REQUEST FOR RECORDS DISPOSITION AUTHORITY	N1-47-05-1
To. NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001	Date received 1/27/05
1 FROM (Agency or establishment) Social Security Administration	NOTIFICATION TO AGENCY
2 MAJOR SUBDIVISION Office of Publications and Logistics Management	In accordance with the provisions of 44 U S C 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10
3 MINOR SUBDIVISION Center for History, Library and Records Management	

4 NAME OF PERSON WITH WHOM TO CONFER	5 TELEPHONE NUMBER	DATE	ARCHIVIST OF THE UNITED STATES
Bobbi Kagen, SSA Records Officer	1-410-965-5555 Fax 1-410-966-1704	5/26/05	Allen Weinstein

6 AGENCY CERTIFICATION

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached 11 page(s) are not needed now for the business for this agency or will not be needed after the retention periods specified, and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

☒ **not required** ☐ **is attached; or** ☐ **has been requested.**

DATE	SIGNATURE OF AGENCY REPRESENTATIVE	TITLE
12/6/04	Bobbi Kagen	Records Officer

7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	SEE ATTACHED SHEETS **Social Security Claims File** **Office of Origin:** Office of Disability and Income Security Programs (ODISP) Social Security Administration 6401 Security Boulevard Baltimore, MD 21235-6401 **Scheduling Authority:** Social Security Administration Deputy Commissioner for Finance, Assessment and Management Center for History, Library & Records Management Bobbi Kagen, SSA Records Officer Room 1501 Annex Building 6401 Security Boulevard Baltimore, MD 21235-6401 1-410-965-5555	N1-047-03-1	

115-109 PREVIOUS EDITION NOT USABLE **STANDARD FORM 115** (REV 3-91)
Prescribed by NARA 36 CFR 1228

SA 6/10/05 copies sent to Agency, NWMW, NR

I. Social Security Claim File

The schedule provides authoritative instructions for the retention or destruction of claim file records regardless of media related to Title II (Retirement, Survivors and Disability Insurance), Title XVI (Supplemental Security Income for the Aged, Blind and Disabled), and Title XVIII Parts A and B of the Social Security Act. It grants authority for the disposition of existing and future claim file records.

The claim file contains material related to the request for or continuation of benefits/payments under Titles II and XVI and to Title XVIII as it relates to those titles. Items in the claim file include but are not limited to the initial claim application, award/denial notice, supporting evidence and documentation for initial and continuing entitlement, various determination forms, changes in representative payees, overpayment/underpayment material, recordings of ALJ hearings, general correspondence, etc. Claim files involving blindness or disability will also include disability related information including documentation of the disability determination, supporting medical development and evidence, new medical material received after a medical decision has been made, continuing disability reviews, and other disability evidence.

Information in the claim file is used throughout SSA for purposes of determining initial or continuing eligibility for benefits, the amount of benefits and the appropriate payee for benefits; reviewing claims through the administrative appeals process; ensuring proper benefit payments; and answering inquiries about claims. A claim file record may include part or all information related to an individual claim number consistent with the particular business process. For example, based on a given business process, a particular claim may have two claim file records for the same claim. One claim file record may contain initial claim material while another claim file record contains post eligibility material. Additionally, claim file records created for different potential timeframes may be combined or joined together for business reasons. When this occurs, the combined claim file record will be maintained for the longest applicable retention timeframe.

Disposition Instructions

A. Inputs

Delete/destroy after recordkeeping copy has been placed in the claim file record and verified. (N1-47-03-1, Item 1/A)

B. Claim File Records

1. Title II domestic initial and post eligibility
NOTE: If the claim file record contains both initial and post-eligibility material, apply all record retention requirements in sections B.1., B.4. and guidance, as appropriate.

a. Initial claim is based on disability

(1) Person receiving benefits if:
(a) The person attains full retirement age;
or
(b) The medical reexamination date is scheduled to occur after attainment of full retirement age.

Delete/destroy the claim file record 7 years after the date of adjudication of the most recently awarded claim if the criteria above is met. (N1-47-03-1, Item 1/B/1/a/1)

NOTE: Persons in a suspense code are considered receiving benefits. Retain the record until the suspense is lifted. Delete/destroy the claim file record 7 years after the date the suspense is lifted if the rules in B.1.a. (1) apply.

(2) Person not receiving benefits (denial or terminated)
Delete/destroy the claim file record in accordance with the following:
(a) Medical reasons:
(i) The record reflects entitlement to childhood disability benefits that were terminated due to medical reasons.

Delete/destroy the claim file record 90 months following the month of termination;

(ii) The record reflects entitlement to disabled widow(er) benefits that were terminated due to medical reasons.

Delete/destroy the claim file record 90 months following the month of termination.

(iii) All others.

Delete/destroy the claim file record (including underpayment records) 5 years after the Agency's final denial or determination decision.

(b) Non-medical reasons
(i) The record reflects entitlement to disabled child benefits that were terminated due to the performance of substantial gainful activity (SGA).

Delete/destroy the claim file record 2 years after it can be established the individual who was entitled to disabled child benefits is deceased;

(ii) The record reflects entitlement to disability insurance or disabled widow(er) benefits terminated due to the performance of SGA.

Delete/destroy the claim file record 6 years after the month of entitlement/eligibility termination.

(iii) All others.

Delete/destroy the claim file record (including underpayment claim file records) 2 years after the Agency's final denial or termination decision.

b. Initial claim material not based on disability

(1) Person receiving benefits.

(a) The record reflects entitlement to disabled child benefits that were terminated due to medical reasons.

Delete/destroy the record 90 months following the month of termination.

(b) The record reflects entitlement to disabled child benefits that were terminated due to the performance of SGA.

Delete/destroy the claim file record 2 years after it can be established the individual entitled to disabled childhood benefits is deceased;

(c) The record reflects entitlement to widow(er) benefits that were terminated due to medical reasons.

Delete/destroy the claim file record 90 months following the month benefits ended.

(d) All others.

Delete/destroy records 6 years after the date of adjudication of the most recently awarded claim.

NOTE: Persons in a suspense code are considered receiving benefits Retain the record until the suspension is lifted.

Delete/destroy the claim file record 6 years after the date the suspense is lifted unless the rules in B.1.b. (1) apply.

(2) Person not receiving benefits (denied or terminated)

(a) The record reflects entitlement to disabled child benefits terminated due to medical reasons.

Delete/destroy the claim file record 90 months following the month of termination.

(b) The record reflects entitlement to disabled child benefits terminated due to the performance of SGA.

Delete/destroy the claim file record 2 years after it can be established the individual entitled to disabled benefits is deceased.

(c) The record reflects entitlement to disabled widow(er) benefits due to medical reasons.

Delete/destroy claim file record 90 months following the month of termination.

(d) All others.

Delete/destroy the claim file record (including underpayment records) 2 years after the Agency's final denial or termination decision.

c. Post eligibility material

(1) Retirement and Survivors Insurance cases where overpayment recovery has not been waived.

Delete/destroy the claim file record 10 years after collection efforts have been terminated.

(2) Terminated Disability Insurance claim with inactive overpayment collection.

Delete/destroy the claim file record 10 years after the case is identified as a non-pay status case with inactive overpayment collection for the primary beneficiary and/or 10 years for a case with an auxiliary.

(3) General

Delete/destroy all other post-eligibility claim file records 6 years after the action is processed to completion.

(4) Claim in Suspense

Delete/destroy the claim file record 6 years after the date the suspension is lifted if no other rule in this schedule applies.

2. Title II International Records
NOTE: If the claim file record contains both initial and post-eligibility material, apply all record retention requirements in B.2., B.4. and guidance, as appropriate.

a. Claim based on disability

(1) Person receiving benefits if:
(a) The person attains full retirement age;
or
(b) The medical reexamination date is scheduled to occur after attainment of full retirement age.

Delete/destroy the claim file record 7 years after the date of adjudication of the most recently awarded claim if the criteria above is met. N1-47-03-1, Item 1/B/2/a/1)

NOTE: Persons in a suspense code are considered receiving benefits. Retain the record until the suspension is lifted. Delete/destroy the claim file record 7 years after the date the suspense is lifted if the rules in B.2.a. (1) apply.

(2) Person not receiving benefits (denied, terminated or in a prohibited country):
(a) The record reflects entitlement to disabled child benefits terminated due to medical reasons.

Delete/destroy the claim file record 90 months following the month of termination.

(b) The record reflects entitlement to disabled child benefits terminated due to the performance of SGA.

Delete/destroy the claim file record 2 years after it can be established the individual entitled to disabled child benefits is deceased.

(c) The record reflects entitlement to disabled widow(er) benefits terminated due to medical reasons.

Delete/destroy the claim file record 90 months following the month of termination.

(d) The record reflects that any person on the record is in a country to which payment is prohibited by Treasury Department regulations, SSA restrictions, or SSA has the SSN listed under listing code 200.

Retain the claim file record until the prohibition is lifted. Use the date the prohibition is lifted to begin the retention period under sections B.2., B4, and guidance, as appropriate.

(e) All others.

Delete/destroy the claim file record (including underpayment records) 5 years after the Agency's final denial or termination decision.

b. Claim not based on disability

(1) Person receiving benefits

(a) The record reflects entitlement to disabled child benefits that were terminated due to medical reasons.

Delete/destroy the record 90 months following the month of termination.

(b) The record reflects entitlement to disabled child benefits that were terminated due to the performance of SGA.

Delete/destroy the claim file record 2 years after it can be established the individual entitled to disabled childhood benefits is deceased.

(c) The record reflects entitlement to widow(er) benefits that were terminated due to medical reasons.

Delete/destroy the claim file record 90 months following the month benefits ended.

(d) All others.

Delete/destroy records 6 years after the date of adjudication of the most recently awarded claim.

NOTE: Persons in a suspense code are considered receiving benefits. Retain the record until the suspension is lifted. Delete/destroy the claim file record 6 years after the date the suspense is lifted unless the exceptions in B.2.b. (1) above apply.

(2) Person not receiving benefits (denied, terminated, or in a prohibited country)

(a) The record reflects entitlement to disabled child benefits terminated due to medical reasons.

Delete/destroy the claim file record 90 months following the month of termination.

(b) The record reflects entitlement to disabled child benefits terminated due to the performance of SGA.

Delete/destroy the claim file record 2 years after it can be established the individual entitled to disabled child benefits is deceased.

(c) The record reflects entitlement to disabled widow(er) benefits terminated due to medical reasons.

Delete/destroy the claim file record 90 months following the month of termination.

(d) The record reflects that any person on the record is in a country to which payment is prohibited by Treasury Department regulations, SSA restrictions, or SSA has the SSN listed under listing code 200.

Retain the claim file record until the prohibition is lifted. Use the date the prohibition is lifted to begin the retention period under sections B.2., B4, and guidance, as appropriate.

(e) All others.

Delete/destroy the claim file record (including

underpayment records) 5 years after the Agency's final denial or termination decision.

c. Post Eligibility

(1) Retirement and Survivors Insurance cases where overpayment recovery has not been waived.

Delete/destroy the claim file record 10 years after collection efforts have been terminated.

(2) Terminated Disability Insurance claim with inactive overpayment collection.

Delete/destroy the claim file record 10 years after the case is identified as a non-pay status case with inactive overpayment collection for the primary beneficiary and/or 10 years for a case with an auxiliary.

(3) General

Delete/destroy the claim file record 6 years after the action is processed to completion.

(4) Claim in Suspense

Delete/destroy the claim file record 6 years after the date the suspension is lifted if no other rule(s) in this schedule applies.

(5) Prohibited Countries. The record reflects that any person on the record is in a country to which payment is prohibited by Treasury Department regulations, SSA restrictions, or SSA has the SSN listed under listing code 200.

Retain the claim file record until the prohibition is lifted. Use the date the prohibition is lifted to begin the retention timeframes under section B.2., B4, and guidance, as appropriate.

3. Title XVI claim and post-eligibility records.
NOTE: If the claim file record contains both initial and post-eligibility material, apply all record retention requirements in sections B.3., B.4. and guidance, as appropriate.

a Claim based on disability

(1) Person receiving benefits if:
(a) The person attains age 65, or
(b) The medical reexamination date is scheduled to occur after attainment of age 65.

Delete/destroy claim file records 7 years after the adjudication date of the most recently awarded claim. (N1-47-03-1, Item, 1/B/3/a/1)

NOTE: Persons in a suspense code are considered receiving benefits. Retain the record until the suspension is lifted. Delete/destroy the claim file record 7 years after the date the suspense is lifted if the rules in B.3.a. (1) apply.

(2) Person not receiving benefits (denied or terminated)
(a) Medical reasons

Delete/destroy claim file records 5 years after the Agency's final denial or termination decision.

(b) Eligibility to SSI disability/blindness benefits terminated due to excess earned income or a combination of earned and unearned incomes.

Delete/destroy claim file records 6 years after the month eligibility is terminated.

(c) For non-medical reasons

Delete/destroy 2 years after the Agency's final denial or termination decision.

b. Claim not based on disability

(1) Payments on the claim are payable.

Delete/destroy the claim file record 6 years after the adjudication date of the most recently awarded claim.

NOTE: Persons in a suspense code are considered receiving benefits Retain the record until the suspension is lifted. Delete/destroy the claim file record 6 years after the date the suspense is lifted.

(2) Payments on the claim are not payable (denied or terminated claim)

Delete/destroy the claim file record 2 years after the Agency's final denial or termination decision.

c. Title XVI post eligibility

(1) Underpayment actions

(a) Title XVI non-medical termination event underpayment claim file.

Delete/destroy 2 years after termination event.

(b) Title XVI medical termination event underpayment claim file.

Delete/destroy 5 years after medical termination event.

(2) Overpayment actions

Delete/destroy Title XVI overpayment claim file records 10 years after all collection actions have terminated.

(3) Redetermination Form (shortened)

Delete/destroy the claim file record 5 years after all actions are completed. (N1-47-03-1, Item 1/B/3/c/2)

(4) General

Delete/destroy other post-eligibility claim file records 6 years after action is processed to completion.

(5) Claim in Suspense

Delete/destroy the claim file record 6 years after the date the suspension is lifted if no other item this schedule applies.

4. Titles II/XVI Records—General
NOTE: If the claim file record contains both initial and post-eligibility material, apply all appropriate retention rules as provided in this schedule.

a. Representative Payee

(1) Titles II and XVI Representative Payee Applications

(a) Application to become a representative payee--
(i) Allow

Delete/destroy the claim file record 6 years after final adjudication of the application.

(ii) Deny or Terminate

Delete/destroy 5 years after denial to be representative payee.

(b) Termination of representative payee

Delete/destroy 5 years after termination.

(c) Title II beneficiary/Title XVI recipient denied/terminated

Delete/destroy the claim file record in accordance with the denial/termination rules under B.1., B.2, or B.3. above.

(2) Forms associated with representative payee accounting and monitoring such as the SSA-623, 624, 625, 6230, 6233 and equivalent forms.

Delete/destroy the claim file record 6 years after the action is completed. (N1-47-03-1, Item 1/B/4/a/2)

b. Disability/State Agency Trailer Mail – Medical and non-medical information related to a claim for disability benefits received after the disability decision has been made.

(1) Duplicate Record

Delete/destroy record upon determining record is duplicative. (N1-47-03-1, Item 1/B/4/b/1)

(2) Non-duplicative record—Disability Determination Services (DDS) determines record has bearing on case

Delete/destroy record in accordance with the claim file retention instructions. (N1-47-03-1, Item 1/B/4/b/2)

(3) Non-duplicative Record – DDS determines record does not have bearing on claim

Delete/destroy upon making determination that the record does not have a bearing on claim. (N1-47-03-1, Item 1/B/4/b/3)

C Outputs

1. Data Feeds to other SSA System(s)

   Verify feed and follow disposition instructions for related system(s). (N1-47-03-1, Item 1/C/1)

2. Ad hoc Reports

   Delete/destroy when no longer needed to conduct business. (N1-47-03-1, Item 1/C/2)

3. Correspondence, Notices and Receipts

   File with or link to individual claim file; follow disposition instructions of related claim file record. (N1-47-03-1, Item 1/C/3)

D. Systems Documentation
Those documents that provide a narrative description of the electronic system; physical and technical characteristics of the records, including a record layout that describes each field including its name, size, starting or relative position; and a description of the form of the data (such as alphabetic, zoned decimal, packed decimal, or numeric); or a data dictionary or the equivalent information associated with a database management system, including a description of the relationship between data elements in databases; and any other technical information needed to read or process the records. Systems documentation may include such items as manuals and software update documentation. Cut off when the system is superseded and/or replaced.

Delete/destroy 2 years after cutoff or when no longer needed for reference, whichever is later. (N1-47-03-1, Item 1/D)

E. Electronic Mail and Word Processing System Copies
Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by other items in this schedule. 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 recordkeeping 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 recordkeeping copy.

Delete/destroy within 180 days after the recordkeeping copy has been produced. (N1-47-03-1, Item 1/E/1)

2. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

   Delete/destroy when dissemination, revision, or updating is completed. (N1-47-03-1, Item 1/E/2)

Guidance

The following are examples where claims will be maintained beyond the scheduled period for destruction:

1. Fraud, Abuse or Misuse -- All claim file records where possible fraud, abuse or misuse have been identified or are involved in investigations of fraud, abuse or misuse will not be destroyed until the Office of the Inspector General provides approval to release such protection.

2. Court Cases -- All claim file records involved in court cases or class actions will be protected from destruction until completion of all the legal actions and the Office of the General Counsel provided approval to release such protection.

3. Administrative Sanctions –All claim file records which have been identified as potentially subject to administrative sanctions will not be destroyed until the Office of the Inspector General provides approval to release such protection.

Agency Concurrence

I have reviewed the record descriptions and their respective proposed dispositions 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 the people directly affected by the Agency's activities.

SSA General Counsel — Date: 11/17/04

Deputy Commissioner of Disability and Income Security Programs — Date: 11/12/04

Deputy Commissioner of Operations — Date: 11/15/04

Deputy Commissioner of Systems — Date: 11/12/04

SSA Records Officer
OPLM, CHLRM — Date: 11/18/04