

**ORIGINAL**

LEAVE BLANK
JOB NO <b>NCI-47-84-7</b>
DATE RECEIVED <b>4-24-84</b>
NOTIFICATION TO AGENCY
In accordance with the provisions of 44 USC 3303a the disposal request including amendments is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10
<i>Feb 2, 85</i> <i>Richard B. Wain</i> Date Archivist of the United States

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

1. FROM (AGENCY OR ESTABLISHMENT) <b>Health and Human Services</b>	
2. MAJOR SUBDIVISION <b>Social Security Administration</b>	
3. MINOR SUBDIVISION <b>Office of Assessment</b>	
4. NAME OF PERSON WITH WHOM TO CONFER <b>Ernest P. Lardieri (FWD)</b>	5. TEL EXT. <b>934-5770</b>

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 7 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 <b>4/26/83</b> <b>4/26/83</b>	D. SIGNATURE OF AGENCY REPRESENTATIVE <i>George Deal</i> <b>Dr. George Deal</b>	E. TITLE <b>Department Records Management Officer</b>
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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
I-III	<p><b>Records Retention and Disposition Schedule for the Office of Assessment (pages 2-4)</b></p> <p><b>I. Field Assessment Files</b></p> <p><b>A. Title II and SSI Disability OR Casefiles</b></p> <p><b>B. QA Data Input Files</b></p> <p><b>II. Adjudicative Quality Files</b></p> <p><b>A. Report of RSI Quality</b></p> <p><b>B. Insurance Program Quality - Quarterly Report</b></p> <p><b>C. RSI Semiannual Analysis</b></p> <p><b>III. Operations Review and Integrity Files</b></p> <p><b>A. Audits, Surveys and Special Studies</b></p> <p><b>B. OR Files for Cross-Cutting Workloads</b></p>	<p><b>NCI-47-76-11-II-A;</b> <b>NCI-47-79-5</b> <b>OA.g:40-2-II-B</b> <b>NCI-47-76-25-II-C-2</b></p> <p><b>OA.g:40-2-IV-A-1-C</b> <b>None</b> <b>None</b></p> <p><b>NCI-76-25-II-F;</b> <b>OA.g:40-2-V-2thC1</b> <b>None</b></p>	<b>10 items</b>

**ORIGINAL**

*Copy to agency NAF NAB  
5 Feb 85  
To NC 7 Feb 85*

OFFICE OF ASSESSMENTI. Field Assessment FilesA. Title II and Supplemental Security  
Income (SSI) Disability Quality Review  
CasefilesAuthorized Disposition

A casefile containing documentation developed during the quality review of a sample of Title II or SSI Disability and Blindness cases. The purpose of this review is to determine the accuracy of Title II retirement and survivors insurance, disability insurance and Title XVI disability or blindness payments as of a specified month. Documentation in the file may include copies of earnings records (Forms SSA-794, Earnings Record--P/A Determination, and SSA-805, Earnings Reference File), Master Beneficiary Record or SSI Record Display printouts; Form SSA-2934, RSI/DI Quality Review Data Input, or SSA-271, SSI Disability Quality Review Data Input, transmission validation reports, appointment materials, Form SSA-4639, List of Proposed Contacts, Form SSA-8538, QR Record of Disclosure authorization and disclosure form, payment calculation worksheets and related reports and correspondence and equivalent forms. Form SSA-8538, QR Record of Disclosure, or its equivalent, may be included in the casefile; however, see Note under Authorized Disposition.

Destroy 18 months after termination of the 6-month sample period in which the case was selected for review.

Note: Forms SSA-8538 are to be retained in accordance with Section II.F., QR Record of Disclosure, Form SSA-8538.

*NCI-47-79-5  
01.9:42-IB*

B. OA Data Input Files

Retirement and Survivors Insurance (RSI) file consisting of RSI Form SSA-2934, RSI/DI Quality Review Data Input, or its equivalent, used to gather data on RSI sample cases. The data are keyed into a data processing system updating the Quality Review Data Base. Turnaround documents, such as transmission validation reports (TVRs) and edit error reports (EERs) indicating rejection of the data, are also included. The SSA-2934s are associated with the turnaround documents and retained in the case folders.

SSA-2934s, TVRs and EERs

Destroy in accordance with instructions for Title II and SSI Disability Quality Review Casefiles.

*NCI-47-76-25/II-C-2  
No Change*

II. Adjudicative Quality Files

A. Reports of RSI Quality

These narrative reports are prepared monthly by central office. They contain analyses of RSI program areas, ongoing and special studies and other matters relating to RSI quality. The monthly reports are consolidated into a quarterly report. In the latter part of 1981, the monthly reports were discontinued and the quality reports were superseded by the Insurance Program Quality - Quarterly Report.

Authorized Disposition

(1) Office Responsible for Preparation of the Report

Permanent. Transfer to an FRC when no longer needed for reference. Offer to the National Archives 10 years thereafter.

*orig: 40-2/B-A-C-C No change*

(2) Other Offices

Destroy when superseded or obsolete.

2. B. Insurance Program Quality - Quarterly Report

These reports contain statistical and narrative data from the end-of-line studies conducted by the RSI analysis branches in the field assessment offices and the Operational Review Branch in the Division of Quality Assurance Sample Design and Operations. Special studies and analyses are listed and a brief description of selected special analyses is prepared.

(1) Office Responsible for Preparation of the Report

Cut off file when no longer needed for reference. Destroy when 10 years old.

(2) Other Offices

Destroy when 2 years old.

3. C. RSI - Semi-Annual Reports

These reports contain narrative and statistical data from the end-of-line studies with discussion on significant occurrences in the program during the 6-month period. The report is prepared in executive summary and complete technical versions.

(1) Office Responsible for Preparation of the Report

Cut off file when no longer for reference.

Destroy when 10 years old.

(2) Other Offices

Destroy when 2 years old.

4. D. RSI - Annual Reports

These reports are the same as the semi-annual reports, except that they cover the 12-month period.

(1) Office Responsible for Preparation of the Report

**PERMANENT.**  
A Cut off file when no longer needed for reference. Offer to National Archives in 5-year blocks when 10 years old.

*on Hand - 100 ST Au: V4 CUST/Y.*

(2) Other Offices

Destroy when 2 years old.

*Changes coordinated with  
Dore Smith - SSA flub  
Linda Henry - NARS 10/16/81*

5. III. Operational Review and Integrity Files

A. Audits, Surveys and Special Studies

Audits, surveys and special studies of the entire range of SSA operations, processes and management practices. These files document the inception, scope, findings and accomplishments of audit, survey and special study projects. Such projects generally involve the review and evaluation of organizational structures, operating processes and procedures or management practices. Included are records reflecting the request or proposal to undertake the project, the authorization to undertake the project, project plans, the final project with recommendations and any follow-up reports on action taken. The files involve working papers accumulated in the preparation, clearance and issuance of final project reports. The working papers include notes, drafts, meeting reports, clearance comments and similar records.

Authorized Disposition

*amended  
Per SSA  
BY [unclear]  
11/21/71  
10-11-71*

(1) Office Conducting the Project

*Destroy*

a. ~~Retain~~ reports and their integral supporting documents ~~permanently.~~  
*2 Years after final SSA action on reports.*

b. Destroy working papers 2 years after completion of the final report. However, where follow-up studies are envisioned or where interest on the part of other parties (e.g., GAO, OIG, OMB, etc.) can be anticipated, destroy working papers 3 years after issuance of the final report.

(2) Other Offices

Destroy when 2 years old.

*OA-9: 40-2/12-A thru C1  
NCL-47-76-15/II-F*

6. B. Quality Review Files for Cross-Cutting Workloads (e.g., Enumeration, Annual Wage Reporting (AWR), etc.)

1. Social Security Number (SSN) Quality Review Files

Files consist of Forms SSA-3978, Quality Appraisal Operations, SSN Enumeration Tally Sheet and Forms SSA-3764, Notice of Error in SSN Records which are used in the sample of recently issued SSNs.

(1) Office of Record

Destroy after 2 years.

(2) Other Offices

Destroy when no longer needed.

7. 2. Quality Review Files for Other Cross-Cutting Workloads - RESERVED

(At the time of this writing, work has just begun on the design of the quality review system for such workloads as AWR, earnings record certification, etc. Therefore, the nature and extent of the files required in these reviews remains to be determined.)

Disposition not authorized at this time; review retention requirements annually.

WITHDRAWN