

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse)		LEAVE BLANK (NARA use only)	
TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER N1-47-95-1	DATE RECEIVED 1-20-95
1 FROM (Agency or establishment) Health & Human Services		NOTIFICATION TO AGENCY	
2 MAJOR SUBDIVISION Social Security Administration		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
3 MINOR SUBDIVISION			
4 NAME OF PERSON WITH WHOM TO CONFER <i>Patricia J. Glover</i> Patricia J. Glover	5 TELEPHONE (410) 965-6108	DATE 1/25/95	ARCHIVIST OF THE UNITED STATES <i>James M. Moore</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 4 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,

is not required; is attached; or has been requested

DATE JAN 13 1995	SIGNATURE OF AGENCY REPRESENTATIVE <i>Arthur Barnes Jr.</i> Prentice Barnes, Sr.	TITLE DHHS Records Management Officer
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7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	<u>Title XVI Supplemental Security Income Claims Folders and Postentitlement Records</u> <u>SSI CLAIMS FOLDERS</u> <u>Postentitlement Records</u> (See attached)	N1-47-89-1 (1.c.)	

Copies sent to agency, NCF 8/2/95

SSI Claims Folders and Postentitlement Records

These claims folders contain all pertinent material accumulated in the adjudication of a claim for supplemental security income (SSI) payments. Included are the initial claims application, supporting documentation, and the award/denial notices. The folder may also contain postentitlement records relating to redeterminations of entitlement, changes of payee, and/or overpayment/underpayment activity. For SSI claims based on blindness/disability, the folder also contains documentation of the disability determination and continuing disability determination reviews and supporting medical evidence.

Proposed Disposition:

Subject to specific exceptions determined by SSA whereby records would be retained for a longer period of time, SSA will adhere to the following disposition schedule:

Folders for awarded claims based on age, including those currently in pay status: Destroy 7 years after the adjudication date of the most recently awarded claim, provided the folder does not contain postentitlement material less than 7 years old.

Folders for awarded claims based on disability/blindness, including those currently in pay status: Destroy 7 years after the date of adjudication of the most recently awarded claim if:

1. The disability is a condition other than drug addiction or alcoholism; and
2. Either of the following conditions is true:
 - A. The claimant/beneficiary has attained age 59 years or older and has "medical improvement possible" or "medical improvement not expected" diary.
 - B. The claimant has attained age 65.

For postentitlement records: Destroy 7 years after the action is processed to completion.

Exceptions:

1. Any claims or postentitlement folder or documentation where fraud or abuse is under investigation or legal action is underway and/or anyone on the record is or potentially could be affected by a court case, including class actions, will be retained until conclusion of the investigation or legal action. This is true for both awarded and denied claims.

2. When there is an overpayment or underpayment outstanding, the folder will not be destroyed until 2 years after that individual's nonmedical termination event or 5 years after his/her medical termination event. This supersedes disposition authority N1-47-89-1(1.c.).
3. For entitled beneficiaries: In those limited situations where SSA's electronic file contains insufficient information for maintenance of the record (e.g., paper special determination material), the folder will not be destroyed until 2 years after the final nonmedical termination date or 5 years after the final medical termination date, whichever is later.
4. These disposition instructions apply only to hardcopy claims documentation. Transaction and payment histories are maintained indefinitely on SSA's electronic data bases pending development of a separate disposition schedule for machine readable record (the Supplemental Security Record).

Rationale:

For nonmedical records contained in folders: With the dramatic increase in information stored electronically, current procedures and improved safeguards, nonmedical paper records are no longer necessary to maintain the benefit records of entitled individuals. Accordingly, these paper records may be destroyed even while the beneficiaries are entitled and in pay status without jeopardizing the rights of the public or the Government. The suggested 7-year period provides for retention until the statute of limitation on civil and criminal court actions has lapsed.

For medical records contained in folders: The proposed disposition brings title XVI policy into conformity with title II policy (covered under disposition authority N1-47-89-1 (2)) which has proven adequate to safeguard the rights of the public and the Government

Office of the General Counsel Certification:

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.

Alan Dolger Gains 12/22/94
Acting Chief Counsel for Social Security Date

Larry May
Inspector General (OIG)

12/24/94
Date

Patricia J. Glover
SSA Records Officer

12/22/94
Date