 application form data resides in a database management system with other CLIA program records, this disposition applies only to the information in the system that was collected on the HCFA-116 form.</i></p>		