



## DESCRIPTION OF ITEM AND PROPOSED DISPOSITION

### 10-1 Railroad Retirement Act (RRA) Imaging System and Claim Folders

#### **(a) RRA Optical Disk Imaging System**

Electronic system that captures, stores, retrieves and processes a wide variety of RRA documents. Records series input into and maintained by the system are largely made up of material maintained in RRA Claim Folders (Claim folders consist of forms and correspondence that document a claimants application for benefits under the RRA.) Records input include applications for benefits, evidence of entitlement; the RRB 's decisions and awards and the underlying computations; changes in benefit status, including the suspension and termination of benefits; and related correspondence, word processing records and E-mails. System also generates miscellaneous statistical reports regarding completed work and work in progress.

**Proposed Disposition: PERMANENT:** Transfer system data contained on optical disk to NARA when no longer needed.

#### **(b) Railroad Retirement Act Claim Folders**

Claim folders established under the RRA in which all benefits including lump sum and residual have been paid, there are no outstanding erroneous payments, and there appears to be no future eligibility under the RRA or Social Security Act.

Claim folders consist of forms and correspondence that serve to document a claimant's application for benefits under the RRA. Folders include applications for benefits, evidence of entitlement; the RRB 's decisions and awards and the underlying computations; and changes in benefit status, including the suspension and termination of benefits.

**Proposed Disposition: PERMANENT:** Identify and transfer inactive folders to FRC annually. Transfer to National Archives 7 years after the close of the fiscal year the folders were determined to be inactive.

**Break File:** End of fiscal year.

#### **(c) RRA Imaging System Inputs-Legal and Investigative Purposes**

Series consists of original hard copy (paper) RRA retirement, survivor, disability, lump-sum applications, related forms, and correspondence maintained at RRB headquarters, (not filed in RRA claim folder, see item 10b) used as input to the RRA imaging system **and required for legal and investigative purposes.**

**Series includes:** RRB Forms AA-1, AA-1 Receipt, AA-1d, AA-3, AA-3 Receipt, AA-4, AA-5, AA-6, AA-7, AA-8, AA-11a, AA-17, AA-17B, AA-17 CERT, AA-18, AA-19, AA-19a, AA-20, AA-21, AA-21 CERT, AA-104, G-3EMP, G-19 -F, G-19C, G-19L, G-45, G-88, G-93, G-99A, G-99C, G-99d, G-124, G-124a, G-126, G-131, G-134, G-139, G-204, G-208, G-209, G-212, G-237, G-238, G-238a, G-251, G-251a, G-251b, G-254, G-254a, G-256, G-273a, G-315, G-315a, G-315a.1, G-319, G-320, G-346, G-423, G-478, G-790, and G-791; and related correspondence received with the forms, all proofs retained by RRB, with initial applications for benefits to substantiate claimed eligibility; and all medical evidence submitted to substantiate claimed disability.

**Proposed Disposition:** Destroy 7 years after the close of the fiscal year that documents were input into the system.

**Break File:** End of fiscal year.

#### **(d) RRA Imaging System Inputs- Not Required for Legal and Investigative Purposes**

Series consists of records used as input into RRA imaging system (not filed in RRA Claim folder, see item 10b) and **not required for legal or investigative purposes.** These records, which are maintained at RRB headquarters, include but are not limited to award forms, resolved appeals forms and decisions, development

forms, disability forms, post award action forms, overpayment forms, Medicare forms, miscellaneous correspondence, word processing records and E-mails.

**Proposed Disposition:** Destroy 120 days after the date scanned or entered into the system.

**(e) Interim Processing Files** *See page 2A for revised items 2/13/2003*  
~~Series consists of electronic files including Tagged Image Files (TIF), Text Files, Document Definition Files (DDF), and static and variable system files.~~

**(1) Tagged Image Format Files (TIF) and/or TextFiles, and Document Definition Files (DDF)**

~~TIF's are files created when items are scanned. When TIF's are processed by the scanning software, Document Definition Files (DDF's) are created. DDF's help define which TIF belong to which document e.g. Document 1 might be TIF's 1,2,3,4, and 5. Document 2, TIF's 6 and 7. Text files (such as word processing documents) can be attached to imaging documents.~~

**Proposed Disposition:** Delete upon processing by imaging system.

**(2) Static and variable files**

~~Electronic files created upon processing of TIF and DDF files by Rapid Batch Entry (RBE) program that is maintained on a fileserver and used to facilitate workflow and internal processing. Inactive static and variable files are copied to optical disk creating the "archival" or "record copy". Static files consist of imaged documents and include information regarding when an image is accessed in workflow or when an attachment or note is added. Variable files consist of electronic form information such as name, SS# etc. Variable file information changes when the electronic form is modified.~~

**Proposed Disposition:** Transfer information to optical disk when not modified for 6 days. Delete inactive files after transfer to optical disk is complete.

**(f) System Generated Electronic Management Information Reports**

Series includes recurring work status and productivity reports as well as various ad-hoc and non-recurring reports.

**Proposed Disposition:** Destroy/delete when 3 years old.

**(g) Electronic Mail and Word Processing Copies**

Electronic copies of related records that are created on electronic mail and word processing systems and used solely to generate a record keeping copy (see items 10(d) and (e) for record keeping copies). Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

(1) Copies that have no further administrative value after the record keeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the record keeping copy.

**Proposed Disposition:** Destroy/delete within 180 days after the record keeping copy is produced.

(2) Copies used for dissemination, revision or updating that are maintained in addition to the record keeping copy.

**Proposed Disposition:** Destroy/delete when dissemination, revision, or updating is completed.

**(h) RRA Imaging System Documentation** - *see page 2A for series description. 2/13/2003 36*

## DRAFT

The RRB proposes the following changes to the SF-115 for the Railroad Retirement Act Imaging System and Claim Folders that was submitted to NARA on 10-30-2001, and assigned Job Number NI 184-02-2001.

- An amended description and proposed disposition for proposed Item 10-1(e) Interim Processing Files
- An additional new item, item 10-1(h) which describes and proposes a disposition for the RRA Imaging System Documentation.

\*The RRB has also included amended explanatory notes for the two items and has made two minor editorial changes to the System Background section.

### DESCRIPTION OF ITEM AND PROPOSED DISPOSITION

#### **10-1 (e) Interim Processing Files**

Series consists of electronic files including Tagged Image Format files (TIF), Document Definition Files (DDF), Text Files (TXT), Microsoft Word files (DOC), static system files, and variable system files.

#### **(1) Tagged Image Format files (TIF) Document Definition files (DDF), Text Files (TXT) and Microsoft Word Files (DOC)**

Tagged Image Format Files (TIFs) are files created when documents are scanned. When the scanning software processes TIFs, Document Definition Files (DDFs) are created. DDFs help define which TIFs belong to which documents e.g. TIFs 1,2,3,4 and 5 might belong to Document 1 and TIF's 6 and 7 belong to Document 2. Text Files (TXTs) are direct input files produced by either RRB Mainframe Computer programs or RRB Personal Computer programs. These files contain many records that are then parsed by a robot program into individual TXT files and a DDF file. The DDF file defines the identifying information of each TXT file. Microsoft Word files (DOCS) are also direct input files created by RRB personal using personal computers. These files are generally electronic copies of letters sent to claimants. When these files are produced, a DOC file and its corresponding DDF file to identify the letter within the imaging system are created.

**Proposed Disposition:** Delete upon processing by imaging system.

#### **(2) Static Files and Variable files**

Electronic files created upon processing of TIF, DDF, TXT, and DOC files by Rapid Batch Entry (RBE) program that is maintained on a fileserver and used to facilitate workflow and internal processing. Inactive static and variable files are copied to optical disk creating the "archival" or "record copy". Static files consist of imaged documents. Variable files consist of electronic form information such as name, SSA#, etc. Variable files also contain any TXT files or DOC files associated with the electronic document. Variable files information changes when the electronic document is modified and includes information regarding when the electronic document was accessed in workflow or when a note is added.

**Proposed Disposition:** Transfer information to optical disk when not modified for 3\* days. Delete inactive files 1 day after transfer to optical disk is complete. \*NOTE: The original submission had requested a 6 day retention period.

**10-1 (h) RRA Imaging System Documentation** - Documentation consists of background and reference material which provides information to RRB technical personnel necessary to operate and maintain the RRA Imaging System.

**Proposed Disposition:** Maintain all current system documentation and send to NARA at time of system data transfer. Destroy obsolete or superseded documentation when no longer needed.

**Certification**

I have reviewed the record descriptions and their respective proposed dispositions for the Railroad Retirement Act Imaging System and Claim Folders that are listed on the previous pages. I am of the opinion that the records will be maintained for a period of time sufficient to protect the legal, and financial rights of the Government and of people directly affected by the Railroad Retirement Board's activities.

  
\_\_\_\_\_  
RRB Inspector General

10-30-01  
Date

  
\_\_\_\_\_  
RRB General Counsel

10/30/01  
Date

  
\_\_\_\_\_  
RRB Records Officer

10-30-01  
Date