

REQUEST FOR AUTHORITY
 TO DISPOSE OF RECORDS

(See Instructions on Reverse)

108 items
 TO: GENERAL SERVICES ADMINISTRATION,
 NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON 25, D. C.

LEAVE BLANK	
DATE RECEIVED SEP 10 1976	JOB NO.
DATE APPROVED	NC1-47-76-33

- FROM (AGENCY OR ESTABLISHMENT)
Department of Health, Education, and Welfare
- MAJOR SUBDIVISION
Social Security Administration
- MINOR SUBDIVISION
SSA Regional Offices
- NAME OF PERSON WITH WHOM TO CONFER
George S. Yamamura
- TEL. EXT.
45770

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disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10.

11-11-76 James B. Rhoads
 Date Archivist of the United States

6. CERTIFICATE OF AGENCY REPRESENTATIVE

I hereby certify that I am authorized to act for the head of this agency in matters pertaining to the disposal of records, and that the records described in this list or schedule of _____ pages are proposed for disposal for the reason indicated: ("X" only one)

- A The records have ceased to have sufficient value to warrant further retention.
- B The records will cease to have sufficient value to warrant further retention on the expiration of the period of time indicated or on the occurrence of the event specified.

9/7/76 (Date) Eugene J. Reed, Jr. (Signature of Agency Representative) Acting Dept. Records Mgt. Officer (Title)

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p align="center"><u>RECORDS RETENTION AND DISPOSAL SCHEDULE</u> <u>REGIONAL OFFICE RECORDS</u></p> <p>The files described in this schedule are created in the administration of SSA programs by the SSA Regional Offices. Unless otherwise noted, record copies are maintained by the regional offices.</p> <p>I. <u>GENERAL PROGRAM ADMINISTRATION RECORDS</u></p> <p>A. <u>Administrative Files</u></p> <p>Files created or maintained by most regional offices in the performance of their assigned functions.</p> <ol style="list-style-type: none"> Official file copies of outgoing correspondence relating to office functions. Comments on draft reports, studies, and proposals prepared by other offices. Contributions to and/or comments on proposed legislation. Suggestion evaluation. 		
<p>Copy to All FRC's 11-19-76 CD Copy to Agency 11-17-76 CD 6/6/77 - Changes indicated are per GAO request. (PL)</p>			

INSTRUCTIONS

General Instructions: Use Standard Forms 115 and 115a, obtainable from Supply Centers of the Federal Supply Service, General Services Administration, to obtain authority to dispose of records. Submit four copies, all of which should be signed and dated, to the National Archives and Records Service. Indicate the number of pages involved in the disposal request under entry 6. Copy 4 of the standard form will be returned to the agency as notification that Congress has authorized disposal of the items marked "approved."

Specific Instructions:

Entries 1, 2, and 3 should show *what* agency has custody of the records that are identified on the form, and should contain the name of the department or independent agency, and its major and minor subdivisions.

Entries 4 and 5 should help identify and locate the person to *whom* inquiries regarding the records should be directed.

Entry 6 should show *what kind of authorization* is requested. Only one of two kinds of authorizations may be requested on a particular form.

Box A should be marked if immediate disposal is to be made of past accumulations of records, and the completed form thus marked is a list.

Box B should be marked if records that have accumulated or will continue to accumulate are to be disposed of at some definite future time or periodically at stated intervals, or if disposal is to be made of microphotographed records after it has been ascertained that the microfilm copies were made in accordance with the standards prescribed in GSA Regulations 3-IV-105; and the completed form thus marked is a schedule.

Entry 7 should contain the numbers of the items of records identified on the form in sequence, i. e., 1, 2, 3, 4, etc.

Entry 8 should show what records are proposed for disposal.

Center headings should indicate *what office's records* are involved if all records described on the form are not those of the same office or if they are records created by another office or agency.

An identification should be provided of the *types of records* involved if they are other than textual records, for example, if they are photographic records, sound recordings, or cartographic records.

An itemization and accurate identification should be provided of the *series of records* that are proposed for disposal. Each series should comprise the largest practical grouping of separately organized and logically related materials that can be treated as a single unit for purposes of disposal. Component parts of a series may be listed separately if numbered consecutively as 1a, 1b, etc., under the general series entry.

A statement should be provided showing *when* the records were produced or *when* disposal is to be made of the records, thus:


If Box A under entry 6 was marked, the inclusive dates during which the records were produced should be stated.

If Box B under entry 6 was marked, the period of retention should be stated. The retention period may be expressed in terms of years, months, etc., or in terms of future actions or events. A future action or event that is to determine the retention period must be objective and definite. If disposal of the records is contingent upon their being microfilmed, the retention period should read: "Until ascertained that microphotographic copies have been made in accordance with GSA Regulations 3-IV-105 and are adequate substitutes for the paper records."


Entry 9 should show *what samples* of records were submitted for each item, or with *what job number* such samples were previously submitted. Samples of types of records other than textual and cartographic records should not be submitted.


Entry 10 should be left blank.

U. S. GOVERNMENT PRINTING OFFICE 16-50429-2


SSA Records Officer


Records Liaison Officer, OPO


Records Liaison Officer, BHI


Records Liaison Officer, BHA

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	<p>5. Program and management reports, such as overtime and staffing reports, workload and production reports, and other reports prepared to submit narrative or statistical data to management offices. Examples include Highlight Reports; Redetermination Workload Report; District Office Workload Reports (DOWR), such as SSA-3001A, District Office Weekly Report; or their equivalents.</p> <p>Destroy 2 years after the close of the calendar year in which dated.</p> <p>B. <u>Working Files</u></p> <p>Nonessential working papers retained for reference purposes by staff members. Included are extra copies of official file material, supporting or background papers used in developing official files but not needed as part of the official file, studies or similar material not acted upon, papers used as administrative aids and papers that do not serve as a basis for official action.</p> <p>Destroy after 2 years or when no longer needed for reference, whichever is earlier.</p> <p>C. <u>Controlled Correspondence</u></p> <p>Locally-controlled correspondence, relating to all SSA programs, for which replies have been prepared. These records are not required for claims or legal purposes. Included are Congressional inquiries and replies thereto, and other controlled correspondence and replies thereto.</p> <p>Destroy 1 year after date of final reply.</p> <p>D. <u>Policy Memorandum Files</u></p> <p>Policy memorandums, interpretations, clarifications, and similar records, used for reference purposes relating to administration of an SSA program within a general region. Record copies of documents which relate to SSA-wide policies are retained by SSA headquarters.</p>		

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	<p>Review files on an annual basis and destroy those records which do not have continuing applicability.</p> <p>E. <u>Administrative and Program Circulars</u></p> <p>Administrative and program circulars issued by components in the regional office containing information and instructions relating to the administration of SSA programs. Administrative instructions are issued through the Administrative Directives System, and program instructions are issued as program circulars. Included are related background materials, such as work papers, clearance comments, draft instructions, and recommendations.</p> <p>Destroy 2 years after supersession or obsolescence.</p> <p>F. <u>District Office Reviews</u></p> <p>Documents accumulated in comprehensive reviews of district office operations conducted in each district office every 3 years. All bureaus in the regional office participate in the review, and copies of the final report are forwarded to the district manager, Regional Commissioner, and SSA headquarters. Included are reports from bureau participants, draft reports, final reports of findings and recommendations, and related correspondence. Reports include such information as service area characteristics and processing and workload statistics.</p> <p style="text-align: center;"><i>two</i></p> <p>Retain the latest review. Destroy upon completion of subsequent review.</p> <p>G. <u>Teletype Files</u></p> <p>Teletypes received by regional office components via SSADARS or ARS covering a variety of subjects, such as beneficiary data, reports, or procedures. Teletypes contain disposition instructions.</p>		

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	<p>Destroy in accordance with teletype disposition instructions.</p> <p>H. <u>District Office Training Materials Files</u></p> <p>Files of materials developed for and used in various district office training courses. Included are transcripts, handouts, charts, graphs, transparencies, course outlines, and similar materials.</p> <p>Destroy 6 months after material becomes obsolete or 1 year if material is unique (e.g., format or design that may be used in a future training program).</p> <p>I. <u>Equal Opportunity Files (EEO)</u></p> <p>1. <u>Affirmative Action Plan (AAP)</u></p> <p>This is the document which describes the agency, regional, and/or component work plans, and objectives relating to the EEO program. Included are problem analyses, areas of emphasis, minority and female employment data, action items, and numerical goals and timetables. Record copies of agency, regional, and OPO AAP's are retained at headquarters. Each plan is developed to cover a specific predetermined period.</p> <p>Destroy 2 years after the expiration date of the period covered by the plan.</p> <p>2. <u>Complaint Files</u></p> <p>a. <u>Precomplaint Reports</u></p> <p>The Form SSA-1984, EEO Counselor Report, is used to record precomplaint counseling activities between the agency's EEO counselor and employee(s) or applicant(s) for employment. Records are for official use only. Record copies are retained by SSA headquarters.</p> <p>Destroy 2 years after date of counselor close-out or 2 years after date of employee's formal complaint has been closed, whichever is applicable.</p>		

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II.	<p>3. <u>Correspondence</u></p> <p>This refers to miscellaneous documents which transmit the Agency, Department, CSC, or United States Court decisions regarding formal EEO complaints, also documents relating to the status of such complaints. Record copies are retained by SSA central office.</p> <p>Destroy 2 years after date of final adjudication of complaint.</p> <p><u>OFFICE OF THE REGIONAL COMMISSIONER</u></p> <p>A. <u>Study Project Files</u></p> <p>Documents relating to study projects initiated by the program evaluation staff of the Office of the Regional Commissioner. Included are completed questionnaires and other raw data documents, project summaries, project designs, completed study reports and related documents. The projects cover a variety of topics relating to program management and administration in the field.</p> <p>1. <u>Completed Questionnaires and Raw Data Documents</u></p> <p>Destroy 2 years after completion of the project.</p> <p>2. <u>Other Documents</u></p> <p>Destroy 5 years after completion of the project.</p> <p>B. <u>State Agreements and Modifications</u></p> <p>Signed duplicate copies of legal agreements entered between SSA and a State or SSA and an interstate instrumentality under section 218 of the Social Security Act, as amended. The agreements provide for social security coverage for employees of the State, political subdivision, or interstate instrumentality. Included are modifications and interpretations. Record copies are retained by SSA central office.</p> <p>Destroy 5 years after termination or supersession of the agreement.</p>		

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<p>III.</p>	<p>C. <u>Termination Documents</u></p> <p>Signed duplicate copies of legal documents terminating social security coverage for employees of a State, political subdivision, or interstate instrumentality. Record copies are retained by SSA central office.</p> <p>Destroy after 3 years.</p> <p><u>FIELD OPERATIONS</u></p> <p>A. <u>Fraud Case Files</u></p> <p>Reference copies of documents relating to suspected social security fraud cases (entitlement fraud, conspiracy to avoid social security deductions, failure to report terminating events, misuse of benefits, etc.). The cases are referred to the Regional Attorney by the appropriate SSA and HEW components. Record copies are retained by the Regional Attorneys. Included are statements of facts, lists of potential witnesses, photostatic copies of evidentiary material, recommendations for prosecution, and related material.</p> <p>Destroy 2 years after close of the case.</p> <p>B. <u>Service Area Reviews</u></p> <p>Copies of reports prepared by district and branch offices containing detailed information relating to present population by counties and cities, growth or decline of population, social and ethnic factors, economic factors, claims workload, public contacts, service to the public and to employees, and similar statistics and management information. The reports are used for classification of district offices and district managers, and for determination of any additional public services required. Record copies are retained by OPO headquarters.</p> <p>Destroy when latest review is updated in its entirety.</p> <p>C. <u>Area Director Visit Reports</u></p> <p>Reports prepared by area directors from visits to field facilities. Reports are prepared from specific</p>		

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	<p>agenda items relating to operational and management areas. Included are final reports, agendas, recommendations, followup actions, and related correspondence.</p> <p>Destroy after 1 year.</p>		
	<p>D. <u>Labor Relation Records</u></p> <p>Documents relating to unions representing Social Security employees in district and branch offices. Included are union organization and recognition documents, the union constitution, locally-negotiated union agreements, and related documents. Record copies are retained by SSA headquarters.</p> <p>Destroy when superseded or terminated.</p>		
	<p>E. <u>Form SSA-4100, Availability for Assignment</u></p> <p>Forms used by district and branch office employees to request reassignment within the regions. The forms contain information on present position, grade series, office location, and availability (specific positions for which available, lowest acceptance grade and geographic and organizational location for which available). Applications for employment and employee evaluations are attached.</p> <p>Destroy after 1 year.</p>		
	<p>F. <u>Field Mileage Reports</u></p> <p>Reports of the number of miles driven by district and branch office employees in commercially-owned, GSA-owned, or privately-owned vehicles in connection with government business. The reports are prepared by district and branch offices.</p> <p>Destroy after 2 years.</p>		
	<p>G. <u>Service Area Travel Plan and Budget Files</u></p> <p>Form SSA-2376, Service Area Travel Plan and Budget, or its equivalent, used by the regional office to distribute Service Area funds. Included are information on expenditures (auto, per diem) for</p>		

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	<p>budget year and estimates for next budget year, average claims per day, and total days at contact station. Official copies are retained by OPO headquarters.</p> <p>Destroy 2 years after close of current budget year.</p> <p>H. <u>Payroll Listings</u></p> <p>Printouts listing pay data by employee timekeeper number and social security number received from central office.</p> <p>Destroy after 6 months.</p> <p>I. <u>Field Facilities Space Files</u></p> <p>Documents relating to each SSA field facility within the region. Included are copies of space requests, solicitations and bids, copies of leases, floor plans, correspondence on space problems, and other related documents.</p> <p>Destroy 2 years after relocation or close of the office.</p> <p>J. <u>Field Office Service Files</u></p> <p>1. <u>Telephone Inventories</u></p> <p>Destroy upon receipt of subsequent inventory.</p> <p>2. <u>Request for Telephone Services</u></p> <p>Destroy after 1 year.</p> <p>3. <u>Printing Orders</u></p> <p>Includes Form GSA-50, Request for Printing Service.</p> <p>Destroy after 1 year.</p> <p>4. <u>Reprographic Equipment Files</u></p> <p>Includes usage reports and correspondence on equipment problems and usage of new equipment.</p>		

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	<p>Destroy after 1 year.</p> <p>5. <u>Office Furniture Damage</u></p> <p>Reports which include SF-361, Discrepancy in Shipment Report, SF-363, Discrepancy in Shipment Confirmation, SF-365, Report of Item Discrepancy.</p> <p>Destroy after 1 year.</p> <p>K. <u>Microfiche Records</u></p> <p>Microfiche received from SSA headquarters containing account, payment, address, representative payee, history, and other data from the MBR and SSR on beneficiaries residing within the region. The fiche is updated periodically.</p> <p>Destroy upon receipt of updated microfiche.</p>		
IV.	<p><u>BUREAU OF DATA PROCESSING</u></p> <p>A. <u>State Agreements and Modifications</u></p> <p>Copies of agreements entered into with State agencies pursuant to sections 1616, 1631, and 1634 of the Social Security Act, as amended. The agreements provide for Federal administration of State supplementary payments programs, for reimbursement to the States for interim assistance payments, and for Federal determination of Medicaid eligibility. Included are conversion agreements, amendments, and related documents. Record copies are retained by BSSI headquarters.</p> <p>Destroy 5 years after the year in which superseded or terminated.</p> <p>B. <u>Information and Referral Files</u></p> <p>Copies of memorandums of understanding between the regional office and the State concerning referrals and information exchange. Among other things, the memorandums describe the kinds of information which will be given to an SSI claimant on Medicaid and food stamp eligibility.</p> <p>Destroy when superseded.</p>		

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	<p>C. <u>Data Exchange Files</u></p> <p>These files consist of technical and background materials relating to the State Data Exchange (SDX) system, and Beneficiary Data Exchange (Bendex) system, including system overlays, State-to-SDX process, and performance requirements. Also included are questionnaires, reports, records of meetings, and correspondence concerning problem areas in SDX systems. State data exchange material is sometimes used as a history of events for State liability settlement purposes.</p> <p>1. <u>Technical Materials</u></p> <p>Destroy when superseded or obsolete</p> <p>2. <u>Other Documents</u></p> <p>Destroy after 2 years or after settlement of liability, whichever is later.</p> <p>D. <u>SSR Systems Files</u></p> <p>Documents relating to systems planning (systems flowcharts, systems descriptions, and record format), and systems interface for the Supplemental Security Record (SSR). Included are correspondence, meeting reports, and other related documents. Record copies of systems planning documents are retained by BSSI headquarters.</p> <p>1. <u>Planning Documents</u></p> <p>Destroy when superseded or obsolete.</p> <p>2. <u>Other Documents</u></p> <p>Destroy after 2 years.</p> <p>V. <u>BUREAU OF DISABILITY INSURANCE</u></p> <p>A. <u>Case Control Card File</u></p> <p>A 5 by 8 card file consisting of a case control card, or its equivalent. The forms are used to control sample cases for BDI regional office review. The card</p>		

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	<p>records claimant's name, social security number, originating district office and State agency, and receipt and completion data.</p> <p>1. <u>Master Copy</u></p> <p>Destroy 6 months after completion of review.</p> <p>2. <u>Other Copies</u></p> <p>Destroy after specific action or case review is completed.</p> <p>B. <u>State Agreements and Modifications</u></p> <p>These files consist of copies of agreements entered into with the Disability Determination Service (DDS) pursuant to section 221(b) of the Social Security Act, as amended. The agreements define the responsibilities and working relationships of HEW, SSA, and DDS in administering the Disability Insurance Program. Included are modifications and interpretations.</p> <p>Permanent. Transfer to the FRC at the close of the calendar year in which terminated. Offer to the National Archives 20 years thereafter.</p> <p>C. <u>DDS Budget Files (Item Approved NARS Job NCI-47-76-19)</u></p> <p>These files consist of records which are used to estimate, justify, and approve DDS disability insurance budgets. Included are Forms SSA-870, State Agency Budget Request for Disability Program; SSA-870A, State Agency Budget List of Disability Program Positions (Full Time); SSA-870B, State Agency Budget List of Disability Program Positions (Part Time and Temporary); SSA-871, State Agency Schedule for Equipment Purchases; SSA-872, State Agency Budget Approval for Disability Program; or their equivalents. Also included are related supplemental material and similar records.</p> <p>Close out at the end of the budget year, hold 4 2 additional years, then transfer to an FRC. Use Record Group 217. For records created prior to July 2, 1975, destroy after a total 10 years, 3 months retention. Destroy records created on or after July 2, 1975, after a total 6 years, 3 months retention.</p>		

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	<p>D. <u>DDS Financial Report Files</u></p> <p>These files consist of records used to account for funds received and expended by DDS. Included are Forms SSA-874, Financial Accountability Statement for Disability Program; SSA-874B, Time Report of Personal Services for Disability Program; or their equivalents. Also included are monthly summary reports, inventories of equipment and certifications, related supplemental material, and similar records. Record copies are maintained by BDI headquarters.</p> <p>Destroy after HEW audit and final settlement of audit recommendations.</p> <p>E. <u>DDS Letter of Credit Files (Item Approved NARS Job NC-174-258)</u></p> <p>These files consist of records which authorize Federal Reserve Banks to disburse funds on behalf of SSA to designated DDS' for use in administering the Disability Insurance Program. Included are SF-1193, Letter of Credit; amending letters, and similar records.</p> <p>Destroy 3 years after the year in which revoked.</p> <p>F. <u>Letter of Credit Transactions Files (Item Approved NARS Job NC-174-250)</u></p> <p>These files consist of monthly DDS reports on cash transactions made under letter of credit authorizations. The reports provide SSA with data to reconcile letter of credit accounts and with projections of future funding requirements. Included are Form SSA-2050, Monthly Summary of Cash Transactions and Cash Analysis, and similar records.</p> <p>Destroy after HEW audit and final settlement.</p> <p>G. <u>DDS Cost Allocation Files (Item Approved NARS Job No. NC1-47-76-15)</u></p> <p>These files consist of copies of agreements entered into with State governments and certain DDS' by the Secretary of Health, Education, and Welfare, which specify the percentage of charges allowable for</p>		

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	<p>indirect costs in DDS budget requests. Original cost allocation agreements are retained by HEW.</p> <p>Close out at the end of the budget year, hold 4 ³ additional years, then transfer to an FRC. Use Record Group 217. For records created prior to July 2, 1975, destroy after a total 10 years, 3 months retention. Destroy records created on or after July 2, 1975, after a total 6 years, 3 months retention.</p> <p>H. <u>Form SSA-2552, (DDS) Quality Assurance Report</u></p> <p>Monthly report received from DDS used in evaluating the quality of DDS disability operations. Included in the report is information on total cases completed, number of cases sampled, number of claims with documentation deficiencies, number of claims with adjudicative/decision deficiencies, number of claims with other deficiencies, and specific types of deficiencies. Record copies are retained by BDI headquarters.</p> <p>Destroy 2 years after the current year.</p> <p>I. <u>DDS Fiscal and Administrative Management Reviews</u></p> <p>Files consisting of records relating to the review of DDS fiscal and administrative management operations. Included are reports of visits, communications concerning improvements in operations, and similar records.</p> <p>Retain two most recent reviews in file. Destroy earliest review upon completion of subsequent review.</p> <p>J. <u>Program Administrative Review (PAR) Files</u></p> <p>Files consisting of records accumulated in the administrative review of State vocational rehabilitation agency program operations. Included are monthly reports of visits, communications concerning improvements in operations, and similar records.</p> <p>Retain two most recent reviews in file. Destroy earlier review upon completion of subsequent review.</p>		

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VI.	<p>K. <u>Fee Schedule Files</u></p> <p>Schedules of fees charged for services by members of the medical profession within a given State.</p> <p>Destroy when superseded or obsolete.</p> <p>--- <u>BUREAU OF SUPPLEMENTAL SECURITY INCOME</u></p> <p>A. <u>State Agreements and Modifications</u></p> <p>Copies of agreements entered into with the State agencies by the Secretary of Health, Education, and Welfare pursuant to sections 1616, 1631, and 1634 of the Social Security Act, as amended. The agreements provide for Federal administration of State supplementary payments program, for reimbursement to the States for interim assistance payments, and for Federal determination of Medicaid eligibility. Included are conversion agreements, amendments, and related documents. Record copies are retained by BSSI headquarters components.</p> <p>1. <u>BSSI Regional Offices</u></p> <p>Destroy 5 years after the close of the fiscal year in which terminated or superseded.</p> <p>2. <u>State Agencies</u></p> <p>Destroy in accordance with State practice.</p> <p>B. <u>State Agency Budget and Financial Report Files (Item Approved NARS Job NC-47-76-4)</u></p> <p>Records used to estimate, justify, and approve State agency SSI program administration costs and to account for funds received and expended by the State agency. Included are Forms SSA-2666, State Agency Budget; SSA-2666A, State Agency Budget List of Positions; SSA-2667, State Agency Budget Notice of Approval; SSA-2668, Notice to State Agency; SSA-2669, Financial Accountability Statement; SSA-2669A, Quarterly Expenditure Report; SSA-8710, State Agency Budget Request; SSA-8711, State Agency Budget List of Positions; SSA-8712, State Agency Budget Notice of Approval; SSA-8713, Quarterly Expenditure Report and</p>		

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	<p>Request for Reimbursement; SSA-8714, Notice of Payment and Financial Accountability Statement; or their equivalents. Also included are copies of certificates of authority and related documents. Record copies are retained by BSSI headquarters components.</p> <p>1. <u>BSSI Regional Offices</u></p> <p>Destroy 6 years following the close of the budget year.</p> <p>2. <u>State Agencies</u></p> <p>Destroy 3 years after HEW audit or 5 years after the close of the budget year, whichever is earlier.</p> <p>C. <u>State Agency Audit Files</u></p> <p>Records relating to audits of State agencies conducted by HEW Audit Agency. Included are reports of findings and recommendations, State agency and SSA comments on the reports, audit adjustment reports, and related documents. Record copies are retained by HEW Audit Agency.</p> <p>Destroy upon completion of next subsequent audit.</p> <p>D. <u>Financial Accountability Statements--Supplementary Payments Program</u></p> <p>Copies of Form SSA-8700, Financial Accountability Statement for State Supplementary Payments Program, or its equivalent. The forms are used to account for the disposition of State funds transferred to the Federal Government to cover State liability for expenditures under the supplementary payments program. Record copies are retained in BSSI headquarters.</p> <p>Destroy after 3 years.</p> <p>E. <u>State Correspondence Files (Item Approved NARS Job NC-47-76-4)</u></p> <p>Correspondence with the State agencies on matters</p>		

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>relating to the administration of the SSI program.</p> <p>Destroy 2 years following the close of the fiscal year in which dated.</p> <p>F. <u>State Profile Data Files (Item Approved NARS Job NC-47-76-4)</u></p> <p>Files containing data on State programs and operations which have a bearing on the SSI program.</p> <p>Destroy when superseded or obsolete.</p> <p>G. <u>SSI District Office Visit Program</u></p> <p>Documents accumulated in formal review program of SSI claims process in district offices. Examples of review topics are quality of initial determinations, redeterminations, overpayments and postadjudicative action and due process. Included are report of findings and recommendation, correspondence, followup memorandums, and related documents. The program is also called Technical Assistance and Performance Evaluation (TAPE).</p> <p>1. <u>Visit Reports</u></p> <p>Destroy after 3 years.</p> <p>2. <u>Background Documents</u></p> <p>Destroy after 1 year.</p> <p>H. <u>Policy Memorandum Files (Item Approved NARS Job NC-47-76-4)</u></p> <p>Copies of memorandums prepared by the BSSI Regional Office in response to a specific inquiry from a district/branch office, State agency, or other source clarifying or interpreting a particular issue relating to the SSI program. The memorandums are generally filed by subject matter. They are retained for reference in the event that the issue arises again in the future.</p> <p>Review files on an annual basis and destroy those records which do not have continuing applicability.</p>		

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>I. <u>Microfiche Records (Item Approved NARS Job NC-47-76-4)</u></p> <p>Microfiche received from SSA headquarters containing account, payment, address, representative payee, history, and other data on beneficiaries residing within the region. The fiche is updated periodically.</p> <p>Destroy upon receipt of updated microfiche.</p> <p>J. <u>Litigation Files (Item Approved NARS Job NC-47-76-4)</u></p> <p>Files containing copies of legal documents and miscellaneous correspondence relating to Title XVI civil litigation. Included are copies of the complaint and answer, motions, temporary restraining orders, preliminary injunctions, and similar documents. Record copies are retained by the Office of the General Counsel.</p> <p>Destroy 6 months after the case has been closed.</p> <p>VII. <u>BUREAU OF HEARINGS AND APPEALS</u></p> <p>A. <u>Hearing Decision Files (Item Approved NARS Job NC-47-76-1)</u></p> <p>Copies of hearing decisions which are received from hearing offices and reviewed by staff members for technical deficiencies. Included is Form HA-514d, Hearing Decision, or its equivalent. Record copies are retained in the claims file.</p> <p>Destroy 90 days after completion of review.</p> <p>B. <u>Hearing Transcript Files (Item Approved NARS Job NC-47-76-1)</u></p> <p>Copies of hearing transcripts which are received from hearing offices and retained for review by staff members. Included is a copy of Form HA-509, Hearing Transcript, or its equivalent. Record copies are retained in the claims file.</p> <p>Destroy after 90 days.</p>		

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>C. <u>Hearing Office Survey Files</u></p> <p>Documents relating to periodic surveys of hearing office operations conducted by BHA regional office personnel. Included is the final survey report and related background material.</p> <p><i>Background:</i> Destroy 2 years after completion of the final survey report.</p> <p><i>Survey: Destroy 5 years after completion of final survey report.</i></p> <p>D. <u>Form HA-663, BHA Case Locator Coding Sheet, or Form HA-672, BHA DC/HO Case Control Coding Sheet, or Their Equivalents</u></p> <p>This form is used to key data into the BHA case control system. Also included are associated teletype papers.</p> <p>Destroy after input has been verified and edits have been resolved.</p> <p>E. <u>Form HA-548, Memorandum Transfer of Cases</u></p> <p>This form is used to report transfer of cases between hearing offices.</p> <p>Destroy after input has been verified and edits have been resolved.</p> <p>F. <u>Medical Advisors and Vocational Experts Files</u></p> <p>Pertains to documents relating to medical advisors and vocational experts under contract with SSA for furnishing professional services.</p> <p>Destroy 1 year after termination of contract.</p> <p>G. <u>Union Agreements</u></p> <p>Pertains to documents relating to union representing Social Security employees in the regional office and in the field offices. Included are union recognition documents, the union constitution, negotiated union agreements and other related documents. Record copies are retained by SSA headquarters.</p> <p>Destroy when superseded or terminated.</p>		

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
VIII.	<p><u>BUREAU OF HEALTH INSURANCE</u></p> <p>A. <u>State Agreements and Modifications (Item Approved NARS Job NC-47-75-23)</u></p> <p>Agreements entered into with the State agencies by the Secretary of Health, Education, and Welfare under the provisions of section 1864 of the Social Security Act, by which the State agency assists SSA in determining whether health care providers and suppliers meet and continue to meet the requirements for coverage or participation. Also included are "subagreements" by which State agencies subcontract some Medicare functions to other governmental or private organizations. Record copies are retained by BHI headquarters.</p> <p>Destroy 5 years after the close of the calendar year in which terminated or superseded.</p> <p>B. <u>State Buy-In Agreements (Item Approved NARS Job NC-47-75-23)</u></p> <p>Agreements entered into with the State agencies by the Secretary of Health, Education, and Welfare under the provisions of section 1843 of the Social Security Act. The agreements provide coverage under the Supplementary Medical Insurance Program for certain individuals receiving money payments under State approved public assistance plans. Record copies are retained by BHI headquarters.</p> <p>Destroy 5 years after the close of the calendar year in which terminated.</p> <p>C. <u>State Agency Review Files</u></p> <p>Documents relating to administrative review of State agency operations and certification procedures. Included are reports of visits, communications concerning improvements in operations, and other papers pertaining to reviews of State agency practices.</p> <p>Destroy after 3 years.</p>		

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>D. <u>State Agency Budget and Financial Report Files</u> (Item Approved NARS Job NC-47-75-23)</p> <p>Files used to estimate, justify, and approve State agency health insurance program costs, and to account for funds received and expended by the State agencies. Included are Forms SSA-1465, State Agency Budget Request; SSA-1465A, State Agency Budget List of Positions; SSA-1466, State Agency Schedule for Equipment Purchases; SSA-1467, State Agency Budget Notice of Approval; SSA-1468, Notice to State Agency; SSA-1469, Financial Accountability Statement; SSA-1469A, Quarterly Expenditure Report; and indirect cost forms. Record copies are retained by BHI headquarters.</p> <p>Destroy 6 years following the close of the budget year.</p> <p>E. <u>Intermediary and Carrier Contract Files</u></p> <p>Agreements entered into with intermediaries and carriers by the Secretary of Health, Education, and Welfare under the provisions of sections 1816 and 1842 of the Social Security Act by which the intermediaries and carriers agree to perform certain functions in administering the Hospital Insurance and Supplementary Medical Insurance Programs. As such, they provide basic documentation of the manner in which these programs are implemented. Included are modifications and amendments. Record copies are retained by BHI headquarters.</p> <p>Destroy 3 years after supersession or termination, as applicable.</p> <p>F. <u>Intermediary and Carrier Subcontract Files</u></p> <p>Copies of intermediaries' agreements with subcontractors regarding performance of audits and the providers' costs, leases for building space, equipment, consulting, and other services. Included are SSA approvals, amendments, and similar papers. Record copies are retained by BHI headquarters.</p> <p>Destroy 3 years after termination of agreement.</p>		

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>G. <u>Intermediary and Carrier Closing Agreements (Item Approved NARS Job NC-47-75-23)</u></p> <p>These files contain the accepted final settlement for all intermediary and carrier costs of administration and consist of the closing agreement, appendix, and schedules of balances due the intermediary, carrier, or Secretary. Record copies are retained by BHI headquarters.</p> <p>Destroy 3 years after HEW audit and final settlement.</p> <p>H. <u>Intermediary and Carrier Budget Estimate and Justification Files (Item Approved NARS Job NC-47-75-23)</u></p> <p>Forms SSA-1523 and SSA-1524, Estimate of Administrative Costs and Credits, and comparable papers used by the intermediaries and carriers to submit their annual cost estimates for administering the Hospital Insurance and Supplementary Medical Insurance Programs. Also included are justifications, correspondence on specific budget estimates, and supporting data along with the notification of budget approval, such as Forms SSA-1525, and SSA-1526, Notice of Budget Approval; SSA-2598 and SSA-2599, Approved Budget Distribution, Estimate of Administrative Costs; and similar papers. Record copies are retained by BHI headquarters.</p> <p>Destroy 3 years after HEW audit and final settlement.</p> <p>I. <u>Intermediary and Carrier Interim Expenditure Report Files (Item Approved NARS Job NC-47-75-23)</u></p> <p>Quarterly reports of expenditures made by the intermediaries and carriers since the beginning of the fiscal year. Included are Forms SSA-1527 and SSA-1528, Cumulative Interim Expenditure Report and Budget, or their equivalents. Also included are supplemental schedules and requests for accelerated payments. Record copies are retained by BHI headquarters.</p> <p>Destroy 3 years after HEW audit and final settlement.</p>		

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>J. <u>Intermediary Workload Report Files (Item Approved NARS Job NC-47-75-23)</u></p> <p>Monthly statistical reports on the status of intermediary workloads used by SSA to identify basic management data needed for budgeting, financing, work planning, and progress evaluation. Included is Form SSA-1566, Health Insurance for the Aged Program Intermediary Workload Report, or its equivalent. Record copies are retained by BHI headquarters.</p> <p>Destroy after 3 years.</p> <p>K. <u>Carrier Performance Report Files (Item Approved NARS Job NC-47-75-23)</u></p> <p>Form SSA-1565, Health Insurance for the Aged Program Carrier Performance Reports, or equivalent documents prepared monthly by carriers to summarize their performance in processing claims under the Supplementary Medical Insurance Program. The information contained in these reports provides management information needed for budgeting, financing, work planning, performance evaluation, and identifying operating problems. Record copies are retained by BHI headquarters.</p> <p>Destroy after 3 years.</p> <p>L. <u>Annual Contractor Evaluation Report (ACER)</u></p> <p>An annual report evaluating contractor operations under Part A and Part B of the Medicare program. The report includes such information as claims processing, coverage and utilization safeguards, beneficiary and provider services, fiscal management, and administrative management. Included are final reports and background documents such as copies of Comprehensive Inspection Evaluation Performance (CIEP) reports, copies of draft ACER's, contractor resident representative comments on reports, and related correspondence. Final ACER's are distributed to BHI headquarters and all BHI regional offices.</p>		

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>1. <u>Regional Office Responsible for Preparation of Final Report</u></p> <p>Retain one copy of each final report for each contractor. Destroy after contractor terminates. Destroy background documents 2 years after publication of final report. Destroy extra copies of final report when administrative value ceases.</p> <p>2. <u>Other Regional Offices</u></p> <p>Destroy upon receipt of updated ACER.</p> <p>M. <u>Carrier Alphabetic State List (CAST)</u></p> <p>Microfilm received semiannually from SSA, used to verify account numbers and Medicare coverage. Included is name, account number, current address, and date of birth. Microfilm is arranged in alphabetical order by State.</p> <p>Destroy upon receipt of updated microfilm.</p> <p>N. <u>Health Insurance Program Integrity Case Files (Item Approved NARS Job NC 47-75-23)</u></p> <p>Files accumulated as a result of allegations or complaints of program abuse or potential fraud by physicians and other providers of services pursuant to sections 206, 208, 1106, and 1107 of the Social Security Act. They consist of complaints from beneficiaries or other sources that are referred to district offices, regional offices, intermediaries, carriers, etc. Included are correspondence, forms, and other papers (hard copy or microfilm) used in developing and investigating complaints, such as exhibits, copies of claims forms, bills, medical records, investigative reports, fiscal records, and other pertinent physician and provider records.</p> <p>Place in inactive file 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 FRC. Destroy 3 years thereafter.</p>		

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>O. <u>Program Validation Reviews (Item Approved NARS Job NC-47-75-23)</u></p> <p>Documents relating to program validation reviews conducted to identify the degree to which program provisions are being properly applied by the providers of health care services. Included are validation review visit reports, schedules of planned validation reviews, notices of visits, and other papers directly related to the program validation review process.</p> <p>Place in inactive file on receipt of subsequent review or after 2 years, whichever is earlier. Destroy after 3 additional years.</p> <p>P. <u>Part A Overpayment Files</u></p> <p>Documents accumulated in the recovery of overpayments to providers under the hospital insurance program (Part A). Included are reports from intermediaries on hospital overpayments, settlement worksheets, schedules of repayment and related correspondence.</p> <p>Destroy 3 years after final resolution and settlement.</p> <p>Q. <u>Physician's Annual Review Evaluation</u></p> <p>Documents accumulated in a sample review of payments to physicians and other suppliers of services under Supplementary Medical Insurance Program (Part B). Included are computer printouts containing payment information, lists of providers to be reviewed, review results and related correspondence.</p> <p>Destroy 2 years after close of case.</p> <p>R. <u>Overpayment and Duplicate Charge Detection Activity Report Files (Item Approved NARS Job NC-47-75-23)</u></p> <p>Quarterly reports prepared by each carrier and sent to SSA summarizing overpayment and duplicate charge detection activities carried out during each calendar quarter. The reports are used to tabulate data on the number of cases in which carrier recovers an overpayment, the total dollar amount of money</p>		

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>overpaid, causes of overpayment, number of duplicate charges detected, and similar information. Record copies are retained by BHI headquarters.</p> <p>Destroy after 3 years.</p> <p>S. <u>Part B Quality Assurance Review</u></p> <p>Documents accumulated in a 10 percent quality assurance subsample of Part B carrier quality assurance sample. Included are Form SSA-2817, Claims Adjudicative Quality Review, a worksheet used to evaluate carrier processing of the claim, and attachments; negotiation documents if the carrier disagrees with the regional office's evaluation; and computer generated reports such as Selected Claims List by Random Selection, Updated Exception Report, Input Totals Report Subsample Claims Listing and Review Summary Report, generated when carrier updates system for every payment run. Quality Assurance Error Rate Reports (monthly, quarterly, and cumulative year-to-date) or statistical output tables, are produced from the above documents by the carrier and include information such as estimated number of errors and standard errors by carrier calculation and by SSA calculation on entitlement, coverage, reasonable charge, document coding, etc. The last pages of each report contain summary totals. A national ranking (Index) is published by BHI headquarters from the Quality Assurance Error Reports.</p> <ol style="list-style-type: none"><u>Form 2817 and Negotiation Documents</u> Return to carrier upon completion of review.<u>Computer Reports</u> Retain three reports in file. Destroy earliest report upon receipt of updated report.<u>Error Rate Reports (Statistical Output Tables)</u> Destroy monthly report after 6 months, quarterly report after 1 year, and yearly report after 2 years.		

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>4. <u>Index</u></p> <p>Destroy after 2 years.</p> <p>T. <u>Corrective Payment Action Summary Report</u></p> <p>Documents relating to corrective payment action taken in Part B claims selected for end-of-line or Quality Assurance sample review. Included are summary report forms and transmittal letters.</p> <p>Destroy after 1 year.</p> <p>U. <u>Provider Certification Files</u></p> <p>Documents relating to the survey and certification of suppliers and providers of service. Included are official certification and transmittal forms, survey report forms, utilization review plans, provider agreements, transfer agreements, plans of correction, civil rights compliance forms, intermediary designation and tie-in notices, certification letters, and various forms and correspondence used in the certification process with respect to individual facilities. Excluded from this definition are surveyor's notes, rough copy survey report forms, and other workpapers which are merged into and superseded by a final product.</p> <p>1. <u>Nonparticipating Facilities</u></p> <p>Transfer to the FRC 3 years after termination or denial. Destroy after a total 6 years' retention after termination or denial.</p> <p>2. <u>Participating Facilities</u></p> <p>a. Retain Forms SSA-1561, Health Insurance Benefits Agreements; SSA-1539, Certification of Transmittal; and all notification letters to facilities, all civil rights forms, and all intermediary designation. Destroy in accordance with item VIII.U.1 when provider ceases participation.</p> <p>b. Transfer to the FRC survey report forms and related documents 3 years after completion of survey. Destroy after a total 6 years'</p>		

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>retention. However, those pertaining to access hospitals will be retained until removed from the access category at which time survey report forms and related documentation may be destroyed 6 years following completion of the survey.</p> <p>V. <u>Provider Nomination Files</u></p> <p>Letters from providers of services stating choice of intermediary including change of ownership and change of intermediaries. Record copies are retained by BHI headquarters.</p> <p>Destroy 1 year after termination of provider participation.</p> <p>W. <u>Provider Hearing Files</u></p> <p>These files accumulate when a provider of services is dissatisfied with SSA's determination that it does not meet the conditions for participation in the Medicare program and requests an administrative hearing on the matter. The documents are used by SSA to support its initial determination at the hearing. Included are copies of provider inspection reports, correspondence, and similar records relating to provider operations. After the hearing, the files must be retained in the event that the provider seeks court review. Record copies are maintained by BHI headquarters.</p> <p>Destroy 3 years after final determination.</p> <p>X. <u>Provider Statistical and Reimbursement Reports</u></p> <p>EDP printouts or microfilm showing summaries of payments to hospitals, skilled nursing facilities, home health agencies, and other providers of service. These are used to effect cost settlements between the intermediaries and the providers for program validation purposes, and to determine accuracy of cost reports. These reports contain Part A and Part B inpatient and outpatient information, inpatient statistics, total bills, covered costs, and other related data. Copies are retained by intermediaries for audit and settlement purposes and also by BHI headquarters.</p>		

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>Destroy after 3 years.</p> <p>Y. <u>Provider Monitor Listing</u></p> <p>A computer listing, received from BHI headquarters semiannually, broken down by category of providers and by bed size. Included is information on total amount spent for provider services. This information is used to compute provider per diem rate.</p> <p>Destroy after 3 years.</p> <p>Z. <u>Chain Operations Report (COR)</u></p> <p>A computer generated report, received quarterly from BHI headquarters, which identifies chain organizations by name and employer identification number. Included is such information as name of chain organization, corporate address, providers belonging to that chain, name of intermediary and provider number.</p> <p>Destroy after 2 years.</p> <p>AA. <u>Part A Medicare Claims Records</u></p> <p>Forms SSA-1453, Inpatient Hospital and Skilled Nursing Facility Admission and Billing; SSA-1486, Inpatient Admission and Billing - Christian Science Sanatorium; SSA-1487, Home Health Agency Report and Billing; and other documents used to support payments to providers of service. Payments may be authorized by the regional office for emergency and foreign claims.</p> <p>Cut off at the close of the calendar year in which paid, hold 2 additional years, and then transfer to the FRC. Destroy 6 years thereafter. Earlier cut-off and transfer is authorized; however, the records must be retained for 8 years following the close of the calendar year in which payment is made.</p> <p>BB. <u>Part B Medicare Claims Records</u></p> <p>Forms SSA-1490, Request for Medicare Payment; SSA-1554, Provider Billing for Patient Services by Physicians; SSA-1556, Prepayment Plan for Group</p>		

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>Medical Practices Dealing Through a Carrier; SSA-1600, Request for Claim Number Verification; SSA-1606, Payment Record Transmittal; SSA-1660, Request for Information, Medicare Payment for Services to a Patient Now Deceased; and similar forms. Also included are itemized bills, correspondence, and comparable documents used to support payments to beneficiaries, physicians, and other suppliers of service under the Supplementary Medical Insurance Program.</p> <p>Cut off at the close of the calendar year in which paid, hold 2 additional years, and transfer to the FRC. Destroy 2 years thereafter. Earlier cutoff and transfer is authorized; however, the records must be retained for 4 years following the close of the calendar year in which payment is made.</p> <p>CC. <u>Reconsideration and Hearing Case Files--Hospital Insurance Program</u></p> <p>Reconsideration records accumulate when a beneficiary or his representative is dissatisfied with an initial determination as to the amount of benefits payable on the beneficiary's behalf under the Hospital Insurance Program and files either an expressed or implied request for reconsideration. Hearing case records accumulate when a beneficiary or his representative is dissatisfied with the reconsideration determination and requests a hearing; and if still dissatisfied after the hearing, files for a subsequent court review. Included are Forms HA-501, Request for Hearing; SSA-561, Request for Reconsideration; or their equivalents. Also included is evidence furnished by beneficiaries or their representatives, correspondence, SSA determinations, Administrative Law Judge decisions, original bills, Appeals Council decisions, and similar material.</p> <p>Dispose of these records in accordance with instructions for Part A Medicare Claims Records (see item VIII.AA of this schedule).</p> <p>DD. <u>Review and Fair Hearing Case Files--Supplementary Medical Insurance Program</u></p> <p>Files accumulated when a beneficiary, physician, provider, or other supplier of service is dissatisfied</p>		

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>with the carrier's determination denying a request for payment, or with the amount of the payment, or when he/she believes that the request for payment is not being acted upon with reasonable promptness. Included are copies of claimant's requests for review, together with relevant written statements or evidence, notices of adverse informal review decisions, requests for hearings to protest the adverse decisions, hearings proceedings, hearing officers' final decisions, and other comparable papers.</p> <p>Place in inactive file upon 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 transfer to the FRC. Destroy 5 years thereafter.</p> <p>EE. <u>Medicare Beneficiary Correspondence Files</u> (Item Approved NARS Job NC-47-75-23) These files accumulate as a result of inquiries and complaints received by SSA district offices, headquarters offices, regional offices, and intermediaries and carriers.</p> <p>Destroy 1 year after the close of the calendar year in which dated; <u>except</u> where records are required to document a specific claim, reconsideration, appeal or similar case, destroy in accordance with the instructions for the specific file.</p> <p>FF. <u>Professional Standards Review Organization (PSRO) Files</u> Files consist of copies of memoranda of understandings and related documents entered into with nonprofit professional associations pursuant to section 1152 of the Social Security Act, as amended. For a given area, the PSRO reviews the professional activities of physicians, other health care practitioners and institutional and noninstitutional providers of health care services to determine whether (1) services are or were medically necessary, (2) quality of services meets professionally recognized standards, etc. Record copies are maintained by BHI headquarters.</p> <p>Destroy 1 year after termination of agreement.</p>		

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>GG. <u>Program Review Team (PRT) Files</u></p> <p>Files consist of charters and related documents entered into with physicians, health care professionals and consumer representatives pursuant to Section 1862(d) of the Social Security Act, as amended (Section 229 of P.L. 92-603), who serve under charter as members of PRT's for given areas. PRT's review the practices of physicians and other providers of service for billing substantially in excess of customary costs or charges, and for furnishing excess, harmful or grossly inferior services or supplies, to determine whether the physician or other provider of service should be excluded from participation in or terminated from the Medicare program. Files also include advisory (nonadjudicative) reports from the PRT's.</p> <p>Destroy 6 years after final termination of charter.</p> <p>HH. <u>Sections 1862(d) and 1866(b)(2) Exclusion and Termination Actions</u></p> <p>Files consist of cases reviewed and actions taken to exclude or terminate physicians or other providers of service from participation in the Medicare program. Documents included are investigatory materials, court actions, utilization reports, payment data and other related documents as well as PRT concurrence (adjudicative reports) or recommendations where required.</p> <p>Destroy 6 years after reinstatement to the program, or 5 years after the case is otherwise closed.</p>		

Item No.	Description of Records	Authorized Disposition
	<p>are alphabetical listings of facilities by State, cities within the State, and facility name within city. These lists contain mailing addresses, provider numbers, intermediary numbers, effective dates, termination codes, billing elections, radiological and laboratory services, total beds, nursing beds, and accreditation by Joint Commission on Accreditation of Hospitals and the American Osteopathic Association.</p>	
	<p>DD. <u>State Agency Budget and Financial Report Files</u></p>	
	<p>Files used to estimate, justify, and approve State agency health insurance program costs, and to account for funds received and expended by the State agencies. Included are Forms SSA-1465, State Agency Budget Request; SSA-1465A, State Agency Budget List of Positions; SSA-1466, State Agency Schedule for Equipment Purchases; SSA-1467, State Agency Budget Notice of Approval; SSA-1468, Notice to State Agency; SSA-1469, Financial Accountability Statement; SSA-1469A, Quarterly Expenditure Report; and indirect cost forms.</p>	<ol style="list-style-type: none"> 1. <u>BHI Headquarters and Regional Offices</u> Destroy 6 years following the close of the budget year. 2. <u>State Agencies</u> Destroy 3 years after DHEW audit or 5 years after the close of the budget year, whichever is earlier.
	<p>EE. <u>State Agreements</u></p>	
	<p>Agreements entered into with the State agencies by the Secretary of Health, Education, and Welfare under the provisions of section 1864 of the Social Security Act, by which the State agency assists SSA in determining whether health care providers and suppliers meet and continue to meet the requirements for coverage or participation. Also included are "subagreements" by which State agencies subcontract some Medicare functions to other governmental or private organizations.</p>	<ol style="list-style-type: none"> 1. <u>BHI Headquarters</u> Permanent. Transfer to the FRC at the close of the calendar year in which terminated. Offer to the National Archives 20 years thereafter. 2. <u>Regional Offices</u> Destroy 5 years after the close of the calendar year in which terminated. 3. <u>State Agencies</u> Dispose of according to State practice.

GENERAL SERVICES ADMINISTRATION
NATIONAL ARCHIVES AND RECORDS SERVICES

PAGE

INTRASERVICE MEMORANDUM AND ENDORSEMENT

OF PAGES

SUBJECT OR TRANSACTION

Comments on NCI-47-76-33

FROM	TO	DATE AND MESSAGE
NNF	NCD	<p>10-27-76. I have no objection to this schedule but I do have one question about item V B, the only <u>permanent</u> item appearing on this job. Why are the record copies of <u>these</u> "State Agreements and Modifications" maintained in the regional offices while those for all other similar programs (items II B, IV A, VI A and VIII A) are retained at the headquarters level? Why should the State Agreements for the Disability Insurance program be treated differently?</p> <p>Incidentally, I think the record copies of the Agreements should be kept permanently not because they "document the working relationship between the states and the Federal Government" but because they go beyond this consideration and reflect the many variations - country-wide- of the Disability Insurance Program. Many records that merely document the working relationship between the States and the Federal Government in various program areas are slated for disposal.</p> <p><i>Jane F. Smith</i> JANE F. SMITH Director Civil Archives Division</p> <p>11/1/76. According to Charlotte Whitenight of SSA, the records of item V-B are maintained at the regional level because the disability insurance program has been decentralized. Other similar programs are still operated from the headquarters level.</p> <p>Peter N. Laugesen (NCD)</p>

(Over)

modifications are made to the agreements. These modifications accrue at the rate of 1 cubic foot per year. Current volume is 10 cubic feet. Similar records are considered permanent in the general records schedule of the SSA, as, for example, in the enclosed copy of the Bureau of Health Insurance Transmittal Notice 2, dated February 28, 1976, item EE. This notice is based on a SF 115 previously approved by NARS.

VIII-HH. These case files cover all instances of exclusion or termination. The only files of any potential significance are those in which legal action is taken. These are documented fully in court records. We recommend approval of disposition schedule NCl-47-76-33.

Frederick J. Graboske
Presidential Libraries, on rotation in Records Disposition Division

Noted: Peter W. Langreen (wep)

Item No.	Description of Records	Authorized Disposition
	<p>are alphabetical listings of facilities by State, cities within the State, and facility name within city. These lists contain mailing addresses, provider numbers, intermediary numbers, effective dates, termination codes, billing elections, radiological and laboratory services, total beds, nursing beds, and accreditation by Joint Commission on Accreditation of Hospitals and the American Osteopathic Association.</p>	
	<p>DD. <u>State Agency Budget and Financial Report Files</u></p>	
	<p>Files used to estimate, justify, and approve State agency health insurance program costs, and to account for funds received and expended by the State agencies. Included are Forms SSA-1465, State Agency Budget Request; SSA-1465A, State Agency Budget List of Positions; SSA-1466, State Agency Schedule for Equipment Purchases; SSA-1467, State Agency Budget Notice of Approval; SSA-1468, Notice to State Agency; SSA-1469, Financial Accountability Statement; SSA-1469A, Quarterly Expenditure Report; and indirect cost forms.</p>	<ol style="list-style-type: none"> 1. <u>BHI Headquarters and Regional Offices</u> Destroy 6 years following the close of the budget year. 2. <u>State Agencies</u> Destroy 3 years after DHEW audit or 5 years after the close of the budget year, whichever is earlier.
	<p>EE. <u>State Agreements</u></p>	
	<p>Agreements entered into with the State agencies by the Secretary of Health, Education, and Welfare under the provisions of section 1864 of the Social Security Act, by which the State agency assists SSA in determining whether health care providers and suppliers meet and continue to meet the requirements for coverage or participation. Also included are "subagreements" by which State agencies subcontract some Medicare functions to other governmental or private organizations.</p>	<ol style="list-style-type: none"> 1. <u>BHI Headquarters</u> Permanent. Transfer to the FRC at the close of the calendar year in which terminated. Offer to the National Archives 20 years thereafter. 2. <u>Regional Offices</u> Destroy 5 years after the close of the calendar year in which terminated. 3. <u>State Agencies</u> Dispose of according to State practice.

GENERAL SERVICES ADMINISTRATION
NATIONAL ARCHIVES AND RECORDS SERVICES

PAGE

INTRASERVICE MEMORANDUM AND ENDORSEMENT

OF PAGES

SUBJECT OR TRANSACTION

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