

# WITHDRAWN-RETURNED WITHOUT ACTION

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION  
Request for Records Disposition Authority

Records Schedule: DAA-0047-2017-0010

## Request for Records Disposition Authority

Records Schedule Number DAA-0047-2017-0010

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 Enumeration 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 Enumeration Records bucket. It has three disposition schedules: 1 permanent and 2 temporary. This schedule covers records and information that relates to the enumeration process, which is the process in by which SSA assigns Social Security numbers (SSN) are assigned to individuals.

Most new SSNs result from one of the following processes: (1) enumeration at birth, which allows parents to apply for a SSN for a newborn child while in the hospital in conjunction with their State's Bureau of Vital Records; (2) enumeration at entry, which allows qualified immigrants to apply for a SSN as part of their entry into the United States; or (3) applications made in person at SSA local offices.

SS-5 Form is the application for a SSN. Other forms related to issuance or re-issuance of an SSN include: OAAN-7003, Request for Change in Social Security Records; OA-C790, Request for E/R Action; OA-D840, Request for Earnings Record--Disability; or their equivalents.

The Master Enumeration System is the official system of record for all Social Security card holders. Within this system, there is a file called Numident, which is the master record created after an SSA assigns an SSN. The Master Enumeration system contains three main components and processes: the Social Security Number Application Process System (SSNAP), the Automated Enumeration Screening Process, and the Numident Daily Update.

SSNs are also assigned to an alien who cannot provide evidence of lawful admission or to an alien who can document lawful admission but who does not have authority to work in the United States. In

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those cases, the applicant must provide a valid non-work reason for the need for an SSN, to satisfy the Federal statute and receive the entitlement.

ACCESS RESTRICTION: State death records are exempt from FOIA under FOIA Exemption (b)(3) based on section 205(r) of the Social Security Act (42 U.S.C. 405(r)).

## Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
0	0	0	3

## GAO Approval

## Outline of Records Schedule Items for DAA-0047-2017-0010

Sequence Number	
1	Enumeration Records
1.1	Enumeration Process Records – Numident Files Disposition Authority Number: DAA-0047-2017-0010-0001
1.2	Enumeration System – All Other Master Files Other Than the Numident Disposition Authority Number: DAA-0047-2017-0010-0002
1.3	Enumeration Records – Paper versions and administration records related to the enumeration process Disposition Authority Number: DAA-0047-2017-0010-0003

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## Records Schedule Items

Sequence Number	
1	Enumeration Records
1.1	<p data-bbox="367 459 1024 491">Enumeration Process Records – Numident Files</p> <p data-bbox="367 512 1146 544">Disposition Authority Number      DAA-0047-2017-0010-0001</p> <p data-bbox="367 566 1507 1923">Include, but is not limited to, records that provide the master data-set of all SSN applicants and recipients. Records date back to 1936. Includes: (1) Digital image versions of all SS-5 forms, Application for Social Security Number. These are digital images of the original form submitted at the beginning of the enumeration process. Images may have been created from microfilmed versions of the SS-5 forms, or directly from paper forms. (2) Enumeration System, Numident Master File. The Master Enumeration System is the official system of record for all Social Security card holders. Within this system, there is a file called Numident. The Numident is the master record created after an SSN has been assigned to an individual. Information in the record includes the applicant's full name and SSN, date of birth, place of birth, citizenship, sex, race/ethnic description (optional), date and place of birth, Religious Exemption Indicator ('Q'), mother's maiden name, and father's name. It also includes information regarding any subsequent changes made to the applicant's record, including name changes. The SSN holder's identifying information is maintained on the Numident file in the event the number holder ever needs to obtain a replacement SSN card. The identifying information is useful distinguishing among two or more number holders with identical or similar names. A record of death is added to a Numident record after SSA is notified of the death of the SSN holder. (3) National Employee Index Flexoline File The National Employee Index Flexoline File (also known as the soundex/flexoline/codex/NEI file) is a coded surname index based upon how that surname sounds rather than is spelled. They are sorted by the first letter of the surname, within each letter by a phonetic code, and in each code group by the first 7 letters of the first name, middle initial, by year and month of birth and finally by SSN. It was in use through the late 1960s by SSA as a manual screening routine to search for a previously assigned number. It is the basis for SSA's Alphident file. [There are about 2,000 4x4 reels of microfilm on mixed media for the NEI file]. Note: See crosswalk and/or agency manual for additional detail. NOTE 1: Item one includes digital images of the original form submitted at the beginning of the enumeration process. Images may have been created from microfilmed versions of the SS-5 forms, or directly from paper forms. NOTE 2: Series includes images created that do not meet the standards required for the transfer of permanent electronic records to NARA, including those within NARA Bulletin 2014-04, Revised Format Guidance for the Transfer of Permanent Electronic Records. Specifically, this series includes images created below the minimum 300 ppi. Future scanning completed by SSA will be done in accordance with NARA requirements, including a ppi at 300 or higher. NOTE 3: Other versions of the Application for Social Security Number (SS-5),</p>

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including paper and microfilm, will be disposable under sub-bucket 1.2 of this schedule.

Final Disposition Permanent

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 N1-047-09-002, item 3  
N1-047-09-002, item 2

## Disposition Instruction

Cutoff Instruction Cut off 125 years after date of birth when no record of death is on file.

Transfer to the National Archives for Accessioning Transfer to NARA in 5 year blocks when the most recent records are 5 years old. For example, records closed 2015 through 2020 will be transferred in 2025. Individual electronic files must be accessioned in an acceptable format (following current CFR guidelines).

## Additional Information

What will be the date span of the initial transfer of records to the National Archives? Unknown  
Transfer of these records is ongoing.

How frequently will your agency transfer these records to the National Archives? Unknown  
Transfer of these records is ongoing.

	Estimated Current Volume	Annual Accumulation
Electronic/Digital		
Paper		
Microform		Linear feet of microfiche 2000 Microfilm rolls

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Hardcopy or Analog Special Media		
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1.2

## Enumeration System -- All Other Master Files Other Than the Numident

Disposition Authority Number      DAA-0047-2017-0010-0002

Include, but is not limited to, all other master files within the Enumeration System other than the Numident. Includes: (1) Social Security Number Application Process (SSNAP) Master Files. Records within the Holders and Applications Database. (2) Alphident. The Alphident is a file of SSN records arranged in alphabetical order is used to screen (or search) for a previously issued SSN. An Alphident record contains the number holder's name, date of birth, state or country of birth abbreviation, mother's first name, mother's last name, father's first name, sex code and SSN. Death records are not recorded on the Alphident file. (3) Numident Correction Processing (NCP) holding files. The NCP holding files are maintained for all delete/add and delete only SSNAP actions. The file contains copies of pre-corrected (old) Numident records, copies of post-corrected (new) Numident records, copies of the SSNAP printouts, and any supporting evidence. Note: See crosswalk and/or agency schedule for 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      N1-047-09-02, item 2

### Disposition Instruction

Cutoff Instruction                      Cut off at time of enumeration or at the time request is completed.

Retention Period                        Delete/Destroy 70 years after cutoff, or when no longer needed for agency business, which is later.

### Additional Information

GAO Approval                            Not Required

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1.3

Enumeration Records – Paper versions and administration records related to the enumeration process

Disposition Authority Number DAA-0047-2017-0010-0003

All other records related to the enumeration process. Include, but is not limited to: (1) Application for Social Security Number (SS-5), paper versions. Original applications after they have been converted to digital image. (2) Application for Social Security Number (SS-5), microfilmed versions. Microfilm of SS-5 forms that have been converted to digital image. (3) Records of the Office of Assessment, including tally sheets, numident printouts, management reports, and SSA-3764 forms. (4) Requests for Expedited Handling of Social Security Numbers. (5) Management Information (MI) System / SSA Unified Measurement System. File used as a means of providing an account of all activity or a particular individual's account number.

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

Disposition Instruction

Cutoff Instruction Cut off when converted to image. Otherwise, cut off is annual.

Retention Period Delete/Destroy when no longer needed for agency business after cutoff.

Additional Information

GAO Approval Not Required

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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
06/11/2019	Return Without Action	Carly Docca	Archives Specialist	National Archives and Records Administration - ACRA

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