

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

LEAVE BLANK	
JOB NO NCI-47-79-10	
DATE RECEIVED 25 APR 1979	
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disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10	
7-26-79 Date	<i>[Signature]</i> 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 Central 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 8 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 <u>4/23/79</u>	D. SIGNATURE OF AGENCY REPRESENTATIVE <i>[Signature]</i>	E. TITLE <u>Dept. Rec. Mgt. Ofcr.</u>
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7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
	<p style="text-align: center;"><u>RECORDS RETENTION AND DISPOSAL SCHEDULE</u> <u>EARNINGS AND EARNINGS-RELATED RECORDS</u></p> <p>The files described in this schedule are accumulated pursuant to Title II, Section 205(C)(2), of the Social Security Act in "establishing and maintaining records of the amount of wages paid to, and the amounts of self-employment income derived by each individual" whose earnings are covered by the Act. These records serve as the basis for benefits under the Retirement, Survivors, and Disability Insurance Programs. They also accumulate from maintaining records on the utilization of benefits made by individuals enrolled in the Health Insurance for the Aged Program (Title XVIII of the Act).</p> <p>1. <u>Employer Report Listings</u></p> <p>a. <u>Weekly listings of employer report cards</u> Destroy after <u>5 weeks.</u></p> <p>b. <u>Microfilm of employer report cards</u> (1) Destroy monthly microfilm upon receipt and acceptance of quarterly microfilm.</p>	<p>NN168-51, item 1b(1)</p> <p>NN174-019, item 1</p>	

cc: WNR.
sent to Agency
WNR, NVR

33 items

8-2-79

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.


SSA Records Officer

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	<p>(2) Destroy quarterly microfilm after the annual microfilm for the same quarter is received and accepted.</p> <p>(3) Retain annual microfilm on site for 50 years, then destroy. Retain security microfilm in the offsite security area for 70 years, then destroy.</p> <p>c. <u>List of employer report discrepancies</u> Destroy after ^{within} 6 months ^{std.}</p> <p>d. <u>Listing of employer statistical data</u> Destroy after completion of subsequent employer report accounting operations.</p> <p>2. <u>Tax Waiver Exemption Files</u> These files consist of original and microfilm copies of Forms SS-15a, List to Accompany Certificate on Form SS-15, Waiving Exemption from Taxes Under the Federal Insurance Contributions Act (FICA), Form SS-16, Certificate of Election Under FICA, or their equivalents. The files identify nonprofit employers who have waived tax exemption privileges for FICA purposes.</p> <p>a. <u>Forms</u> Transfer to a Federal Records Center (FRC) after microfilm has proven acceptable. Destroy after ^{after microfilming.} 50-year retention in the FRC</p> <p>b. <u>Microfilm</u> Retain microfilm on site for 50 years, then destroy. Retain security microfilm in the off-site security area for 70 years, then destroy.</p> <p>3. <u>Wage and Benefit Data Files</u> These files consist of comparative tables of accountable receipts; reports on the establishment of employee and employer records; comparable statistics; reports; listings, and like documents used in determining the total wages processed by the Social Security Administration so that the Treasury may be</p>	<p>NN174-019, item 1</p> <p>NN174-019, item 1</p> <p>NN174-019, item 8</p> <p>NN168-51, item 1.d</p>	

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	<p>notified of FICA amounts to be transferred to the Social Security Trust Fund; and adjustment reference files.</p> <p>Transfer to a FRC after 10 years, or when no longer required in current operations, whichever occurs first. <i>Destroy when 60 yrs. old</i></p> <p>Retain in the FRC for 50 years, then destroy.</p>		
4.	<p><u>Reports of Self-Employment Income and Related Records</u></p> <p>These files consist of original and microfilm copies of self-employment income reports (Schedules SE of Treasury Department Form 1040, U.S. Report of Self-Employment Income) and related transmittals. Also included are magnetic tapes containing self-employment income data provided by the Internal Revenue Service.</p> <p>Destroy original schedules SE and related transmittals 1 year and 8 months after microfilming. Retain magnetic tape 400 days after microfilm has been proven acceptable and then destroy. Retain microfilm on site for 50 years, then destroy. Retain security microfilm in the offsite security area for 70 years, then destroy.</p>	NH 174-019, item 2	
5.	<p><u>State Coverage Agreements and Related Reference Card Files</u></p> <p>These files consist of modifications and negative photographic copies of State coverage agreements (originals of State agreements are retained by the Retirement and Survivors Insurance Staff, SSA regional office). Also included are related reference card files, such as the alphabetical card file (specifying names, identification numbers, and addresses of reporting officials), the numerical register card file, and the reporting entity card file.</p> <p>Destroy 20 years after termination or supersession of of the agreements.</p>	NN168-51, item 3.a	
6.	<p><u>State Control and Report Processing Records</u></p> <p>These files consist of original and microfilm copies of Forms OAR-S1, State's Return of Contributions Payable Under the Social Security Act; OAR-S2, Recapitulation of State's Quarterly Report of Wages Paid; OAR-S7 and OAR-S7a, State and Local Government</p>	NN168-51, item 3.b	

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	<p>Control Ledger; SF-215, Deposit Ticket or their equivalents. Also included are trust fund accounting listings which are used in the auditing and processing of State earnings and adjustment reports.</p> <p>Destroy after microfilm has been proven acceptable. Retain microfilm on site for 50 years, then destroy. Retain security microfilm in the offsite security area for 70 years, then destroy.</p>		
7.	<p><u>State Compliance Reports and Related Records</u></p> <p>These files consist of reports relating to the onsite review process, State reporting data tapes (input and output), State reporting data records, and related materials (State and local exception cards and lists, and statistical cards).</p> <p>Destroy 5 years after termination of coverage.</p>	NN168-51, item 3.e	
8.	<p><u>Microfilm of Earnings Records and Related Material</u></p> <p>This is a microfilm file of earnings records, including ledger sheets, annual earnings listings (1937-1956) and quarterly earnings listings (1957-to date). The files contain a detail record of all earnings to date and the current summary. (Presently a direct process from tape to microfilm.)</p> <p>Retain microfilm on site for 50 years, then destroy. retain security microfilm in the offsite security area for 70 years, then destroy.</p>	NN168-51, item 4.a	
9.	<p><u>State and Local Employees' Quarterly Earnings Records</u></p> <p>These are microfilm records containing data on the quarterly earnings of State and local employees. The files are produced from tapes of the quarterly postings of State and local earnings items.</p> <p>Retain microfilm on site for 50 years, then destroy. Retain security microfilm in the offsite security area for 70 years, then destroy.</p>	NN168-51, item 4.c	
10.	<p><u>Employer Wage Adjustment Reports and Related Records</u></p> <p>These files consist of employer wage adjustment reports, related processing records and microfilm</p>	NN168-51, item 5.a	

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	<p>(originating from internal or external sources). The files are used to investigate and process wage adjustments reported under the Federal Insurance Contributions Act or under Federal-State agreements. Included are Forms 941c, Statement to Correct Information; CO-5012, Interoffice Schedule-Itemized Adjustments; CO-5012P, Notice of Posted Earnings Adjustments; SSA-746, Notice to Adjust Earnings Records; CO-19, State and Local Internal Correction of Wages Reported by State; OAR-S4, State Report of Adjustments; OAR-S30, Federal Determination of Error in State's Wage Reports; OAR-7023, Employer's Report Cross-Reference; CO-7084, SE Adjustment Finder Card; SSA-7010, Notice of Determination of FICA Wages; SSA-3724, Interoffice Schedule-Blanket Adjustment, or their equivalents.</p> <p>a. <u>Paper</u></p> <p>Destroy after microfilm has proven acceptable.</p> <p>b. <u>Microfilm</u></p> <p>Retain microfilm on site for 50 years, then destroy. Retain security microfilm in the offsite security area for 70 years, then destroy.</p> <p>11. <u>Adjustment Operation Control and Processing Files</u></p> <p>These files consist of listings, punchcards (Forms OAR-1006, Employer Report Card, or their equivalents), and microfilm records which are used in adjustment actions pertaining to employer and self-employment income reports. Included are converted earnings adjustment cards which are used to prepare history and duplicate listings; and punchcards and listings which are used to investigate and control multiple employer wage reports processed, unprocessed questionable wage reports, and original and adjustment reports of self-employment income returned to the District Director, Internal Revenue Service (IRS). Also included are report discrepancy data used for the control balancing and listing of adjustment items not found on tape; employers' and employees' converted earnings and adjustments, control vouchers, and pertinent data.</p>	NN168-51, item 7.a	

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	<p>Destroy listings and punchcards after 6 months, or after microfilm has been proven acceptable, or upon receipt of replies from IRS, whichever is applicable. Retain microfilm on site for 50 years. Retain security microfilm in the offsite security area for 70 years, then destroy.</p> <p>12. <u>Future Claims Development Correspondence</u></p> <p>These files consist of correspondence which will effect the development of claims. Included are coverage, wage, and self-employment determinations accompanied by Form SSA-553, Special Determination; SSA-662, Reconsideration of Determination; DD-13, Statement of Service; DD-1300, Report of Casualty; Validation Requests, and related earnings determinations which indicate employer identification numbers, periods of employment of nonprofit individuals; CO-0357, Special Determination; Form 4029, Application for Exemption from Tax on SEI Claim of Refund; and Waiver of Benefits, or their equivalents.</p> <p>Transfer to the FRC when 4 years old. Destroy after a total 54 years' retention. <i>when 54 years old.</i></p> <p>13. <u>Statutory Regulation Correspondence</u></p> <p>These files contain correspondence which involve decisions concerning social security coverage and adjustments of earnings that may not appear on other recordkeeping media. It contains evidence submitted by the wage earner; the wage earner's representative, or employer, and are subject to the statute of limitations regarding the periods or issues involved.</p> <p>Destroy after <i>when</i> 4 years <i>old.</i></p> <p>14. <u>Register of Employer Identification Numbers Issued</u></p> <p>These files consist of original and microfilm copies of Forms OAR-5002, Register of Employer Identification Numbers Issued, or their equivalents. The files list employers' names and addresses in identification number sequence.</p> <p>Destroy after microfilm has been proven acceptable. Retain microfilm on site for 50 years, then destroy. Retain security microfilm in the offsite security area for 70 years, then destroy.</p>	<p>NN168-51, item 8.a</p> <p>NN168-51, item 8.c</p> <p>NN168-51, item 9.b</p>	

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15.	<p><u>National Employee Index</u></p> <p>This is a microfilm file containing the names of individuals with established social security numbers. The data is arranged by Soundex code and date of birth. The primary function of this file is to locate the social security numbers of individuals whose numbers are unknown.</p> <p>a. Destroy onsite microfilm of discontinued flexoline panels (1936-1958) in the year 2000. Destroy security microfilm in offsite security area 20 years after onsite microfilm has been destroyed.</p> <p>b. Destroy microfilm produced from magnetic tapes, when updated microfilm is received and accepted.</p> <p>c. Destroy weekly accretion microfiche when current accretion microfiche is received and accepted.</p>	NN168-51, item 10.c	
16.	<p><u>Employee Account Establishment Material</u></p> <p>This file consists of printouts generated at the completion of keying operation of those records existing in the electronic account number files (NUMIDENT and ALPHADENT) at the time of keying. These are used for reference purposes.</p> <p>Destroy when 3 months old.</p>	NN168-51, item 10.d	
17.	<p><u>Railroad Retirement Account Records</u></p> <p>These records are no longer maintained as a separate file. They are included in the SS-5 files (NC-47-76-7 and NC1-47-76-21).</p>	NN168-51, item 12	
18.	<p><u>Supplemental Security Income Audit Trail Microfilm</u></p> <p>Microfiche record produced from automated master recipient record used to provide complete historical data from initial entry on the master SSI record. The record is required to resolve discrepancies, answer questions, and for audit purposes. Retention is based upon both operational and statutory requirements. At this time, SSA has numerous overpayment cases pending and manual payment information to be entered into automated payment systems. The audit</p>		

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	<p>trail microfiche provides a reference source to determine historical payment data on the master record. It must be retained until resolution of overpayment cases and payment system problems.</p> <p>Disposal not authorized at this time. Reevaluate in 1 year.</p> <p>19. <u>Security Storage Control File</u></p> <p>This file serves as a control of all material transmitted to and from offsite storage center. The control forms include: Forms CO-5568A, Request for Destruction; CO-2320A, Request for Storage; CO-2320B, Request for Transfer, or their equivalents.</p> <p>Destroy 5 years after all records covered by the document have been disposed of.</p> <p>20. <u>SSADARS Security Violations</u></p> <p>Record used to record security violations on the SSADARS system. The record is kept for the purpose of monitoring and resolving abuses of the SSADARS network.</p> <p>Destroy ^{within} after 1 year old.</p> <p>21. <u>Reports of individuals with Deferred Vested Pension Benefits</u></p> <p>The record consists of paper, microfilm, and magnetic tape. Included in the record are nature and form of pension benefit, name of plan, employer identification number of plan sponsor, plan number, name and address of plan administrator, and employer identification number of plan administrator.</p> <p>a. <u>Paper</u></p> <p>Destroy after the microfilm has proven acceptable.</p> <p>b. <u>Microfilm</u></p> <p>Retain on site for 50 years, then destroy. Retain offsite microfilm in the offsite security area for 70 years, then destroy.</p> <p>c. <u>Tape</u> - Update quarterly and delete unnecessary data.</p>		