

REQUEST FOR AUTHORITY  
TO DISPOSE OF RECORDS

(See Instructions on Reverse)

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 SUBDIVISION

Social Security Administration

3. MINOR SUBDIVISION

Office of Program Operations

4. NAME OF PERSON WITH WHOM TO CONFER

George S. Yamamura

5. TEL. EXT.

45770

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 suffi-  
cient 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 occur-  
rence of the event specified.

9/7/76  
(Date)

Eugene J. Reed, Jr.  
Signature of Agency Representative

Acting  
Dept. Records Mgt. Officer  
(Title)

LEAVE BLANK	
DATE RECEIVED <b>SEP 10 1976</b>	JOB NO.
DATE APPROVED <b>NC1-47-76-32</b>	
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disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10.  <b>11-11-76</b> <i>James B. P. Roads</i> Date - Archivist of the United States	

7. ITEM NO	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p><u>DISTRICT/BRANCH OFFICE AND RAU RECORDS</u></p> <p>A. <u>Pending Social Security Number (SSN) Applications</u></p> <p>These files consist of photocopies of Form SS-5, Application for Social Security Number, and/or rosters containing the name and SSN of individuals requesting SSN's or replacement cards. The files are created when an individual requests that his or her SSN be furnished to a third party (employer, bank, welfare agency, etc.). They are maintained in SSA district and branch offices.</p> <p>Destroy after third party has been notified of correct SSN.</p> <p>B. <u>Record of Claims (Microfiche)</u></p> <p>These are microfiche records containing personal data (name, address, SSN, date of birth, payment history, etc.) about beneficiaries and denied applicants for retirement and survivors insurance, disability insurance, health insurance, and supplemental security income payments. The records are used by SSA district and branch offices and teleservice centers to answer inquiries. These offices and the Reconciliation and Analysis Units (RAU) also use the records in making determinations as to continuing eligibility for benefits. The fiche are updated every 3 months.</p> <p>Destroy upon receipt of updated fiche. <i>Copy to Agency 11-17-76 CDD</i></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:

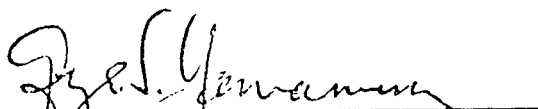
If Box A under entry 6 was marked, the inclusive dates during which the records were produced should be stated.

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 an adequate substitutes for the paper records."

**Entry 9** should show *when* 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.

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SSA Records Liaison Officer

  
OPO Records Liaison Officer

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

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	<p>C. <u>Wage Item File</u></p> <p>These files consist of notices sent by the Bureau of Data Processing (BDP) to district and branch offices when an individual's earnings are reported to SSA without a SSN or with an incorrect SSN. The district/branch office uses the notices to contact the employer or wage earner and reconcile the data. Once the data are reconciled, the record is returned to BDP so that the earnings may be credited to the appropriate account.</p> <p>1. <u>District/Branch Offices</u></p> <p>Forward to BDP after data have been reconciled.</p> <p>2. <u>BDP</u></p> <p>Destroy after magnetic tape has been proven acceptable.</p> <p>D. <u>Problem Case File</u></p> <p>These files are maintained by some SSA district and branch offices. Generally, they consist of notes and other background materials relating to difficult or continuing problem claims cases. The files are broken down upon completion of claims development and pertinent material is sent to the reviewing office for association with the claims folder.</p> <p>1. <u>District/Branch Offices</u></p> <p>Review upon completion of claims development and destroy documents which have no further relevance to the claim. Forward the remaining documents to the reviewing office for association with the individual's claims folder.</p> <p>2. <u>Reviewing Office</u></p> <p>File in the claims folder. Retain in accordance with claims folder disposition instructions.</p>		

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	<p>E. <u>Problem Case File (SSI)</u></p> <p>These files are maintained in the Reconciliation and Analysis Units located in the SSA regional offices. The files consist of computerized listings which identify, by name, SSN, and other factors, individuals who have applied for supplemental security income (SSI) payments. The listings are used to control complex cases requiring special expertise to process.</p> <p>Destroy when no longer needed for control purposes.</p> <p>F. <u>Control File for Cases Before Presiding Officers</u></p> <p>These are card files maintained by the RAU's on SSI claims cases which are before an officer of the Bureau of Hearings and Appeals for resolution. The cards contain the name and SSN of the applicant for SSI payments and a chronological record of case processing. The cards are used primarily to answer inquiries on the status of the case.</p> <p>Destroy 4 months after final action by the Presiding Officer on the case.</p> <p>G. <u>Claims Leads</u></p> <p>These are forms received from mental hospitals, welfare agencies, IRS, VA, and other sources identifying persons who may be eligible for retirement and survivors insurance, disability insurance, hospital insurance, or supplemental security income benefits. The forms generally contain the name and address of the individual, date of birth, employment data, data on dependents, and other personal information. The forms are used to initiate contact with individuals to determine their eligibility for benefits.</p> <p>Destroy after claim has been taken or 6 months after the date from which individual is contacted by letter, whichever is earlier.</p>		

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	<p>H. <u>Welfare Eligibility Lists for December 1973</u></p> <p>These are lists of individuals eligible for State welfare payments as of December 1973. The lists are used by SSA district/branch offices to facilitate the transfer of aged, blind, and disabled cases from State welfare agencies to the SSI program. The lists generally contain name, address, SSN, and welfare case number data.</p> <p>Destroy when information on the list becomes obsolete.</p> <p>I. <u>Tax Assessment Records</u></p> <p>These are listings containing excerpts from local tax assessor records. The listings are used by the district/branch offices to document claims for supplemental security income payments.</p> <p>Destroy upon receipt of next subsequent listing.</p> <p>J. <u>Local School Records</u></p> <p>These are records of students enrolled in the local school system. The records contain the name of the student, age at time of enrollment, name of guardian and address. The records are used by the district/branch offices for age documentation.</p> <p>Destroy when obsolete.</p> <p>K. <u>Local Birth Records</u></p> <p>These are copies of birth records for individuals who are potentially eligible for benefits under various social security programs. The records are used for documentation of age.</p> <p>Destroy when obsolete.</p> <p>L. <u>Forced Payment File (SSI)</u></p> <p>These files consist of listings of SSI claims cases which require forced payment processing. The listings contain the name and SSN of the SSI applicant and describe the type of action being taken on the case. The listings are used by the RAU's for case control purposes.</p>		

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	<p>Destroy when the information on the listing has become obsolete.</p> <p>M. <u>One-Time Payment File</u></p> <p>These are card files used to record cases where one-time payments are made to SSI applicants. The files contain the name of the applicant, SSN, amount paid, months for which paid, and related data. The files serve to insure that duplicate payments are not made.</p> <p>Destroy 3 months after date of last one-time payment.</p>		