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Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules.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These items, unless subsequently superseded, may be used by the agency to disposition records.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**SUPERSEDED AND OBSOLETE ITEMS**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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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Item 10 was superseded by NC1-047-83-03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)

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

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 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
28/10/81

D SIGNATURE OF AGENCY REPRESENTATIVE
Dr. George E. Deal

E TITLE
Department Records Management Officer

8 DESCRIPTION OF ITEM
(With Inclusive Dates or Retention Periods)

Records Retention and Disposal Schedule
Central Operations Records
Program Service Center Records

Attached as an Administrative Directive System for Program Service Center records.

All pen-and-ink changes have been made with the concurrence of the agency's records officer.

Date 9/10/82

STANDARD FORM 115
Revised April, 1973
Prescribed by General Services Administration
FPMR (41 CFR) 101-11.4
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

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.

      (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.

      (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.

      (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.

Authorized Disposition

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 Common to Most Offices.

Destroy 2 years after the year in which dated.

Destroy 2 years after final action on the case.

Destroy 2 years after the year in which dated.
(5) **Training Reports**

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

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 materials.

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.

3. **Government Bills of Lading**

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

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.

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.

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.

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.

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**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.

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**Date**

Destroy 1 year following the year in which dated.

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**Other Categories**

Destroy 2 years after the year in which dated, except that material reflecting transactions made under the provisions of ADS Guide BR5.5:130-34, Small Purchase Procedures, must be retained for 3 years following the year in which the transaction is consummated.

Destroy when 3 years old.

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Destroy when 3 years old.

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Destroy 1 year following the year in which dated.

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Destroy 3 years after the year in which dated.

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Destroy when 1 year old.
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.

   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.

   c. Nonrecord Files
      Nonrecord files include, but are not necessarily limited to, the following types:
      (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.
      (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.
      (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.

    Destroy when 3 years old.

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

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

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

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

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

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

(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.

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.

   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.

   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.

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.

   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.
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.
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.

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.

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.

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

i. Form SSA-1378A — Notice Concerning Child Beneficiary Who Will Soon Attain Age 18
This is a pre-punched 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.

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.

Destroy 3 months after last action.
NOTE: Do not destroy any forms SSA-777 that might be relevant to a potential violation.

Destroy 3 months after last action.
NOTE: Do not destroy any forms SSA-1425 that might be relevant to a potential violation.

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

(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.

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

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.
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.
Appendix C (con.)

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.

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.

g. SMI Premium Remittance Records
These records pertain to the receipt, control, deposit, and accounting of SMI premium remittances. Included are Forms SSA-1579, 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.

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.

i. Ledger Account Data Records
These records reflect daily refunds received from beneficiaries regarding RSI overpayments.

(1) Collection action waived or overpayments repaid: Transfer to the FRC after 1 year. Destroy when 3 years after action waived.

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

Destroy 3 years after the year in which dated.

Destroy when 1 year old.

(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.

(1) Destroy source documents after 120 days.
(2) Destroy microfilm after 120 days.

(1) Destroy when 7 years old.

Destroy when 3 years old.
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.

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.

c. General Fund Reimbursement Reports
These records consist of reports of net reimbursement to the RSI trust fund from general funds. Included are Pruity worksheets and computer listings which reflect general fund totals.

d. Daily Overtime Logs

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.

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

Transfer to the FRC 6 months after close of the fiscal year in which dated. For records received July 1-1976, destroy 6 months after receipt. For records received Jan 1-1977, destroy 6 months after receipt. For records received Jan 1-1978, destroy 6 years and 3 months after period covered by account.

1 year

(1) Copies maintained by Fiscal Control and Audit: Destroy when 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.

Same as 7(a) 6 years and 3 months old.

Destroy after 90 days, provided audit has been completed. 600 audit or when 3 years old, whichever is sooner.

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.

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.

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

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.

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.

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.

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.
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.

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.

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.

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.

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.

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.

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.

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

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.

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.

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.

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.

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).

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.

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.

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

b. Awarded claims where the last payment has been made and there is no future potential claimant indicated in the record.

c. Awarded claims where payments have ended, but there is a future potential claimant indicated in the record.

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

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.

b. Central Control Index File
A 3- by 5-inch central control index file maintained in the SEPSC.

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.

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

Destroy when 2 years old.