

REQUEST FOR RECORDS DISPOSITION AUTHORITY <i>(See Instructions on reverse)</i>		LEAVE BLANK (NARA use only)	
TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER N1-47-94-1	
1 FROM (Agency or establishment) Department of Health and Human Services		DATE RECEIVED 4-25-94	
2 MAJOR SUBDIVISION Social Security Administration		NOTIFICATION TO AGENCY	
3 MINOR SUBDIVISION		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
4 NAME OF PERSON WITH WHOM TO CONFER <i>Patricia J. Glover</i> Patricia J. Glover	5 TELEPHONE (410) 965-6108	DATE 7/26/94	ARCHIVIST OF THE UNITED STATES <i>[Signature]</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>2</u> page(s) are not now needed for the business of 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 type="checkbox"/> is not required; <input type="checkbox"/> is attached; or <input checked="" type="checkbox"/> has been requested.			
DATE 04/19/94	SIGNATURE OF AGENCY REPRESENTATIVE <i>A. Prentice Barnes, Sr.</i> A. Prentice Barnes, Sr.	TITLE DHHS Records Management Officer	
7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
1	Lump Sum Only Death Claims See attached. These claims were previously covered under Job Number N1-47-88-2.		

**Lump Sum Only Death Claims
Adjudicated by Field Offices**

Description of Records:

These are claims folders documenting lump sum only death claims paid in accordance with section 202(i) of the Social Security Act as amended, in which the field office finally authorizes and triggers payment. A standardized computer-generated notice can be sent with the payment. The claim folder contains the following types of documents:

- o The signed application. Except for the signature, all the information contained on the paper application is also stored in the Modernized Claims System (MCS) record.
- o Form SSA-721, proof of death provided by a funeral home where a death certificate was not provided.
- o Hardcopy computer output which documents the transaction. For lump sums which fully process through MCS, no hardcopy computer output is produced.

Proposed Disposition:

Destroy 60 days after data entry has been verified and all actions have been taken.

Rationale:

In the 10,000 lump sums which fully process through MCS annually, no hardcopy computer output is produced. (This number will be growing over the next few years as the MCS backend process is expanded.) In all other instances, however, a hardcopy is generated and filed on the left side of the claims folder to document the payee and payment amount, the computation facts used for processing and the notice. Except for the notice, all the information contained on the hardcopy is available on the Master Beneficiary Record (MBR) or Payment History Update System (PHUS) record of the transaction. For the cases fully processed through MCS, the notice information is also documented on the MCS. In non-MCS cases, the system can safely suppress folder documentation output when a standard computer-generated notice is sent.

If the lump sum claim is awarded, there is little need to reference the claim file again because:

An appeal is unlikely since the claim is being awarded and there are very few eligibility factors to which

reconsideration might apply. Lump sum claims are virtually error-free and almost never investigated and prosecuted for fraud. There are no ongoing quality or integrity reviews of lump sum claims because they are such a low-risk workload.

The MCS, MBR and PHUS records contain sufficient information for the processing of any subsequent actions which may occur on the account (e.g., widow claim at some future time). In late 1991, during the fact-finding phase of the Paperless Agency project, Operations conducted a study of 914 Retirement and Survivors Insurance actions; none required recall of the folder to reference lump sum data. Even the 15,000 adverse lump sum claims which are filed annually can be (and currently are) adjudicated without reference to the prior paper claim file.

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 people directly affected by the agency's activities.



 Chief Counsel for Social Security

G/16/93

 Date

Inspector General Concurrence:

On File

 Inspector General
 Department of Health and Human Services

3/18/94

 Date