

Rec'd NC'D 24 Feb 81/84

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

LEAVE BLANK	
JOB NO	NC1-90-81-3
DATE RECEIVED	February 25, 1981
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disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10	
2-19-82 Date	<i>[Signature]</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 and Human Services

2. MAJOR SUBDIVISION  
Office of Assistant Secretary for Health

3. MINOR SUBDIVISION  
Office of Health Maintenance Organization

4. NAME OF PERSON WITH WHOM TO CONFER  
Kenneth Mason

5. TEL. EXT  
443-6843

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 2/18/81	D. SIGNATURE OF AGENCY REPRESENTATIVE <i>Jacquelyn L. Tolson</i>	E. TITLE PHS Records Officer
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ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>OASH, Office of Health Maintenance Organizations</p> <p>Title XIII of the Public Health Service (PHS) Act and Sections 1310 and 1312 require the implementation of a program for qualifying HMOs and a program for monitoring the compliance of these organizations on an ongoing basis. Organizations to be recognized as "qualified" must meet certain organizational and operational requirements (as specified in Section 1301(b) and (c) of the PHS Act) and are required to submit periodic reports to the Office of Health Maintenance Organizations (OHMO) on their membership, utilization and finances. A wide range of benefits accrue to these organizations that are recognized as qualified.</p> <p>On September 19, 1978, OHMO was officially established. The Division of Compliance (DOC), OHMO, OASH, was created to monitor all federally qualified HMOs to assure their continuing compliance with the HMO authorities. Implementing these authorities requires the development of policies, procedures and regulations to govern the ongoing compliance of qualified HMOs. DOC gathers a wide range of information to identify problems or support regulatory determinations, maintains records, and monitors the progress of qualified HMOs. DOC provides necessary coordination with Federal and State agencies, employer</p>		11 items

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
/.	<p>groups and other appropriate organizational components to assure compliance with the regulations and proper documentation of all actions.</p> <p><u>QUALIFICATION FILES</u></p> <p>a. <u>Official Application Files</u></p> <p>This file consist of individual official case folders on "federally qualified HMO's" pursuant to statutory and regulatory requirements under Title XIII, as amended. These files are comprised of the following types of records: the application 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.</p> <p><u>Authorized Disposition</u></p> <p>(1) <u>Office of Record</u> - Transfer to WNRC when 15 years old. Destroy <del>10 years thereafter</del> <u>when 25 years old.</u></p> <p>(2) <u>Other Offices</u> - Destroy when no longer needed for day-to-day program operations.</p> <p>b. <u>Official Correspondence File</u></p> <p>This file 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, and other associated documentation as necessary.</p> <p><u>Authorized Disposition</u></p> <p>(1) <u>Office of Record</u> - Transfer to WNRC when 15 years old. Destroy <del>10 years thereafter</del> <u>when 25 years old.</u></p> <p>(2) <u>Other Offices</u> - Destroy when no longer needed for day-to-day program operations.</p>		

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2.	<p><u>COMPLIANCE FILES</u></p> <p><u>Official Compliance Files</u></p> <p>This file consists of material in support of the continuing compliance function. These files include or relate to program correspondence on such matters as analyses, reports, evaluations, non-compliance, revocations and other associated documentations as necessary.</p> <p><u>Authorized Disposition</u></p> <p>a. <u>Office of Record</u> - Transfer to WNRC when 15 years old. Destroy <del>10 years thereafter</del> <i>when 25 years old.</i></p> <p>b. <u>Other Offices</u> - Destroy when no longer needed for day-to-day program operations.</p>		
3.	<p><u>LOAN/LOAN GUARANTEE FILES</u></p> <p>This file is maintained for each loan or loan guarantee. These records comprise official file copy of the application, evaluations, recommendations, correspondence, standard commitment and loan closing documents (including certifications, promissory notes, Operating Cost Assistance Agreement, or Escrow Agreement, etc.) program narratives, and other related documentation.</p> <p><u>Authorized Disposition:</u></p> <p>a. <u>Office of Record</u> - Destroy 6 years <sup>and 3 months</sup> after final payment by the borrower or upon resolution of any adverse audit findings, whichever occurs later. (Transfer to FRC 2 years after final repayment.) <del>Destroy 4 years thereafter.</del></p> <p>b. <u>Uncollected loans</u> - Transfer to the General Accounting Office 1 year after loan is determined uncollectable.</p> <p>c. <u>Other Offices</u></p> <p>Destroy 2 years after final repayment.</p>		

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<u>4.</u>	<p><u>SERVICE AREA EXPANSION FILES</u></p> <p>This file consists of material for complete service area expansion documentation. The file includes application related material, guidelines, specialists reports, reviews, approvals, site visits, notices, and other required correspondence.</p> <p><u>Authorized Disposition</u></p> <p><u>a.</u> Office of Record: Transfer to WNRC when 15 years old. Destroy <del>10 years thereafter.</del> <u>when 25 years old.</u></p> <p><u>b.</u> Other Offices: Destroy when no longer needed for day-to-day program operations.</p>		