

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

4/26/81
LEAVE BLANK

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

JOB NO
NC1-47-82-2

1. FROM (AGENCY OR ESTABLISHMENT)
Health and Human Services

DATE RECEIVED
November 5, 1981

2. MAJOR SUBDIVISION
Social Security Administration

NOTIFICATION TO AGENCY

3. MINOR SUBDIVISION
Disability Determination Services

In accordance with the provisions of 44 U.S.C. 3303a the disposal records include amendments approved except for items that may be scheduled for disposal approved or withdrawn in item 10

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

5. TEL EXT
594-5770

8-26-82 [Signature]
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 3 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 10/23/81	D. SIGNATURE OF AGENCY REPRESENTATIVE <u>[Signature]</u> Dr. George E. Deal	E. TITLE Department Records Management Officer
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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 align="center"><u>Records Retention and Disposal Schedule</u> <u>Disability Determination Services Records</u></p> <p>The following series of records are created or received by Disability Determination Services (DDS) State agencies in implementing Titles II and XVI of the Social Security Act. The DDS, under regulations, makes the medical determination for claimants who apply for DI, BL and SSI benefits alleging a disability.</p> <p>1. <u>Residual Files</u></p> <p>Files containing copies of disability claims materials. Documents may include copies of Form SSA-831, Disability Determination and Transmittal; Form SSA-833, Cessation or Continuance of Disability Determination and Transmittal; related case materials; or equivalent documents. Record copies of documents are retained in the DI or SSI claims folders which are maintained by SSA.</p> <p>Destroy 6 months after adjudication of the claim.</p> <p><i>NO MASS DATA CHANGE REQUIRED</i></p>		

7 items

*Closed out 9-2-82: emj
Copied to Agency, NMF & FRS*

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 CAO.

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:

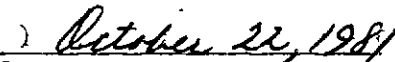
If immediate disposal is requested of past accumulations of records, the inclusive dates during which the records were produced should be stated.

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 be determined after it is 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, 41CFR 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


Date

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JOB NO

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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>2. <u>Case Control Files or Records</u></p> <p>Case identification information used to control location and processing of the claim while under the jurisdiction of the DDS. Information may be in manual form (e.g., card file or local form) or automated form (e.g., computer-controlled system) and usually consists of social security number, name, address and other claimant identification information. These files are used by the DDS for reference purposes after the claims folder has been forwarded to an SSA component. SSA maintains case control information in automated DI and SSI systems.</p> <p>Review file annually. Remove and destroy case control information for cases having been adjudicated 1 year or more.</p> <p>3. <u>Case Working Files</u></p> <p>Working files created or received by disability examiner in adjudicating a DI or SSI claim. These consist of initial notes; rough drafts; blank forms and questionnaires returned to the DDS; returned envelopes; duplicate copies of the same material from the same source (except medical information); duplicate copies of reports of contact; and copies of correspondence to claimant and physicians pertaining solely to appointments for medical exams when the claimant kept the appointment.</p> <p>a. <u>If working papers have been associated with the claims folder:</u></p> <p>Review folders prior to shipment and remove and destroy any working papers.</p> <p>b. <u>If maintained as a separate working file:</u></p> <p>Destroy upon shipment of folders after case adjudication.</p>		

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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>4. <u>Consultative Physician's Files</u></p> <p>Card file or equivalent records containing names of physicians who have expressed a willingness to conduct consultative examinations (CEs) of claimants for the DDS. The records contain information relative to a physician's specialty, past experiences in submitting reports and appointment hours.</p> <p>Remove and destroy cards when physician no longer participates in the CE program.</p> <p>5. <u>Fiscal Documents</u></p> <p>These are documents relating to DDS expenses in administering disability determination programs for the Social Security Administration. Included are documents relating to the purchase of consultative examinations (CE), and/or payments for medical evidence of record (MER) for titles II and XVI claimants.</p> <p>These may include copies of documents authorizing the purchase of or payment for the requested evidence, including statements or verifications that services were received. Also included in this records series are records created to document the DDS administrative expenses of the disability determination program. These may consist of staffing records, equipment purchase records, space allocation records, indirect cost allocation agreements and related documents, or any other records created or received to document administrative expenses. Fiscal documents including those related to CE purchases or payments for MER and administrative expenses, are audited by Health and Human Services' Inspector General Audit Agency.</p> <p>a. Prior to folder shipment, remove any CE fiscal documentation which may have been retained in the claims folder. Associate with other disability program fiscal documents.</p> <p>* b. Destroy 6 years and 3 months after the period covered by the account.</p> <p><i>* changed per GAO request.</i></p>		