

**REQUEST FOR AUTHORITY
 TO DISPOSE OF RECORDS**

(See Instructions on Reverse)

47

TO: General Services Administration
 NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, D.C. 20408

LEAVE BLANK	
DATE RECEIVED JUL 30 1976	JOB NO.
DATE APPROVED NC1-47-76-29	

1. FROM (AGENCY OR ESTABLISHMENT)
 Department of Health, Education, and Welfare

2. MAJOR SUBDIVISION
 Social Security Administration

3. MINOR SUBDIVISION
 Bureau of Health Insurance

4. NAME OF PERSON WITH WHOM TO CONFER
 George S. Yamamura

5. TEL. EXT.
 45770

NOTIFICATION TO AGENCY

In accordance with the provisions of 44 U.S.C. 3305a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10.

AUG 31 1976 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 3 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.

7/27/76
 (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
	<u>RECORDS RETENTION AND DISPOSAL SCHEDULE</u> <u>HEALTH INSURANCE FOR THE AGED AND DISABLED PROGRAM</u>		
I.	<p><u>SUPPLEMENTARY MEDICAL INSURANCE (SMI) GENERAL ENROLLMENT PERIOD (GEP) RECORDS</u></p> <p>Records consisting of source documents, generally the SSA-40, Automatic Enrollment Card, with appropriate suffix, and microfilm copies thereof, for all individuals who responded in the direct mail solicitation for SMI entitlement. The records contain such information as beneficiary name, claim number, address, premium amount, and a check mark reflecting individual's "yes" election or enrollment refusal.</p> <p>A. <u>Source Document</u></p> <p>Destroy upon completion and verification of microfilm.</p> <p>B. <u>Microfilm</u></p> <p>Transfer to the Federal Records Center (FRC) 4 years after completion of the GEP. Destroy after a total 10 years' retention.</p>		
II.	<p><u>QUALITY ASSURANCE FILES</u></p> <p>Consists of documents relating to comparison of Part B carrier performance. Included are statistical output</p>		

Copy to Agency 9/7/76
 NCW

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 1 of the standard form will be returned to the agency with notification that Congress has authorized disposal of the items marked "to be disposed."

Special 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.

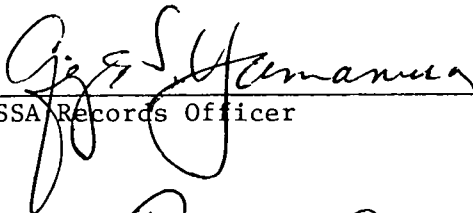
A statement should be provided showing *when* the records were produced or *when* disposal is to be made of the records, thus:

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.


SSA Records Officer


Records Liaison Officer, BHI

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>tables of the Quality Assurance Computer Programs submitted by the carriers on a monthly, quarterly, and yearly basis, and the Index Report produced by central office on a quarterly and a yearly basis.</p> <p>A. <u>Central Office</u></p> <p>1. <u>Statistical Output Tables</u></p> <p>a. <u>Monthly</u> Destroy after 6 months.</p> <p>b. <u>Quarterly</u> Destroy after 1 year.</p> <p>c. <u>Yearly</u> Destroy after 2 years.</p> <p>2. <u>Index</u></p> <p>a. <u>Quarterly</u> Destroy after 2 years.</p> <p>b. <u>Yearly</u> Permanent. Cut off file after 5 years. Transfer to the FRC 5 years thereafter and offer to the National Archives. <i>when 15 years old.</i> <i>(Annual accumulation = 1 inch)</i></p> <p>B. <u>Regional Office</u></p> <p>1. <u>Statistical Output Tables</u></p> <p>a. <u>Monthly</u> Destroy after 6 months.</p> <p>b. <u>Quarterly</u> Destroy after 1 year.</p> <p>c. <u>Yearly</u> Destroy after 2 years.</p>		

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	<p>2. <u>Index</u> Destroy after 2 years.</p> <p>C. <u>Carriers</u></p> <p>1. <u>Statistical Output Tables</u></p> <p>a. <u>Monthly</u> Destroy after 6 months.</p> <p>b. <u>Quarterly</u> Destroy after 1 year.</p> <p>c. <u>Yearly</u> Destroy after 2 years.</p> <p>2. <u>Index</u> Destroy after 2 years.</p> <p>III. <u>CORRECTIVE PAYMENT ACTION SUMMARY REPORT</u></p> <p>Documents relating to corrective payment action taken on 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>		