

REQUEST FOR AUTHORITY
TO DISPOSE OF RECORDS

12 items (See Instructions on Reverse) *RG 226*
TO: GENERAL SERVICES ADMINISTRATION,
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, D.C. 20408

1. FROM AGENCY OR ESTABLISHMENT

Department of Health, Education, and Welfare

2. MAJOR SUPERVISION

Social Security Administration

3. MINOR SUPERVISION

Bureau of Health Insurance

4. NAME OF PERSON WITH WHOM TO CONFER

Arthur J. Benner

5. TEL. EXT.

45772

6. CERTIFICATE OF AGENCY REPRESENTATIVE

I hereby certify that I am authorized to act on the behalf 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.

MAR 12 1974

(Date)

Russell O. Hess
Russell O. Hess

(Signature of Agency Representative)

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
8.	<p><u>Intermediary and Carrier Budget Estimate and Justification Files</u></p> <p>These files consist of Forms SSA-1523 and SSA-1524, Estimate of Administrative Costs, and comparable papers used by the intermediaries and carriers to submit their annual cost estimates necessary in administering the Hospital Insurance Benefits and Supplementary Medical Insurance Benefits Programs. Also included are justifications, correspondence on specific budget estimates, and supporting data used to prove the requirement of the amounts in budget estimates, along with the notification of budget approval such as Forms SSA-1525 and SSA-1526, Notice of Budget Approval, Form SSA-2598 and SSA-2599, Approved Budget Distribution, Estimate of Administrative Costs, and similar papers.</p> <p>A. <u>BHI Headquarters</u></p> <p><u>Transfer to the SSA Holding Area 2 years after the end of budget fiscal year. Destroy after 3 years retention in holding area.</u></p> <p>B. <u>Intermediaries, Carriers, and BHI Regional Offices</u></p> <p><u>Destroy 3 years after HEM audit and final settlement.</u></p> <p><i>GAO concurrence required.</i></p>		

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DATE RECEIVED MAR 21 1974	JOB NO
DATE APPROVED NC	174-175
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.	
6-3-74 Date	<i>James E. O'Heill</i> Archivist of the United States

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
9.	<p><u>Intermediary and Carrier Interim Expenditure Report Files</u></p> <p>These are quarterly reports of expenditures made by the intermediaries and carriers since the beginning of the Federal fiscal year and submitted to the Social Security Administration on Forms SSA-1527 and SSA-1528, Interim Expenditure Reports <u>with supplemental schedules or their equivalents.</u></p> <p>A. <u>BHI Headquarters</u></p> <p>Destroy after <u>7</u> years.</p> <p>B. <u>Intermediaries, Carriers, and BHI Regional Offices</u></p> <p>Destroy <u>3</u> years after HEW audit and final settlement.</p>		
10.	<p><u>Intermediary and Carrier Final Administrative Cost Proposal and Audit Files</u></p> <p>These files are used as a basis for final settlement of allowable costs and consist of Forms SSA-1615 and SSA-1616, Final Administrative Cost Proposals, or their equivalents; <u>and DHEW or GAO audit reports of intermediary and carrier administrative costs and benefit payments. Included are other papers and related correspondence supporting the amount of requested and approved reimbursement.</u></p> <p><u>All Offices</u></p> <p><u>Destroy 3 years after HEW audit and final settlement.</u></p>		
12.	<p><u>Intermediary and Carrier Payment Vouchers and Transmittal Files</u></p> <p>The files consist of Standard Form 218, Payment Voucher on Letter of Credit, and similar documents prepared by the intermediaries and carriers to obtain Federal Funds from selected commercial banks for expenses incurred in administering the Health Insurance Benefits and Supplementary Medical Insurance</p>		

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	<p>Benefits Programs. Also included is SSA-1521, Payment Voucher on Letter of Credit Transmittal, a transmittal that forwards copies of payment vouchers to the Social Security Administration and shows the purpose for which funds were drawn, i.e., hospital insurance benefits, administrative costs, and total amount of payment vouchers.</p> <p>A. <u>BHI Headquarters</u></p> <p><u>Destroy after 18 months.</u></p> <p>B. <u>Intermediaries, Carriers, and BHI Regional Offices</u></p> <p><u>Destroy after HEW audit and final settlement.</u></p>		
13.	<p><u>Intermediary and Carrier Monthly Financial Report Files</u></p> <p>These are reports submitted monthly by the intermediaries and carriers to provide SSA with the basic data to reconcile its accounts with those maintained by intermediaries and carriers and consist of Form SSA-1522, <u>Monthly Intermediary Financial Report and attachments.</u></p> <p><u>All Offices</u></p> <p><u>Destroy after HEW audit and final settlement.</u></p>		
25.	<p><u>Intermediary and Carrier Closing Agreements</u></p> <p><u>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.</u></p> <p>A. <u>BHI Headquarters</u></p> <p><u>Transfer to the FRC 3 years after HEW audit and final settlement; Retain indefinitely in the FRC.</u></p> <p><i>use Record Group 217.</i></p> <p><i>Change made with approval of R. Harvey (SSA). 5/24/74. PL</i></p>		

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1 ITEM NO	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATE AND RETENTION PERIOD)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
	<p>B. <u>Intermediaries, Carriers, and BHI Regional Offices</u></p> <p><u>Destroy 3 years after HEW audit and final settlement.</u></p>		
40.	<p><u>Intermediary and Carrier Plan of Expenditure Report</u></p> <p><u>These files consist of Forms SSA-2582 and SSA-2583, Plan of Expenditure, submitted on November 15 and February 15 by the intermediaries and carriers to provide SSA with the basic data to analyze budget allotment status when compared to actual accrued and anticipated expenditures.</u></p> <p><u>All Offices</u></p> <p><u>Destroy 3 months after end of fiscal year.</u></p>		
41.	<p><u>Intermediary and Carrier Monthly Cumulative Cost Report</u></p> <p><u>These forms consist of Forms SSA-2584 and SSA-2585, Monthly Cost Report-Cumulative. The reports, with the exception of September, December, March and June, are submitted monthly by the intermediaries and carriers to supplement the detailed quarterly reports thereby providing SSA with productivity and cost data on a 12 month cumulative basis.</u></p> <p><u>All Offices</u></p> <p><u>Destroy 3 months after end of fiscal year.</u></p>		

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	<p><i>(Handwritten: N/A 170170)</i></p> <p>8. <u>Intermediary and Carrier Budget Estimate and Justification Files</u> These files consist of Forms SSA-1523 and 1524, Estimate of Administrative Costs, and comparable papers used by the intermediaries and carriers to submit their annual cost estimate necessary in administering the hospital insurance benefits and supplementary medical insurance benefits programs. Also included are justifications, correspondence on specific budget estimates, and supporting data used to prove the requirement of the amount in budget estimates along with notification of budget approval such as Forms SSA-1525 and 1526, Notice of Budget Approval, Estimate of Administrative Costs, and similar papers.</p> <p>2. <u>Intermediaries, Carriers, and SSA Regional Offices</u> Destroy after HEW audit and final settlement.</p> <p>6. <u>SSA Headquarters Official File Copies</u> Transfer to Federal Records Center 3 years after completion of audit or settlement process. Retain indefinitely in Federal Records Center.</p> <p>9. <u>Intermediary and Carrier Interim Expenditure Report Files</u> These are quarterly reports containing expenditures made by the intermediaries and carriers since the beginning of the Federal fiscal year and submitted to the Social Security Administration on Forms SSA-1527 and SSA-1528, Interim Expenditure Report, or their equivalent.</p> <p>2. <u>Intermediaries, Carriers, and SSA Regional Offices</u> Destroy after HEW audit and final settlement.</p> <p>6. <u>SSA Headquarters Official File Copies</u> Destroy after 5 years.</p> <p>10. <u>Intermediary and Carrier Final Administrative Cost Proposal Files</u> These files are used as a basis for final settlement of allowable costs and consist of Forms SSA-1615 and 1616, Final Administrative Cost Proposal, and their equivalent together with other supporting papers necessary to justify and support the amount of reimbursement requested.</p>		<p><i>(Handwritten: N/A 170170)</i></p> <p>DISPOSAL APPROVED</p> <p>DISPOSAL NOT APPROVED</p> <p>DISPOSAL APPROVED</p> <p>DISPOSAL APPROVED</p>

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2.	<u>Intermediaries and Carriers</u> report files Destroy after HEW audit and final settlement.		DISPOSAL APPROVED
b.	<u>SSA Headquarters Official File Copies</u> Transfer to Federal Records Center 3 years after audit or settlement process. Retain indefinitely in Federal Records Center.		DISPOSAL NOT APPROVED /
11.	<u>Intermediary and Carrier Letter of Credit Files</u> These are authorizations to a Federal Reserve Bank to pay funds to designated intermediaries and carriers on behalf of the Social Security Administration upon presentation of payment vouchers to a commercial bank for collection through the Federal Reserve System and consist of Standard Form 1193, Letter of Credit or its equivalent and amending letters. <u>All Copies</u> Destroy 3 years after the year in which cancelled.		DISPOSAL APPROVED
12.	<u>Intermediary and Carrier Payment Vouchers and Transmittal Files</u> These files consist of Standard Form 218, Payment Voucher on Letter of Credit, and similar documents prepared by the intermediaries and carriers to obtain Federal funds from selected commercial banks for expenses incurred in administering the health insurance benefits and supplementary medical insurance benefits programs. Also included is Standard Form 1521, Payment Voucher on Letter of Credit, transmittal that forwards copies of payment vouchers to the Social Security Administration and shows the purpose for which funds were drawn, i.e., Hospital Insurance Benefits, Supplementary Medical Insurance Benefits, Administrative Costs, and total amount of payment vouchers.		
a.	<u>Intermediaries and Carriers</u> Destroy after HEW audit and final settlement.		DISPOSAL APPROVED
b.	<u>SSA Headquarters Official File Copies</u> Transfer to Federal Records Center after 3 years. Destroy after 7 years retention in Federal Records Center.		DISPOSAL APPROVED

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25.	<u>Intermediary and Carrier Audit Files</u> These files consist of DHEW or GAO audit reports of intermediary and carrier administrative costs and benefit payments, including related correspondence.		
a.	<u>Intermediaries and Carriers</u> Destroy 3 years after close of the fiscal year in which audit is completed, provided a final settlement has been made.		DISPOSAL APPROVED
b.	<u>SSA Official File Copies</u> Destroy 6 years after close of the fiscal year in which audit is completed.		DISPOSAL APPROVED
26.	<u>Medicare Issuance Background Files</u> Documents relating to the preparation, review, issuance, and interpretation of such directives as Part A and Part B Intermediary Manuals, intermediary numbered letters, State operations manual, provider manuals, regulations, and similar issuances dealing with the Health Insurance for the Aged program. Included are studies, coordinating actions, recommendations, concurrences, and similar documents that provide a basis for issuances or that contribute to the content of the publication.		
2.	<u>Offices Responsible for Preparation and Issuance of the Publication</u> Transfer to Federal Records Center for indefinite retention when no longer needed in current operations.		DISPOSAL NOT APPROVED
b.	<u>Other Offices</u> Destroy when superseded, obsolete, or no longer needed for reference.		DISPOSAL APPROVED
27.	<u>Medicare Issuance Record and Reference Sets</u> Files of records sets consist of one copy of current and superseded publications and ussuances such as Part A and Part B Intermediary Manuals, numbered intermediary letters, regulations, State operations manuals, provider manuals, and other documents concerned with the Health Insurance for the Aged Program. (Record set is defined as that copy of a publication maintained by the office of record, usually the preparing office, for record purposes as distinguished from the copies of the same publication distributed and maintained for reference purposes).		