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(Date)	<u>Russell O. Hess</u> (Signature of Agency Representative)	Dept.	Re	ecor	<u>]s Ma</u> (Title)	<u>gt 01</u>	11	<u>cer</u>
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7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)			SAMPL	EOR	ACT	10 NOI	J. Taken
	THO concurrence in henry 200	fai	2-			-		
	These files consist of cost reports submitted by providers to intermediaries for the purpose of determining Medicare reimbursable costs. Each cost reports contains a provider's statement of reimbursable cost cost-finding schedules, auditor's comments, final settlement letters, and other data necessary to determine reimbursable costs, prepared in accordance with regulations and the principles of reimbursement <u>BHI Headquarters</u> <u>Audited Reports and Those Settled Without Audit</u>	ort st, ce nt.						~
	Retain for 3 years after completion of audit an settlement process and transfer to FRC. Destroy years after receipt in FRC. 2. <u>Unaudited Reports</u>	id/or y 5				DISPO	SAL	APPROVED
	Destroy 3 years after receipt or when they have served their purpose, whichever is earlier.					DISPO	sal	APPROVED
	<u>Audited and Unaudited Reports</u>							
	Destroy 5 years after completion of audit and/or settlement process.	r			ħ	DISPOS	AL /	APPROVED
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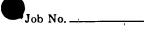
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Four copies, including original, to be submitted to the National Archives and Records Service

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## 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
	31. <u>Provider Statistical and Reimbursement Reports</u> These reports are EDP printouts (or microfilms) showing summaries of payments to hospitals, skilled nursing facilities, home health agencies, and other providers of service. They 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.		
	BHI Headquarters Destroy printouts 3 years after the date issued or when they have served their purpose, whichever is earlier. Destroy microfilm upon receipt of subsequent film.		disposal approved
	<ul> <li><u>Intermediaries</u></li> <li>Destroy 5 years after completion of audit and/or settlement process of provider cost report for corresponding fiscal year.</li> <li><u>Detailed Printouts (Depots)</u></li> </ul>		DISPOSAL APPROVED
	These reports are EDP printouts showing individual bill and payment information for hospitals, skilled nursing facilities, home health agencies, and other providers of service. These reports are used by intermediaries and providers to reconcile the Provider Statistical and Reimbursement Reports (see item 31) to their own records by itemizing which bills have been processed by SSA and are included in the PS&R report		
	BHI Headquarters Destroy printouts 3 years after the date issued or when they have served their purpose, whichever is earlier.	1	DSPOSAL APPROVED
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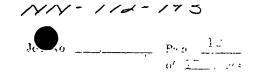


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	of <u>3</u> pages

## **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
	B) <u>Intermediaries</u> Destroy 5 years after completion of audit and/or settlement process or provider cost report for corresponding fiscal year.		DISPOSAL APPROVE
	39. <u>Interim Rate Listings</u> These files consist of listings of interim rates in use by intermediaries in making interim payments to hospitals, skilled nursing facilities, home health agencies, and other providers of services. These listings are used as a source of information and for studies.		
	<u>BHI Headquarters</u> Destroy after 5 years.		DISPOSAL APPROVE

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## 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.	19 ACTION TAKEN
	2.	Office Responsible for Maintaining Record Sets Close file on supersession or discontinuance of the publication hold two years. Transfer to Federal Records Center for indefinite retention.		EISPOSAL HOT ADPROVED
	6.	Office Maintaining Reference Copies Destroy when superseded or no longer needed for reference.		DIEPESAL APPROVE
	28.	Carrier Computer Printout Records These files consist of computer printouts used in processing, paying, and controlling "Part B" Medicare Claims.		
		<ul> <li>Pending and process listing, payment listing, duplicate check control, master file update control, and profiles of physicians and other suppliers or services.</li> </ul>		DISPOSAL APPEOVEI
		Destroy 4 years after the close of the calendar year in which payment was made.		
		<ul> <li>b. Check listing and bank reconciliation.</li> <li>Destroy 6 years after the close of the calendar</li> </ul>		DISPOSAL APP <u>rovi</u>
		year in which paid or voided. c. Query and query reply listing, transaction listing, activity listing, posting exceptions, analysis of posting errors, claims inventory control, edit input transactions, and aging of open claims.		BISPOSAL APPROV
•		Destroy 3 years: after payment or when no longer required for current operations, which- ever is longer.		
	29.	<u>Cost Report Files</u> These files consist of cost reports submitted by providers to intermediaries for the purpose of deter- mining Medicare reimbursable costs. Each cost report contains a provider's statement of reimbursable cost, cost-finding schedules, auditor's comments, final		

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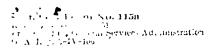


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REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS-Continuation Sheet

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		ttlement letters, and other data necessary to		
	de	termine reimbursable costs, prepared in accordance		1.11 TANA
	W1	th regulations and the principles of reimbursement.	· م	LAL AL AL MAN
		termediaries	•	DISPOSAL APPROVE
		stroy 3 years after HEW audit or 5 years after date		PREPRESE AD.
	the	ereport was filed, whichever is earlier.		All Sures
		Official File Copies	-	UISPOSAL APPERVE
	Ret	cain for 3 years after completion of audit and		
		tlement process and transfer to Federal Records		
	Cer	ter. Destroy 5 years after receipt in FRC.		. •
		wider Certification Files and Prant Contraction		
		cuments relating to the survey and certification '		
		supplers and providers of service. Included are		
		icial certification and transmittal forms, survey		Elengial Appanys
		port forms, utilization review plans, provider		
	8.21	reements, transfer agreements, plans of correction,		
	civ	il rights compliance forms, intermediary designa-		
		on and tie-in notices, certification letters, and	•	
		rious forms and correspondence used in the certi-		
	fic	ation process with respect to individual facilitie	s.	
	Exc	luded from this definition are surveyor's notes,		
		igh copy survey report forms, and other workpapers		- 51 Mart
	whi	ch are merged into and superseded by a final		
	pro	oduct. The training for the state of the product of the product of the state of the		1 17 5 4 2 4 La 19 1
	•	or those if investor toots wonth we to		AMPROLIS
		a. State Agencies lity woors the Marie Lutenceion		
				,
		Nonparticipating racifilies		DISPOSAL APPROVI
		Destroy 2 years after termination, closure,		
		withdrawal, or denial, as applicable; except		
		documents pertaining to facilities for which no-certification-was ever completed, destroy		
	l ,	l'year after last certification contact or a		21074531 4.37
		correspondence. All certification and trans-		12202124
		st val (oras, interneditory designation)		
		, Participating Facilities and rate domination.		DISDOCAL NOT
	ļ	G. Retain a facility's current utilization revie	v	DISPOSAL NOT APPROVED
	l	plan (hospitals and extended care facilities)		
	ي ا	c transfer agreements (ECF's), and floor plan		
	ł	or physical plant layout. C Destroy all other		DISPORT THE STREET
		material after 3 years for hospitals and home		DISPOSAL APPROVE
		d. health agencies and after 2 years for all		
		other facilities, but retain the material for		DISPOSAL NOT Approved
		the two most recent certification actions, in		
		any event.		1







## 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
	31. <u>Provider Statistical and Reimbursement Reports</u> These files are EDP printouts showing summaries of payments made to hospitals, extended care facilities, home health agencies, and other providers of service. They are used to effect cost settlements between the intermediaries and the providers for program valida- tion purposes, and to determine accuracy of cost reports and they contain Part A and Part B inpatient and outpatient information, inpatient statistics, total bills, covered costs, and other data.		
	Intermediaries and Carriers Destroy 3 years after DHEW audit or 5 years after the date the report was filed, whichever is earlier.		DISPOSAL APPBOVED
	b. SSA Official File Copies Destroy 5 years after the date in which issued.		DIEPUSAL APPECYED
	32. <u>Medical Facilities Directory Files</u> These are listings of providers of service showing provider identification number and intermediary num- ber, effective date, and city where located. Also included 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, radio- logical and laboratory services, total beds, nursing beds, and accreditation by Joint Commissioner of Accreditation of Hospital and the American Osteopathi Association.	c	
	<b>ð.</b> <u>SSA Official File Copies</u> Retain record set indefinitely.		DISPCSAL NO <b>t</b> Approved
	b. <u>All Other Copies</u> Destroy when superseded, obsolete, or no longer need- ed for reference.		DISPOSAL APPROVED
	33. State Agency Budget and Financial Report Files These files are used to estimate, justify, and approv 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; SSA-1465A, State Agency Budget List of Posi- tions; SSA-1465B, State Agency Budget Schedule for Administration; SSA-1466, State Agency Schedule for	e	-

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