

**REQUEST FOR AUTHORITY
 TO DISPOSE OF RECORDS**

(See Instructions on Reverse)

RG-77 95 items

LEAVE BLANK	
DATE RECEIVED MAR 15 1973	JOB NO.
DATE APPROVED	NN-113082
NOTIFICATION TO AGENCY	
IN ACCORDANCE WITH THE PROVISIONS OF PUBLIC LAW 91-287 DISPOSAL OF ITEMS MARKED "DISPOSAL APPROVED" IS AUTHORIZED.	
6-5-73 DATE	<i>James E. O'Heill</i> ARCHIVIST OF THE UNITED STATES

TO: GENERAL SERVICES ADMINISTRATION,
 NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON 25, D. C.

1. FROM (AGENCY OR ESTABLISHMENT)
 Department of Health, Education, and Welfare

2. MAJOR SUBDIVISION
 Social Security Administration

3. MINOR SUBDIVISION
 Retirement and Survivors Insurance

4. NAME OF PERSON WITH WHOM TO CONFER
 Arthur J. Benner

5. TEL. EXT.
 45771

6. CERTIFICATE OF AGENCY REPRESENTATIVE:

I hereby certify that I am authorized to act for the head of this agency in matters pertaining to the disposal of records, and that the records described in this list or schedule of 25 pages are proposed for disposal for the reason indicated: ("X" only one)

- A The records have ceased to have sufficient value to warrant further retention.
- B The records will cease to have sufficient value to warrant further retention on the expiration of the period of time indicated or on the occurrence of the event specified.

Department Records Management Officer

3/14/73
 (Date)

[Signature]
 (Signature of Agency Representative)

(Title)

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>RECORDS RETENTION AND DISPOSAL SCHEDULE PAYMENT CENTERS</p> <p>The files described in this schedule are created in the administration of the Retirement and Survivors Insurance programs pursuant to Title II of the Social Security Act. They are filed in the payment centers. However, all of the files are not maintained in any single office.</p> <p>I. OFFICE GENERAL ADMINISTRATION RECORDS</p> <p>The records described below relate to the performance of routine administrative operations and obtaining housekeeping-type services from the organization responsible for providing them.</p> <p>A. <u>Office General Management Records</u></p> <p>These files consist of documents related to the internal management or general administration of an office. Included are:</p>		

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	<p>1. Documents concerning internal office procedures, hours of duty, and individual duties that do not have continuing applicability.</p> <p>2. Documents relating to office participation in charitable affairs, such as blood donations and contributions to philanthropic or charitable associations.</p> <p>3. Documents relating to parking, traffic control, and allied matters.</p> <p>4. Documents relating to safety within the office including office copies of accident reports.</p> <p>5. Documents relating to the general routine use of automatic data processing (but not documents concerned with the employment of automatic data processing for performing specific payment center functions or processes thereof).</p> <p>Destroy 1 year following the close of the calendar year in which the material is dated.</p> <p><u>B. Housekeeping Instructions</u></p> <p>These files consist of documents relating to the preparation and issuance of office memorandums and comparable instructions that are applicable only to internal practices and housekeeping details within the preparing office. Note: This definition is not applicable to instructions prepared by an office that are issued on a payment center wide basis. The latter are to be retained in accordance with item 1, General Records Schedule 6, ADS Guide 40-2.</p> <p>Destroy on supersession or obsolescence.</p>		<p>DISPOSAL APPROVED</p> <p>DISPOSAL APPROVED</p>

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	<p><u>C. Office Organization Records</u></p> <p>Documents relating to the organization and functions of an office, such as copies of documents which are duplicated in the management office or comparable offices charged with determining the organization and functions of the payment center.</p> <p>Destroy when superseded, obsolete, or no longer needed for reference.</p> <p><u>D. Records Disposition Records</u></p> <p>Documents reflecting the location and/or disposition of records retired or transferred out of an office. Included are Standard Form (SF) 135, Records Transmittal and Receipt, and equivalent documents which list records transferred to Federal Records Center (FRC).</p> <p>Destroy when all records reflected on the list have been disposed of.</p> <p><u>E. Office Service and Supply Records</u></p> <p>Documents relating to ordinary supplies and equipment used by an office; office space and utilities; communications, transportation, custodial, or other services required by an office; and to the general maintenance of an office. Included are:</p> <ol style="list-style-type: none"> 1. Requests for supplies, receipts for supplies and equipment, and similar papers pertaining to office supply matters. 2. Requests for publications and blank forms, and other papers relating to the supply and distribution of publications to the office. 3. Documents relating to local transportation and custodial service required by an office. 4. Requests for installation of telephones, telephone extensions, change to telephone directories, and similar papers. <p>Destroy after 1 year.</p>		<p style="text-align: center;">DISPOSAL APPROVED</p> <p style="text-align: center;">DISPOSAL APPROVED</p> <p style="text-align: center;">DISPOSAL APPROV.</p>

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<p>II.</p>	<p>OFFICE REFERENCE RECORDS</p> <p>The records described below are maintained to provide a source of reference materials readily available to the office.</p> <p>A. <u>Reading File</u></p> <p>Extra copies of outgoing communications (arranged chronologically) which are maintained for review by staff members.</p> <p>Destroy 1 year following the calendar year in which the material is dated. Earlier disposal is authorized.</p> <p>B. <u>Technical and Reference Publications</u></p> <p>These files consist of copies of issuances, including reference binders, and other publications issued by any element of DHEW, SSA, other Government agencies, and non-Governmental organizations, which are maintained by an office for reference purposes. These files also include memorandums, letters, messages, or other documents used to transmit program instructions in advance of official SSA issuances.</p> <p>Destroy when superseded, obsolete, or when no longer needed for reference.</p>		<p>DISPOSAL APPROVED</p> <p>DISPOSAL APPROVED</p>
<p>III.</p>	<p>PERSONNEL RECORDS</p> <p>These records cover both those maintained by payment center personnel offices and those maintained by operating officials.</p> <p>A. <u>Official Personnel Records</u></p> <p>These records are accumulated by payment center personnel offices and consist of various documents created in taking official personnel actions for individuals in grades GS-13 and below.</p> <p>Retain in accordance with General Records Schedule 1, Civilian Personnel Records, Exhibit 1, Administrative Directives System Guide SSA.g:40-2.</p>		<p>DISPOSAL NOT APPROVED</p>

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	<p><u>B. Operating Officials' Records</u></p> <p>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 notification; leave record card; SF-1012, Travel Voucher; HEW-1, Travel Order; and similar documents pertaining to individual employees.</p> <p>Destroy in accordance with Appendix B, Filing Retention Table (Employee Records and Files), chapter IX, SSA Guide 1-4, Personnel Guide for Supervisors.</p> <p><u>C. Personnel Reports</u></p> <p>Documents relating to personnel statistical information such as separation reports, payment center personnel reports, statement on employee conduct, retirement reports, official time on management activities, and similar personnel reports. Included in this category are equal opportunity employment activity reports consisting of Form SSA-1987, Quarterly Report of Precomplaint Counseling; Semiannual Report of Continuing Program of Affirmative Action; changes in minority data file; CSC Form 113-C, Monthly Report of Federal Participation in Economic Opportunity Program; reports on status of minority groups; HEW Forms 415 and 415A, Summary Reports of the Handicapped; HEW-425, Individual Placement of Mental Retardants; HEW Form 425A, DHEW Roster of Mental Retardants Employed; turn-over reports; Annual Report of Outside Work; Report of Hires from FSEE; outstanding lump sum leave payments; and similar type personnel reports.</p> <p>Destroy 2 years after the year in which the reports are dated.</p>		<p>DISPOSAL APPROVED</p> <p>DISPOSAL APPROVED</p>

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	<p>D. <u>Incentive Award Case Files</u></p> <p>Files documenting a suggestion or a special act, service, or a superior performance (individual or group) award recommendation. Included are suggestions, recommendations, acknowledgements, evaluations, notices of adoption or rejection, and directly related papers.</p> <p>Destroy 2 years after final action on the case.</p> <p>E. <u>Incentive Award Reports</u></p> <p>Documents created to provide statistical information on participation in, awards approved under, savings resulting from, and other information about the incentive awards program. Included are Report on BRS Incentive Awards Activity, Semiannual Report of Suggestion Activity, and Annual Report of Award Activity, and similar reports.</p> <p>Destroy 2 years after the year in which the reports are dated.</p> <p>F. <u>Training Reports</u></p> <p>Documents reflecting actual training progress and accomplishments. Included are Form SSA-759, SSA Training Report; Form SSA-1946, Report of Training Courses Authorized; and similar reports used to report training.</p> <p>Destroy 2 years after the year in which the reports are dated.</p>		<p>DISPOSAL APPROVED</p> <p>DISPOSAL APPROVED</p> <p>DISPOSAL APPROVED</p>
IV.	<p>FACILITIES MANAGEMENT RECORDS</p> <p>A. <u>Records Management Reports</u></p> <p>Documents reflecting the preparation of Form SSA-1804, Report of Selected Records Management Activities, and other records management reports such as report on the estimate of filing cabinets needed for each calendar year. Included are source documents, retained copies of reports, and similar papers.</p> <p>Destroy 1 year following the year in which the report is dated.</p>		<p>DISPOSAL APPROVED</p>

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	<p>B. <u>Individual Procurement Transactions</u></p> <p>These files consist of retained copies of requisitions, purchase orders, invoices, receiving reports, and comparable contractual instruments maintained for administrative purposes by facilities management offices within the payment center.</p> <p>Destroy 2 years after the year in which the material is dated except transactions made under the provisions of Administrative Directives System Guide BRSI.s:130-8, Property Management. These transactions are official files and must be retained for 3 years following the year in which the transaction is consummated.</p> <p>C. <u>Government Bills of Lading</u></p> <p>These files consist of retained copies of Government bills of lading relating to property shipped and property received.</p> <p>Destroy 2 years after the year in which the material is dated.</p> <p>D. <u>Government Bills of Lading Registers</u></p> <p>These files consist of journals or logs containing data on each bill issued or accomplished; to whom or by whom issued; date of issue or accomplishment; consignee; and consignor.</p> <p>Destroy 4 years after last entry.</p> <p>E. <u>Forms Management Reports</u></p> <p>Documents created in reporting forms usage in payment centers consisting of Form SSA-5097, Monthly Inventory Report of Major Usage of Forms; quarterly reports of overprinted forms and comparable forms; and related correspondence.</p> <p>Destroy 1 year following the year in which the reports are dated.</p>	<p>1</p>	<p><u>DISPOSAL APPROVED</u></p> <p><u>DISPOSAL APPROVE</u></p> <p><u>DISPOSAL APPROVED</u></p> <p><u>DISPOSAL APPROVED</u></p>

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	<p>F. <u>Motor Vehicle Usage Reports</u></p> <p>Documents related to charges and costs for the use of and repairs to GSA motor vehicles by payment centers which include GSA Form M-494, GSA Motor Pool Charges, and directly related papers.</p> <p>Destroy 3 years after the year in which the reports are dated.</p> <p>G. <u>Postal Services Reports</u></p> <p>These files consist of Form SSA-6052, Report of Postal Services, or equivalent documents used to report payment center postal services montly costs.</p> <p>Destroy after 1 year.</p>		<p>DISPOSAL APPROVED</p> <p>DISPOSAL APPROVED</p>
<p>V.</p>	<p>SOCIAL SECURITY PROGRAM ADMINISTRATION RECORDS</p> <p>A. <u>Retirement and Survivors Insurance General Correspondence Files</u></p> <p>Documents relating to the general administration of the Retirement and Survivors Insurance 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.</p> <p>Destroy after 3 years.</p> <p>B. <u>Workload and Staffing Reports</u></p> <p>Documents created by payrent centers in evaluating workload and staffing requirements. Included are Award Processing Workload Reports, Case Disposition and Routing Staff Workload Reports, Records Maintenance Workload Reports, manpower reports and estimates, unit production records and reports, and Part I, Form SSA-1906, Weekly Staffing Report.</p> <p>Destroy 2 years after the close of the calendar year in which dated. Earlier disposal is authorized.</p>		<p>DISPOSAL APPROVED</p> <p>DISPOSAL APPROVED</p>

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VI.	<p><u>C. Nonrecord Files</u></p> <p>Nonrecord files include, but are not necessarily limited to, the following types:</p> <ol style="list-style-type: none"> 1. Copies of documents maintained by action personnel which are duplicated in the official files of the payment center. 2. Documents received for general information 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 leading to final results or findings in a project, study, or case, but not formal recommendations, clearances, or 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 described elsewhere in this schedule. <p>Destroy 1 year following the year in which the material is dated, or 1 year after completion of the project, as applicable. Earlier disposal is authorized.</p> <p><u>AUTOMATIC DATA PROCESSING RECORDS</u></p> <p><u>A. ADP Reports</u></p> <p>These files accumulate in payment center computer processing sections and consist of documents containing management data on costs, equipment, staffing, workload capacities, operation and maintenance costs, and overall effectiveness of automatic data processing operations.</p> <p>Destroy 2 years after the year in which the reports are dated.</p>		<p style="text-align: center;"><u>DISPOSAL APPROVED</u></p> <p style="text-align: center;"><u>DISPOSAL APPROVED</u></p>

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	<p><u>B. Data Processing Activity Records</u></p> <p>Documents maintained by computer processing activities in providing machine services to other offices within the payment center. 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 connection with such functions as fiscal, claims processing, reconsiderations, exception processing, post-entitlement, and various other purposes. Included are master, detail, and summary punched cards and tapes, copies of tabulations, machine runs, and reports.</p> <ol style="list-style-type: none"> 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. <p><u>C. Data Processing Control and Balance Records</u></p> <p>Documents maintained by payment center computer processing activities to verify cumulative balances reflected by master or detailed summary cards or tapes.</p> <p>Destroy on supersession or obsolescence.</p>		<p>DISPOSAL APPROVED</p> <p>DISPOSAL APPROVED</p> <p>DISPOSAL APPROVED</p>
<p>VII.</p>	<p><u>MANAGEMENT RECORDS</u></p> <p><u>A. Payment Center Reports</u></p> <p>Weekly, monthly, and quarterly computer-generated reports for the use of budget management in establishing personnel requirements, overtime, measurement of claims workload, and other operations in the payment center.</p>		

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	<ol style="list-style-type: none"> 1. Weekly reports: Destroy after 6 months. 2. Monthly reports: Destroy after 1 year. 3. Quarterly reports: Destroy after 5 years. 		<p><u>DISPOSAL APPROVED</u></p> <p><u>DISPOSAL APPROVED</u></p> <p><u>DISPOSAL APPROVED</u></p>
	<p>B. <u>Pacer Reports</u></p> <p>These are weekly payment center reports consisting of Form SSA-1971, Weekly Payment Center Report, or their equivalents, and related papers which identify claims work, regular production, cyclical work, payment service activity, inquiry and problem cases, workload, staffing and similar information.</p> <ol style="list-style-type: none"> 1. Office responsible for consolidating report: Destroy after 3 years, except that feeder reports and work papers may be destroyed after 1 year or earlier if they have served their purpose. 2. Offices contributing to the report: Destroy after 1 year or when purpose has been served, whichever is earlier. 		<p><u>DISPOSAL APPROVED</u></p> <p><u>DISPOSAL APPROVED</u></p>
VIII.	<p>ADMINISTRATIVE MEASUREMENT AND PLANNING SYSTEM (AMPS) RECORDS</p> <p>A. <u>AMPS Daily Exception Listings</u></p> <p>These listings printout those records which do not balance daily and are used to identify exception conditions so that corrections can be entered into the system. The exceptions are the only data available on an individual basis for all employees. Exception listings contain the employee's number, the organization number, each operation performed by the employee, the number of items processed in each operation, and the number of minutes expended in each operation.</p> <p>Destroy after monthly listing has been balanced.</p>		<p><u>DISPOSAL APPROVE</u></p>

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	<p>B. <u>Summary Monthly Unit Reports</u></p> <p>These reports are produced by the SSA Central Office and are similar to the monthly organization reports prepared by payment centers. Included in the reports is such information as the number of hours, number of items, and a production rate for each measurable operation code for total time as well as regular and overtime.</p> <p>Destroy after 1 year.</p> <p>C. <u>Summary Monthly Organization Reports</u></p> <p>These reports summarize the operations that appear in all units so that, in effect, identical units become one. The reports serve as a bridge between the national picture and the organizational picture contained in the monthly organizational reports.</p> <p>Destroy after 1 year.</p> <p>D. <u>Monthly Manpower Organization Reports</u></p> <p>These are retained copies of Central Office reports summarizing the total manpower used in hours and man-months in specific groupings of organization, including the special organization established for processing cyclical workloads such as annual reports, the Actuarial Reduction Factor Program, etc.</p> <p>Destroy after 1 year.</p> <p>E. <u>Monthly Manpower Activity Reports</u></p> <p>These are retained copies of Central Office reports which show a summary of the total time spent on unmeasured activities during a month. They contain summaries of manpower expended on cyclical workloads and manpower used on staff activities.</p> <p>Destroy after 1 year.</p>		<p>DISPOSAL APPROVED</p> <p>DISPOSAL APPROVED</p> <p>DISPOSAL APPROVED</p> <p>DISPOSAL APPROVED</p>

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	<p>F. <u>Employee Daily Work Reports</u></p> <p>These reports consist of Form SSA-3010A, Employee Daily Work Report, and their equivalents which contain such information as employee numbers, organizational code, employee code, and all of the operations performed during the day.</p> <p>Destroy after the monthly listing has been balanced.</p>		<p>DISPOSAL APPROVED</p>
<p>IX.</p>	<p>RECOVERY OF OVERPAYMENT AND SUPPLEMENTARY MEDICAL INSURANCE PREMIUM COLLECTION RECORDS</p> <p>These files 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.</p> <p>A: <u>Computer Input Coding Records</u></p> <p>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.</p> <p>Destroy upon verification of their acceptance in the ROAR System.</p> <p>B. <u>Daily Journals</u></p> <p>These are computer listings identifying daily activity, such as establishment of overpayment, conserved and misused fund accounts, remittance credits, waiver actions, corrections, adjustments, and similar actions affecting disposition of the accounts on record. A cumulative record of these transactions is produced monthly.</p> <p>Destroy after receipt of monthly cumulative record.</p>		<p>DISPOSAL APPROVED</p> <p>DISPOSAL APPROVED</p>

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	<p>C. <u>Monthly Cumulative Records</u></p> <p>These are monthly computer listings representing transactions through the last day of the month to which they pertain. They further contain a complete history of all established overpayment, and conserved and misused fund accounts, both open and closed.</p> <p>Destroy when superseded by an updated list.</p>		<p><u>DISPOSAL APPROVED</u></p>
	<p>D. <u>Remittance Register</u></p> <p>These files consist of Form SSA-124, Remittance Register, which identifies all receipts of cash, checks, postal notes, and money orders including those relating to refund of a health insurance overpayment or payment of SMI premiums.</p> <p>Destroy 3 years following the close of the calendar year in which the registers are dated.</p>		<p><u>DISPOSAL APPROVED</u></p>
	<p>E. <u>Daily Journals of Health Insurance Recovery Actions</u></p> <p>These files consist of Form SSA-123A, Daily Journal of Health Insurance Recovery of Overpayments of Health Benefits.</p> <p>Destroy 1 year after the last entry on the form.</p>		<p><u>DISPOSAL APPROVED</u></p>
	<p>F. <u>Health Insurance Overpayment Ledger Cards</u></p> <p>These files consist of Form SSA-5079A, Health Insurance Overpayment Ledger Card, or their equivalents, used to maintain a record of repayments by health insurance beneficiaries.</p> <p>1. Collection action waived or overpayment repaid: Destroy after 1 year.</p> <p>2. Collection action suspended: Destroy accumulated cards upon implementation of Phase II of ROAR System (Recovery of Overpayments, Accounting and Reporting).</p>		<p><u>DISPOSAL APPROVED</u></p> <p><u>DISPOSAL APPROVED</u></p>

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	<p>G. <u>Reports of Recovery and Collection Actions</u></p> <p>These files consist of Forms OA-C 397, Report of Recovery and Collection Actions, and SSA-397A, Report of Recovery and Collection Actions (Health Insurance), or their equivalent, which summarize individual payment center activities regarding the recovery and collection of Title II and Title XVIII overpayments from social security beneficiaries.</p> <p>Destroy 3 years after the year in which the reports are dated.</p>		<p><u>DISPOSAL APPROVED</u></p>
	<p>H. <u>Supplementary Medical Insurance Premium Control Records</u></p> <p>These files consist of prenumbered Form SSA-1395, Receipt and Transmittal, or their equivalent, prepared by district offices to control and transmit to the payment centers all SMI premium remittances processed.</p> <p>Destroy after 6 months.</p>		<p><u>DISPOSAL APPROVED</u></p>
	<p>I. <u>Supplementary Medical Insurance Premium Remittance Records</u></p> <p>These files relate to the receipt, control, deposit, and accounting of SMI premium remittances. Included are Forms SSA-1594, SMI Premium Deposit Journal; retained copies of SF-219, Certificate of Deposit; the original of SSA-1579, SMI Premium Cash Receipt, which have been microfilmed; copies of the IBM 1203 tape; and microfilm copies of SMI premium remittances.</p> <p>^{FR} Destroy paper records after 6 months. ^{FR} Transfer microfilm copies to the FRC after 3 years. Use Record Group 217.</p>		<p><u>DISPOSAL APPROVED</u></p> <p><u>DISPOSAL NOT APPROVED</u></p>
	<p>J. <u>Ledger Account Data</u></p> <p>These documents reflect daily refunds received from beneficiaries regarding Retirement and Survivors Insurance (RSI) overpayments.</p> <p>Destroy after 6 months.</p>		<p><u>DISPOSAL APPROVED</u></p>

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X.	<p>FISCAL AND AUDIT RECORDS</p> <p>A. <u>Monthly Benefit Payment Records</u></p> <p>These files consist of Forms SSA-116, Control Ledger--Monthly Benefit Payments; SSA-116A, Control Ledger--Schedule Payments; and equivalent documents used to provide a record of transactions which affect the entitlement and/or payment status of each beneficiary and a source of information for the periodic preparation of financial reports. Also included are control vouchers used to post entries in the Control Ledger--Monthly Benefit Payments consisting of Form SSA-117, Control Voucher; computer run sheets when used in lieu of vouchers; and other supporting documentation such as punchcards and worksheets.</p> <ol style="list-style-type: none"> 1. Punchcards and worksheets: Destroy after 90 days or when they have served their purpose. 2. Vouchers and computer runs: Transfer to the FRC after 90 days under Record Group 217. 3. Ledgers: Transfer to the FRC 1 year after the close of the fiscal year in which dated under Record Group 217. <p>B. <u>Lump-Sum Payment Records</u></p> <p>These files consist of Forms SSA-120, Memo Ledger--Lump-Sum Payments, which provide statistical information with respect to the payment of lump-sum data. Included are SSA-118, Report of Lump-Sum Payments Memorandum; SSA-119, Control Voucher; schedule of award forms; computer run sheets; and comparable documents which support the information on the ledgers.</p> <p>Transfer to the FRC 1 year after the close of the fiscal year in which dated. Use Record Group 217.</p>	/	<p>DISPOSAL APPROVED</p> <p>DISPOSAL NOT APPROVED</p> <p>DISPOSAL NOT APPROVED</p> <p>DISPOSAL NOT APPROVED</p>

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	<p>C. <u>Benefit Detail Balanced Block Listings</u></p> <p>These copies of the Benefit Detail Balanced Block Listings furnished to Fiscal and Audit by Exception Processing Sections reflect such information as balanced blocks, out-of-balance blocks, and blocks with inconsistent items.</p> <p>Destroy after 90 days.</p> <p>D. <u>Control Ledger Advance Filing</u></p> <p>These documents provide a record of a summary of transactions affecting the advance filing status of beneficiaries. These files consist of ledgers or equivalent documents maintained on a single entry basis by payment status, i.e., current, conditional, and deferred. Also included are worksheets, computer run sheets, typewriter messages, form SSA-L107, etc. which support the entries in the ledgers.</p> <ol style="list-style-type: none"> 1. Ledgers: Transfer to the FRC 2 years after the close of the fiscal year in which dated. Use Record Group 217. 2. All other documents: Destroy 1 year after end of fiscal year. <p>E. <u>Supplementary Medical Insurance Trust Fund Accounting Worksheet</u></p> <p>These documents are used to account for the correct SMI trust fund amounts to be reported on SF-1081, Voucher and Schedule of Withdrawal and Credits. Included are daily SMI deduction worksheets and regular transcript SMI deduction worksheet.</p> <p>Destroy after 3 years.</p>	<p style="text-align: center;">/</p>	<p style="text-align: center;">DISPOSAL APPROVED</p> <p style="text-align: center;">DISPOSAL NOT APPROVED</p> <p style="text-align: center;">DISPOSAL APPROVED</p> <p style="text-align: center;">DISPOSAL APPROVED</p>

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	<p>F. <u>Control Ledger - Uninsured Beneficiaries</u></p> <p>These documents record a summary of transactions affecting uninsured beneficiaries. Included are uninsured beneficiaries control ledgers and worksheets, computer run sheets, typewriter messages, and form SSA-L107 which support ledger entries.</p> <ol style="list-style-type: none"> 1. Ledgers: Transfer to the FRC 2 years after the close of the fiscal year in which dated. Use Record Group 217. 2. All other documents: Destroy 1 year after close of the fiscal year in which dated. <p>G. <u>Statement of Transactions and Supporting Records</u></p> <p>These files consist of retained copies of SF 224, Statement of Transactions, prepared by the payment centers at the close of each accounting month. (The originals are forwarded to the Treasury Department 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, and their equivalent (late, summary, and final reports); SF 219, Certificate of Deposit; SF 1081, Voucher and Schedule of Withdrawals; 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; Exception Processing copy of SSA-110, Voucher and Schedule of Payments, used in preparation of the daily report of benefit activity; and similar supporting documents.</p> <p>Transfer to the FRC 3 months after close of the fiscal year. Use Record Group 217.</p>	<p style="text-align: center;">1</p>	<p>DISPOSAL NOT APPROVED</p> <p>DISPOSAL APPROVED</p> <p>DISPOSAL NOT APPROVED</p>

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	<p>H. <u>Payment Process Audit Reports</u></p> <p>These are monthly reports consisting of Forms SSA-2040, Report of Payment Process Audit; and related documents such as SSA-2040A, Payment Process Audit Report of Aged Cases; SSA-2040C, Payment Process Audit Explanation of Errors and Remarks; and equivalent papers 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.</p> <ol style="list-style-type: none"> 1. Copies maintained by Fiscal Control and Audit Section: Destroy after 2 years. 2. Copies maintained by Director of Management: Destroy 1 year after analysis has been completed. 3. Copies maintained by Director of Operations: Destroy after 1 year. <p>I. <u>Daily Cancellation Listings</u></p> <p>These daily listings received from the Department of Treasury identify all checks cancelled by the Department of Treasury for a particular day and are used as an aid in identifying out-of-balance conditions that may occur.</p> <p>Destroy on balancing of the monthly totals.</p> <p>J. <u>Monthly Cancellation Listings</u></p> <p>These are monthly listings received from the Department of Treasury identifying all checks cancelled for the month which are used by Fiscal Control and Audit Section to verify that the total reflected on their copy of the monthly cancellation listing agrees with the total of the daily SF 1098, Schedule of Cancelled Checks, received for the month.</p> <p>Destroy after balancing operation has been completed.</p>		<p>DISPOSAL APPROVED</p> <p>DISPOSAL APPROVED</p> <p>DISPOSAL APPROVED</p> <p>DISPOSAL APPROVED</p>

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	<p>K. <u>Returned Check Operations Listings</u></p> <p>These are listings containing check cancellation information where computer-determined totals are not in agreement with the check cancellation listings and the SF 1098, Schedule of Cancelled Checks.</p> <p>Destroy after all discrepancies have been reconciled with the local Department of Treasury office.</p>		<u>DISPOSAL APPROVED</u>
	<p>L. <u>Payroll Listings</u></p> <p>These consist of bi-weekly pay listings which identify timekeeper number, pay period, gross earnings, retirement deductions, Federal and State taxes, and other pay data.</p> <ol style="list-style-type: none"> 1. Fiscal copies: Destroy after 1 year. 2. All other copies: Destroy on receipt of updated listing. 		<u>DISPOSAL APPROVED</u>
	<p>M. <u>Daily Overtime Logs</u></p> <p>Destroy after 90 days, provided audit has been completed.</p>		<u>DISPOSAL APPROVED</u>
	<p>N. <u>General Fund Reimbursement Reports</u></p> <p>These files consist of reports of net reimbursement to the RSI trust fund from general funds and include general Prouty worksheets and computer listings reflecting general fund totals.</p> <p>Destroy after 1 year.</p>		<u>DISPOSAL APPROVED</u>
	<p>O. <u>Fiscal Internal Control Registers and Post-Entitlement Action Tape Listings (PEAT-RUHS)</u></p> <p>These files consist of daily worksheets used in compiling fiscal control totals or in balancing transcripts. Also included are Post-Entitlement Action Tape Listings (PEAT-RUHS) reporting post-entitlement actions from which the information is posted to the daily worksheets.</p> <p>Destroy after 2 years.</p>		<u>DISPOSAL APPROVED</u>

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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>XI.</p>	<p>EXCEPTION PROCESSING RECORDS</p> <p>A. <u>Social Security Payment Vouchers and Related Records</u></p> <p>These records accumulate as a result of making benefit payments to social security beneficiaries under Title II and XVIII of the Social Security Act, as amended. Included are copies of Forms SSA-110, Voucher and Schedule of Payments under Titles II and XVIII Social Security Act, as amended; copies of SSA-107, Determination of Resumption of Award; and Form OA-C 101C, Determination of Award, when manually processed to the Department of Treasury outside of the EDP system; and computer listings, the originals of which have been submitted to the Department of Treasury and which reflect payment or stop payment information.</p> <ol style="list-style-type: none"> 1. Control copy of form SSA-110: Destroy upon receipt of "Paid" copy from the Fiscal Control and Audit Section. 2. All other documents: Transfer to the FRC after 90 days. Use Record Group 217. <p>B. <u>Post-Entitlement Scheduling Operation (PESO) Records</u></p> <p>These documents relate to the post-entitlement scheduling operations which contain data regarding exceptions and alert conditions, chargeout forms for exceptions, and fiscal control totals required by the payment centers for reconciling and accounting for daily PESO exceptions. Included are PESO-PEAT exception listings and PESO alert listings.</p> <p>Destroy PESO-PEAT exception listings after 60 days.</p> <p>C. <u>Held Check Listing</u></p> <p>These are documents received from disbursing centers which list checks held for the current month; i.e., 12/7/71 check dated 1/3/72.</p> <p>Destroy after 60 days.</p>	<p style="text-align: center;"> </p>	<p style="text-align: center;"> </p> <p style="text-align: center;">DISPOSAL APPROVED</p> <p style="text-align: center;">DISPOSAL NOT APPROVED</p> <p style="text-align: center;">DISPOSAL APPROVED</p> <p style="text-align: center;">DISPOSAL APPROVED</p>

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	<p>D. <u>Check Return and Cancellation Listing</u></p> <p>These are documents received from disbursing centers at the end of the month which list all prior month's checks returned and cancelled by the Department of Treasury.</p> <p>Destroy after 6 years.</p>		<p>DISPOSAL APPROVED</p>
	<p>E. <u>Payment Detail Cards</u></p> <p>These documents relate to the preparation of a record for certification of the first check (or schedule check) to the Regional Disbursing Center, and to provide payment data for the preparation of the master tape record and the generation of continuing monthly benefit checks.</p> <p>Destroy after 60 days.</p>		<p>DISPOSAL APPROVED</p>
	<p>F. <u>Payment Detail Exception Listings</u></p> <p>These copies of payment detail exception listings received from exception processing sections reflect the actions performed in the payment balance and validation pass (PBVP) such as complete payment detail records or block card records containing inconsistencies with an error code for each inconsistent item, and similar information.</p> <p>Destroy after 90 days.</p>		<p>DISPOSAL APPROVED</p>
	<p>G. <u>Benefit Detail Cards</u></p> <p>These documents are used to provide beneficiary data for establishment of the master record and for use in preparing the second and continuing monthly benefit checks.</p> <p>Destroy after 60 days.</p>		<p>DISPOSAL APPROVED</p>

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XII.	<p>QUALITY APPRAISAL RECORDS</p> <p>These files consist of studies conducted to determine the state of quality of the RSI process, objective analysis and recommendations based on study data and other information, identification of extent of problems and causes, and recommendations showing where improvements can be made. Included are comprehensive written study reports, summary reports, and other papers directly related to the studies.</p> <p>A. <u>National Studies</u></p> <p>1. <u>End-of-Line Studies</u></p> <p>These files consist of local copies of Forms SSA-1849, RSI Awards and Disallowances Quality Review Input Data, SSA-1849P, RSI Post-adjudicative Quality Review Input Data Form, and SSA-1710, Change of Address Quality Review Input Data Form. Also included are copies of weekly reports on sample selection and excluded cases, and selected background material for sample documentation such as computer listings, etc.</p> <p>Destroy 6 months after transmission of data to Central Office.</p> <p>2. <u>Other Studies</u></p> <p>These files consist of study forms and working papers for repertory, special, and other one-time studies, and include SSA-2448, Quality Sample--Lump-Sum-Only Cases; SSA-2504, Quality Sample--Monthly Benefit Cases, and other related forms.</p> <p>Destroy 6 months after receipt of final report from Central Office.</p>		<p>DISPOSAL APPROVED</p> <p>DISPOSAL APPROVED</p>

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	<p>B. <u>Reports of National Studies</u></p> <p>These files consist of monthly and quarterly Reports of RSI Quality and other periodic or one-time reports of special studies, etc.</p> <p>Destroy when no longer needed for reference.</p> <p>C. <u>Local Studies Reports and Background Material</u></p> <p>These files consist of reports on local studies and related background material.</p> <p>1. Reports</p> <p>a. Originating Office: Retain indefinitely for history purposes.</p> <p>b. Other offices: Destroy when no longer needed for reference.</p> <p>2. All other papers: Destroy 6 months after release of report.</p>		<p><u>DISPOSAL APPROVED</u></p> <p><u>DISPOSAL NOT APPROVED</u></p> <p><u>DISPOSAL APPROVED</u></p> <p><u>DISPOSAL APPROVED</u></p>
<p>XIII.</p>	<p>EXPEDITING STAFF RECORDS</p> <p>These records accumulate as a result of receiving, controlling, and expediting all cases identified as critical or otherwise sensitive.</p> <p>A. <u>Central Locator Files</u></p> <p>These files consist of cards which reflect a complete record of each Form SSA-1671, Request for Expedited Action, processed including payment data and the date the reply was released to the district office.</p> <p>Destroy after 6 months.</p> <p>B. <u>Active Control Cards</u></p> <p>These are cards used by payment center expediting staffs as a record of folder movement that indicate the operating section to which the folder was assigned; the time and date of assignment; and similar information.</p>		<p><u>DISPOSAL APPROVED</u></p>

