

Rec'd NCD 25 5/17/74

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

LEAVE BLANK	
JOB NO	NC 1 47 78 27
DATE RECEIVED	SEP 28 1978
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the disposal request, including amendments is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10	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	10-20-78
Signature	James P O'Neill
ACTING Archivist of the United States	

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 Operations

4. NAME OF PERSON WITH WHOM TO CONFER
Ernest P. Lardieri

5. TEL EXT
594-5770

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 7 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 9/19/78	D. SIGNATURE OF AGENCY REPRESENTATIVE <i>Ernest P. Lardieri</i>	E. TITLE <i>SSA Records Officer</i>
7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO
		10. ACTION TAKEN

RECORDS RETENTION AND DISPOSAL SCHEDULE
RECONCILIATION AND ANALYSIS UNIT (RAU)

The Reconciliation and Analysis Unit (RAU) was established to perform specialized functions required by the Title XVI Supplemental Security Income (SSI) program. It handles work requiring a thorough systems knowledge not readily available in the district office, and it certifies payments when the system is not capable of doing so. The RAU handles forced payments caused by systems limitations which require that the benefit be computed and paid manually; one-time payments; exception processing of payment cases remaining in exception status beyond a specified time; payment effectuation of cases originally denied, and subsequently, reversed by an administrative law judge (ALJ); problem case analysis; and other payment-related or systems activities.

I. GENERAL PROGRAM ADMINISTRATION RECORDS

A. Administrative Files

Files created or maintained by most offices in the performance of their assigned functions.

Agency, NAW, NAF, MAF (2 d. items) 10-20-78

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	<p>1. Official file copies of outgoing correspondence relating to office functions.</p> <p>2. Comments on draft reports, studies, and proposals prepared by other offices.</p> <p>3. Contributions to and/or comments on proposed legislation.</p> <p>4. Suggestion evaluations.</p> <p>5. Program and management reports, including overtime and staffing reports, workload and productions reports, and other reports prepared to submit narrative or statistical data to management offices.</p> <p>Destroy 2 years after the close of the calendar year in which dated.</p> <p><u>B. Working Files</u></p> <p>Nonessential working papers retained for reference purposes by staff members. Included are extra copies of official file material, supporting or background papers used in developing official files but not needed as part of the official file, studies or similar materials not acted upon, papers used as administrative aids, and papers that do not serve as a basis for official action.</p> <p>Destroy after ^{when} 2 years ^{old}, or when no longer needed for reference, whichever is earlier.</p> <p><u>C. Office of Program Operations (OPO) Memorandums</u></p> <p>Copies of memorandums (See Belows, numbered and unnumbered, and Identicals) issued by OPO headquarters which discuss informational items or one-time actions.</p> <p>Destroy after ^{when} 2 years ^{old}.</p> <p><u>D. General Administrative Notes (GAN)</u></p> <p>Documents from OPO central office (GAN's) highlighting new procedures for claims or management of the office.</p> <p>Destroy after ^{when} 1 year ^{old}.</p>		

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	<p><u>E. Program Circulars</u></p> <p>Circulars outlining new procedures for SSA programs, such as health insurance, disability insurance, retirement and survivor's insurance, and supplemental security income.</p> <p>Destroy when superseded or obsolete.</p> <p><u>F. Teletypes</u></p> <p>Teletypes received by the RAU's via SSA Data Acquisition and Retrieval System (SSADARS) or Advance Records System (ARS) covering a variety of subjects, such as beneficiary data, reports, or procedures. Teletypes may contain disposition instructions.</p> <p>Destroy in accordance with teletype disposition instructions or when no longer needed for reference, whichever is earlier. NOTE: Teletypes requesting one-time payment actions should be retained in accordance with item II.B.1 of this record schedule.</p> <p><u>II. PROGRAM RECORDS</u></p> <p><u>A. Hearing Related Records</u></p> <p><u>1. Hearing Decision Card File</u></p> <p>A card file of hearing decisions, both affirmations and reversals, rendered by ALJ's in Title XVI cases. The card file is used as a case record to record RAU action on the case and to answer subsequent inquiries regarding payment initiation by the RAU's. The cards include claimant's name, account number, address, date of RAU receipt and case.</p> <p>Review file annually. Destroy cards relating to cases for which no action has been taken for more than 2 years.</p> <p><u>2. Bureau of Hearings and Appeals (BHA) Appraisal Study Listings</u></p> <p>Monthly listings of cases chosen by BHA headquarters for quality appraisal purposes. Listings are sent to the RAU to locate claims folders. Listings contain name and account number of chosen cases and annotations made by RAU regarding location efforts.</p>		

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	<p>Destroy 12 months after date of listing.</p> <p>B. <u>Title XVI Payment Records</u></p> <p>1. <u>Manual One-Time Payment Vouchers and Payment Forms</u></p> <p>Forms SF-1166, Voucher and Schedule of Payment; SSA-8110, SSI Manual One-Time Payment, are used to notify the Treasury Department to make payment. The original copy of the SF-1166 and the SSA-8110 are sent to the Treasury Department. BSSI headquarters copies are maintained for a period of 1 year before shipment to the Federal Records Center.</p> <p>a. <u>Forms Dated 11/01/77 or Later</u></p> <p>Destroy 6 months after completion date.</p> <p>b. <u>Forms Dated Prior to 11/01/77</u></p> <p>Retain until completion of all reconciliation processes. Destroy after receipt of central office notification of completion and acceptance of reconciliations.</p> <p>2. <u>Manual One-Time Payment Control Ledger</u></p> <p>Form SSA-8112, One-Time Payment Control Ledger, is used to record the processing of the SF-1166 and SSA-8110's. It documents the Block Number, Schedule Number, Inclusive Check Numbers, and the Check Paid Date needed in allegation of nonreceipt, lost and/or theft of manual one-time payment checks.</p> <p>Destroy 7 years after date of check.</p> <p>3. <u>Manual One-Time Payment Index Listing and 3 x 5 Card File</u></p> <p>The Index Listing provides the name of each recipient paid in a particular block of SSA-8110's. The 3 x 5 Card File provides a history of DO/BO requests for M-OTP request for each recipient. The Index Listing and/or 3 x 5 Card File provides the Block Number needed to locate the Inclusive Check Numbers and/or Check Paid Date recorded on the SSA-8112.</p> <p>Destroy 7 years after date of check.</p>		

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4. Forced Payment File

Files consisting of Form SSA-8113, R and A Unit Case Control, and listings of SSI claims cases which require forced payment processing. The Form SSA-8113 and listings contain the name and social security number of the SSI applicant and describe the type of action being taken on the case. These documents are used by the RAU's for case control purposes.

a. Listings

Destroy when the information on the listing has become obsolete or when no longer needed for control purposes.

b. Form SSA-8113

Destroy 1 year after case has been forwarded to PSC or returned to DO.

5. Special Payment Card File

A card file of special (\$50) one-time payments made to Title XVI recipients in conjunction with the Tax Reduction Act of 1975. Card file contains data for those individuals within the area serviced by the RAU whose \$50 payment had to be manually initiated. The card file was maintained to answer inquiries from individuals and to prevent duplicate payments. Information on the cards includes name, social security number, address, type of claim, and date payment was initiated. The Tax Reduction and Simplification Act of 1977 terminated the \$50 payment. Since Treasury no longer honors requests for payment, the administrative value of these cards has ceased.

Transfer immediately to the Federal Records Center.
~~Destroy 3 years thereafter.~~

*destroy when
3 yrs. old.*

6. Nonreceipt Check Files

Files consisting of SF-1184, Unavailable Check Cancellation, Request to Stop Payment, used to request copies of checks from the Treasury Department and resolve payment disputes in instances when Title XVI recipients allege nonreceipt of payment checks. Also included in the file are district office memorandums, claimant's statements (Form SSA-795, Statement of Claimant or Other Person), and photocopies of canceled checks. Documentation is forwarded to district office for resolution. Files are maintained by

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claimant's name.

Destroy 1 year after resolution of nonreceipt question.

7. State Repayment Files

Records documenting the requests for and repayment of interim assistance payments to State Social Services. Those States that require interim assistance payments to be repaid from the initial Title XVI check by SSI recipients will request RAU to initiate repayment actions. Records may consist of State-developed forms, listings, correspondence, or equivalent documents. Periodic reports may be submitted to the SSA regional office.

Destroy 3 years after date of repayment.

C. File of Problem Cases

Records consisting of computerized listings, copies of claims folder documentation, such as SSI record displays (SSIRD), and input documents used to control and resolve problem SSI cases. These are cases requiring special systems expertise for which RAU is the central handling point.

Destroy after problem cases are resolved.

D. Systems Records

1. Form SSA-8028, SSI Claims Control

Form SSA-8028 or related documents used to input case location or actions for Title XVI claims. Information on the form consists of type of action, type of claim, application date, number holder ID, date of birth, social security number, and claim number.

Destroy 3 months after input.

2. Miscellaneous Edit File

File containing unresolved complex systems edits that have been forwarded to the RAU by the district offices for resolution. Edits may result from payment status problems, incorrect addresses, or representative payee problems. Included in this file are listings of edits, systems queries, and copies of SSIRD's.

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	<p>Destroy after resolution of edit.</p> <p>E. <u>Microfiche Records</u></p> <p>Microfiche received from SSA headquarters containing account, payment, address, representative payee, history, and other data from the Master Beneficiary Record and Supplemental Security Record on beneficiaries residing within the region. The fiche is updated periodically.</p> <p>Destroy upon receipt of updated microfiche.</p>		

INSTRUCTIONS

General Instructions:

Use Standard Form 115 (obtainable from supply depots of the Federal Supply Service, General Services Administration) and the continuation sheet Standard Form 115a (obtainable from the Records Disposition Division, Office of Federal Records Centers, National Archives and Records Service, Washington, D.C. 20408) to obtain authority to dispose of records or to request permanent retention of records. Detach the fifth copy from the set and keep as your reference copy. Submit the first four copies of the set to the National Archives and Records Service. One copy will be returned to the agency as notification of items that are authorized for disposal. Items withdrawn or not approved for disposal will be so marked. Each SF 115 requiring Comptroller General concurrence must be accompanied by a notification of approval from GAO.

Specific Instructions:

Entries 1, 2, and 3 should show what agency has custody of the records that are identified on the form, and should contain the name of the department or independent agency, and its major and minor subdivisions.

Entries 4 and 5 should help identify and locate the person to whom inquiries regarding the records should be directed.

Entry 6 should be signed and dated on the four copies by the agency representative. The number of pages involved in the request should be inserted.

Box A should be checked if the records may be disposed of immediately. Box B should be checked if continuing disposal authority is requested or if permanent retention is requested. Only one box may be checked.

Entry 7 should contain the numbers of the items of records identified on the form in sequence, i.e., 1, 2, 3, 4, etc.

Entry 8 should show what records are proposed for disposal.

Center headings should indicate what office's records are involved if all records described on the form are not those of the same office or if they are records created by another office or agency.

An identification should be provided of the types of records involved if they are other than textual records, for example, if they are photographic records, sound recordings, or cartographic records.

An itemization and accurate identification should be provided of the series of records that are proposed for disposal or retention. Each series should comprise the largest practical grouping of separately organized and logically related materials that can be treated as a single unit for purposes of disposal. Component parts of a series may be listed separately if numbered consecutively as 1a, 1b, etc., under the general series entry.

A statement should be provided showing when disposal is to be made of the records, thus:

If immediate disposal is requested of past accumulations of records, the inclusive dates during which the records were produced should be stated.

If continuing disposal is requested for records that have accumulated or will continue to accumulate, the retention period may be expressed in terms of years, months, etc., or in terms of future actions or events. A future action or event that is to determine the retention period must be objective and definite. If disposal of the records is contingent upon their being microfilmed, or otherwise reproduced or recorded on machine readable media, the retention period should read "Until ascertained that reproduced copies or recordings have been made in accordance with GSA regulations and are adequate substitutes for the paper records." Also, the provisions of FPMR § 101-11.5 should be observed.

Entry 9 should be checked if samples are submitted for an item. However, samples of the records are not required unless they are requested by the NARS appraiser. If an item has been previously submitted, the relevant job and item number should be entered.

Entry 10 should be left blank.

Barry R. Nelson 5/22/78
Office of Program Operations, RLO

Ernest L. Lindeman
SSA Records Officer