

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-047-08-001

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 09/02/2022

ACTIVE ITEMS

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

All items not listed below remain active.

SUPERSEDED AND OBSOLETE ITEMS

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

Item B/2/A and B/2/B were superseded by DAA-0047-2012-0003-0002.

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| REQUEST FOR RECORDS DISPOSITION AUTHORITY | | NI-047-08-1 | |
| To NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001 | | Date received 12/11/07 | |
| 1 FROM Social Security Administration | | NOTIFICATION TO AGENCY | |
| MAJOR SUBDIVISION Office of Publications and Logistics Management | | In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10 | |
| MINOR SUBDIVISION Center for History, Library and Records Management | | | |
| 4 NAME OF PERSON WITH WHOM TO CONFER Regina Martin, SSA Records Officer | TELEPHONE NUMBER 410-965-5555 410-966-1704 (fax) | DATE 3/24/08 | ARCHIVIST OF THE UNITED STATES <i>Allen W...</i> |
| <p>AGENCY CERTIFICATION</p> <p>I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached <u>5</u> page(s) are not needed now for the business for this agency or will not be needed after the retention periods specified, and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,</p> <p><input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached <input type="checkbox"/> has been requested</p> | | | |
| DATE 11/30/07 | SIGNATURE OF AGENCY REPRESENTATIVE <i>Regina Martin</i> | | TITLE Records Officer |
| 7 ITEM NO | 8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION | 9 GRS OR SUPERSEDED JOB CITATION | 10. ACTION TAKEN (NARA USE ONLY) |
| | SEE ATTACHED SHEETS Medicare Claim File Office of Origin: Office of Disability and Income Security Programs, (ODISP) Social Security Administration 6401 Security Boulevard Baltimore, MD 21235-6401 Scheduling Authority: Social Security Administration Deputy Commissioner for Finance, Assessment & Management Center for History, Library & Records Management Regina Martin, SSA Records Officer Room 1500 Annex Building 6401 Security Boulevard Baltimore, MD 21235-6401 410-965-5555 | NI-47-05-2 NI-047-07-1 | |
| <i>At 4/10/08 copies sent to Agency, NARA</i> | | | |

Medicare Claim File Records

The Medicare Claims files are covered by the Social Security Administration (SSA) Privacy Act system of records entitled *Claims Folder System*, system number #09-60-0089. SSA published a revised version of the *Claims Folder System* in the Federal Register on April 1, 2003 (68 Fed. Reg. 15784).

The schedule provides authoritative instructions for the retention and destruction of material related to Title XVIII of the Social Security Act regardless of media of the materials. A Medicare claim file record refers to "Medicare only claims" (no Social Security benefit entitlement), or "Medicare Part D claims" processed by SSA. It grants authority for the disposition of existing and future claim file records.

The Medicare only claim file record may contain material related to the request for or continuation of Medicare related entitlement and/or benefits under Medicare hospital (Part A) and/or medical coverage (Part B). The Medicare Part D claim file record may contain material related to Medicare Prescription Drug (Part D) low income subsidy. Items in the claim file may include but are not limited to applications, supporting documentation, award/denial notices, and appeal information. Applications involving entitlement to disability insurance benefits, including those based on blindness, will also include disability related information including documentation of the disability determination, supporting medical development and evidence, new medical material received after a medical decision has been made, continuing disability reviews, and other disability evidence.

Medicare information in the claim file will be used throughout SSA for purposes of determining initial and continuing entitlement to each part noted above including all appeals of such determinations.

Disposition Instructions

A. Inputs

Delete/destroy after recordkeeping copy has been placed in the claim file and verified.

B. Claim File Material

1. Medicare Only Claims for Hospital Insurance (Part A) and/or Medical Insurance (Part B)

a. Entitlement based on disability

(1) The person attains age 65;
Or

(2) The medical reexamination date is scheduled to occur after attainment of full retirement age.

Delete/destroy the claim file record 7 years after the date of latest allowance award of Part A contained in the record if the criteria noted above are met.

NOTE: The claim file record for a person placed in suspense will not be destroyed until the suspense is lifted. Delete/destroy the claim file record 7 years after the date the suspense is lifted if the rules in B.1.a. apply.

b. Entitlement based on age

Delete/destroy the claim file record 6 years after the date of the latest allowance award contained in the record.

NOTE: The claim file record for person placed in suspense will not be destroyed until the suspense is lifted. Delete/destroy the claim file record 6 years after the date the suspense is lifted if the rules in B.1.b. apply.

c. Entitlement based on End-Stage renal Disease (ESRD)

Delete/destroy the claim file 6 years after the data of the latest allowance contained on the record.

d. Entitlement denied or terminated

Delete/destroy the claim file record in accordance with the following:

(1). Medical reasons

Delete/destroy the claim file record 5 years after the Agency's final denial or termination decision.

(2). Non-Medical reasons

Delete/destroy the claim file record 2 years after the Agency's final denial or termination decision.

(3) ESRD

Delete/destroy the claim file record 2 years after termination of ESRD coverage.

2. Medicare Prescription Drug (Part D) Subsidy

a. Entitled for assistance

Delete/destroy 6 years after the date of the final determination (initial, appeal or redetermination, as appropriate)

b. Entitlement for assistance denied, terminated or claim cancelled)

Delete/destroy 2 years after the Agency's final denial decision (claim denied), after the claim is cancelled (cancelled claim), or after the Agency's final termination decision (terminated claim).

C. General

Delete/destroy all post entitlement claim file records 6 years after the action is processed to completion.

D. Outputs

a. ~~Data Feeds to other SSA System(s)~~

~~According to terms of established agreements of parties sharing data, verify feed and follow disposition instructions for related system(s).~~

b. Ad hoc Reports

Delete/destroy when no longer needed to conduct business.

c. ~~Correspondence, Notices and Receipts~~

~~File with or link to individual claim file; follow disposition instructions of related claim file record.~~

E. ~~Systems Documentation~~

~~Those documents that provide a narrative description of the electronic system; physical and technical characteristics of the records, including a record layout that describes each field including its name, size, starting or relative position; and a description of the form of the data (such as alphabetic, zoned decimal, packed decimal, or numeric); or a data dictionary or the equivalent information associated with a database management system, including a description of the relationship between data elements in databases; and any other technical information needed to read or process the records. Systems documentation may include such items as manuals and software update documentation.~~

~~Cut off when the system is superseded and/or replaced - Delete/destroy 2 years after cutoff or when no longer needed for reference, whichever is later.~~

F. ~~Electronic Mail and Word Processing System Copies~~

~~Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by other items in this schedule. Also~~

~~includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.~~

- ~~1. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.
Delete/destroy within 180 days after the recordkeeping copy has been produced.~~
- ~~2. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.
Delete/destroy when dissemination, revision, or updating is completed.~~

Guidance

The following are examples where claims will be maintained beyond the scheduled period for destruction:

1. Fraud, Abuse or Misuse -- All claim file records where possible fraud, abuse or misuse have been identified or are involved in investigations of fraud, abuse or misuse will not be destroyed until the Office of the Inspector General provides approval to release such protection.
2. Court Cases -- All claim file records involved in court cases or class actions will be protected from destruction until completion of all the legal actions and the Office of the General Counsel provides approval to release such protection.