

# WITHDRAWN-RETURNED WITHOUT ACTION

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION  
Request for Records Disposition Authority

Records Schedule: DAA-0047-2017-0003

## Request for Records Disposition Authority

Records Schedule Number DAA-0047-2017-0003  
Schedule Status Returned Without Action

Agency or Establishment Social Security Administration  
Record Group / Scheduling Group Records of the Social Security Administration  
Records Schedule applies to Agency-wide  
Schedule Subject Mission and Programs Records  
Internal agency concurrences will be provided No

**Background Information**

SSA is proposing a big bucket approach to records scheduling and disposition. This bucket is the Mission and Programs Records bucket. It has five disposition schedules: 1 permanent and 4 temporary. This schedule covers records and information that document the mission and functions of the agency, including actuary studies and reports, policy decisions that affect program direction, expenditures, opinions (including legal opinions and advice), and decisions on issues that set precedents, as it relates to major SSA programs [such as earnings, claims, retirement, disability, supplemental security incomes, etc.]; including IT systems used to collect data and document activities. Records include, but are not limited to final copies of technical or other program-related publications/reports. Also included in this category are component organization charts; missions, goals and function statements; decisions of record; as well as, records/files that are in support of, or a direct component of, the agency claim file. Records covering the entire life cycle of a claim (i.e. determining eligibility, initial claims, post-entitlement, appeals, claims-related overpayments, and any other applicable actions that build and/or support the claim file) are included. This schedule also includes documents related to sanctions and investigations of false or misleading claims. In addition, Management Information - records/files that relate to the creation of MI, often utilized for agency analysis and planning (i.e. statistics, counts, trends, usage, productivity, etc. and may cover executive, financial, and/or operational functions). MI files/records may exist in myriad formats (i.e. raw, summary, aggregate). Also, records/files that relate to quality and integrity reviews, studies or surveys of program activities, and service delivery. Records include but are not limited to sample control listings, quality assurance program files, and reports or publications.

Item Count

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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION  
Request for Records Disposition Authority

Records Schedule: DAA-0047-2017-0003

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
0	0	0	6

GAO Approval

0006

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## Outline of Records Schedule Items for DAA-0047-2017-0003

Sequence Number	
1	Organizational Planning, State Agreements, Publications, and Studies Disposition Authority Number: DAA-0047-2017-0003-0001
2	Long-term Temporary Mission & Program Records Disposition Authority Number: DAA-0047-2017-0003-0002
3	Individual Lifetime Earnings Records Disposition Authority Number: DAA-0047-2017-0003-0003
4	Delivery Improvement Systems Records Disposition Authority Number: DAA-0047-2017-0003-0004
5	Short-term Temporary Mission & Program Records Disposition Authority Number: DAA-0047-2017-0003-0005
6	Mission & Program Administrative Support-Related Records Disposition Authority Number: DAA-0047-2017-0003-0006

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## Records Schedule Items

Sequence Number	
1	<p><b>Organizational Planning, State Agreements, Publications, and Studies</b></p> <p>Disposition Authority Number      <b>DAA-0047-2017-0003-0001</b></p> <p>Include, but is not limited to: (1) Organizational Planning Files for offices with SSA-wide planning responsibilities; (2) Official Case Files relating to SSA Objectives &amp; Plans; (3) Coal Act Program Implementation &amp; Administrative files; (4) Publications, Reports and Studies such as official press releases, Actuarial studies, Public Affairs publications, SSI published reports, and formally published posters; and (5) Audiovisual materials, photographs, videos, sound recordings and films produced for public information, employee communication, etc. and documenting SSA history, functions, organization, and programs, including all related finding aids, indexes, and production files. Note: See crosswalk and/or agency manual for additional detail.</p> <p>Final Disposition                      <b>Permanent</b></p> <p>Item Status                              <b>Withdrawn</b></p> <p>Is this item media neutral?          <b>Yes</b></p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      <b>Yes</b></p> <p>Do any of the records covered by this item exist as structured electronic data?                      <b>Yes</b></p> <p><b>Disposition Instruction</b></p> <p>Cutoff Instruction                      <b>Cutoff is annual; unless specified otherwise.</b></p> <p>Transfer to the National Archives for Accessioning      <b>Transfer records to NARA 15 years after cutoff. Individual electronic files must be accessioned in an acceptable format (following current CFR guidelines).</b></p> <p><b>Additional Information</b></p> <p>What will be the date span of the initial transfer of records to the National Archives?              <b>Unknown</b> <b>Transfer of these records is ongoing.</b></p> <p>How frequently will your agency transfer these records to the National Archives?              <b>Unknown</b> <b>Transfer of these records is ongoing.</b></p>

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2	<p><b>Long-term Temporary Mission &amp; Program Records</b></p> <p>Disposition Authority Number      DAA-0047-2017-0003-0002</p> <p>Include, but not limited to: (1) MCS - Master Beneficiary Records; (2) Master Earnings File Records; MSSICS - Supplemental Security Income &amp; Special Veterans Benefits (SSR); (3) Employer Records &amp; EMISER - Earning Modernization Itemized Statement of Earnings; (4) Earnings Recording &amp; Self-Employment Income System; (5) PERH Employer Records; (6) Direct Deposit Fraud Prevention History Table Records; (7) Prisoner Beneficiary Records, including record data related to PUPS and IRCS; and (8) Debt Management System (DMS), which is record data related to ROAR, RECOOP, ECO, Remittance Process, NED. Note: See crosswalk and/or agency manual for additional detail.</p> <p>Final Disposition                      Temporary</p> <p>Item Status                              Withdrawn</p> <p>Is this item media neutral?          Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      Yes</p> <p>Do any of the records covered by this item exist as structured electronic data?                      Yes</p> <p>GRS or Superseded Authority Citation      N1-047-09-004 / 1 N1-047-09-002 / 2 N1-047-09-004 / 1 / C N1-047-09-005 / 2 N1-047-87-003 N1-047-09-003 / 1 / C</p> <p><b>Disposition Instruction</b></p> <p>Cutoff Instruction                      Cut off is annual; unless specified otherwise.</p> <p>Retention Period                        Delete/Destroy 70 to 300 years after cut off.</p> <p><b>Additional Information</b></p> <p>GAO Approval                            Not Required</p>
3	<p><b>Individual Lifetime Earnings Records</b></p> <p>Disposition Authority Number      DAA-0047-2017-0003-0003</p> <p>Include, but not limited to: (1) Reports of Self-Employment, which includes self-employment reports, State Control &amp; Report Processing Records, Earnings Records &amp; Related, and State &amp; Local Employees' Earnings Records; (2) Employer Report Cards; (3) Employer Wage Adjustment Reports; (4) Tax Waiver Exemption Files; (5) Adjustment Operation Control &amp; Processing Files, which includes</p>

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processing files, Future Claims Development Files, and Register of Employer ID Numbers; and (6) Reports of Individuals with Deferred Vested Pension Benefits. Note: See crosswalk and/or agency manual for additional detail.

Final Disposition Temporary

Item Status Withdrawn

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

GRS or Superseded Authority Citation  
NC1-047-79-010 / 6  
NC1-047-79-010 / 8  
NC1-047-79-010 / 9  
NC1-047-79-010 / 10  
NC1-047-79-010 / 4  
NC1-047-79-010 / 11  
NC1-047-79-010 / 1B  
NC1-047-79-010 / 12  
NC1-047-79-010 / 14  
NC1-047-79-010 / 21

## Disposition Instruction

Cutoff Instruction Cut off is annual; unless specified otherwise.

Retention Period Delete/Destroy 70 years after cut off.

## Additional Information

GAO Approval Not Required

## Delivery Improvement Systems Records

Disposition Authority Number DAA-0047-2017-0003-0004

Include, but not limited to: (1) Administrative Sanctions (AS) Title XI, Section 1129A [Claims Development and Management Information System or equivalent]; (2) Medicare Data Base (MDB); (3) Detailed Office Organization Resource System (DOORS) History File; (4) GIS Enterprise Management Information, which includes Geocoded office location points and SSA hierarchical GIS layers; and (5) Grant Final Reports/Deliverables such as ORDP. Note: See crosswalk and/or agency manual for additional detail.

Final Disposition Temporary

Item Status Withdrawn

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Is this item media neutral?	Yes
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
Do any of the records covered by this item exist as structured electronic data?	Yes
GRS or Superseded Authority Citation	N1-047-00-003 DAA-GRS-2013-0008-0003 NC1-047-78-021/ 1A3
<b>Disposition Instruction</b>	
Cutoff Instruction	Cut off is annual; unless specified otherwise. See crosswalk and/or agency manual for additional detail.
Retention Period	Delete/Destroy 50 years after cut off.
<b>Additional Information</b>	
GAO Approval	Not Required
<b>Short-term Temporary Mission &amp; Program Records</b>	
Disposition Authority Number	DAA-0047-2017-0003-0005
Include, but not limited to: (1) Organizational Planning Files for offices without SSA-Wide planning responsibilities; (2) Official Case Files relating to office objectives and plans; (3) Management Survey Case Files; (4) Workload & Trend Analysis MI Records; (5) Baseline statistical data files, which are used to develop projections, estimates, and assessments; (6) Pilot and Demonstration Records for Administrative Pilots and Demonstrations as well as Programmatic Pilots and Demonstrations; (7) Black Lung X-Ray Films; (8) Claims Files & Overpayments, which includes Claims Files Post-eligibility and Disability Trailer Materials, Representative Payee Files, Foreign Enforcement Questionnaire, Overpayments records, and Abandoned Claims; (9) Claims Files Systems such as CFRMS, CAT Disability Claims, Lump Sum Only Death Claims, Disability [non-essential purged] Materials, and SVB Claims Development System; (10) Medicare Only Claim Files, which includes Medicare [Part A; Part B] Claims and Medicare Part D [Prescription Drug Subsidy] Claims; (11) Special Veterans Benefits (SSR) Files; (12) Refugee Resettlement Case Files; (13) Military Service and Noncontributory Reimbursement Determination; (14) State Plans, which includes Family Assistance Policy Records Assistance Program correspondence, Assistance Program correspondence, Compliance Hearings, Discretionary & Formula Grants, Grants Records and Reference/Review Files; (15) State coverage agreements [self-employment]; (16) State compliance reports [self-employment]; (17) Office of Child Support Enforcement State Wage Alerts; (18) Federal Benefit Matching Program Records, which includes Interagency computer	

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match records; Payroll Matching Program records, PII materials, Evidentiary Records, and Non-evidentiary records; (19) Affordable Care Act MI Records and Verification Records; (20) Customer Help & Information Program (CHIP); (21) OASDI Earnings & Employment Statistics Records; (22) Minority Serving Institutions Reporting System or equivalent; (23) Adjustment Operation Control Statutory Regulation Correspondence; (24) Office of Disability Adjudication & Review; (25) Vocational Rehabilitation Reimbursement Management System; (26) Administrative Law Judge Records; (27) Hearing Office Survey Files and Record Cards; (28) Hearing Record Cards/Case Control Systems, which includes significant actions taken and the review and adjudication of appealed claims; (29) Tax Waiver Exemption List of employer report discrepancies; (30) Tax Waiver Wage & Benefit Data Files; (31) Primary Insurance Amount historical database; (32) Quality Compliance Integrity Records, which include Quality Review Sample Records; Quality Review Reports, Quality Performance Instructional Background Files, Sampling Control - National Reviews, Studies, Surveys, Sampling Control - Local Reviews, Studies, Surveys, Quality Assurance - National Reviews, Studies, Surveys, Quality Assurance - Local Reviews, Studies, Surveys, Quality Performance Reports, Publications from Reviews, Studies, Surveys Issued by offices other than Deputy or Associate Commissioners and Quality Control Records; (33) Disability Insurance Visit Reports; (34) SSI Visit Reports; (35) SSI Management Assistance & Review ; (36) Hearing Office Survey Files; (37) Comprehensive Integrity Review Program; (38) Records relating to the creation of Management Information often utilized for agency analysis and planning, such as statistics, counts, trends, usage, productivity, etc.; (39) IT Compliance Records, which include records documenting agency compliance and reports created to support compliance; (40) Actuary Office Records, which include contributions to agency reports, studies, proposals, Trustees Report Background Files, Actuarial Studies Background Files, Actuarial Benefit Statistics, Continuous Work History Samples, Reimbursement Data, SSI Reports Background Data, and Automatic Determinations Background Data; (41) Coal Act Case Files; (42) Programming Process to create annual benefit statements; (43) IRS Address Records; (44) Google Analytics for Internet Customer Behavior; (45) Talking and Listening to Customers (TLC) Records; and (46) SSA Websites [InterNet Published Content (Content on the SSA websites is covered by the same disposition as that of the component organization which originated the content); IntraNet Published Content (Content on the SSA websites is covered by the same disposition as that of the component organization which originated the content); and Background Files to the Annual Reports of the Supplemental Security Income (SSI) Program]. Note: See crosswalk and/or agency manual for additional detail.

Final Disposition	Temporary
Item Status	Withdrawn
Is this item media neutral?	Yes
Do any of the records covered by this item currently exist in	Yes

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electronic format(s) other than e-mail and word processing?

Do any of the records covered by this item exist as structured electronic data? Yes

## Disposition Instruction

Cutoff Instruction Cutoff is annual; unless otherwise specified.

Retention Period Delete/Destroy 5 to 20 years after cut off.

## Additional Information

GAO Approval Not Required

## Mission & Program Administrative Support-Related Records

Disposition Authority Number DAA-0047-2017-0003-0006

Include, but not limited to: (1) Planning Files for offices without SSA-Wide Responsibilities; (2) Localized (geographic, sub-component, workgroup, etc.) Standard Operating Procedures; (3) SSA Publication Planning and Reprint Records; (4) Daily Press Services Records such as SSA in the News; (5) Service Delivery Reviews; (6) General Program comments on reports, studies, proposals; (7) SSI Case Record Cards; (8) Employer Reports of Wages Paid and Related Records [W-2, W-3]; (9) 1099/1042S Replacement Records; (10) Unsolicited Reinstating Correspondence; (11) Annual Benefit Statements; (12) State & Local Coverage Records; (13) Original Self Employment Schedules; (14) Prisoner Records [Record Data related to PUPS and IRCS], including Prisoner Non-Beneficiary Records and Prisoner Do Not Pay Records (DNP); (15) Health Insurance Project Files; (16) Attorney Fee Records; (17) Public Information Records; (18) Websites; (19) SSI Diaries for Regional Offices - workload tracking; (20) Quality Review Computer Sample Case Listings; (21) DDS Quality Assurance Reports, Records, and Profile; (22) Coding Accuracy Support System (CASS) Certification Records; (23) Self-Employment Adjustment records; (24) Earnings Corrections Service records; and (25) Mission Related Webinars. Note: See crosswalk and/or agency manual for additional detail.

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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION  
Request for Records Disposition Authority

Records Schedule: DAA-0047-2017-0003

<b>GRS or Superseded Authority Citation</b>	NC-047-75-003 / 8B NC1-047-81-012 NC-047-76-014 NC-047-75-024 / 2B14 NI-047-88-001 / 2A NI-047-88-001 / 2B NC1-047-81-009 / 3A NC-047-76-003 / 1A2 N1-047-85-001 NC-047-76-001 / 4B NI-047-96-001 NC1-047-84-009 NC1-047-81-011 NC1-047-78-008 NC-174-176 / 1G NC1-047-79-010 / 3A NC-047-75-003 / 15E NC-047-75-003 / 15J NC-047-75-003 / 15K NC1-047-81-005 / 2 NC-174-176-001 N1-047-10-002 / 1 NC1-047-80-020 / 3 NC1-047-81-009 / 4G NC1-047-81-009-4H NC1-047-81-009-4I
<b>Disposition Instruction</b>	
<b>Cutoff Instruction</b>	Cut off is annual; unless specified otherwise.
<b>Retention Period</b>	Delete/Destroy 30 days to 2 years after cut off.
<b>Additional Information</b>	
<b>GAO Approval</b>	Required and Not Received

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## Agency Certification

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 in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

## Signatory Information

Date	Action	By	Title	Organization
05/23/2019	Certify	Dora Blackwell	Agency Records Officer	Deputy Commission Office of Systems - OITFMS
06/07/2019	Return Without Action	Carly Docca	Archives Specialist	National Archives and Records Administration - ACRA