

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

Rec'd NCD 20 Jun 1979

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

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

5. TEL EXT
594-5770

LEAVE BLANK
JOB NO NCT-47-79-13
DATE RECEIVED 20 JUN 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disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10
<i>4/11/80</i> Date <i>acted</i> <i>Jane E. O'Leary</i> 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 31 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 <i>6/25/79</i>	D. SIGNATURE OF AGENCY REPRESENTATIVE <i>Ernest P. Lardieri</i>	E. TITLE <i>SSA Records Officer</i>
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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>The attached list of SSA program-related forms fall into three categories of disposal instructions:</p> <p><u>Category 1:</u> Documents or their equivalents are filed in claims folder and retained in accordance with claims folder disposition instructions. Documents in this category have continuing value for program integrity, fraud, and audit purposes.</p> <p><u>Category 2:</u> Documents or their equivalents are destroyed after receipt of output or completion of action. Documents in this category are either input documents, documents requesting information that has been received, or are documents which requested an action and the action has been completed.</p> <p><u>Category 3:</u> Documents or their equivalents are to be destroyed immediately. Documents in this category have no claims-related retention value.</p>		

3 items
Closed
4-21-80

*Copy to NMF
agency all FRCS*

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

Category 1 contains documents or their equivalents that are filed in the claims folder and retained in accordance with claims folder disposition instructions.

<u>Description of Records</u>	<u>Authorized Disposition</u>	
<u>I. RETIREMENT AND SURVIVORS INSURANCE CLAIMS FOLDERS</u>		
A. Disallowed life and death claims, withdrawals, and lump-sum only claims in which potential entitlement exists.	Transfer to the Federal Records Center (FRC) after being so identified by the Automated Folder Inactivation System (AFIS). Destroy 20 years thereafter. <i>(after identification)</i>	
B. Awarded claims where the last payment has been made and there is no future potential claimant indicated in the record.	Transfer to the FRC after being so identified by the AFIS. Destroy 5 years thereafter. <i>(after identification)</i>	
C. Awarded claims where payments have ended, but there is a future potential claimant indicated in the record.	Transfer to the FRC after being so identified by the AFIS. Destroy 55 years thereafter. <i>(after identification)</i>	
<u>II. DISABILITY INSURANCE CLAIMS CASE FOLDERS</u>		
A. Disability Denial Claims	Transfer to the FRC after expiration of the reconsideration period and identification as eligible for transfer by the case control system. Destroy 20 years thereafter. <i>(after identification)</i>	
B. Terminated Disability Cases	Transfer to the FRC after being identified as eligible for transfer by the case control system. Destroy 20 years thereafter. <i>(after identification)</i>	
C. Miscellaneous Freeze Termination	Destroy after 20 years' retention in the FRC.	
<u>III. SUPPLEMENTAL SECURITY INCOME CLAIMS CASE FOLDERS</u>		
Terminated or Disallowed Claims	Transfer to the FRC after being so identified as terminated or disallowed by the AFIS or case control system. Destroy 6 years and 6 months thereafter. <i>(after identification)</i>	
The following documents or their equivalents are included in category 1:		
<u>New Number</u>	<u>Old Number</u>	<u>Title</u>
SSA-1 F6	SSA-1	Application for Retirement Insurance Benefits
SSA-2 F6	SSA-2	Application for Wife's Insurance Benefits
	SSA-3	Husband's Certification
SSA-4 F6	SSA-4	Application for Child's Insurance Benefits
SS-5 FS F	SS-5	Application for an SS Number