

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

TO GENERAL SERVICES ADMINISTRATION,
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408

1. FROM (AGENCY OR ESTABLISHMENT)
Department of Health, Education, and Welfare

2. MAJOR SUBDIVISION
Social Security Administration

3. MINOR SUBDIVISION
Office of Program Policy and Planning

4. NAME OF PERSON WITH WHOM TO CONFER
George S. Yamamura

5. TEL EXT
594-5770

| | |
|--|--|
| LEAVE BLANK | |
| JOB NO. | NC 1 47 78 6 |
| DATE RECEIVED | 12 DEC 1977 |
| NOTIFICATION TO AGENCY | |
| In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10 | |
| Date | 12-28-77 James E. O'Neill acting Archivist of the United States |

6. CERTIFICATE OF AGENCY REPRESENTATIVE

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of 4 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

A Request for immediate disposal.

B Request for disposal after a specified period of time or request for permanent retention.

| | | |
|--------------------|--|---|
| C. DATE 12/6/77 | D. SIGNATURE OF AGENCY REPRESENTATIVE <i>Eugene J. Reed, Jr.</i> for Russell O. Hess | E. TITLE Department Records Management Officer |
|--------------------|--|---|

| 7. ITEM NO | 8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods) | 9. SAMPLE OR JOB NO | 10. ACTION TAKEN |
|------------|---|---------------------|------------------|
| I. | <p><u>RECORDS RETENTION AND DISPOSAL SCHEDULE</u> <u>EVALUATION AND MEASUREMENT STAFF</u></p> <p>Retirement and Survivors and Disability Insurance (RSDI) Study</p> <p>These records accumulate in evaluating a sample of recent adjudications of RSDI claims. The claims are redeveloped to evaluate SSA claims policies and procedures. The data are collected using Evaluation and Measurement Staff (EMS) questionnaires, supplements and development forms (SSA 1398, 1398.1, 1398A, 1398B, 1398B1, 1398B2, 1398C(D), 1398C(L), 1398D, 1398D1, 1398E, 1398E1, 1398F, 1398G, 1398H, 1398J, 1401, 1446, 1775A and 2536) together with any appropriate forms (SSA-795, 5002, etc.) used by the District Offices in EMS redevelopment of the claims. All of the above material is placed in the claims folder upon completion of EMS review where it is subject to the same records management procedures as any other postadjudicative material housed in the claims folder. Data are transferred by EMS onto coding sheets (SSA 1125, 3625); to punchcards and then to tape, from which listings and reports are produced. Included is Form SSA-1402 (EMS Case Control Sheet) used in controlling redevelopment of each EMS case</p> | | |

mq 12-29-77
agency NEW

Pittman

Request for Records Disposition Authority - Continuation

JOB NO.

PAGE OF 4
2

| 7. ITEM NO | 8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods) | 9. SAMPLE OR JOB NO | 10. ACTION TAKEN |
|---------------|--|---------------------------|---------------------|
| | <p>selected for sampling. It is updated with notations of development of each case and a microfilm copy is retained within EMS to provide an audit trail.</p> <p>OASDI reports issued by EMS cover factors of RSDI entitlement and analyze the correctness of the original findings. They include:</p> <p><u>Semiannual Report</u></p> <p><u>Preliminary Data on Policies and Procedures Regarding Initial Entitlement to RSDI Benefits</u></p> <p><u>Annual Report</u></p> <p><u>Report on Policies and Procedures for Establishing Initial Entitlement to RSDI Benefits</u></p> <p><u>Special Reports</u></p> <p>Reports issued as requested by other SSA components on such subjects as Loss of Benefits Under the RSDI Program, Teleservice, etc.</p> <p>A. <u>EMS questionnaires, supplements, development forms and all other forms and evidence obtained during EMS development</u></p> <p>File in claims folder. Retain in accordance with claims folder disposition instructions (NARS Job Numbers NC-47-75-15 and NC-47-77-11)</p> <p>B. <u>Coding Sheets, Punchcards and Tabulated Listings</u></p> <p>Transfer to SSA Holding Area after 1 year. Transfer to FRC after 2 years. Destroy after 3 years retention in the FRC. <i>Destroy after a total of 6 years.</i></p> <p>C. <u>Form SSA-1402</u></p> <p>Destroy original documents after microfilm has been proven acceptable. Destroy microfilm after 10 years, or when no longer needed for reference, whichever is later. To be microfilmed per FPMR 101-11.507(c)(1).</p> <p>D. <u>Reports</u></p> <p>1. Retain a record copy of each report. Destroy record copies one year after discontinuance of RSDI Study.</p> <p>2. Destroy extra stocks of published reports when no longer</p> | | |

Request for Records Disposition Authority—Continuation

JOB NO.

PAGE OF 4

3

| 7. ITEM NO | 8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods) | 9. SAMPLE OR JOB NO | 10. ACTION TAKEN |
|---------------|--|---------------------------|---------------------|
| II. | <p>needed for reference.</p> <p><u>Supplemental Security Income (SSI) Study</u></p> <p>These records accumulate in evaluating a sample of recent adjudications of SSI claims. The claims are redeveloped to evaluate SSA claims policies and procedures. The data are collected using EMS questionnaires, supplements and development forms (SSA 9750, 9750A, 9750F, 9750LA, 9750P, 9750R, 9750S, 1398.1SSI, 1775A) together with any appropriate forms (SSA 795, 5002, etc.) used by District Offices in EMS redevelopment of the claims. All of the above material is placed in the claims folder upon completion of EMS review where it is subject to the same records management procedures as any other postadjudicative material housed in the claims folder. Data are transferred by EMS onto coding sheets (SSA 3626, and 3627); to punch-cards and then to tape, from which listings and reports are produced. Form SSA-1402 (EMS Case Control Sheet) is used in controlling redevelopment of each EMS case selected for sampling. It is updated with notations of development of each case and a microfilm copy is retained within EMS to provide an audit trail.</p> <p>SSI reports to be issued by EMS cover factors of SSI entitlement and analyze the correctness of the original finding. The reports include:</p> <p><u>Semiannual Report</u></p> <p><u>Preliminary Data on Policies and Procedures Regarding Initial Entitlement to SSI Benefits</u></p> <p><u>Annual Report</u></p> <p><u>Report on Policies and Procedures for Establishing Initial Entitlement to SSI Benefits</u></p> <p><u>Special Reports</u></p> <p>Reports issued as requested by other SSA components on such subjects as Quality of Service to the Public, Resources of SSI Beneficiaries, etc.</p> | | |

Request for Records Disposition Authority - Continuation

JOB NO.

PAGE OF 4
4

| 7. ITEM NO | 8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods) | 9. SAMPLE OR JOB NO | 10. ACTION TAKEN |
|---------------|--|---------------------------|---------------------|
| | <p>A. <u>EMS questionnaires, supplements, development forms, and all other forms and evidence obtained during EMS development</u></p> <p>File in the claims folder. Retain in accordance with claims folder disposition instructions (NARS Job No. NCl-47-76-20)</p> <p>B. <u>Coding Sheets, Punchcards, and Tabulated Listings</u></p> <p>Transfer to the SSA Holding Area after 1 year. Transfer to the FRC after 2 years. Destroy after 3 years retention in FRC. <i>Destroy after a total of 4 years.</i></p> <p>C. <u>Form SSA-1402</u></p> <p>Destroy original documents after microfilm has been proven acceptable. Destroy microfilm after 10 years, or when no longer needed for reference, whichever is later. To be microfilmed per FPMR 101-11.507(c)(1).</p> <p>D. <u>Reports</u></p> <p>Retain a record copy of each published report. Destroy record copies 1 year after discontinuance of SSI Study.</p> <p>Destroy extra stocks of published reports when no longer needed for reference.</p> | | |