

**ACTIVE ITEMS.** These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

**INACTIVE ITEMS.** These items may no longer be used to disposition records. They are superseded, obsolete, filing instructions, describe non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items may be annotated on the schedule.

**(P) Permanent**

**(T) Temporary**

<b>ITEM</b>	<b>STATUS</b>	<b>WHY INACTIVE</b>
1 / A / 1	P (Active)	
1 / A / 2	T (Inactive)	superseded by DAA-0047-2023-0001-0005
1 / B / 1	T (Inactive)	superseded by DAA-0047-2012-0002-0001
1 / B / 2	T (Inactive)	superseded by DAA-0047-2012-0002-0001
1 / C / 1	T (Active)	
1 / C / 2	T (Active)	
1 / C / 3	T (Active)	
1 / C / 4	T (Active)	
1 / C / 5	T (Active)	
1 / D	T (Active)	
2 / A / 1	T (Active)	
2 / A / 2	T (Active)	
2 / A / 3	n/a	filing instructions
2 / A / 4	T (Active)	
2 / B	T (Active)	
2 / C / 1 / a	T (Active)	
2 / C / 1 / b	T (Active)	
2 / C / 2	T (Inactive)	superseded by NC1-047-84-07, item I.B
2 / C / 3 / a	T (Active)	
2 / C / 3 / b	P (Active)	
2 / D	T (Active)	
2 / E / 1	T (Active)	
2 / E / 2	P (Active)	
2 / F / 1	T (Inactive)	NC1-047-84-07, item III.A.
2 / F / 2	P (Active)	
2 / G / 1	P (Active)	
2 / G / 2	T (Active)	



**REQUEST FOR AUTHORITY  
 TO DISPOSE OF RECORDS**

(See Instructions on Reverse)

*30 items*

*47*

LEAVE BLANK	
DATE RECEIVED <b>MAR 31 1976</b>	JOB NO.
DATE APPROVED <b>NC1 - 47-76-25</b>	

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  
Office of Management and Administration

4. NAME OF PERSON WITH WHOM TO CONFER  
George S. Yamamura

5. TEL. EXT.  
45770

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disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10.

*5-19-76*  
 Date *James B. Rhoads*  
 Archivist of the United States

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.

3/26/76

*Eugene T. Reed, Jr.*  
 Eugene T. Reed, Jr.

Acting Dept. Records Mgt. Officer  
 (Title)

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
I.	<p><u>RECORDS RETENTION AND DISPOSAL SCHEDULE</u>  <u>OFFICE OF QUALITY ASSURANCE - HEADQUARTERS</u></p> <p><u>GENERAL PROGRAM ADMINISTRATION FILES</u></p> <p>A. <u>Instructions Files</u></p> <p>Manuals, directives, handbooks, and other formal policy and procedural issuances prepared by OQA components. Included are Quality Assurance Manual issuances and similar material.</p> <p>1. <u>Office Responsible for Preparation</u></p> <p>Permanent. Transfer to the Federal Records Center (FRC) at the close of the calendar year in which superseded or discontinued.</p> <p>2. <u>Other Offices</u></p> <p>Destroy when superseded or discontinued.</p> <p>B. <u>Instructions Background Files</u></p> <p>Records accumulated in the preparation, clearance, and publications of manuals, directives, handbooks and other formal policy and procedural issuances. Included are studies, clearance comments,</p>		

*Crypto Agency & NCW 5-21-76 CAC*

## INSTRUCTIONS

*General Instructions:* Use Standard Forms 115 and 115a, obtainable from Supply Centers of the Federal Supply Service, General Services Administration, to obtain authority to dispose of records. Submit four copies, all of which should be signed and dated, to the National Archives and Records Service. Indicate the number of pages involved in the disposal request under entry 6. Copy 4 of the standard form will be returned to the agency as notification that Congress has authorized disposal of the items marked "approved."

### *Specific Instructions:*

*Entries 1, 2, and 3* should show what agency has custody of the records that are identified on the form, and should contain the name of the department or independent agency, and its major and minor subdivisions.

*Entries 4 and 5* should help identify and locate the person to whom inquiries regarding the records should be directed.

*Entry 6* should show what kind of authorization is requested. Only one of two kinds of authorizations may be requested on a particular form.

*Box A* should be marked if immediate disposal is to be made of past accumulations of records, and the completed form thus marked is a list.

*Box B* should be marked if records that have accumulated or will continue to accumulate are to be disposed of at some definite future time or periodically at stated intervals, or if disposal is to be made of microphotographed records after it has been ascertained that the microfilm copies were made in accordance with the standards prescribed in GSA Regulations 3-IV-105; and the completed form thus marked is a schedule.

*Entry 7* should contain the numbers of the items of records identified on the form in sequence, i. e., 1, 2, 3, 4, etc.

*Entry 8* should show what records are proposed for disposal.

Center headings should indicate what office's records are involved if all records described on the form are not those of the same office or if they are records created by another office or agency.

An identification should be provided of the types of records involved if they are other than textual records, for example, if they are photographic records, sound recordings, or cartographic records.

An itemization and accurate identification should be provided of the series of records that are proposed for disposal. Each series should comprise the largest practical grouping of separately organized and logically related materials that can be treated as a single unit for purposes of disposal. Component parts of a series may be listed separately if numbered consecutively as 1a, 1b, etc., under the general series entry.

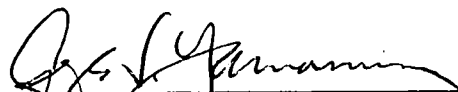
A statement should be provided showing when the records were produced or when disposal is to be made of the records, thus:

If Box A under entry 6 was marked, the inclusive dates during which the records were produced should be stated.

If Box B under entry 6 was marked, the period of retention should be stated. The retention period may be expressed in terms of years, months, etc., or in terms of future actions or events. A future action or event that is to determine the retention period must be objective and definite. If disposal of the records is contingent upon their being microfilmed, the retention period should read: "Until ascertained that microphotographic copies have been made in accordance with GSA Regulations 3-IV-105 and are adequate substitutes for the paper records."

*Entry 9* should show what samples of records were submitted for each item, or with what job number such samples were previously submitted. Samples of types of records other than textual and cartographic records should not be submitted.

*Entry 10* should be left blank.

  
\_\_\_\_\_  
SSA Records Officer

  
\_\_\_\_\_  
Records Liaison Officer, OQA

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
	<p>recommendations and similar records which provide a basis for publication and contribute to the content of the issuance.</p> <p>1. <u>Office Responsible for Preparation of the Issuance</u></p> <p>Destroy when superseded or discontinued. Do not send to FRC.</p> <p>2. <u>Other Offices</u></p> <p>Destroy 2 years after close of the calendar year in which dated.</p> <p>C. <u>Administrative Files</u></p> <p>Files created by most offices in the performance of their assigned functions.</p> <p>1. Official file copies of outgoing correspondence relating to office functions.</p> <p>2. Comments on draft reports, studies, proposals, and manual issuances by other offices.</p> <p>3. Contributions to and/or comments on proposed legislation.</p> <p>4. Suggestion Evaluations.</p> <p>5. Program and management reports, such as overtime and staffing reports, workload and production reports, highlights, activity reports, and other reports prepared to submit narrative or statistical data to management offices. Excluded are reports identified elsewhere in this schedule.</p> <p>Destroy 2 years after the close of the calendar year in which dated.</p> <p>D. <u>Working Files</u></p> <p>Nonessential working papers retained by staff members for reference purposes.</p>		

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	<p>Destroy after 2 years or when no longer needed for reference, whichever is earlier.</p> <p>II. <u>QUALITY ASSURANCE RECORDS</u></p> <p>A. <u>Acceptance Sample Records</u></p> <p>Six-month sample studies of data quality in QA data base. Included are the original QA case folder, duplicates thereof, sample control listing, worksheets and calculation matrix sheets. If data errors in QA case files are identified, a Form 8500, SSI Quality Assurance Data Input, is generated. At the conclusion of the sample, a summary report is produced. Worksheets and summary reports will be microfilmed.</p> <ol style="list-style-type: none"><li>1. Destroy worksheets and summary reports once microfilm has been proven acceptable. Destroy microfilm 5 years thereafter.</li><li>2. Destroy duplicate copies of QA case file after sample is complete. Return any original QA case file to the appropriate QA field staff.</li><li>3. Return Form 8500 to appropriate QA field staff to be included in QA case file once input is accomplished and edits resolved.</li><li>4. Destroy other background documents once sample is complete.</li></ol> <p>B. <u>Central Office Subsample (COSS) Records</u></p> <p>Records relating to a monthly sampling of QA case files reviewed by QA field staffs. The sampling evaluates quality of the reviewing process. Records consist of worksheets and related background documents, and a report of recommendations.</p> <p>✓ Destroy worksheets and related background documents 3 months after sampling is completed. ✓ Destroy report of recommendations 2 years thereafter.</p> <p>C. <u>Computer-Generated Listings</u></p> <p>Computer listings, not described elsewhere in this schedule. The following types are generated.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

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	<p>1. <u>Sample Control Reports</u></p> <p>These relate to identification and management of the BSSI, QA sample. Some are monthly; others are weekly. Examples include:</p> <p>a. <u>Monthly</u></p> <p>Sample Control List (CRC.21), a detailed listing of each case in the current sample. It is used by central office and field to determine the office assignment of QA cases and record status of each case in the field.</p> <p>Excluded Case Report (CRC.13), provides counts of cases automatically excluded from sample because of recent prior selections or pending appellate action.</p> <p>Selected Case File (SSS.9), a sequential SSN listing of every sample case, giving complete QA data base information at time of selection.</p> <p>Retain until SSI, QA data base is closed to additional input. Then destroy.</p> <p>b. <u>Weekly</u></p> <p>Sample Results Status Report (CRE.29), which gives counts of completed and pending cases, by State, sample month, and stratum.</p> <p>PRFS/SO Backlog Report (CRE.61), which lists the status (field review and case file reviews outstanding) of sample cases, by office, sample month, and State.</p> <p>Retain current and prior reports. Destroy earlier report on receipt of later report or when administrative value ends.</p> <p>2. <u>Turnaround Documents</u></p> <p>These are printouts of data input which was accepted to the QA data base (Transmission Validation Reports, CRE.27A) or which was reported in the edit process (Edit Error Reports (CRE-27)).</p>		

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	<p>File in respective QA case files to complete audit trail and document contents of QA data base. Destroy in accordance with instructions for QA case file.</p> <p>3. <u>Findings Reports</u></p> <p>These are tabulations, with varying frequencies, which document particular aspects of SSI, QA review findings. They all give data by State, SSA Region, nationwide, and by Federal Fiscal Liability (FFL) and SSI classifications. They include:</p> <p>State Impact Summary Report (CRE.45), a weekly report which gives case and dollar error rates. At the end of each 6-month sample period, a cumulative report is generated.</p> <p>Various monthly correlation reports (CRE.47-CRE.51) which compare selected deficiency characteristics with related data.</p> <p>a. <u>Weekly and Monthly Reports</u></p> <p>Retain current and prior reports. Destroy earlier report on receipt of latest report.</p> <p>b. <u>Cumulative Reports (Nationwide Summary Data)</u></p> <p>Permanent. Cut off file after 10 years. Retain for additional 10 years and offer to the National Archives. <i>Offer to National Archives when 20 years old.</i></p> <p>D. <u>Teletype Messages</u></p> <p>Punched paper tape prepared to transmit messages via ARS Telecommunications System between OQA field staffs, OQA field staff and OQA headquarters, and OQA headquarters and OQA field staff.</p> <p>Destroy after transmission has been received.</p> <p>E. <u>Data Reports</u></p> <p>Statistical reports of quality assurance samplings containing national information for regions or States on overpayments, payments to ineligible, underpayments and types of deficiencies. During the 6-month sampling period, reports are produced</p>		

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	<p>monthly containing cumulative statistics for that portion of the sampling period. A semiannual report reflects the complete sample.</p> <ol style="list-style-type: none"><li>1. Destroy monthly reports after <u>2</u> years.</li><li>2. Retain semiannual report permanently. Cut off file after 10 years. Hold an additional 10 years. Offer to the National Archives <i>when 20 years old.</i></li></ol> <p>F. <u>Special Studies</u></p> <p>Studies undertaken to locate sources of error in the SSI claims process. Examples are studies on ineligibility, redetermination, optional supplementation one-time payments. Included are photocopies of the QA case file, study forms and related quality assurance records. A report of the study is prepared and recommendations forwarded to other SSA components via memorandum.</p> <ol style="list-style-type: none"><li>1. Destroy source documents after completion of the study or when no longer needed for reference.</li><li>2. Retain reports and recommendations memoranda permanently. Cut off file after 10 years. Retain an additional 10 years. Offer to the National Archives <i>when 20 years old.</i></li></ol> <p>G. <u>OQA Task Force Records</u></p> <p>Work group established to study the concept of quality assurance in SSA and to study the possible combination of other SSA assurance groups. Included are background documentation relating to studies and projects, and a final report.</p> <ol style="list-style-type: none"><li>1. Retain final report permanently. Cut off file after 10 years. Hold an additional 10 years and offer to the National Archives <i>when 20 years old.</i></li><li>2. Destroy background documentation 2 years after completion of the project or study.</li></ol>		

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III.	<p><u>RECORDS RELATING TO STATE PAYMENTS</u></p> <p>Records identifying those FFL States (States that authorize SSA to administer the State's supplemental funds in connection with SSI program) due payment adjustments from SSA. A State error rate is determined each 6 months and amount of funds to be adjusted is projected. Records include FFL Accounting Report (CRE-28), a computer-generated report issued monthly showing FFL amounts, a final 6-month FFL Accounting Report, a letter to State showing error rate and projected funds to be adjusted, and other background documentation.</p> <p><i>A.</i> Retain final FFL Accounting Report and State Notification permanently. Cut off file after 3 years. Transfer to the FRC and offer to the National Archives <del>5 years</del> <i>when 8 years old</i> thereafter. <i>B.</i> Destroy monthly FFL accounting reports and other background documentation 3 months after State error rate finalized.</p>		
IV.	<p><u>PROGRAM INTEGRITY</u></p> <p>A. <u>Program Integrity Case Files</u></p> <p>Case files developed by field staff and forwarded to headquarters program integrity staff for action or special review. The program integrity case file contains documents relating to an investigation of possible criminal violations of Title XVI of the Social Security Act as amended. Included are copies of pertinent SSI claims folder material and documents accumulated during the course of the investigation.</p> <p>Return case file to appropriate program integrity field staff when action or review is completed. <i>Destroy 5 years after close of case.</i></p> <p>B. <u>Records of Program Integrity Management Information and Case Control System (PIMICS)</u></p> <p>Automated control system tracking complaints of fraud from point of receipt to point of disposition. Records consist of computer printouts of data base information at monthly, quarterly, and annual intervals, and on demand.</p>		

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	<p>Destroy printout upon receipt of subsequent comparable printout or when no longer needed for reference.</p> <p>C. <u>Special Studies</u></p> <p>Background documentation and final study reports relating to the integrity of SSA programs. Examples are studies regarding remittance and waiver, personal need funds in title XVIII nursing homes, false identity, and ease of obtaining a social security number.</p> <p><input checked="" type="checkbox"/> Retain one copy of final report permanently. Cut off file after 3 years. Hold an additional 5 years and offer to the National Archives. <i>when 8 years old.</i> <del>2.</del> Destroy background documents 2 years after completion of final report.</p>		