

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: NC1-047-81-19

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 12/28/2021

ACTIVE ITEMS

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

All items not listed below remain active.

SUPERSEDED AND OBSOLETE ITEMS

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

Item 10 was superseded by NC1-047-83-03

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

of day 81

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

1 FROM (AGENCY OR ESTABLISHMENT)
HHS

2 MAJOR SUBDIVISION
SSA

3 MINOR SUBDIVISION
Office of Central Operations

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

5 TEL EXT
594-5770

| |
|---|
| LEAVE BLANK |
| JOB NO NCL-47-81-19 |
| DATE RECEIVED August 26, 1981 |
| 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disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10 |
| 4-15-82 <i>[Signature]</i> Date 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 14 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.
 C Administrative directives system
 B Request for disposal after a specified period of time or request for permanent retention.

| | | |
|--------------------|--|--|
| C DATE 28/10/81 | D SIGNATURE OF AGENCY REPRESENTATIVE <i>[Signature]</i> Dr. George E. Deal | 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 |
|-----------|---|---|-----------------|
| | <p align="center"><u>Records Retention and Disposal Schedule</u> <u>Central Operations Records</u> <u>Program Service Center Records</u></p> <p>Attached as an Administrative Directive System for Program Service Center records.</p> <p>All pen-and-ink changes have been made with the concurrence of the agency's records officer. <i>[Signature]</i> 4/10/82</p> | <p>NCL-47-80-15 NCL-47-78-15 NCL-47-78-9 NCL-47-78-7 NCL-74-236 NCL-74-126 NCL-74-115 NN-173-347 NN-173-182 NN-173-89</p> | |

MASS DATA CHANGE SHEET NOT REQUIRED

*Closed Out: 4-21-82: K.T.D.
Copy to Agency & NNF*

83 items

PROGRAM SERVICE CENTERS FILES

The records described in this Appendix are created in the administration of the Retirement and Survivors Insurance Program pursuant to Title II of the Social Security Act. They are filed in the Program Service Centers (PSC). However, all of the records are not maintained in any single office. Under certain circumstances PSC's also process Disability Insurance (DI) workloads.

Description of Records

Authorized Disposition

1. Administrative Records

a. Personnel Records

(1) *Operating Officials' Records*

These records consist of working copies of employee records used by and authorized for operating and administrative levels in SSA. The official copies of these records are maintained elsewhere, such as personnel, budget, or payroll offices. Included are copies of SF-52, Request for Personnel Action; supervisory aptitude evaluation forms; employee appraisals; employee record cards; reports of employee interview concerning rating, appraisal, and job conduct; within-grade notifications; leave record cards; SF-1012, Travel Voucher; HEW-1, Travel Order; and equivalent documents pertaining to individual employees.

Destroy in accordance with Exhibit VI, Filing and Retention Table (Employee Records and Files), Chapter IX, SSA Guide 1-4, Personnel Guide for Supervisors or ADS Guide SSA.g:40-2, Exhibit I, Files Comman to Most Offices.

(2) *Personnel Reports*

These documents relate to personnel statistical information, such as separation reports, PSCs personnel reports, statements on employee conduct, retirement reports, official time on management activities reports, and similar reports. Included in this category are equal employment opportunity activity reports, such as Form SSA-1987, Quarterly Report of Pre-Complaint Counseling; Semiannual Report of Continuing Program of Affirmative Action; changes in minority data file, OPM Form 113-C, Monthly Report of Federal Participation in Economic Opportunity Program; reports on the status of minority groups; HEW-415, Individual Placement of the Handicapped; HEW-415A, Summary Reports Placements of the Handicapped (Quarterly); HEW-425, Individual Placement of a Mental Retardate; HEW-425A, HEW Roster of Mental Retardates Employed; turnover reports; Annual Reports of Outside Work; Reports of Hires from PACE; outstanding lump sum leave payments; and similar documents.

Destroy 2 years after the year in which dated.

(3) *Incentive Award Case Files*

These files document a suggestion, special act, service, or superior performance (individual or group) award recommendation. Included are suggestions, recommendations, acknowledgments, evaluations, notices of adoption or rejection, and directly related papers.

Destroy 2 years after final action on the case

(4) *Incentive Awards Reports*

These records consist of documents created to provide statistical information on participation in, awards approved under, and savings resulting from the incentive awards program. Included are Reports on Incentive Awards Activity, Semiannual Reports of Suggestion Activity, Annual Reports of Award Activity, and similar material.

Destroy 2 years after the year in which dated.

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(5) Training Reports

These documents report actual training progress and accomplishments. Included are Forms SSA-759, SSA Training Report; SSA-1946, Report on Training Courses Authorized; and equivalent documents.

Authorizing Office

Destroy 5 years after the year in which dated, except that records may be destroyed after 2 years if a Departmental or Office of Personnel Management (formerly Civil Service Commission) evaluation of the training function has been completed.

Other Offices

Destroy 2 years after the year in which dated.

b. Facilities Management Records**(1) Records Management Reports**

These documents accumulate in the preparation of Form SSA-3121, Report of Selected Records Management Activities, and other records management reports, such as reports of filing cabinet requirements. Included are source documents, retained copies of the reports, and equivalent material.

Destroy 1 year following the year in which dated.

(2) Individual Procurement Transactions

These records consist of copies of requisitions, purchase orders, invoices, receiving reports, and comparable contractual instruments which are maintained for administrative purposes by facilities management offices within the PSCs.

Destroy 2 years after the year in which dated, except that material reflecting transactions made under the provisions of ADS Guide BRSI.s:130-34, Small Purchase Procedures, must be retained for 3 years following the year in which the transaction is consummated.

(3) Government Bills of Lading

These files consist of retained copies of Government bills of lading relating to property shipped and property received.

Destroy when 3 years old.

(4) Government Bills of Lading Registers

These journals or logs contain data on each bill issued or accomplished, such as date of issue or accomplishment, consignee, and consignor.

Destroy when 3 years old.

(5) Forms Management Reports

These documents are created in reporting forms usage in the PSCs. Included are Form SSA-5097, Monthly Inventory Report of Major Usage Items Stocked in the Program Centers; quarterly reports of overprinted forms and comparable forms; related correspondence; and similar documents.

Destroy 1 year following the year in which dated.

(6) Motor Vehicle Usage Reports

These records consist of documents related to charges and costs for the use of and repairs to General Services Administration motor vehicles. Included are GSA Form M-494, GSA Motor Pool Charges; directly related papers; and similar documents.

Destroy 3 years after the year in which dated.

(7) Postal Services Reports

These files consist of Form SSA-6052, Report of Postal Services, or equivalent documents used to report PSC postal services costs.

Destroy when 1 year old.

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2. Social Security Program Administration Records

a. RSI and DI General Correspondence Files

These documents relate to the general administration of the RSI and DI program. Included are copies of correspondence, memorandums, and similar papers concerning clarification of procedures, and technical advice and recommendations pertaining to changes in the program. Also included are routine comments on claims manual instructions, regulations, and other publications prepared by another office having primary responsibility.

Destroy when 3 years old.

b. Workload and Staffing Reports

These documents are created by the PSCs in evaluating workload and staffing requirements. Included are Management Information System Reports; Case Control Reports; Individual Employee Assessment System Reports; manpower reports and estimates, unit production records and reports, and daily and weekly staffing reports; and equivalent documents.

Destroy 2 years after the close of the calendar year in which dated. Earlier disposal is authorized.

c. Nonrecord Files

Nonrecord files include, but are not necessarily limited to, the following types:

Destroy 1 year following the year in which dated or 1 year after completion of the project, as applicable. Earlier disposal is authorized.

(1) Copies of documents maintained by action personnel which are duplicated in the official files of the PSC.

(2) Documents received for general information purposes that require no action and that are not required to document a particular action, case, or project.

(3) Notes, drafts, feeder reports, clippings, and other nonessential working papers that lead to the final results or findings in a project, study, or case. Excluded are formal recommendations, clearances, and similar material essential to the official file.

(4) Cards, listings, indexes, registers, and similar documents used in controlling or facilitating program work. Excluded are cards, listings, and registers for which specific disposition instructions are provided elsewhere in this schedule.

d. Microfiche File

Computer output microfiche files which are produced from the Master Beneficiary Record and received by the PSC from SSA headquarters. These files are either in an alphabetical or SSA arrangement and are used for reference purposes in locating and/or verifying beneficiary information.

Retain one master set of each microfiche. Destroy 7 years after update. Destroy other sets when next updated set of microfiche is received.

(1) ALFICHE, a master update file received annually, containing an alphabetical listing of names, addresses and benefit information for beneficiaries and recipients of social security.

(2) ALFIT, monthly updates of the ALFICHE containing an alphabetical listing of names and addresses of beneficiaries and recipients

Retain one master set of each microfiche. Destroy 7 years after update. Destroy other sets when next updated set of microfiche is received.

(3) CSFICHE, the PSC Master beneficiary record, which is an annual update of beneficiary records for the PSC. It contains a listing of beneficiaries for the PSC's service area and is received after the benefit rate increase

Retain one master set of each microfiche. Destroy 7 years after update. Destroy other sets when next updated set of microfiche is received

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(4) BRISKEL, microfiche file containing skeletal information on annual conversions (cost-of-living increases), used when processing beneficiary actions subsequent to the conversion. Information on the BRISKEL fiche is similar to that on the CSFICHE

Destroy when next updated BRISKEL fiche is received

(5) RTFICHE, microfiche of the regular transcript file, produced monthly based on the PSC initiated postentitlement actions for that month.

Retain one master set of each microfiche. Destroy 7 years after update. Destroy other sets when next updated set of microfiche is received.

(6) RTSFICHE, microfiche of the special regular transcript files which are produced annually prior to the benefit rate increase and include any actions not on the RTFICHE.

Retain one master set of each microfiche. Destroy 7 years after update. Destroy other sets when next updated set of microfiche is received.

3. Automatic Data Processing (ADP) Records

a. ADP Reports

These records are accumulated by PSC computer processing offices. They contain management data on equipment, staffing, workload capacities, operation and maintenance costs, and on the overall effectiveness of ADP operations.

Destroy 2 years after the year in which dated

b. Data Processing Activity Records

These documents are accumulated by computer processing offices in providing machine services to other offices within the PSC. These documents are used in the preparation and control of recurring and one-time tabulations, machine runs, reports, and similar data. These data are in turn used by other offices in fiscal, claims processing, reconsideration, exception processing, postentitlement, and various other functions. Included are master, detail, and summary punchcards and tapes; and copies of tabulations, machine runs, and reports.

(1) Individual cards or tapes which become obsolete as a result of routine updating of master files: Destroy 30 days after the update cycle

(2) Remaining Files: Destroy on completion of next comparable report, when files have served their intended purpose, or after 30 days, whichever is later.

c. Data Processing Control and Balance Records

These records consist of documents maintained by PSC computer processing offices to verify cumulative balances reflected by master or detailed summary cards or tapes.

Destroy on supersession or obsolescence.

4. Management Records

a. PSC Reports

These records are weekly, monthly, and quarterly computer-generated reports which are used by budget management offices in establishing personnel and overtime requirements. The records are also used in the measurement of claims workload and other PSC operations.

(1) Weekly reports: Destroy when 6 months old

(2) Monthly reports: Destroy when 1 year old.

(3) Quarterly reports: Destroy when 5 years old.

b. PACER Reports

These are weekly PSC reports which provide data on claims work, regular production, cyclical work, payment service activity, inquiry and problem cases, workload, staffing, and similar subjects. Included is Form SSA-1971, Weekly Program Center Report, or its equivalent, and related papers.

(1) Office responsible for consolidating report: Destroy when 3 years old, except that feeder reports and work papers may be destroyed when 1 year old or earlier, if they have served their purposes.

(2) Offices contributing to the report: Destroy when 1 year old or when purpose has been served, whichever is earlier.

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5. Postentitlement Source Documents

The records described below are source documents accumulated as a result of reporting and handling postentitlement events by beneficiaries and SSA. For purposes of this Schedule, a postentitlement event is defined as any action requiring a change on a beneficiary's record after initial entitlement

a. Change-of-Address Records

These records consist of change-of-address notices received from beneficiaries or their representatives, and related documents, such as reporting cards, check envelopes, and correspondence; Form SSA-1719, Post-Entitlement Direct Input; and comparable source documents pertaining to change-of-address.

b. Work Report Records

These records consist of Form SSA-1425, Reporting Card, and comparable documents used by beneficiaries or their representatives to report current year work and earnings information to SSA. Excluded from this definition are Annual Reports of Earnings submitted pursuant to sections 203(h) and (i) of the Social Security Act.

c. Death, Marriage, Remarriage, Divorce, and Adoption Records

These records consist of notices of death which include death certificates; Form SSA-721, Statement of Death by Funeral Director, and copies thereof, SSA-L1719, Death Notice Work Sheet; duplicate death notices; and similar papers regarding notices of death. Also included are source documents that report marriage, remarriage, divorce and adoption to SSA, such as SSA-1425, Reporting Card; SSA-1719, Direct Post-Entitlement Input Document; and similar papers.

d. SMI Premium Cards

These documents relate to the payment of SMI premiums by direct remittance as a result of being billed by SSA on a monthly or quarterly basis. Premium notice billing cards are returned with the premium payment and subsequently used by SSA to update premium collection information to its Billing and Collection Master File. Included are Forms SSA-1592, SMI Premium Accounting Card; SSA-1545, Notice of Premium Payment; SSA-1546, Notice of Premium Payment Due—Second Request; SSA-1547, Notice of Past Due Premium Payment; SSA-1548, Notice of Premium Payment Due; SSA-1645, Notice of Past Due Premium Payment; and equivalent documents.

Retain at the point of receipt for 3 months and then destroy the source document.

Retain at the point of receipt for 3 months and then destroy the source document.

NOTE: Do not destroy any forms SSA-1425 that might be relevant to a potential violation.

Destroy 3 months after receipt of source document, except as stated below:

(1) Unproductive/nonbeneficiary notices of death will be sent to Office of Central Records Operations for introduction into the quarterly earnings operations and subsequently destroyed after processing

(2) Proof documents (or certified copies thereof) required in support of an initial or subsequent claim for benefits will be filed in the claims folder and disposed of in accordance with claims folder disposition instructions.

(3) Foreign documents, pertaining to these events, will be filed in the claims folder and disposed of in accordance with claims folder disposition instructions

(4) Original certificate of adoption documents will be filed in the claims folder whenever their return to the persons submitting them is not possible.

NOTE: Do not destroy any forms SSA-1425 that might be relevant to a potential violation.

Retain at the point of receipt for 30 days and then destroy the premium cards.

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e. Annual Report of Earnings

These records consist of Form SSA-777, Annual Report of Earnings, or equivalent documents which are filed with SSA by individuals required to report their earnings for the taxable year under the provisions of section 203(h) and (i) of the Social Security Act.

Destroy 3 months after last action.

NOTE: Do not destroy any forms SSA-777 that might be relevant to a potential violation.

f. Payee Not Determined, No Child In-Her-Care, Receipt of Public Assistance, and Annulment

These records consist of notices of payee not determined, no child in-her-care, and receipt of public assistance, which result in the suspension of benefit payments. The files also consist of notices of marriage annulment which result in the termination of benefit payments. Included are Forms SSA-725, Request for Suspension or Termination of Benefits; SSA-1425, Reporting Card; and equivalent documents reporting such events.

Destroy 3 months after last action.

NOTE: Do not destroy any forms SSA-1425 that might be relevant to a potential violation.

g. Form SSA-1372A.1, SSA-1372A, SSA-1372A.2, — Request for District Office Assistance to Obtain Completed Form SSA-1372A

This is a three-part computer-generated form used to ask the district office to obtain a completed SSA-1372A from the school in cases where an entitled student reports that he/she has changed schools.

Destroy the 1372A.1 and 1372A.2 forms immediately upon association of the completed 1372A portion with the claims folder.

h. Form SSA-1383, Student Reporting Card

This is a general purpose reporting card supplied at the time of filing for student benefits. It is used to report such events as marriage, cessation of school attendance, change in schools, change to part-time student, and receipt of pay from employer for attending school

(1) Where the SSA-1383 is used to report a change in schools, immediately destroy the form upon receipt of a completed SSA-1372A.

(2) Where the SSA-1383 is used to report an event other than a change in schools, retain the form at the point of receipt for 3 months and then destroy.

(3) NOTE: Do not destroy any forms SSA-1383 that might be relevant to a potential violation.

i. Form SSA-1378A — Notice Concerning Child Beneficiary Who Will Soon Attain Age 18

This is a prepunched card supplied to a child beneficiary 5 months prior to attainment of age 18. It is used for direct key-in from the district attainment of age 18. It is used for direct key-in from the district office for the age 18/22 attainment program.

Retain for 30 days after DO action and 120 days after PSC action and then ~~and then~~ destroy the source document

j. Form SSA-1542 — Notice of Cessation of Full-Time School Attendance

This is a punchcard-type form sent to the school at the time SSA requests verification of the student's attendance. The school retains the form so long as the student remains in full-time attendance. When the student is no longer in full-time attendance, the school is requested to complete the card and send it to the PSC. Upon receipt in the PSC, the card and the folder are reviewed to determine if any action is required. If this is the first notice of nonattendance, development is initiated to determine if the student is in attendance at another school. If the SSA-1542 duplicates a previous notice from the student and action has already been taken, no further action is required.

If the information on the SSA-1542 duplicates information already in the claims folder, the form should be destroyed immediately. If the SSA-1542 is the basis for further development, it should be retained until the development material is received and then be destroyed.



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k. Foreign Enforcement Questionnaire
Solicits information about possible termination, suspension, or deduction events by SSA beneficiaries residing abroad. Questionnaires which report events which may affect benefit or payment status are retained in the claims folders. Included are Forms SSA-7162 and 7162.1 Report to the U.S.—SSA.

1. Form SF-1199, Authorization for Deposit of Social Security Payments

This is a three-part form used to obtain recipient's authorization for SSA to change the check payee to a financial organization. It also confirms the organization's agreement to act as agent for the recipient. The recipient and financial organization each receive a copy of the form.

m. Form SSA-735, Notice of Missing Social Security Check

This form is used by Social Security recipients or their representative to report to SSA the nonreceipt of social security checks.

6. Recovery of Overpayment and SMI Premium Collection Records

The records described below accumulate in the controlling and accounting of all monies incorrectly paid to social security beneficiaries. They consist of records generated as a result of an automated system, Recovery of Overpayment Accounting and Reporting (ROAR), and those created in recovering health insurance overpayments or in paying SMI premiums

a. Computer Input Coding Records

These files consist of Form SSA-1112, Accounts Receivable Coding Sheet, and equivalent documents used to enter accounting and statistical information into the ROAR System.

b. Daily Activity Journal

These are computer listings which identify daily activity, such as establishment of overpayment, conserved and misused fund accounts, remittance credits, waiver actions, corrections, adjustments, and similar actions affecting the disposition of the accounts on record. A cumulative record of these transactions is produced monthly.

c. Remittance Registers

These records consist of Form SSA-124, Remittance Register, or its equivalent. They identify all receipts of cash, checks, postal notes, and money orders, including those related to the refund of health insurance overpayments or to the payment of SMI premiums.

(1) Questionnaires Requiring Action

File in the claims folder.

NOTE: Records filed in claims folder are to be retained in accordance with the disposition instructions for those files.

(2) Questionnaires Requiring No Action

Destroy 1 month after receipt in the Division of International Operations.

Destroy 3 months after systems input and acceptance.

Destroy when 1 year old.

Destroy upon verification of their acceptance in the ROAR System.

Destroy after receipt of monthly cumulative record.

Transfer to the FRC 3 years following the close of the calendar year to which dated. Destroy 6 years after the calendar year in which dated.



d. Health Insurance Overpayment Ledger Cards

These records consist of Form SSA-5079A, Health Insurance Overpayment Ledger Card, or its equivalent. The records are used to maintain a record of repayments by health insurance beneficiaries.

(1) Collection action waived or overpayments repaid: Transfer to the FRC after 1 year. Destroy ~~after 3 years' retention in the FRC~~ *4 years after action waived or overpayment repaid.*

(2) Collection action suspended: Upon implementation of Phase II of ROAR System, transfer to the FRC. ~~Destroy after 3 years' retention in the FRC~~ *Destroy after 4 years after implementation of Phase II of ROAR System.*

Destroy 3 years after the year in which dated.

e. Recovery and Collection Action Reports

These records consist of Forms OA-C397, Report of Recovery and Collection Actions; SSA-397A, Report of Recovery and Collection Actions (Health Insurance); or their equivalents. The records summarize individual PSC activities regarding the recovery and collection of Title II and Title XVIII overpayments from social security beneficiaries.

f. SMI Premium-Control Records

These records consist of prenumbered Form SSA-1395, Receipt and Transmittal Form, or its equivalent. The records are prepared by DOs to control and transmit to the PSCs all SMI premium remittances processed.

Destroy when 1 year old.

g. SMI Premium Remittance Records

These records pertain to the receipt, control, deposit, and accounting of SMI premium remittances. Included are Forms SSA-1594, SMI Premium Deposit Journal, retained copies of SF-215, Deposit Ticket; the originals of SSA-1579, SMI Premium Cash Receipt, which have been microfilmed, copies of the IBM 1203 tape; microfilm copies of SMI premium remittances, and equivalent material.

(1) Destroy copies of IBM 1203 tape after 120 days.

(2) Destroy other paper records after 6 months.

(3) Transfer microfilm copies to the FRC after 3 years. ~~For records created on or after July 1, 1976, destroy after a total 6 years, 3 months' retention, using Record Group 47. For records created prior to July 1, 1976, destroy after a total 10 years, 3 months' retention using Record Group 47.~~ *Destroy 6 years and 3 months after period covered by account.*

h. Billing and Collection Update Master (HJBACUM) File

This microfilm/microfiche file documents the history of premium payments or adjustments entered by the PSC for beneficiaries under the SMI and premium payment hospital insurance programs and is used for processing inquiries and resolving payment discrepancies. Included is such information as beneficiary name, date of birth, entitlement data, billing data (amount of last payment, type of notice, date of mailing, current amount due, etc.), and remittance-by-remittance history. Source documents include Form SSA-1545, Notice of Premium Payment Due - Quarterly Notice; Form SSA-1546, Notice of Premium Payment Due - Second Request; Form SSA-1547, Notice of Past Due Premium Payment; Form SSA-1548, Notice of Premium Payment Due; Form SSA-1592, Premium Accounting File; and Form SSA-1645, Notice of Past Due Premium Payment.

(1) *Source Documents*
Destroy after 120 days.

Destroy after 120 days

(2) *Microfilm/Microfiche*
Destroy when 7 years old.

i. Ledger Account Data Records

These records reflect daily refunds received from beneficiaries regarding RSI overpayments.

Destroy when 3 years old



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j. ROAR Microfiche

Microfiche received from SSA headquarters showing status of overpayment recovery action for individual beneficiaries. Information consists of beneficiary identification information and overpayment and recovery information.

Retain on master set of microfiche. Destroy 7 years after update. Destroy other sets when next updated set of microfiche is received.

7. Fiscal and Audit Records

a. Statements of Transactions and Supporting Records

These records consist of copies of SF-224, Statement of Transactions, or its equivalent. The records are prepared by the PSC at the close of each accounting month. (Originals are forwarded to the Department of Treasury pursuant to the *Treasury Fiscal Requirements Manual*.) Also included in this category are documents supporting the Statement of Transactions, such as Forms SSA-2049, Daily Report of Benefit Activity; the equivalent late, summary, and final reports; SF-219, Certificate of Deposit; SF-1081, Voucher and Schedule of Withdrawals and Credits; SF-1098, Schedule of Cancelled Checks; SF-1184, Unavailable Check Cancellation; SF-1017G, Journal Voucher; SF-1166, Voucher and Schedule of Payments; Treasury Form 5504, Debit Vouchers, SSA-666, Adjustment in Trust Fund Accounts; copies of SSA-110, Voucher and Schedule of Payments, used in the preparation of the daily report of benefit activity; and equivalent documents.

Transfer to the FRC ^{1 year} 8 months after close of the fiscal year in which dated. ~~For records created on or after July 9, 1975, destroy after a total of 6 years, 3 months retention, using Record Group 47. For records created on or before July 8, 1975, destroy after a total of 10 years, 3 months retention, using Record Group 317. Destroy 6 years and 3 months after period covered by account.~~

b. Payment Process Audit Reports

These records are monthly reports consisting of Form SSA-2040, Report of Payment Process Audit, or its equivalent. Included are Forms SSA-2040A, Payment Process Audit Report of Aged Cases; SSA-2040C, Payment Process Audit Explanation of Errors and Remarks; and equivalent documents used to analyze the report of aged cases for accounts and/or beneficiaries that appear to be repetitive and to analyze possible trends or problem areas that indicate the need for procedural changes or further training.

- (1) Copies maintained by Fiscal Control and Audit: ~~Destroy when 2 years old~~ Same as 7(a)
- (2) Copies maintained by Director of Management: Destroy 1 year after analysis has been completed.
- (3) Copies maintained by Director of Operations: Destroy when 1 year old.

c. General Fund Reimbursement Reports

These records consist of reports of net reimbursement to the RSI trust fund from general funds. Included are Prouty worksheets and computer listings which reflect general fund totals.

~~Destroy when 1 year old.~~ Same as 7(a) 6 years and 3 months old.

d. Daily Overtime Logs

~~Destroy after 90 days, provided audit has been completed 6AD audit or when 3 years old, whichever is sooner.~~

e. Employee Check Disposition Records.

Forms OF-19, Request for Disposition of Check and for Savings Bond, or equivalent document, used to ensure proper disposition of employee check or bonds.

Destroy when 3 years old

8. Exception Processing Records

a. Social Security Benefit Payment Vouchers and Related Records

These records accumulate as a result of making benefit payments to social security beneficiaries under Titles II and XVIII of the Social Security Act, as amended. Included are copies of Forms SSA-110, Voucher and Schedule of Payments; SSA-107, Determination of Resumption of Award; OA-C 101C, Determination of Award (when manually processed to the Treasury Department outside of the EDP system); or their equivalents; and computer listings containing payment or stop payment information, the originals of which have been submitted to the Department of Treasury.

(1) Control copy of form SSA-110, Destroy upon receipt of "Paid" copy from Fiscal Control and Audit.

(2) All other documents: Transfer to the FRC ~~after 90 days. For records created on or after July 1, 1975, destroy after a total of 6 years, 3 months retention using Record Group 47. For records created prior to July 1, 1975, destroy after a total of 10 years, 3 months retention, using Record Group 244~~
when 1 year old. Destroy 6 years and 3 months after period covered by account.

b. Post-Entitlement Scheduling Operation (PESO) Records

These records consist of documents related to PESO. The documents contain data regarding exceptions and alert conditions, chargeout forms for exceptions, and fiscal control totals (required by the PSCs for reconciling and accounting for daily PESO exceptions). Included are PESO-PEAT exception listings and PESO alert listings.

Destroy PESO-PEAT exception listings when 60 days old.

c. Hold Check Listings

The records consist of documents received from disbursing centers which list checks held for the current month (i.e., 12/7/71 check dated 1/3/72).

Destroy when 60 days old.

d. Check Return and Cancellation Listings

These records consist of documents received from disbursing centers at the end of the month which list all the prior month's checks returned and cancelled by the Department of the Treasury. A microfiche copy of the check cancellation and return information is received annually.

- (1) Paper Listings
Destroy upon receipt of microfiche
- (2) Microfiche
Destroy when 7 years old

e. Payment Detail Cards

These documents relate to the preparation of a record for certification. These documents relate to the preparation of a record for certification of the first check (or schedule check) to the Regional Disbursing Center. The documents provide payment data for the preparation of the master tape record and the generation of continuing monthly benefit checks.

Destroy when 60 days old.

f. Payment Detail Exception Listings

These records consist of copies of payment detail exception listings which are received from Exception Processing Sections. The listings reflect actions performed in the Payment Balance and Validation Pass (PBVP). Included are complete payment detail records or block card records which list inconsistencies (with an error code for each inconsistent item) and similar information.

Destroy when 90 days old.

g. SSI Overpayment Listings

Overpayment listings containing beneficiary name, SSN, overpayment amount and amount withheld from beneficiary check. These are received quarterly from SSA headquarters. The listings reflect current overpayment situations. When the overpayment is repaid or otherwise settled, the information or record is deleted from the listing. The listings are used by claims processing modules to answer inquiries from the beneficiary or the estate regarding overpayment resolution.

~~Same as 8a(2)~~
Same as 8a(2).

(14)

Date

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h. Expedited Payment Registers of Logs

Logs or registers used to control blocking and processing of one-time checks to beneficiaries outside usual payment routines in cases of dire hardship, underpayments, etc. These records are used to answer follow-up inquiries from beneficiaries.

Same as 8a(2).~~Destroy when 6 years and 3 months old.~~**i. Segments Listing**

Listings in SSN sequence for each Treasury Department payment cycle or segment showing trust fund debits and credits, accumulated totals, and individual payment data. These listings are used to resolve nonpayment inquiries.

Destroy when 1 year old.

j. Prior Monthly Accrual-Current Monthly Accrual (PMA-CMA) Merge Listing

Daily listings of payments to beneficiaries for prior and current months by Treasury Department. These are used for inquiry and balancing purposes and show number of payments and amount of payments, including number of mailed and direct deposit payments to beneficiaries. Copies are maintained by SSA headquarters.

Destroy when 1 year old.

k. Weekly Cancelled Check Listing

Weekly listings of checks returned and cancelled by the Treasury Department. The listings show SSN, reason for return of check, primary insurance amount, check number, date of issue, amount of check and appropriation code. Copies are maintained by SSA headquarters.

Destroy when 60 days old.

l. Award Processing Action Tape (APAT) Listing

Listings of award processing operations totals of immediate or current payments used to verify that all awarded actions are processed. Record copies are maintained by SSA headquarters and the MBR is updated to reflect that payment action has been initiated.

Destroy when balancing is completed and checks issued.

m. Supplemental Transcript Accrual Ledger Edit (STALE) Listing

Providing control from the second step of the Awards Processing Operation and identifying exceptions. These are used to identify problems in the APAT totals and identify input items for the Debit Conversion Operation (DEBCO). They may be referenced months later as a result of nonreceipt inquiries. Exceptions become documentation to support issuance of replacement checks. Record copies are maintained by SSA headquarters.

Destroy when 1 year old.

n. Voucher Control Logs

Locally prepared control logs, books, listings, etc., providing block numbers, voucher numbers and inclusive check sequence for payments to beneficiaries from the Treasury Department. These are used to determine check number and issuance date in resolving nonreceipt cases. Information usually consists of date paid, schedule run, voucher number, check sequence number and block number, if applicable. The status of limitations for alleging nonreceipt by beneficiaries is 7 years.

Destroy when 7 years old.

o. Disability Certification Listings

Listings containing beneficiary data for beneficiaries who receive their checks through Office of Disability Operations, but their claims folders are maintained in the PSC. These listings are used to answer any inquiries received by the PSC regarding nonreceipt of disability checks.

Same as 8a(2).~~Destroy when 6 years and 3 months old.~~

Appendix C (con.)

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p. SOBER Miscellaneous List and Edit (SMIRK)

Listings containing information on the number of records and amounts of monies paid. These are used in balancing operations in determining the number of items and number of exceptions.

Destroy when 30 days old.

q. Search - Finder File (SFF) and Parekin Listings
SFF listings of data transmitted to Baltimore for beneficiary checks returned to the Treasury Department. Parekin listings are listings received from Treasury Department showing the number of checks issued per day. These listings are used in balancing operations.

Destroy when 30 days old.

r. Regular Transcript Listings
Tabulations listing the number of exceptions which are used by mods for reference purposes in verifying exception situations. Copies are also maintained by SSA headquarters.

Destroy when 1 year old.

9. Inquiry and Expediting Staff Records

These records accumulate as a result of receiving, controlling, and expediting all cases identified as critical or otherwise sensitive.

sensitive.

a. Central Locator Files

These records consist of cards which contain a complete record of each processed Form SSA-1671, Request for Critical Case Payment. The cards record payment data and the date the reply was released to the district office (DO).

Destroy 3 months after all actions in the case have been completed.

b. Active Control Cards

These cards are used by PSC expediting staffs as a record of folder movement. They identify the operating section to which the folder was assigned, the time and date of assignment, and similar information.

Destroy when 6 months old.

10. RSI Claims Case Folders

These claims folders contain all correspondence and other pertinent material accumulated in the process of adjudication of the claim. The award or disallowance determination forms, certain supporting proofs, and other records depicting the 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.

NCI-47-79-13, Item 1.

a. Disallowed life and death claims, withdrawals, and lump-sum only claims in which potential entitlement exists.

Transfer to the FRC after so being identified by the Automated Folder Inactivation System (AFIS). Destroy ~~20 years~~ after identification by AFIS.

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~~ after identification by AFIS.

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~~ after identification by AFIS.

d. Purged material from the right side of active claims folders. (Note: Purging operation in RSI PSCs was discontinued in October 1972.)

Destroy ~~15 years~~ after purging.



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E..

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11. Title XVI (SSI) Claims Case Folders

These claims folders contain all pertinent material accumulated in the adjudication of a claim for SSI payments. Included are the initial claims application and supporting documentation, award or disallowance notices, redetermination documents, certain payment history forms, and related material. These folders are maintained by the Wilkes-Barre Data Operations Center until transferred to FRC as active files

Transfer to the FRC after being identified as terminated or disallowed by the AFIS or Case Control System
 Destroy when 6 years and 6 months old

12. Special Energy Allowance (SEA) Records**a. SEA Case Files**

Case files by surname of individual recipients containing documentation relating to the one-time SEA payment issued January-April 1980 to SSI recipients. The folders were developed for any payment situation in which the payment could not be paid automatically through the SSI payment system. (There are no SEA case files for these SSI recipients whose payments were systems generated.) The folders contain documentation, such as supplemental security records printouts, copies of requests or statements from field offices requesting annual or exception payments; completed systems input forms, copies of completed payment forms, such as SF-1147 and SF-1166. Records copies of payment forms are maintained by the Treasury Department

Transfer immediately to the FRC (East Point, Georgia).
 Destroy when 6 years, 6 months old (October 1986).
 (Records were transferred September 1980).

b. Central Control Index File

A 3- by 5-inch central control index file maintained in the SEPSC.

Destroy when 2 years old.

8-11-80