

REQUEST FOR RECORD 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
OBA/OAS/Div. of Printing & Distribution Svcs.

3 MINOR SUBDIVISION
Distribution Management Branch

4 NAME OF PERSON WITH WHOM TO CONFER 5 TELEPHONE
Vickie Robey *Vickie Robey* (410) 966-7883

LEAVE BLANK (NARA use only)

NUMBER
N1-440-93-4

DATE RECEIVED
8-4-93

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10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 for ARCHIVIST OF THE UNITED STATES
1/2/94 *James W. Moore*

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 7-21-93	SIGNATURE OF AGENCY REPRESENTATIVE <i>Alvin Barnes, Sr.</i> A Prentice Barnes, Sr.	TITLE DHHS Records Management Officer
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7. ITEM NO.	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
1	<p>HEALTH MAINTENANCE ORGANIZATION FILES. Maintained by the Health Care Financing Administration's Office of Prepaid Health Care Operations and Oversight.</p> <p>HEALTH MAINTENANCE ORGANIZATION (HMO) APPLICATION FILES</p> <p>a. <u>Initial and Expansion Application Files</u> - This file consists of individual case folders on "federally-qualified and Medicare-contracting HMOs" pursuant to statutory and regulatory requirements under Titles XIII of the Public Health Service Act and XVIII of the Social Security Act, as amended. These files comprise the initial and expansion applications 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>DISPOSITION:</u> Cut off on close of case. Transfer to the Federal Records Center (FRC) when 3 years old. Destroy when 12 years old.</p>	N1-440-87-2	Items 1a(1), 1a(2)

Copies sent to NCF, and Agency *at* 4/26/94

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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>b. <u>Official Correspondence Files</u> - 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, letters of approval, letters of denial and letters of revocation, and other associated documentation as necessary.</p> <p><u>DISPOSITION:</u> Cut off annually. Transfer to the FRC when 15 years old. Destroy when 25 years old.</p>	Items 1b(1), 1b(2)	
2	<p>COMPLIANCE FILES</p> <p><u>Official Compliance Files</u></p> <p>This file consists of material in support of the continuing compliance with the statutory and regulatory requirements of Title XIII of the Public Health Service Act and Title XVIII of the Social Security Act. These files include or relate to program correspondence on such matters as analyses, reports, evaluations, non-compliance, revocations, financial reports and other associated documentation. Financial reporting is accomplished through the use of the national data reporting requirements (NDRR) and audited financial reports.</p> <p><u>DISPOSITION:</u></p> <p>a. <u>Audited Financial Reports.</u> Cut off annually. Transfer to the FRC when 15 years old unless revoked. Destroy when 25 years old.</p> <p>b. <u>Revoked Audited Financial Reports.</u> Cut off annually. Transfer to the FRC when 3 years old. Destroy when 25 years old.</p> <p>c. <u>Annual NDRR Reports.</u> Retain onsite for 3 years. Destroy older reports.</p>	Items 2a, 2b	

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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
3	<p><u>d. Quarterly NDRR Reports.</u> Retain onsite current year reports and reports from the immediately preceding year. Destroy older reports.</p> <p><u>e. Program Correspondence, Analyses, Reports, Evaluations, Non-Compliance Actions.</u> Cutoff annually. Transfer to the FRC when 7 years old. Destroy when 25 years old.</p> <p><u>LOAN/LOAN GUARANTEE FILES</u></p> <p>This file is maintained for each loan made to or loan guarantee made on behalf of a health maintenance organization. These records comprise the official file copy of the application, evaluation, 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>DISPOSITION:</u></p> <p>a. <u>Loans Paid in Full.</u> Cutoff on final payment. Transfer to the FRC 2 years after final payment. Destroy 6 years and 3 months after final payment.</p> <p>b. <u>Uncollected Loans.</u> Cutoff following a court-ordered liquidation and disbursement of assets. Retain onsite one copy of all pertinent loan documentation. Transfer the original loan file to the Department of Justice (DOJ). Destroy onsite copy 6 years and 3 months from the date of transfer to DOJ.</p>	Item 3a	
4	<p><u>HMO GRANTEE DEVELOPMENT FILES</u></p> <p>These files consist of feasibility, planning, initial development, and expansion grant applications for funds to develop an organization into a qualified HMO. A file</p>	Items 5a, 5b	

115-203

Four copies, including original, to be submitted to the National Archives

STANDARD FORM 115-A
Revised July 1974
Prescribed by General Services
Administration
FPMR (41 CFR) 101-11.4

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	<p>would typically consist of application for funds, specialists reports, notice-of-grants awards, audit reports, progress reports, consultants' reports, reviews, grantee site visit reports and related correspondence. The files include such material as whether the organization became a qualified HMO.</p> <p>DISPOSITION: Cutoff on close of file. Transfer to the FRC when no longer needed for day-to-day program operations. Destroy when 25 years old.</p>		