

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-047-00-003

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 12/28/2021

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These items, unless subsequently superseded, may be used by the agency to disposition records.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.

Item 1b remains active. Agency concurred with GRS supersession of all other items 12-10-2021.

SUPERSEDED AND OBSOLETE ITEMS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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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 below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

Item 1a was superseded by GRS 5.2, item 020 (DAA-GRS-2017-0003-0002)

Item 1c was superseded by GRS 3.2 item 041 (DAA-GRS-2013-0006-0006)

Item 1d was superseded by GRS 3.1, item 051 (DAA-GRS-2013-0005-0003)

Item 1e was superseded by GRS 5.2, item 020 (DAA-GRS-2017-0003-0002)

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|---|--|------------------------------------|---|---|
| REQUEST FOR RECORDS DISPOSITION AUTHORITY | | | JOB NUMBER N1-47-00-3 | |
| To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001 | | | Date received 9-26-2000 | |
| 1 FROM (Agency or establishment) Social Security Administration | | | NOTIFICATION TO AGENCY 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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10 | |
| 2 MAJOR SUBDIVISION | | | | |
| 3 MINOR SUBDIVISION | | | | |
| 4. NAME OF PERSON WITH WHOM TO CONFER Stanley Nusenko | | 5 TELEPHONE NUMBER 410-965-8987 | DATE 11-22-02 | ARCHIVIST OF THE UNITED STATES <i>John W. Carl</i> |
| 6 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 on the attached _____ 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, | | | | |
| <input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached, or <input type="checkbox"/> has been requested | | | | |
| DATE 09/26/00 | SIGNATURE OF AGENCY REPRESENTATIVE <i>Frank T. Colpo</i> | | | TITLE (Frank Colpo) 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 SHEET(S) FOR: SSA Administrative Sanctions (AS) Claims Development and Management Information System | | | |
| <i>cc: Agency</i> | | | | |

SF-115, Request for Records Disposition Authority:

SSA Title XI, Section 1129A Administrative Sanctions (AS) Claims Development and Management Information System

Introduction Description

Section 207 of the Foster Care Independence Act of 1999 (Public Law No. 106-169) amended title XI of the Social Security Act by adding section 1129A to help prevent and respond to fraud and abuse in SSA's programs and operations. SSA will impose a penalty when an individual makes, or causes to be made, a statement or representation of a material fact for use in determining title II/title XVI benefit entitlement/eligibility or amounts, which the person knows or should know is false or misleading or omits a material fact, or that the person makes with a knowing disregard for the truth.

The penalty is nonpayment of benefits under title II that would otherwise be payable to that person and ineligibility for cash benefits under title XVI (including State supplementary payments made by SSA according to 20 CFR 416.2005). The penalty will last six months for the first occurrence, 12 months for the second occurrence and 24 months for each subsequent occurrence.

The implementation of section 1129A of the Act requires the collection and maintenance of information about individuals suspected of knowingly making false or misleading statements. In order to successfully investigate and dispose of such cases, the information collected will be maintained and retrieved by the names and Social Security numbers of the individuals suspected. The information maintained thus constitutes a 'system of records' under the Privacy Act and we must comply with the notice and reporting requirements of this law.

Proposed Disposition

1 a Input Information maintained in the master file obtained from Claims Folders System (N1-47-95-2, N1-47-95-3) and Administrative Sanction Files consisting of textual case folders filed by individual social security identifiers that contain initial claims application and supporting documentation, documentation of investigations and hearings, and all pertinent material accumulated in cases involving administrative sanctions, as well as the intermediate and final individual record outputs from AS. Files may also contain postentitlement records relating to redetermination of entitlement, changes of payee, and/or overpayment and underpayment activity.

Disposition TEMPORARY (Apply approved disposition for Claims Folders System as provided for by N1-47-95-2, N1-47-95-3) Destroy 50 years after the first decision to impose a sanction.

1 b Master File Relational database to track status of individuals for Title II and Title XVI benefits who provided false or misleading statements for use in determining eligibility (as defined by Section 207 of the Foster Care Independence Act of 1999 (Public Law No 106-169) amended Title XI of the Social Security Act section 1129A) for, or the amounts of, benefits under Title II and Title XVI. The types of records maintained in the system consist of: information about the initial record set-up (including a data element for identification of the SSA region and field office that initiated the record), information about the initial level of sanction determination (including a data element for a decision on whether sanctions will be imposed), information about immediate sanctions proposed (including a data element for the date that benefits were suspended), management information (including a data element for the amount of savings to the trust fund, general revenue, and state); information indicating whether the OIG pursued civil prosecution (consisting of a Yes or No data element), and deferred sanctions proposed (including a data element for the date that a sanction was removed)

Disposition TEMPORARY Delete or destroy 50 years after the first decision to impose a sanction

1.c. **System Back-up** Copies of master file on disk, magnetic media, or other electronic media.

Disposition TEMPORARY Delete or destroy when the identical records have been disposed on the Master File or when replaced by a subsequent back-up file

1.d **Documentation** Data system specifications, file specifications, code books, record layouts, user guides, output specifications, final reports (regardless of medium) relating to the master file or data base

Disposition. TEMPORARY Destroy or delete when superseded or obsolete, or upon the authorized deletion of the related master file or database, or upon the destruction of the output of the system if the output is needed to protect legal rights, whichever is later

1.e. **Output** Information in the system will be used to produce management information data and reports providing information that includes number of potential sanctions and number of cases prosecuted annually

Disposition. TEMPORARY. Destroy or delete 50 years after the first decision to impose a sanction.