

**REQUEST FOR AUTHORITY  
 TO DISPOSE OF RECORDS**

(See Instructions on Reverse)

TO: **GENERAL SERVICES ADMINISTRATION,  
 NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, D.C. 20408**

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

2. MAJOR SUBDIVISION  
 Social Security Administration

3. MINOR SUBDIVISION  
 Bureau of Data Processing

4. NAME OF PERSON WITH WHOM TO CONFER  
 Mr. Arthur J. Benner, SSA Records Officer

5. TEL. EXT.  
 130-45772

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 \_\_\_\_\_ 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.

7/18/73 (Date)  
Eugene J. Reed, Jr.  
Russell O. Hess (Signature of Agency Representative)

Dept. Records Mgt. Officer (Title)

Pg 47 18 items

LEAVE BLANK	
DATE RECEIVED <b>20 JUL 1973</b>	JOB NO.
DATE APPROVED	<b>174-019</b>
NOTIFICATION TO AGENCY	
IN ACCORDANCE WITH THE PROVISIONS OF PUBLIC LAW 91-287 DISPOSAL OF ITEMS MARKED "DISPOSAL APPROVED" IS AUTHORIZED.	
<b>8-8-73</b> DATE	<u>Jane B. R...</u> ARCHIVIST OF THE UNITED STATES

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
1	<p><u>Microfilm of Employer Report Cards</u></p> <p>These files are microfilm listings of the data contained on employer report cards (employer name and identification number, employee wages paid, number of employees, etc.). The files are used to locate microfilm copies of original employer reports and to provide employer statistical data.</p> <p>A. Destroy monthly microfilm upon receipt and acceptance of quarterly microfilm.</p> <p>B. Destroy quarterly microfilm after the annual microfilm for the same quarter is received and accepted.</p> <p>C. Retain annual microfilm indefinitely.</p>		
2	<p><u>Reports of Self-Employment Income and Related Records</u></p> <p>These files consist of original and microfilm copies of self-employment income reports (Schedules SE of Treasury Department Form 1040, U. S. Report of Self-Employment Income) and related transmittals. Also included are magnetic tapes containing self-employment income data provided by the Internal Revenue Service.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
3	<p style="text-align: center;"><u>Employee Earnings Cards</u></p> <p>These files consist of punchcards (Forms OAR-1003, Earnings Card, or their equivalents) prepared from Treasury Department Forms 941, Employer's Quarterly Federal Tax Return. The files are used to reprocess and reinstate earnings items and punchcards in ready backlog and completed work.</p> <p>A. Destroy punchcards after third generation tape has been proven acceptable (grandfather system)</p>		
4	<p style="text-align: center;"><u>Self-Employment Income Adjustment Reports and Related Records</u></p> <p>These files consist of self-employment adjustment reports, related transmittals, and microfilm (originating from internal or external sources). The files are used to investigate the status of earnings records reflecting excess or credit self-employment quarters of coverage and items reported without social security numbers. Included are Treasury Department Forms 885F, Self-Employment Tax Adjustment; OAR-7041A, Corrected Schedule of U.S. Self-Employment Income; SSA-7000, Notice of Determination of Self-Employment Income; CO-5107, Interoffice Adjustment of Self-Employment Income; Amended Schedules; or their equivalents.</p> <p>A. Destroy 1 year after microfilming.</p> <p>B. Retain microfilm indefinitely.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
5	<p style="text-align: center;"><u>General Correspondence</u></p> <p>These files contain correspondence on which replies have been prepared and which are not required for claims purposes and/or not required in relation to the statute of limitations. Included is correspondence which requires the personal signature of the Commissioner or a higher official; correspondence regarding the forwarding of letters to missing persons; requests for confidential information that have been denied; correspondence on which material has been returned to addressee; and undeliverable correspondence containing information which would be costly to duplicate and which addressee may subsequently request.</p> <p>A. Destroy after 1 year.</p>		
6	<p style="text-align: center;"><u>Employer Identification Number Records</u></p> <p>These files consist of Forms SS-4, Application for Employer Identification Number, and similar papers used to establish employer records. The files contain the basic identifying information used to assign employer identification numbers and to confirm information when crediting earnings to Social Security accounts. Included are Forms SSA-5010, Employer Cross Reference; SS-12a, Employer Name and/or Address Correction; SS-12AT, SS-4 Supplemental Index Form; or their equivalents; and the microfilms of current and inactive forms.</p> <p>A. <u>Records Created Prior to July 1971</u></p> <ul style="list-style-type: none"><li>(1) Transfer to a Federal Records Center after microfilming.</li><li>(2) Destroy 1 year after microfilming project has been completed.</li></ul> <p>B. <u>Records Created on July 1, 1971, and Thereafter</u></p> <ul style="list-style-type: none"><li>(1) Destroy after microfilm has been proven acceptable.</li><li>(2) Destroy microfilm upon receipt and acceptance of updated microfilm.</li></ul>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
7	<p><u>Improperly Reported Earnings Processing Records</u></p> <p>These files consist of the Suspense and Reinstated Wage Microfilm List (SRWML) which records earnings items that have been incompletely or incorrectly reported by employers.</p> <p>A. Destroy upon receipt and acceptance of updated microfilm.</p>		
8	<p><u>Tax Waiver Exemption Files</u></p> <p>These files consist of original and microfilm copies of Forms SS-15a, List to Accompany Certificate on Form SS-15, Waiving Exemption From Taxes Under the Federal Insurance Contributions Act (FICA); SS-16, Certificate of Election of Coverage Under the Federal Insurance Contributions Act (For use by religious orders whose members are required to take a vow of poverty); or their equivalents. The files identify nonprofit employers who have waived tax exemption privileges for FICA purposes.</p> <p>A. Transfer to a Federal Records Center (FRC) after microfilm has been proven acceptable.</p> <p>B. Destroy after 50 years' retention in the FRC.</p> <p>C. Retain microfilm <del>permanently</del> <i>indefinitely</i>. J.L.W. 2 Aug. 1973</p> <p>Disposal is approved pending GAO CONCURRENCE. J.L.W. 2 Aug 1973</p> <p>The microfilming of the records covered by items 1c, 2c, 4b, and 8c must be done in accordance with the instructions given in 41 CFR 101-11.507 (c) (1). J.L.W. 2 Aug 1973</p>		

**NN-168-51**

Justification

1. Microfilm of Employer Report Cards

Current Authorized Disposition

- A. Destroy monthly microfilm upon receipt of quarterly report card microfilm.
- B. Retain quarterly report card microfilm indefinitely.

Recommended Disposition

- A. Destroy monthly microfilm upon receipt and acceptance of quarterly microfilm.
- B. Destroy quarterly microfilm after the annual microfilm for the same quarter is received and accepted.
- C. Retain annual microfilm indefinitely.

Reason for Recommended Change

An updated microfilm of employer report card data is prepared annually. The annual microfilm is a compilation of the data contained on quarterly microfilm. Once the data on the annual microfilm is reviewed for accuracy and accepted, the quarterly microfilm is of no further value.

2. Reports of Self-Employment Income and Related Records

Current Authorized Disposition

- A. Destroy original documents 1 year and 8 months after microfilming.
- B. Retain microfilm indefinitely.

Recommended Disposition

- A. Destroy original Schedules SE and related transmittals 1 year and 8 months after microfilming.
- B. Return magnetic tape to blank stock after microfilm has been proven acceptable.
- C. Retain microfilm indefinitely.

Reason for Recommended Change

The majority of self-employment data is obtained from IRS on magnetic tape. (SSA furnishes blank tape to IRS for this purpose.) When the tape is received by SSA, a listing of the data is prepared on microfilm. Once the microfilm has been reviewed for accuracy and accepted, the magnetic tape may be returned to blank stock.

3. Employee Earnings CardsCurrent Authorized Disposition

- A. Destroy punchcards used in updating records of earnings 3 months after microfilming.
- B. Retain microfilm indefinitely.
- C. Destroy all other material after completion of operation.

Recommended Disposition

- A. Destroy punchcards after third generation tape has been proven acceptable). (grandfather system).

Reason for Recommended Change

No microfilm is made of employee earnings punchcards. Rather, they are used in the conversion of data to magnetic tape media. The files must be retained for data backup purposes until the related magnetic file has been proven acceptable and there is comparable backup capability on tape (third generation).

4. Self-Employment Income Adjustment Reports and Related RecordsCurrent Authorized Disposition

- A. Destroy 2 years after microfilming.
- B. Retain microfilm indefinitely.

Recommended Disposition

- A. Destroy 1 year after microfilming.
- B. Retain microfilm indefinitely.

Reason for Recommended Change

The current retention period of 2 years after microfilming is unnecessarily long. The use of the original records is minimal after the necessary adjustments are made on the earnings records. Normally, these adjustments are made within 4 months from the date the records are received.

5. General CorrespondenceCurrent Authorized Disposition

- A. Destroy correspondence regarding the forwarding of letters to missing persons and denials of requests for confidential information after 4 years.
- B. Destroy all other general correspondence after 1 year.

Recommended Disposition

- A. Destroy general correspondence after 1 year.

Reason for Recommended Change

Research did not reveal any significant reason for the prolonged retention of correspondence regarding the forwarding of letters to missing persons and denials of requests for confidential information. For the sake of consistency, we recommend a 1 year retention period for all records in the general correspondence series.

6. Employer Identification Number RecordsCurrent Authorized Disposition

- A. Records Created on July 1, 1971, and Thereafter
  - 1. Destroy original documents after completion of micro-filming operations.
  - 2. Retain microfilm indefinitely.

Recommended Disposition

- A. Records Created on July 1, 1971, and Thereafter
  - 1. Destroy original documents after microfilm has been proven acceptable.
  - 2. Destroy microfilm upon receipt and acceptance of updated microfilm.

Reason for Recommended Change

An updated microfilm is prepared every 3 months. This microfilm contains all current employer identification data, including that abstracted

from previous microfilm records. Once the updated microfilm is reviewed for accuracy and accepted, previous microfilm records may be destroyed.

7. Improperly Reported Earnings Processing Records

Current Authorized Disposition

Recommended Disposition

A. No authority to dispose of records.

A. Destroy upon receipt and acceptance of updated microfilm.

Reason for Recommended Change

The files replace paper, tape, and microfilm listings prepared in conjunction with the processing of incomplete or improperly reported wage and self-employment earnings items. An updated SRWML is prepared every 3 months.

8. Tax Waiver Exemption Files

Current Authorized Disposition

Recommended Disposition

A. Retain original documents indefinitely.

A. Transfer to a Federal Records Center (FRC) after microfilm has been proven acceptable.

B. Transfer to a Federal Records Center when organization is discontinued, or when no longer required in current operations, whichever is sooner.

B. Destroy after 50 years' retention in the FRC.

C. Retain microfilm permanently.

Reason for Recommended Change

Original forms SS-15a and SS-16 are microfilmed upon receipt by SSA. The microfilm is used to process and verify wage and claims statements. The original documents contain the signatures of individuals who have elected coverage under FICA and serve as evidence of this fact. They must be retained for use during the claims determination and appeals process. A microfilm copy would not suffice for these purposes because analysis of the original signature is necessary to certify that an individual elected coverage.