

REQUEST FOR RECORDS DISPOSITION AUTHORITY		N1-047-03-1	
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received 8/4/03	
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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	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 Office of Publications and Logistics Management			
3 MINOR SUBDIVISION Center for History, Library and Records Management			
4. NAME OF PERSON WITH WHOM TO CONFER Frank Colpo, SSA Records Officer	5 TELEPHONE NUMBER 1-410-965-3832 Fax 1-410-966-1704	DATE 2-4-04	ARCHIVIST OF THE UNITED STATES <i>John W. Paul</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 <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, <input checked="" type="checkbox"/> not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE 7/15/03	SIGNATURE OF AGENCY REPRESENTATIVE <i>Frank T. Colpo</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7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)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 Social Security Claims 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 and Management Center for History, Library & Records Management Frank Colpo, SSA Records Officer Room 1501 Annex Building 6401 Security Boulevard Baltimore, MD 21235-6401 1-410-965-3832	NC-47-75-14 NC1-47-77-20 NC1-47-81-17 NC1-47-82-7 N1-47-86-2 (3) N1-47-87-2 N1-47-88-2 (1 B) N1-47-89-1 (1 a & b) N1-47-95-1 N1-47-95-2 N1-47-95-3 N1-47-98-1 N1-47-99-1	

SA Colpo sent to Agency

I. Social Security Claim File

The purpose of this schedule is to consolidate Social Security claim file disposition authority into one media neutral schedule. The schedule provides authoritative instructions for the retention or destruction of claim file records related to Title II (Retirement, Survivors and Disability Insurance) and Title XVI (Supplemental Security Income for the Aged, Blind and Disabled) of the Social Security Act. It grants authority for the disposition of existing and future records. This schedule supersedes the retention schedules or parts of the retention schedules shown in section 9 of the SF-115 cover sheet.

The claim file contains material related to the request for or continuation of benefits/payments under the Titles noted above. Items in the claim file include but are not limited to the initial claim application, award/denial notice, supporting evidence and documentation for initial and continuing entitlement, various determination forms, changes in representative payees, overpayment/underpayment material, recordings of ALJ hearings, general correspondence, etc. Claim files involving blindness or disability 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.

Information in the claim file is used throughout SSA for purposes of determining initial or continuing eligibility for benefits, the amount of benefits and the appropriate payee for benefits; reviewing claims through the administrative appeals process; ensuring proper benefit payments; and answering inquiries about claims.

Disposition Instructions

A Inputs

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

B Claim file

1 Title II domestic records

a Claim based on disability

(1) Person receiving payments -- Delete/destroy records 7 years after the date of adjudication of the most recently awarded claim if:

- (a) The person attains full retirement age; or
- (b) The medical reexamination date is scheduled to occur after attainment of full retirement age.

(2) Person not receiving payments (denied or terminated claim).

- (a) For medical reasons -- Delete/destroy records (including underpayment records) 5 years after the Agency's final denial or termination decision,
- (b) For non-medical reasons (including death) -- Delete/destroy records (including underpayment records) 2 years after the Agency's final denial or termination decision

b Claim not based on disability

- (1) Person receiving payments -- Delete/destroy records 7 years after the date of adjudication of the most recently awarded claim.
- (2) Person not receiving payments (denied or terminated) -- Delete/destroy records (including underpayment records) 2 years after the Agency's final denial or termination decision.

c. Uncollected debt

- (1) Retirement and Survivors Insurance cases where recovery has not been waived -- Delete/destroy records 10 years after collection efforts have been terminated.
- (2) Terminated Disability Insurance claim with inactive overpayment collection -- Delete/destroy records ⁴⁰ years after case is identified as a non-pay status case with an overpayment for the primary beneficiary and ⁵⁵ years for a case with an auxiliary.

2. Title II international records

a. Claim based on disability

- (1) Person receiving payments -- Retain currently entitled claim records until claim is terminated; then follow ² below.
- (2) Person not receiving payments (denied or terminated) -- Delete/destroy records (including underpayment records) 5 years after the Agency's final denial or termination decision.

b. Claim not based on disability

- (1) Person receiving payments -- Retain currently entitled claim records until claim is terminated; then follow ² below.
- (2) Person not receiving payments (denied or terminated) -- Delete/destroy records (including underpayment records) 5 years after the Agency's final denial or termination decision.

3. Title XVI claim and post-eligibility records

a. Claim based on disability

- (1) Person receiving payments -- Delete/destroy records 7 years after the adjudication date of the most recently awarded claim if
 - (a) The person attains age 65; or
 - (b) The medical reexamination date is scheduled to occur after attainment of age 65.
- (2) Person not receiving payments (denied or terminated claim)
 - (a) For medical reasons -- Delete/destroy records 5 years after the Agency's final denial or termination decision
 - (b) For non-medical reasons -- Delete/destroy 2 years after the Agency's final denial or termination decision.

b. Claim not based on disability

Approved
verbally
by SSA RO
Bobbi Kagen
9/23/04
Dineen J. Jolter,
Nurse

- (1) Person receiving payments -- Delete/destroy 7 years after the adjudication date of the most recently awarded claim provided the claim does not contain post-eligibility material less than 7 years old
- (2) Person not receiving payments (denied or terminated claim) -- Delete/destroy 2 years after the Agency's final denial or termination decision.

c. Title XVI post-eligibility records

- (1) Overpayment and underpayment actions -- Delete/destroy Title XVI overpayment and underpayment records 2 years after a non-medical termination event and 5 years after a medical termination event;
- (2) Redetermination Form (shortened) -- Delete/destroy form and supporting evidence 5 years after all actions are completed;
- (3) General -- Delete/destroy all post-eligibility records (other than noted above) 7 years after action is processed to completion.

4. Titles II/XVI General

a. Representative Payee records for claims in payment status

- (1) Titles II and XVI Representative Payee Applications -- Delete/destroy records 7 years after action is processed to completion;
- (2) Forms associated with representative payee accounting and monitoring such as the SSA-623, 624, 625, 6230, 6233 and equivalent forms -- Delete/destroy 2 years after action completed.

b. Disability/State Agency Trailer Mail -- Medical and nonmedical records related to a claim for disability benefits received after the disability decision has been made.

- (1) Duplicate Record -- Delete/destroy record upon determining record is duplicative;
- (2) Non-Duplicative Record -- Disability Determination Services (DDS) determines record has bearing on case -- Delete/destroy record in accordance with the claim file retention instructions;
- (3) Non-Duplicative Record -- DDS determines record does not have bearing on claim -- Delete/destroy upon making determination that record does not have a bearing on claim

C Outputs

1. Data feeds to other SSA system(s)

Verify feed and follow disposition instructions for related system(s).

2. Ad hoc Reports

Delete/destroy when no longer needed to conduct business

3 Correspondence, Notices and Receipts

File with or link to individual Claim file; follow disposition instructions of related Claim file.

D. 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 data base management system, including a description of the relationship between data elements in data bases; 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 need for reference, whichever is later.

E. 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 record keeping 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 or Abuse -- All claims related records involved in investigations of fraud or abuse will not be destroyed until conclusion of the investigation.
2. Court Cases -- All claims involved in court cases or class actions will not be destroyed until completion of all the legal actions.

General Counsel Statement

I have reviewed the record descriptions and their respective proposed dispositions. I am of the opinion that the records will be maintained for a period of time sufficient to protect the legal and financial rights of the government and of the people directly affected by the Agency's activities.

for Thomas W. Crawley
SSA General Counsel

7/11/2003
Date

Agency Concurrence:

W. Streinwald for
Deputy Commissioner of Disability
and Income Security Programs

7/11/03
Date

L. S. Mckel
Deputy Commissioner of Operations

7/11/03
Date

W. E. S. S.
Deputy Commissioner of Systems

7/15/03
Date

Frank Colpo
SSA Records Officer
OPLM, CHLRM

7/15/03
Date