

INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-047-95-003

All items in this schedule are inactive. Items are either obsolete or have been superseded by newer NARA approved records schedules.

Description:

Superseded by N1-047-99-001 and N1-047-03-001

Date Reported: 12/28/2021

INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

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 NI-47-95-3	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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	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		DATE <i>for</i> ARCHIVIST OF THE UNITED STATES 2/25/95 <i>James...</i>	
4 NAME OF PERSON WITH WHOM TO CONFER <i>Patricia J. Glover</i> Patricia J. Glover	5 TELEPHONE (410) 965-6108		

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 3 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>Prentice Barnes, Sr.</i> A 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7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)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 II Retirement and Survivors Insurance Claims Folders</u> RSI CLAIMS FOLDERS (See attached)	NI-47-88-2 (1. A.) NI-47-86-2 (1) and (2)	

Copies sent to agency NCF 8/2/95

RSI Claims Folders

These claims folders contain all correspondence and other pertinent material accumulated in the process of adjudicating a claim. The award or disallowance determination forms, certain supporting proofs, and other records depicting payment history of the claim are filed on the left side of the folder. The claims application, other proofs, correspondence, and related documents are filed on the right side of the folder. When an auxiliary or survivor is entitled based on a disability, the folder will also contain physician's reports, medical evidence, continuing disability reviews, transcripts of disability hearings, and other disability 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 involving no disability-based benefits: Destroy all folder records 7 years after the date of adjudication of the most recently awarded claim provided the file does not contain a representative payee application less than 7 years old; destroy even if the beneficiary is currently in pay status.

Representative payee applications: Destroy 7 years after the action is processed to completion.

Folders for claims disallowed or terminated for nonmedical reasons: Destroy all folder records 2 years after the final disallowance or termination date and all appeals have been expired for the last beneficiary on the record. This supersedes Disposition Authority N1-47-88-2(1).

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 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.
3. When there is an uncollected overpayment on the record for which recovery has not been waived, the folder will not be destroyed until 10 years after collection efforts have been

terminated. This supersedes disposition authority N1-47-86-2(1) and (2).

4. 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.
5. These disposition instructions apply only to hardcopy claims documentation. Transaction and payment histories are maintained indefinitely on SSA's electronic data bases pending approval by NARA of a separate machine readable records disposition schedule for the Master Beneficiary Record.

Rationale:

For awarded claims, including benefits currently in pay status: 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, paper folder 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 disallowed/terminated claims: The change from a 5-year to a 2-year retention schedule for nonmedical disallowances/terminations brings title II policy into conformity with title XVI policy (covered by disposition authority N1-47-89-1 (1.b)) which has proven to be sufficient 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.

Wanda L. Baines 12/22/94
Acting Chief Counsel for Social Security Date

See attached
Inspector General Date

Patricia J. Glover 12/22/94
SSA Records Officer Date

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_____ Acting Chief Counsel for Social Security	_____ Date
<i>Larry Moray</i>	<i>12/21/94</i>
_____ Inspector General (D161)	_____ Date
_____ SSA Records Officer	_____ Date