

REQUEST FOR RECORDS DISPOSITION AUTHORITY <i>(See Instructions on reverse)</i>	LEAVE BLANK	
	JOB NO.	<i>NI-184-89-3</i>

TO: GENERAL SERVICES ADMINISTRATION NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408	DATE RECEIVED <i>8/16/89</i>
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1. FROM (Agency or establishment) Railroad Retirement Board		NOTIFICATION TO AGENCY In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10. If no records are proposed for disposal, the signature of the Archivist is not required.	
2. MAJOR SUBDIVISION			
3. MINOR SUBDIVISION			
4. NAME OF PERSON WITH WHOM TO CONFER Charles Mierzwa	5. TELEPHONE EXT. FTS 386-3363	DATE <i>1/2/90</i>	ARCHIVIST OF THE UNITED STATES <i>C. Lawrence Peterson</i>

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 32 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, if required under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is attached.

A. GAO concurrence: is attached; or is unnecessary. **Has been requested.**

B. DATE <i>8-15-89</i>	C. SIGNATURE OF AGENCY REPRESENTATIVE <i>Charles Mierzwa</i>	D. TITLE Agency Records Officer
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7. ITEM NO.	8. DESCRIPTION OF ITEM <i>(With Inclusive Dates or Retention Periods)</i>	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN <i>(NARS USE ONLY)</i>
	<p>The Railroad Retirement Board's Records Control Schedule is being updated to make it consistent with current agency operations. This is the fourth of four SF-115's to be submitted and contains copies of the following schedules.</p> <p>Schedule 8 - Bureau of Research and Analysis (Revision)</p> <p>Schedule 10 - Bureau of Retirement Claims (Revision)</p>		

45 items

RRB RECORDS SCHEDULE 8

Bureau of Research and Analysis

The Bureau of Research and Analysis is responsible for providing detailed analyses and instructions to data processing personnel for implementing mass mechanical adjustments under the Railroad Retirement Act (RRA). Adjustments include cost of living increases, vested dual benefit cutbacks, legislative changes and earnings recomputations. The bureau's responsibility includes interpreting the legislation upon which the adjustment is based, selecting the proper master file (computer files) and records to adjust, determining the calculation rules and parameters for rejecting cases from the adjustment, providing sufficient information for the master benefit, checkwriting, taxation and medicare files, and passing it on to those files; statistics and analyses concerning the retirement/survivor benefit program, the unemployment/sickness benefit program, and active railroad employees; financial interchange determinations; actuarial valuations; and financial projections and cost estimates for the benefit programs under current law or legislative proposals.

In support of the retirement/survivor functions mentioned above, the bureau maintains the master benefit files. These are computer files containing benefit and statistical data for each beneficiary under the RRA. The files contain from 1,000 to 1,500 characters of data for each of more than a million individual records.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
8-1	<p><u>Retirement Master Benefit File</u></p> <p>The cumulative magnetic retirement master file is updated monthly to reflect new awards, terminations, or rate changes. It includes records for all annuities in force or in suspense. Also includes terminations after 1983. The records reflect only the benefit status during the current month. Data for each retiree includes monthly rate, railroad service and earnings and computational data on which the award was based.</p> <p>The magnetic file is also used to produce computer output microfilm versions of the files for reference purposes.</p> <p>(a) Retirement magnetic tape file - December tapes.</p>	<p>Destroy when 2 years old if subsequent cumulative tapes have proven satisfactory.</p>

RRB RECORDS SCHEDULE 8

Bureau of Research and Analysis

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
8-1	<u>Retirement Master Benefit File (Cont'd)</u> (b) Retirement magnetic tape file - all other tapes. (c) Retirement Full-File Microfilm produced from magnetic tapes. Produced quarterly. Also produced for any month in which a mass adjustment takes place. (d) Retirement Mini-Master Microfilm Produced from magnetic tapes for any month a Full-file is not produced.	Destroy when 6 months old if subsequent cumulative tapes have proven satisfactory. Destroy when 18 months old. Destroy when 3 months old or when each Full-file is created.

JOB: NCI 184-79-3 Item 8-6

8-2	<u>Survivor Master Benefit Files</u> The cumulative magnetic survivor master file is updated to reflect new awards, terminations, or rate changes. It includes records for all annuities in force or in suspense. Also includes terminations after 1981. The records reflect only the benefit status during the current month. Data for each survivor includes monthly rate, railroad service and earnings, and computational data on which the award was based. (a) Survivor magnetic tape file - December tapes. (b) Survivor magnetic tape file - all other tapes.	Destroy when 2 years old if subsequent cumulative tapes have proven satisfactory. Destroy when 6 months old if subsequent cumulative tapes have proven satisfactory.
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RRB RECORDS SCHEDULE 8

Bureau of Research and Analysis

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
8-2	<u>Survivor Master Benefit Files (Cont'd)</u> (c) Survivor Full-File Microfilm produced from magnetic tapes (1 set for Division of Statistical Services). Produced Quarterly. Also produced for any month in which a mass adjustment takes place. (d) Survivor Mini-Master Microfilm produced from magnetic tapes for any month a Full-File is not produced.	Destroy when 18 months old. Destroy when 3 months old or when each Full-File is created.

JOB: NCI 184-79-3 Item 8-7

8-3	<u>Dormant Retirement Terminations File</u> Contains retirement terminations which occurred before 1984 and therefore serves as a history file for a portion of the Retirement Master Benefit File (item 1) which contains retirement terminations after 1983. Dormant File includes terminations because of death and the computational and statistical data that determined the award. (a) Magnetic Tape Files. (b) Microfilm produced from magnetic tapes.	Recall and copy annually at time of cost-of-living mass-adjustment. Destroy old tape when copy is completed and verified. Destroy when no longer needed for administrative use.
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JOB: NCI 184-79-3 Item 8-8

RRB RECORDS SCHEDULE 8

Bureau of Research and Analysis

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
8-4	<u>Dormant Survivor Terminations File</u> Magnetic tape file containing cumulative survivor terminations which occurred before 1982 and therefore serves as a history file for a portion of the Survivor Master Benefit File (Item 8-2) which contains survivor terminations after 1981. Dormant file includes terminations because of death and the computational data that determined the award. (a) Magnetic Tape Files. (b) Microfilm produced from magnetic tapes.	Recall and copy annually at time of cost-of-living mass adjustment. Destroy old tape when copy is completed and verified. Destroy when no longer needed for administrative use.
JOB: NCI 184-79-3 Item 8-9		
8-5	<u>Lump-Sum Files</u> Extracted from Master Benefit Files (items 1 and 2), the magnetic lump sum file contains computational data and amount of lump sum, residual, and/or tax credits awards. Magnetic files are used to create computer output microfilm and printouts for reference. (a) Magnetic Tape File - December Tapes. (b) Magnetic Tape File - all other files.	Destroy when 2 years old. Destroy when 6 months old.

RRB RECORDS SCHEDULE 8

Bureau of Research and Analysis

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
8-5	<u>Lump-Sum Files</u> (Cont'd)	
	(c) Microfilm produced from magnetic tape.	Destroy when replaced by subsequent film (usually every 4 months).
	(d) Printed listings produced from magnetic tape.	Destroy when all exceptions have been reconciled (usually every 6 months).
JOB: NCI 184-79-3 Item 8-13		
8-6	<u>Daily Activity Input System (DAISY)</u>	
	Magnetic tape file and various input and output documents that allows award activity to process to the Master Benefit Files (see items 8-1 and 8-2).	
	(a) Magnetic tape files.	Destroy when 14 months old or when no longer needed for administrative use, whichever is sooner.
	(b) Related input and output documents.	Destroy when 1 year old or no longer needed for administrative use, whichever is sooner.
JOB: NEW		
8-7	<u>Retirement and Survivor Activity Files</u>	
	Magnetic tape files of accumulated activity from various input systems that are updated monthly to the Master Benefit File. They contain award activity, corrections, suspensions, or terminations for the current month.	
	Tape files are used to produce computer output, microfilm and printed listings for reference purposes.	

RRB RECORDS SCHEDULE 8

Bureau of Research and Analysis

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
8-7	<u>Retirement and Survivor Activity Files</u> (Cont'd)	
	(a) Magnetic Tape File - Data Processing Master.	Destroy when 2 years old or when no longer needed for administrative use whichever is sooner.
	(b) Magnetic Tape File - all other copies.	Destroy when 3 months old.
	(c) Microfilm produced from magnetic tapes (1 set produced for Division of Statistical Services).	Destroy previous year's microfilm when the next year's accumulation is complete.
	(d) Printed listings produced from magnetic tapes.	Destroy when 1 year old or when no longer needed for administrative use which is sooner.
	(e) Input documents used to create updated tape files.	Destroy when 1 year old or when no longer needed for administrative use whichever is sooner.
JOB: NCI 184-79-3 Item 8-12		
8-8	<u>Monthly Updating Programs Systems Lists</u> Contains counts for verifying updating.	Destroy when 4 months old.
JOB: NCI 184-79-3 Item 8-14		

RRB RECORDS SCHEDULE 8

Bureau of Research and Analysis

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
8-9	<u>Output from Research Monthly Updating Programs</u> Contains reconciliations, transactions, and other exceptions lists extracted from the various monthly updating programs; tables from the Master Benefit Files; and statistical data for monthly reports.	Destroy when 1 year old or no longer needed for administrative use, whichever is sooner.
JOB: NCI 184-79-3 Item 8-16, 8-17		
8-10	<u>Printed Retirement and Survivor Post Edit Listing</u> Contains the master record of each claim that was rejected in the edit of the Master Benefit Files.	Destroy when 3 months old or when listing is complete.
JOB: NCI 184-79-3 Item 8-15		
8-11	<u>Create Retirement and Survivor History (CRASH) Files</u> The CRASH files are initiated every January and updated monthly to record the benefit status and any changes in status for each retiree or survivor. While the Retirement Master Benefit File (item 1) and the Survivor Master Benefit File (item 2) show only the beneficiary's status during the current month, the CRASH file shows the status each month during the current calendar year and therefore serves as a partial history file for the two master files. Retirement and Survivor Files are maintained separately.	

RRB RECORDS SCHEDULE 8

Bureau of Research and Analysis

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
8-11	<u>Create Retirement and Survivor History (CRASH) Files (Cont'd)</u> (a) December master file. (b) All other interim files. JOB: NCI 184-79-3 Item 8-10	Destroy when 2 years old. Destroy when 3 months old if subsequent updates have proven satisfactory.
8-12	<u>Gross Earnings Sample Employer Reports</u> Includes original reports submitted by employers in letter or computer printout form and printouts of reports submitted on computer tape. JOB: NCI 184-79-3 Item 8-20	Destroy when 6 years old.
8-13	<u>Gross Earnings Work Files</u> Contains gross earnings amounts after editing which are used in creating the summarized file. Includes summarized listings of employer reports, skeleton file, edit listings and magnetic tape files created in editing. (a) Magnetic tape file. (b) All other related records. JOB: NEW	Destroy when 1 year old. Destroy when 3 years old.
8-14	<u>Summarized Gross Earnings Master File</u> One record for each sample account number which includes monthly, quarterly, and annual gross earnings amounts; service and compensation data and age and service codes as of the year of the file.	Destroy when 5 years old.

RRB RECORDS SCHEDULE 8

Bureau of Research and Analysis

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
8-15	<u>Annual Sorted SSA Replies File</u> Contains social security earnings data used to produce self-employment income and dual coverage information for the Financial Interchange.	Destroy when 1 year old.
	JOB: NCI 184-79-3 Item 8-19	
8-16	<u>Gross Earnings Sample Tabulations</u> Includes individual gross earnings and summaries of earnings under selected monthly and annual limits at current wage rates and assuming increases from 10 to 400 percent. Other tables show dual coverage amounts, self-employment income and multiple employment earnings used for Financial Interchange adjustments. (a) Tabulations used in the Financial Interchange. (b) Tabulations not used in the Financial Interchange.	Destroy when no longer needed for administrative use. <u>Transfer to FRC not authorized.</u> Destroy when 2 years old.
	JOB: NCI 184-79-3 Item 8-23	
8-17	<u>Cumulative 1-Percent Gross Earnings Sample Magnetic File</u> Contains record of gross earnings (taxable and non-taxable) by year for 1-percent sample of employees who worked at any time after 1950.	Destroy when 3 years old.
	JOB: NCI 184-79-3 Item 8-21	

RRB RECORDS SCHEDULE 8

Bureau of Research and Analysis

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
8-18	<u>Annual Wage Study Magnetic File</u> Extracted from BCC files for statistical analysis. File contains service and compensation data of current and preceding year for all railroad employees active in calendar year. Data also includes age, sex, and total-to-date service and compensation.	Destroy each file 3 years after completion.
JOB: NCI 184-79-3 Item 8-26		
8-19	<u>Annual Wage Study Tabulations</u> Includes summaries of occupation, age, sex, employer and compensation intervals. Totals include benefit eligibility, earnings intervals, status, service months, age and sex. Tabulations of employee addresses by employer and state, state and county, and by district office territories.	Transfer to FRC when 15 years old. Destroy when 25 years old.
JOB: NCI 184-79-3 Item 8-28		
8-20	<u>Wage History Tape File</u> Represents a cumulative 4-percent sample of employees who worked at any time after 1936. Contains data on age, occupation, sex, service patterns, compensation, taxes, and death and retirement data. File is used for informational purposes and triennial valuation.	Destroy when 2-1/2 years old.
JOB: NCI 184-79-3 Item 8-29		

RRB RECORDS SCHEDULE 8

Bureau of Research and Analysis

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
8-21	<u>Wage History Tabulations</u> Contains summaries of occupation, age, sex and compensation for a 4 percent sample of railroad employees. Also includes limited death and retirement information.	Transfer to FRC when 5 years old. Destroy when 15 years old.

JOB: NEW

8-22	<u>Unemployment Sickness Monthly, Quarterly and 12-Month Tabulations</u> Statistical tables containing the unemployment and sickness benefits paid each month, quarter, or benefit year. Data tabulated includes total benefits paid in period, types of benefits (normal, extended, etc.), benefit exhaustions, registration periods and compensable days. Summary information by age group, sex, occupation, years of service, daily benefit rate, state, types of sickness, and types of benefits paid. (a) Monthly and quarterly tabulations. (b) 12-month tabulations.	Transfer to FRC when 3 years old. Destroy when 8 years old. Destroy when 20 years old.
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JOB: NCI 184-79-3 Item 8-32

8-23	<u>Unemployment Sickness Monthly and Quarterly Magnetic Files</u> Extracted from BUSI files and edited for statistical purposes. Includes details of payments made during the period and cumulative data for the benefit years.	Destroy when 15 months old.
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JOB: NCI 184-79-3 Item 8-33

RRB RECORDS SCHEDULE 8

Bureau of Research and Analysis

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
8-24	<u>Unemployment and Sickness Annual Benefit Tabulations</u> Includes summaries of benefits paid for unemployment and sickness occurring during the benefit year. Data tabulated by occupation, age, sex, employer, reason unemployed, type of sickness, duration, years of service, state total benefits and benefit types paid (normal, extended, current year, accelerated year etc.). Totals include amount of benefits, days paid, exhaustions, type of adjustment, spells of sickness and sex.	Transfer to FRC when 10 years old. Destroy when 20 years old.
	JOB: NCI 184-79-3 Item 8-34	
8-25	<u>Unemployment and Sickness Edited Annual Summary Tape File</u> Beneficiary records of annual unemployment and sickness benefit activity occurring during benefit year.	Destroy when 3 years old.
	JOB: NCI 184-79-3 Item 8-36	
8-26	<u>Triennial Dual Coverage 1-Percent Sample Tape File</u> Includes complete RRA and SSA taxable earnings history for each individual in the selected year's sample. Also includes vesting information under both systems and PIA's under actual and proposed legislation. File is used in current actuarial valuation.	Destroy when 3 years old or when succeeding dual coverage file is completed, whichever is sooner.
	JOB: NCI 184-79-3 Item 8-39	

RRB RECORDS SCHEDULE 8

Bureau of Research and Analysis

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
8-27	<u>Triennial Dual Coverage 1-Percent Tabulations</u> Contain summaries of dual coverage records by age and duration of service in railroad retirement and/or social security covered employment.	Destroy when 12 years old.
JOB: 184-79-3 Item 8-40		
8-28	<u>Financial Interchange Case Files</u> Individual case files used to calculate individual financial interchange benefits amounts. These are the amounts that the person would receive under social security if railroad earnings were covered under social security. The file represents a 1-percent sample of all cases paid under the Railroad Retirement Act.	Transfer to FRC 2 years after annuitant benefits terminate. Destroy when 20 years old.
JOB: 184-79-3 Item 8-41		
8-29	<u>Financial Interchange Magnetic Tape Case File</u> Magnetic tape file containing information for about 11,000 beneficiaries in the financial interchange one percent sample. Used to determine transfers between railroad retirement and social security trust funds.	
(a) Magnetic Tape File. Destroy 3 years from date of creation.		
(b) Tape file printouts (paper and microfiche) of all records, cost and zero cost, for the current determination. Destroy when no longer needed for administrative use. <u>Transfer to FRC not authorized.</u>		
JOB: NCI 184-79-3 Item 8-42		

RRB RECORDS SCHEDULE 8

Bureau of Research and Analysis

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
8-30	<u>Financial Interchange Worksheets</u> Benefit, tax, and other worksheets for all financial interchange determinations. Results are used to obtain the dollar amounts of transfers from and to the Social Security Administration and Health Care Financing Administration.	Destroy when no longer needed for administrative use. <u>Transfer to FRC not authorized.</u>
JOB: NCI 184-79-3 Item 8-45		
8-31	<u>Financial Interchange Data Processing Material</u>	
	(a) Master copy of program requests, OCR coding guide, FI minimaster record outline.	Destroy when no longer needed for administrative use. <u>Transfer to FRC not authorized.</u>
	(b) FI tabulations.	Destroy when no longer needed for administrative use. <u>Transfer to FRC not authorized.</u>
	(c) Working copies of FI program requests, one-percent quarterly listings, status listings.	Destroy when 5 years old.
	(d) Program syslists, reject listings, other miscellaneous listings.	Destroy when 2 years old.
JOB: NEW		
8-32	<u>Retirement and Survivor Program Tabulations</u> Periodic tabulations of retirement and survivor benefit data.	
	(a) Annual tabulations.	Transfer to FRC when 5 years old. Destroy when 15 years old.

RRB RECORDS SCHEDULE 8

Bureau of Research and Analysis

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
8-32	<u>Retirement and Survivor Program Tabulations (Cont'd)</u> (b) Quarterly and fiscal year tabulations. (c) Monthly M tables. (d) Monthly state tables. (e) Annual Beneficiary Data Report (includes counts by district office and county).	Transfer to FRC when 20 years old. Destroy when 30 years old. Transfer to FRC when 10 years old. Destroy when 20 years old. Transfer to FRC when 5 years old. Destroy when 15 years old. Transfer to FRC when 5 years old. Destroy when 15 years old.

JOB: NCI 184-79-3 Item 8-48.

8-33	<u>Annual Retirement and Survivor Family Magnetic Tape Files</u> Extracted from the Retirement and Survivor Master Benefit Files and used to produce annual program tabulations for reference and publication. Files contain a wide range of data for each beneficiary in current-payment status at the end of each year and awarded during the year.	Destroy when subsequent update is completed.
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JOB: NCI 184-79-3 Item 8-11

8-34	<u>Quarterly FAADS Magnetic Tape Files</u> Magnetic tape files and listings created monthly and quarterly during the FAADS development cycle. Includes quarterly updates (tapes) sent to the Bureau of Census and returned.	Destroy when 1 year old or no longer needed, whichever is sooner.
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JOB: NEW

RRB RECORDS SCHEDULE 8

Bureau of Research and Analysis

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
8-35	<u>Employee Address Tape File</u> Magnetic tape file used for statistical purposes that includes employer and address data (state, county, zip code) of employees who worked in the railroad industry during the reference year.	Destroy when superseded by subsequent update.
JOB: NEW		
8-36	<u>Budget Projections</u> Account balance sheets, cost estimates, worksheets and background materials for projections. (a) Final account balance sheets. (b) Working papers.	Destroy when no longer needed for administrative use. <u>Transfer to FRC not authorized.</u> Destroy when 5 years old.
JOB: NEW		
8-37	<u>Special Request and Recurring Project File</u> Work papers, memoranda, and other correspondence relating to requests for information and regularly recurring projects.	Destroy when 10 years old or when no longer needed for administrative use, whichever is sooner.
JOB: 184-79-3 Item 8-49		
8-38	<u>Amendment Working Files</u> Files containing all calculations that are involved in the determination of new (adjusted) benefit rates under the various amendments and other mass adjustments.	

RRB RECORDS SCHEDULE 8

Bureau of Research and Analysis

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
8-38	<u>Amendment Working Files</u> (Cont'd)	
	(a) Magnetic tape files.	Destroy when superseded by subsequent update of the same job.
	(b) Computer printouts.	Destroy when 1 year old.
JOB: NCI 184-79-3	Item 8-3	
8-39	<u>Mass Adjustment Documentation</u>	
	Data systems specifications and documentation that provide in layman's terms, the requirements for a particular adjustment.	Transfer to FRC when 3 years old. Destroy when 6 years old.

JOB: NEW

RRB RECORDS SCHEDULE 8

Bureau of Research and Analysis

Explanatory Notes

1. The following items in this revised schedule have descriptions and retention periods essentially unchanged from old Schedule 8, NCI 184-79-3: 8-5, 8-8, 8-10, 8-11, 8-12, 8-14, 8-18, 8-26, 8-30, and 8-38.
2. Item 8-1, Retirement Master Benefit File - Retention period of the (c) subseries has been extended by six months to satisfy bureau reference requirements.
3. Item 8-2, Survivor Master Benefit File - Subseries (c)'s disposition has been increased six months for reason cited above.
4. Item 8-3, Dormant Retirement Terminations File - This series contains data about retirement claim beneficiaries that supports and verifies statistical tables used in actuarial projections made by RRB. The information can also be used to support claims for retirement benefits. The disposition instructions for the magnetic tape file (subseries (a)) have been revised to reflect that the tape is updated annually and the old version need not be retained after verification of the new tape. The microfilm (subseries (b)) produced from the tape is a bureau reference tool and has a disposition appropriate for its use.
5. Item 8-4, Dormant Survivor Terminations File - Information contained in this series is similar to item 8-3, but relates to survivors of retirement claim beneficiaries rather than the beneficiaries themselves. See note 4 for justifications of subseries retentions.
6. Item 8-6, Daily Activity Input System (DAISY) - This system manipulates the Master Benefit File (MBF) and is similar to one maintained in the Bureau of Retirement Claims (BRC). The essential difference between the two is that the Bureau of Research and Analysis (BRA) DAISY allows for updating of the MBF under controlled circumstances. Incorrect information received from BRC is edited from the BRA database so that the bureau's Master Benefit File represents the true state of any benefit claim, even if the claim has been incorrectly processed for payment by BRC. This "purer" database is a constant BRA goal. DAISY magnetic tapes (subseries (a)) are updated monthly. The designated retention reflects this. Related input and output documents (subseries (b)) need not be retained more than one year because of the continual updating of the tapes.
7. Item 8-7, Retirement and Survivor Activity Files - These files document accumulated activity from various input systems that are updated monthly to the Master Benefit File. The authorized disposition of subseries (a) has been altered slightly to give the bureau flexibility in destroying tapes that need not be retained the full two years. The retention period of the printed listings (subseries (d)) has been broadened to accommodate potential bureau reference needs. As the magnetic tapes are updated monthly, input documentation (subseries (e)) requires, at most, a one year retention.

8. Item 8-9, Output from Research Monthly Updating Programs - Records in this series were previously separate items in NCI 184-79-3. The outputs are now formatted in such a way as they are run together. Series disposition has been revised to take into account that these monthly reports sometimes are compiled into or contribute to annual reports.
9. Item 8-13, Gross Earnings Work Files - Information in this series is used to create item 8-14. Subseries (b) contains working papers created in the editing process. The three year retention is determined by the fact that this data is also referred to when formulating the triennial actuarial valuation. The retention of the magnetic tape (subseries (a)) meets bureau administrative requirements.
10. Item 8-15, Annual Sorted SSA Replies File - Revised series retention period more accurately describes the bureau's need for the records.
11. Item 8-16, Gross Earnings Sample Tabulations - Under certain circumstances, depending on the beneficiary's work history, some retirement benefits normally paid by the Social Security Administration (SSA) are assumed by RRB. The opposite is also true. The two agencies reimburse each other for these overlapping benefit payments by means of "Financial Interchange." There is no known statutory time limit governing how far back one agency may make a claim for financial reimbursement against the other. The 40 year limit originally placed on the retention of these records in old item 8-23, NCI 184-79-3, is at best arbitrary and has been removed from subseries (a) of this revised item. The disposition of subseries (b) meets bureau reference requirements.
12. Item 8-17, Cumulative 1-Percent Gross Earnings Sample Magnetic File - Series disposition has been amended to more accurately reflect bureau use of the tape and to facilitate its eventual destruction.
13. Item 8-19, Annual Wage Study Tabulations - Wage study tabulations are the primary source of statistical information about railroad employees and employers. The bureau receives frequent requests for historical information from OMB, GAO, commissions, railroad management, labor, and others. Since only a portion of the information in the tabulations is ever published, the current series retention is not adequate. A 25 year retention is consistent with the nature of the requests received.
14. Item 8-20, Wage History Tape File - This tape is created annually. Its data is used to help compute the triennial actuarial valuation. Revised disposition more accurately reflects bureau use.
15. Item 8-21, Wage History Tabulations - These tabulations come from the Wage History Tape File (item 8-20) and are based on a four percent sample of railroad employees. In addition to current year data, wage history tabulations include information about lifetime earnings, death, retirement, and withdrawals from the industry. This series has more limited reference use than wage study tabulations (item 8-19), thus 15 years is considered on adequate retention period.

16. Item 8-22, Unemployment Sickness Monthly, Quarterly, and 12-Month Tabulations - This series provides information on the demographics of Railroad Unemployment Insurance Act unemployment and sickness (USI) benefit recipients. Old items 8-32(a) and (b), NCI 184-79-3, have now been transformed into two new subseries. Subseries (b) is composed of a limited number of tables containing statistical information on USI benefits paid during a benefit year. The (a) subseries supports and helps create the (b). In both cases, the revised retentions reflect bureau reference needs.
17. Item 8-23, Unemployment Sickness Monthly and Quarterly Magnetic Files - Paper tabulations of item 8-22 are created by this quarterly produced tape. The bureau no longer differentiates between tapes made in July and all others (see old items 8-33 (a) and (b), NCI 184-79-3). Disposition of series is long enough to ensure accuracy of textual statistics.
18. Item 8-24, Unemployment and Sickness Annual Benefit Tabulations - Series is composed of approximately 100 tables containing statistical information on USI benefits paid for a benefit year. Since these tables are the only source of detailed information on USI benefits (little of which is published), and their data is needed to answer a variety of inquiries and develop projections, the series retention period has been increased from ten to 20 years.
19. Item 8-25, Unemployment and Sickness Edited Annual Summary Tape File - Output from this tape file is scheduled for lengthy retention under item 8-24. Bureau no longer requires tape to be held for five years.
20. Item 8-27, Triennial Dual Coverage 1-Percent Tabulations - As the name implies, triennial dual coverage tabulations are run once every three years. The disposition of old item 8-40, NCI 184-79-3, does not allow for the accumulation of sufficient information for bureau reference purposes. The designated 12 year retention means keeping data for four triennial cycles, which is a reasonable historical base for research.
21. Item 8-28, Financial Interchange Case Files - Series retention period has been reduced by a potential 30 years. The bureau has reviewed its reference requirements and the retrieval history of case files already in FRC custody and determined that a 20 year retention is administratively sufficient.
22. Item 8-29, Financial Interchange Magnetic Tape Case File - A specific, three year retention for the magnetic tape (subseries (a)) has been recommended. This coincides with the recalculation of the Financial Interchange, which is done triennially. Subseries (b) has an open retention because annuitants mentioned in the series description can remain on the benefit rolls for years and the bureau needs access to historical information about the cases.
23. Item 8-31, Financial Interchange Data Processing Material - Components of this series execute Financial Interchange (FI) between SSA and RRB trust funds. The (a) subseries is composed of forms and guides needed to initiate EDP action by the Bureau of Data Processing. The (b) subseries documents

how FI is calculated. Both subseries have indefinite dispositions for reasons mentioned in the retention justification of item 8-16(a). Records contained in subseries (c) are mostly duplicative of those in subseries (a). Subseries (d) provides information as to whether the FI program was processed correctly. The retention periods of the (c) and (d) subseries fulfill bureau administrative needs.

24. Item 8-32, Retirement and Survivor Program Tabulations - This series is now broken down into five subseries, each with its own disposition. These tabulations are the primary source of information on benefits paid out under the Railroad Retirement Act. Historical information is needed to answer inquiries, develop projects, analyze proposed legislation, etc. The differences in the retention periods reflect differences in the need for the type of data tabulated. The quarterly/fiscal year tabulations (subseries (b)) and the monthly M tables (subseries (c)) have longer retentions because these sets of data are most frequently used.
25. Item 8-33, Annual Retirement and Survivor Family Magnetic Tape Files - Subseries 8-32(a) is output from this tape. Revised retention instruction gives the bureau administrative flexibility as it allows for the tape to be run at different intervals.
26. Item 8-34, Quarterly FAADS Magnetic Tape File - Series documents the distribution of RRB benefit payments by county throughout the United States. The tape is created in response to Federal law. Designated disposition fulfills bureau needs.
27. Item 8-35, Employee Address Tape File - Record copy of this series is found in schedule 14 (Bureau of Compensation and Certification), item 18. This tape provides statistical information for bureau wage studies and other reference purposes. Retention instructions reflect its nonrecord character.
28. Item 8-36, Budget Projections - As part of its mission, BRA is regularly requested to estimate the size of future RRB budgets and the amount of money that will be available to fund the agency's trust fund accounts. The annual volume of these reports varies according to the number of economic assumptions, legal considerations, and administrative perspectives that must be addressed. Often these projections range far into the future. As the budget reports (subseries (a)) serve a variety of informational purposes that often relate to the long term development of Federal legislation, their retention has been left open ended to afford the bureau flexibility in their use and disposal. The specified retention of subseries (b) meets needs.
29. Item 8-37, Special Request and Recurring Project File - Authorized disposition has been amended to allow the bureau discretion in disposing of certain recurring project files that are of a routine nature and do not merit full term retention.
30. Item 8-39, Mass Adjustment Documentation - These are written instructions to the Bureau of Data Processing, authored by BRA personnel, explaining how to make technical adjustments and edits to the Master Benefit File in response to cost-of-living raises and other related fiscal fluctuations. Designated retention period is adequate for bureau administrative purposes.

31. Old items 8-1, 8-2, 8-4, and 8-5, NCI 184-79-3, are now items 19-1, 19-2, 19-3, and 19-4, respectively in the new Office of Public Affairs schedule.
32. Old items 8-35, 8-43, 8-44, and 8-46, 47, NCI 184-79-3, are now included in items 8-24, 8-28, 8-30, and 8-34, respectively of the revised schedule.
33. Old items 8-22, 8-24, 8-25, 8-27, 8-30, 8-31, 8-37, 8-38, and 8-50, NCI 184-79-3, are obsolete and have been deleted from the revised schedule.

RRB RECORDS SCHEDULE 10

Bureau of Retirement Claims

The Bureau of Retirement Claims is responsible for the administration of the railroad retirement program, and the payment of social security benefits to railroad retirement beneficiaries. The bureau is also responsible for carrying out the Board's responsibilities under the Medicare program which includes coordinating the Board's Medicare activities with those of the Social Security Administration and Health Care Financing Administration. The bureau is responsible for all activities involving the Board's Part B carrier, The Travelers Insurance Company. Further, the bureau is responsible for administering all aspects of applying Internal Revenue code provisions to Railroad retirement annuities. Of primary importance is the timely and accurate payment of benefits including initial awards and post entitlement actions to reflect changes in beneficiary status, law and regulations. In addition, the bureau is responsible for administering a recovery program for erroneously paid funds, under both the Railroad Retirement Act and the Medicare program. Among the most significant of the other responsibilities are the development of regulations, policies, operating procedures and forms used in the claims process. It is responsible for the planning and development of manual and automated systems to reflect changes in processing, law and technology. It also has important administrative and training responsibilities for the employees assigned to the bureau.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
10-1	<u>Railroad Retirement Act Claim Folders</u> Folder files consisting of forms and correspondence that document a claimants application for benefits under the Railroad Retirement Act (RRA). Files include applications for benefits, evidence of entitlement; the Board's decisions and awards and the underlying computations; and changes in benefit status, including the suspension and termination of benefits. 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.	Transfer to the FRC 5 years after the last payment is made. Destroy 30 years after the last payment is made.

JOB: NCI 184-79-3 Item 10-1

RRB RECORDS SCHEDULE 10

Bureau of Retirement Claims

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
10-2	<u>Daily Activity Input Systems (DAISY) Listings</u> Master record of additions, deletions, and adjustments to the RRA benefit payment file. (a) Magnetic tape files. (b) Daily Award Listings. 1. Record copy in Payment Services Unit. 2. All other copies. (c) Benefit Payment Control/Maintenance Listings. Records include various total, reject and other control listings used for informational and/or computer input purposes.	 Destroy when 1 year old. Transfer to FRC when 1 year old. Destroy when 6 years and 3 months old. Break file: End of fiscal year. Destroy when 1 year old or no longer needed for administrative use, whichever is sooner. Destroy when 1 year old or no longer needed for administrative use, whichever is sooner.

JOB: NCI 184-79-3 Item 10-2

RRB RECORDS SCHEDULE 10

Bureau of Retirement Claims

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
10-3	<u>Start Activity Master Microfilm (SMM)</u> Microfilm of Daily Activity Input System (DAISY) activity and Checkwriting Integrated Computer Operation (CHICO) master receiving the activity. Includes one-payment only and new recurring awards, recertifications, change-of-address, weekly suspension and termination data, master record before activity, activity processed or rejected and the master file record after processing. Produced weekly and also for special runs.	
	(a) Magnetic tape files.	Destroy when 1 year old.
	(b) Control and Services Master Microfilm.	Transfer to FRC when 3 years old. Destroy when 8 years old.
	(c) Payment Services Unit copies.	Destroy when 5 years old.
	(d) All other copies.	Destroy when 2 years old or no longer needed for administrative use, whichever is sooner.

JOB: NCI 184-79-3 Item 10-3

10-4 Monthly Microfilm of START (MOMS)

(Checkwriting File Update)

Monthly microfilm produced from magnetic tape that shows the status of the Checkwriting file at the time magnetic tapes used by the Treasury Department to issue monthly benefit checks are created. Series consists of MOMS I which contains benefit payment data, health insurance information, tax credit liability data and various control data for recurring

RRB RECORDS SCHEDULE 10

Bureau of Retirement Claims

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
10-4	<u>Monthly Microfilm of START (MOMS) Cont'd</u> benefits; and MOMS II which contains the same information as MOMS I but only for claim numbers ending in 66. Used as a test file. (a) Magnetic tape files. (b) MOMS I. 1. Control and Services master. 2. Payment Service Unit copy. 3. All other copies. (c) MOMS II	 Destroy when 1 year old. Transfer to FRC when 3 years old. Destroy when 8 years old. Destroy when 5 years old. Destroy when 2 years old or no longer needed for administrative use, whichever is sooner. Destroy when 6 months old.
JOB: NCI 184-79-3 Item 10-4		
10-5	<u>Medicare Programs Section Printouts</u> Computer printed paper listings and reports produced by the MIRTEL system. (MIRTEL stands for Medicare Information Recorded, Transmitted, Edited and Logged.) (a) Major operating listings. 1. Health Insurance Operations section copy. 2. All other copies.	 Destroy when 2 years old. Destroy when 1 year old or no longer needed for administrative use, whichever is sooner.

RRB RECORDS SCHEDULE 10

Bureau of Retirement Claims

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
10-5	<u>Medicare Programs Section Printouts</u> (Cont'd) (b) Control/Maintenance listings.	Destroy when 1 year old or no longer needed for administrative use, whichever is sooner.
JOB: NCI 184-79-3 Item 10-5		
10-6	<u>Medicare Programs Section Microfilm</u> Microfilms produced from magnetic tape that are used in health insurance operations. (a) MIRTEL Microfilm of Activity (MMAC). Microfilm record of all activity processed in the health insurance computer system. Produced weekly. 1. Control and Services master. 2. Medicare Program Section (MPS) and Retirement Claims Analysis Section (RCA) copies. [RCA under Data Processing] (b) MIRTEL File (MIRF). Microfilm of all active and inactive records in the health insurance computer system. Produced monthly. 1. Control and Services master. 2. Medicare Program Section copy. 3. All other copies.	Transfer to FRC when 3 years old. Destroy when 6 years 3 months old. Destroy when 3 years old. Transfer to FRC when 3 years old. Destroy when 6 years 3 months old. Destroy when 3 years old. Destroy when 6 months old or no longer needed for administrative use, whichever is sooner.

RRB RECORDS SCHEDULE 10

Bureau of Retirement Claims

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
10-6	<u>Medicare Programs Section Microfilm</u> (Cont'd) (c) Magnetic tape files from which MMAC and MIRF microfilms are generated.	Destroy when 1 year old.
JOB: NCI 184-79-3 Item 10-6		
10-7	<u>RRA Benefit Payment Accounting Records -</u> <u>Accounts Receivable Listings</u> (a) Annual listing of open balances, uncollectable items and zero balances, and unresolved litigation yet pending. 1. Accounts receivable determination and review section copy. 2. All other copies. (b) Monthly accounts receivable listing. (c) Magnetic tape files.	see below Transfer to FRC when 1 year old. Destroy when 6 years 3 months old. Destroy when no longer needed for informational use. Destroy when no longer needed for informational use. Destroy when 18 months old.
JOB: NCI 184-79-3 Item 10-7		
10-8	<u>RRA Benefit Payment Records</u> Original daily cancelled check listings furnished by the Treasury department and monthly consolidated listings and monthly administrative cumulative magnetic tapes used in the BRC Check Services unit.	Destroy when 6 years 3 months old.
*10-7 (a)(1) Transfer to FRC when 1 year old. Items listed subject to litigation or affected by court order should be destroyed 6 years 3 months after the court order is lifted or litigation is concluded.		

approved
per conversation
with C. Mierzwa
12/21/89

RRB RECORDS SCHEDULE 10

Bureau of Retirement Claims

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
10-8	<u>RRA Benefit Payment Records (Cont'd)</u> (a) Daily Treasury listings. (b) Monthly consolidated cancelled check listings. (c) Monthly administrative cancellation magnetic tape master.	Transfer to Bureau of Fiscal Operations for filing with related Schedule of Cancelled Checks, SF-1098. Destroy when 1 year old or when no longer needed for administrative use, whichever is sooner. Destroy when 18 months old.
JOB: NCI 184-79-3 Item 10-8		
10-9	<u>Tax Credit and Liability System (TACAL)</u> Monthly microfilm record produced from magnetic tape containing records of all beneficiaries for whom tax credits and/or liabilities are allowed and for whom the employer is being billed or credited. (a) Magnetic tape files. (b) Retirement Claims Analysis Section master. [Under Data Processing] (c) Continuity and Support Unit copy	Destroy when 1 year old. Transfer to FRC when 3 years old. Destroy when 6 years 3 months old. Destroy when 1 year old or when no longer needed for administrative use, whichever is sooner.
JOB: NCI 184-79-3 Item 10-9		

RRB RECORDS SCHEDULE 10

Bureau of Retirement Claims

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
10-11	<u>Key Operating Report (KOR) Listings (Cont'd)</u> (b) Administrative management EDP reports and listings. (c) Magnetic tape files.	Destroy when 1 year old or no longer needed for administrative use. Destroy when 1 year old.
JOB: NCI 184-79-3	Item 10-11	
10-12	<u>BRC Weekly Status Report</u> Records of data on work activities of BRC personnel and work measurement statistics for budget and general administrative uses. (a) General Administration and Budget section copy. (b) All other copies.	Destroy when 3 years old. Destroy when 1 year old or no longer needed for administrative use, whichever is sooner.
JOB: NCI 184-79-3	Item 10-12	
10-13	<u>Beneficiary Cross-Reference Microfilm (BXR)</u> Microfilm file that contains 940,000 cross-references of beneficiaries SSA numbers to RRB claim numbers. Numerically sequenced, the file was updated in 1976 to incorporate new SSA numbers cross-referenced to new and existing RRB claim numbers.	Destroy when no longer needed for administrative use.
JOB: NCI 184-79-3	Item 10-14	

RRB RECORDS SCHEDULE 10

Bureau of Retirement Claims

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
10-16	<u>RRA Benefit Payment Accounting Records</u> Award forms with covering progress voucher sheets used as basic input documents for preparation of computer tape furnished to Treasury for writing checks.	Transfer to FRC after statistical compilation by Bureau of Research and Analysis. Destroy when 6 years 3 months old.
JOB: NCI 184-79-3 Item 10-23		
10-17	<u>Change of Address Source Documents</u> File consisting of RRB Forms G-607, 607A, documenting address correction requests from annuitants and brown check mailing envelope with change of address written on reverse side. Requests received in headquarters.	Send to FRC after file break, hold 4-1/2 years and destroy. Break file: Every 6 months.
JOB: NCI 184-79-3 Item 10-24		
10-18	<u>Retirement Adjudication System Initial (RASI) Microfiche</u> (a) RASI Reject 805 Information. Microfiche record of daily activity from RASI master including annuity beginning date, calculations, work deductions, etc. Produced weekly from magnetic tape. 1. Retirement Claims Analysis Section (RCA) master. [Under Data Processing] 2. All copies.	Destroy when 1 year old. Destroy when 1 year old.

RRB RECORDS SCHEDULE 10

Bureau of Retirement Claims

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
10-18	<u>Retirement Adjudication System Initial (RASI) Microfiche (Cont'd)</u> (b) RASI Daily Status Reports. Microfiche record of daily activity including call-ups, value of status words, referrals and date produced, etc. Produced weekly from magnetic tape. Retirement Claims Analysis Section (RCA) master. [Under Data Processing] (c) Magnetic tape files.	Destroy when 1 year old. Destroy when 1 year old.
JOB: NEW		
10-19	<u>Automated Award Letters to Annuitants (ALTA) Microfilm</u> Weekly microfilm produced from magnetic tape that contains the complete text of award letters released to RRB annuitants and SSA beneficiaries through the Automated Award Letters to Annuitants (ALTA) system. (a) Magnetic tape files. (b) Control Services Unit (CSU) master. (c) CSU copies.	Destroy when 1 year old. Transfer to FRC when 3 years old. Destroy when 8 years old. Destroy when 7 years old.

RRB RECORDS SCHEDULE 10

Bureau of Retirement Claims

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
10-20	<u>Post Adjudication Mechanical (PAM) Microfiche</u> Bureau copies of microfiche record showing status of social security cases being processed.	Destroy when 6 months old or when no longer needed for administrative use.
JOB: NEW		
10-21	<u>BIC (Benefit Information Card Microfiche)</u> Bureau copies of microfiche record that provides medicare information, railroad retirement beneficiary information and social security benefit information (for beneficiaries whose social security benefit is paid by the Railroad Retirement Board). (See proposed item 13-35N MI-184-89-1.)	Destroy when 1 year old.
JOB: NCI 184-79-3 Item 10-15 B		
10-22	<u>Travelers Insurance BIC (Benefit Information Card Microfiche)</u> Bureau copies of microfiche record containing selected information about beneficiaries entitled to Medicare. Also provided to the Travelers Insurance Company.	Destroy upon receipt of new microfiche.
JOB: NCI 184-79-3 Item 10-16		
10-23	<u>FOX (Field Office Cross-Reference) Microfiche</u> Bureau copies of microfiche record used as an aid in cross-referencing beneficiary names with correct social number of claim numbers. (See proposed item 13-38-184-89-1.)	Destroy when 1 year old.
JOB: NCI 184-79-3 Item 10-17 B		

RRB RECORDS SCHEDULE 10

Bureau of Retirement Claims

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
10-24	<u>Annual Statement Taxation Microfilm</u> Annual microfilm produced from magnetic tape that contains tax information released to railroad retirement annuitants on Forms RB-1099 and RRB-W-2P for each tax year. (a) Magnetic tape file. (b) Taxation Programs Master and copy. (c) All other bureau copies.	 Destroy when superseded by subsequent update. Destroy when 5 years old. Destroy when 2 years old or no longer needed for administrative use, whichever is sooner.
JOB: NEW		
10-25	<u>IRS Tax Statement Tape File</u> Magnetic tape file (a copy of which is sent to the Internal Revenue Service (IRS)) prepared semi-annually which contains tax data on RRB annuitants using the format prescribed by the IRS.	 Destroy when 5 years old.
JOB: NEW		
10-26	<u>Withholding Certificate for Railroad Retirement Payment</u> File consisting of Form RRB W-4P that is completed throughout the tax year by annuitants to indicate the withholding desired for the portion of their annuity considered a private pension.	 Destroy when 5 years old.
JOB: NEW		

RRB RECORDS SCHEDULE 10

Bureau of Retirement Claims

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
10-27	<u>Non-resident Questionnaire File</u> File consisting of Form RRB-1001 that is completed by non-resident alien annuitants which furnishes citizenship, residence, and tax treaty exemption information required for U.S. income tax purposes.	Destroy when 5 years old.
JOB: NEW		
10-28	<u>Training Agreements</u> Specific agreements for Survivor/Retirement Initial and Survivor/Retirement post, disability benefits trainees, and HB trainees. The agreement outlines the required performance and conduct levels an employee must meet to successfully complete the training class.	Destroy previous agreement when current one is revised.
JOB: NEW		

RRB RECORDS SCHEDULE 10

Bureau of Retirement Claims

Explanatory Notes

1. The following items in this revised schedule have descriptions and retention periods essentially unchanged from old Schedule 10, NCI 184-79-3: 10-1, 10-5, 10-10, 10-12, 10-13, 10-16, 10-17, 10-21, and 10-23.
2. Item 10-2, Daily Activity Input Systems (DAISY) Listings - Retention periods of the (b) and (c) subseries mirror old item 10-2, NCI 184-79-3. The bureau requires the magnetic tape files (subseries (a)) be retained for one year so that the tapes can interact with other computer operating systems within RRB to answer various informational inquiries.
3. Item 10-3, Start Activity Master Microfilm - The retention period of the magnetic tape files (subseries (a)) is determined by the same requirement mentioned in previous note. The authorized disposition of the Control and Services Master Microfilm (subseries (b)) has been increased by one year, nine months, to allow for processing of benefit reconsideration backlog cases. These cases relate to benefit payments issued by the bureau as much as seven years earlier. The Payment Services Unit microfilm copies (subseries (c)) are for in-house reference and their retention period meets bureau administrative needs. Subseries (d) is non-record in character.
4. Item 10-4, Monthly Microfilm of START (MOMS) - Dispositions of subseries (a), (b)2, and (b)3, are determined by the same factors mentioned in note for item 10-3. The retention period of subseries (b) 1 has been expanded to meet bureau reference needs while conforming to the statutory requirements of 28 USC 2416 (c), which mandate a minimum six year retention period. Information contained in MOMS II (subseries (c)) is duplicative of MOMS I and merits only short term retention to fulfill bureau testing requirements.
5. Item 10-6(a)2, Medicare Programs Section Microfilm, MPS and RCA Copies - Retention period for this subseries has been increased from one to three years. Bureau experience has been that questions from health care beneficiaries regarding their Medicare coverage or claims can occur regularly for up to three years from the time an action takes place. The increased retention meets the reference needs of the two sections responsible for dealing with questions on these matters.
6. Item 10-6(b)2 - The Medicare Program Section's experience has been that this microfilm has reference value (helps them respond to public inquiries) for approximately three years. Disposition instructions have been revised accordingly.
7. Item 10-6(b)3 - All other microfilm copies need not be kept more than six months to fulfill reference needs.
8. Item 10-6(c) - See retention justification for item 10-2(a).

9. Item 10-7(c), RRA Benefit Payment Accounting Records, Accounts Receivable Listings, Magnetic Tape Files - The bureau requires the data on these particular tapes be retained for 18 months so that it is available for interaction with other RRB computer operating systems responding to various informational inquiries.
10. Item 10-8(c), RRA Benefit Payment Records, Magnetic Tape Master - See retention justification for item 10-7(c).
11. Item 10-9(a), Tax Credit and Liability System (TACAL), Magnetic Tape Files - See retention justification for item 10-2(a).
12. Item 10-11(a)1, Key Operating Report (KOR) Listings - These reports document bureau productivity in terms of the number of retirement claims being processed monthly and ensuing backlogs. This information is used by bureau section heads and other bureaus for a variety of reports. The retention period of this sub-series has been increased one year to reflect this reference need.
13. Item 10-11(c) - See retention justification for item 10-2(a).
14. Item 10-14(a)1, Mass Adjustment Microfilm, Magnetic Tape Files, Recurring Adjustments - This particular tape file need not be retained after subsequent update because it documents only routine, repetitive adjustments to the benefit database.
15. Item 10-14(a)2 - See retention justification for item 10-2(a).
16. Item 10-14(b) - This microfilm shows changes in annuity rates that are due to mass mechanical adjustments for cost-of-living increases, revisions of Federal law, amended computation procedures, or new benefit status. The authorized disposition of the subseries has been substantially increased because the bureau has a considerable backlog (in the thousands) of case referrals, some relating to benefits first calculated in the 1970's, awaiting review and potential recalculation. As it is unlikely this backlog will be significantly reduced in the near future, and given that the average duration of a retired male's annuity is almost 15 years, the bureau needs to retain this microfilm longer.
17. Item 10-14(c) - The ceiling on this non-record disposition has been increased for the same reasons cited in item 10-14(b)'s justification.
18. Item 10-15, G-65 OCR Multi Purpose Form - These forms constitute a suspense/tickler file. In order to facilitate disposition, a defined retention period has been assigned to the series.
19. Item 10-18(a), Retirement Adjudication System Initial (RASI) Microfiche - This subseries documents daily input activity to the retirement claims database. The microfiche are used as a quality control tool to investigate program errors and may also provide information relevant to inquiries concerning the status of individual annuitants. Designated retention period meets bureau administrative requirements.

20. Item 10-18(b) - Similar in purpose and informational content to sub-series (a), except that this microfiche also shows processing of all aspects of daily activity to the database as well as cumulative activity in a particular case.
21. Item 10-18(c) - See retention justification for item 10-2(a).
22. Item 10-19, Automated Award Letters to Annuitants (ALTA) Microfilm - ALTA is a new on-line system that allows bureau examiners to create, modify, and delete retirement claims award letters. Award letters prior to ALTA were sent to annuitants with a copy normally kept in the claims folders. Hard copies of ALTA letters are not kept in BRC claim folders; only one copy is produced for the annuitant. The eight year retention period of the microfiche master (subseries (b)) meets the reference requirements of the bureau, given the long retention of BRC claims folders (30 years). CSU microfiche copies (subseries (c)) would remain in-house for "hands on" use. Retention period of the magnetic tapes (subseries (a)) is consistent with other tape files in the schedule.
23. Item 10-20, Post Adjudication Mechanical (PAM) Microfiche - The Railroad Retirement Board, under certain circumstances, is responsible for including social security payments with the benefits it pays railroad retirement annuitants. The PAM system consists of a series of programs that process social security benefit awards or adjustments. PAM microfiche constitutes a weekly report which reflects the status of social security cases being processed. Series retention meets bureau reference needs.
24. Item 10-22, Travelers Insurance BIC - This microfiche is produced every two weeks. Revised disposition instructions take into account that once the new microfiche is run, there is no need to keep the old fiche as it would not have the most current information.
25. Item 10-24, Annual Statement Taxation Microfilm - Series documents what portion of an annuitant's retirement benefits is taxable during a particular year. The disposition of subseries (b) meets bureau reference needs and conforms to the statutory requirements of IRS Code, Subpart G 31.6051-1, which mandate a minimum four year retention. Retention period for subseries (c) reflects the non-record character. The magnetic tape file (subseries (a)) need not be retained after subsequent update as its informational content is mirrored by the microfilm.
26. Item 10-25, IRS Tax Statement Tape File - This tape is prepared for the IRS and contains data necessary for income tax verification as applicable to RRB annuitants. One copy is transmitted to the IRS while another remains at the bureau. See retention justification for item 10-24(b).
27. Item 10-26, Withholding Certificate for Railroad Retirement Payment - In January, 1984 RRB retirement benefits became taxable. Form RRB W-4P is submitted by RRB annuitants to specify the number of exemptions they wish to declare for Federal income tax withholding purposes. See retention justification for item 10-24(b).

28. Item 10-27, Non-resident Questionnaire File - Form RRB-1001 essentially serves the same purpose as Form RRB W-4P (item 10-26) but its use is reserved for RRB annuitants who are non-resident aliens. Information from this form is used by the bureau to calculate a fixed amount of withholding from the annuitant's benefits. See retention justification for item 10-24(b).
29. Item 10-28, Training Agreements - This series is composed of prototype written agreements which structure the selection and training of RRB employees entering various bureau positions. A typical agreement will document the method of selecting trainees, the length of the training period, an outline of the training, the qualifications of instructors, an instructional plan, the nature of progress evaluations, and a determination of successful performance. Series retention period reflects the technical reference character of the material.
30. Old item 10-13, NCI 184-79-3, BRC Cost Reports - This is no longer kept as an individual series by the bureau. Information is now in schedule 20, item 11, Budget Reports Files.
31. Old Item 10-18, NCI 184-79-3, Supplemental Annuity Form (G-1099) Microfilm (SAMIC) - Record is no longer maintained by the bureau as a unique series. Since January 1, 1984, information has been included within the Annual Statement Taxation Microfilm (item 10-24).
32. Old Item 10-21, NCI 184-79-3, Retirement Claims Information Office Service Records - The information office is now considered a base-point office under the jurisdiction of the Bureau of Field Service. Series has not been maintained by the office for at least the last five years.
33. Old Item 10-22, NCI 184-79-4, Medical Records of RRB Employees - Series is now maintained by the Bureau of Personnel, schedule 7, item 23.