

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

LEAVE BLANK

JOB NO

NC1-47-80-6

DATE RECEIVED

3-20-80

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disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10.

5-28-80

Date acting *James E. O'Neal* Archivist of the United States

TO: **GENERAL SERVICES ADMINISTRATION,
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408**

1. FROM (AGENCY OR ESTABLISHMENT)

Department of Health, Education, and Welfare

2. MAJOR SUBDIVISION

Social Security Administration

3. MINOR SUBDIVISION

District and Branch Offices

4. NAME OF PERSON WITH WHOM TO CONFER

Ernest P. Lardieri

5. TEL. EXT

594-5770

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 6 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

☐ **A** Request for immediate disposal.

☒ **B** Request for disposal after a specified period of time or request for permanent retention.

C. DATE	D. SIGNATURE OF AGENCY REPRESENTATIVE	E. TITLE
3/12/80	<i>George E. Deal</i> Dr. George E. Deal	Department Records Management Officer

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<u>RECORDS RETENTION AND DISPOSAL SCHEDULE</u> <u>DISTRICT AND BRANCH OFFICES</u>		
1.	<u>Hearing Decision Files</u> Copies of hearing decisions for those individuals residing in the district office (DO) service area who have requested an administrative review of their case by an administrative law judge. Included in the files are Forms HA-514, Hearing Decision, or its equivalent. Also included in the files may be copies of appellate decisions or Federal court decisions. These decisions are forwarded to the DO for reference and for use in answering any inquiries from the claimant regarding the decision. Also in Title XVI disability cessation cases the copy will be used to initiate termination of payments. Destroy 6 months after date of decision.		
2.	<u>Wage Posting or Correction Records</u> Records consisting of documents created in the posting of unreported FICA wages or in the correction of an erroneous posting. Included in the files are		

17 items

Copy to agency, NAF-5-30-80

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	<p>Forms SSA-7010, Notice of Determination of FICA Wages, or its equivalent, and related correspondence. Data on Form SSA-7010 consists of employer and employee identification information, corrected wage information, and certification that wages are correctly posted. Record copies of these documents are maintained in the claims folder. Copies are also retained by the Office of Central Operations and Internal Revenue Service.</p> <p>Destroy when 90 days old unless development establishes precedent. In that case, file in the precedent file and retain in accordance with disposition instructions for precedent documents.</p> <p>3. <u>Disclosure File</u></p> <p>Consent statements signed by claimant stating that specific personal information may be released to organizations such as State welfare departments, legal aid groups, pension funds, etc. These statements may be on the organization's stationery or may be on Form SSA-1610, Social Security - Public Assistance Agency Information Request and Report. Information contained in the statements or on Form SSA-1610 includes claimant identification, information to be released, and organization to be given the information. Also included in the file are requests by organizations, such as welfare departments or pension funds, for information about a large number of people. In these cases, the organization maintains individual consent statements, unless the request is for tax return information. SSA must then retain the individual consent statements for IRS audit.</p> <p>a. <u>Statements Requesting Disclosure of Tax Return Information</u></p> <p>Destroy when IRS audit is completed.</p> <p>b. <u>Other Disclosure Requests</u></p> <p>Destroy when disclosure transaction is completed.</p> <p>4. <u>Informal Disallowance File</u></p> <p>A file containing copies of Forms SSA-L991, Supplemental Security Income Information, and SSA-3462, Record of SSI Inquiry, or their equivalents. The records pertain to individuals who have inquired</p>		

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	<p>about eligibility for SSI benefits and who, upon review without verification of resources and other eligibility factors by the DO, are found to be ineligible for SSI benefits. No formal application is filed and no Title XVI claims folder established. Records are maintained by personal identifier--either surname or social security number. These documents are placed in the claims folder, if a Title II claim is filed, to document that the individual has been considered for SSI benefits.</p> <p>Destroy when 90 days old.</p> <p>5. <u>Undelivered Social Security Number Cards</u></p> <p>A file of undelivered social security number cards, Form SSA-702, Social Security Card, or its equivalent, maintained in alphabetical or social security number order. These cards are undelivered because either the address is incorrect or the individual has asked that the DO keep the card until he/she picks it up. Since the information is available on SSA's NUMIDENT and ALPHADENT system, a duplicate card may be issued at some future time when address or pickup problems are resolved.</p> <p>Destroy 30 days after returned to the DO as undeliverable or 30 days after card is made available for pickup by applicant.</p> <p>6. <u>Provider Summary Inspection Reports</u></p> <p>Form HCFA-2567, Statement of Deficiencies and Plan of Correction, or its equivalent, for hospitals, nursing homes, or other providers of Medicare services in the DO's servicing area. These are maintained by the DOs as part of the Freedom of Information materials available for public reference. HCFA-2567 contains the results of Medicare officials' inspection of providers. It includes a summary statement of deficiencies and the provider's plans to correct these deficiencies. Record copies of these inspection reports are maintained by the Health Care Financing Administration.</p> <p>Destroy upon receipt of updated report.</p> <p>7. <u>Quality Control Files</u></p> <p>Quality control records, such as Form SSA-3333U3,</p>		

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	<p>Quality Control Case Study, or its equivalent, used by DO operations analysts (OAs) to record deficiencies and errors found during their sample review. Information consists of case identification information, type of claim, type and description of error, and pertinent manual reference. The original copy of the Form SSA-3333U3 is attached to the folder being returned for error correction; one copy is forwarded to the supervisor, and one is retained by the OA. OA copies are used to prepare monthly quality reports sent to the DO manager.</p> <p>a. <u>Original Copy</u></p> <p>Destroy upon correction of error.</p> <p>b. <u>Other Copies</u></p> <p>Destroy when 6 months old.</p> <p>c. <u>Quality Review Reports</u></p> <p>Destroy when 1 year old.</p> <p>8. <u>Master Beneficiary Record (MBR) Correction Records</u></p> <p>Documents, such as Form SSA-3274, Correction Input Data HIMBR, and SSA-3709, MBR Records Corrections, or their equivalents, used to input corrective health insurance (HI), retirement and survivor's insurance, or disability insurance information to the HI master record and/or MBR. These coding sheets usually contain information such as beneficiary name, claim number, and corrected information.</p> <p>Destroy when 90 days old.</p> <p>9. <u>Query Records</u></p> <p>Coding sheets, such as Form SSA-2467, Request for HI/MBR/SSR Information or HI Card, or its equivalent, used to request any online information from the HI, MBR, or Supplemental Security Record (SSR) master record. These input data worksheets are also used for the transmission of requests for replacement of HI cards. Information on these records consists of claimant identification, program identification, and requested information.</p> <p>Destroy when 30 days old.</p>		

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	<p>10. <u>Redetermination Case Control Cards</u></p> <p>Computer-generated punchcards used for the input of redetermination information into the SSR. Punchcards are sent to the DOs from the Office of Systems for SSI recipients in the DO's service area. Information on the cards consists of case identification information. Cards are used to enter the results of the redetermination if there are no changes in living arrangements and eligibility factors as a result of the redetermination.</p> <p>Destroy 6 months after completion of the redeterminations or when administrative value ceases, whichever is earlier.</p> <p>11. <u>Teletype Files</u></p> <p>Teletypes received by DOs via SSA Data Acquisition and Retrieval System (SSADARS) or Advance Records System (ARS) covering a variety of subjects, such as beneficiary data, reports, or procedures. Disposition instructions for the teletype are contained in the transmission.</p> <p>Destroy in accordance with teletype disposition instructions.</p> <p>12. <u>Program and Management Reports</u></p> <p>Program and management reports, such as overtime and staffing reports, workloads and production reports, and other reports received or prepared to submit narrative or statistical data to management offices. Reports may be required or issued by central office, the regional office, or the area director. Specific examples of central office issued reports include:</p> <ul style="list-style-type: none">a. District Office Workload Derivative Report;b. District Office Workload Summary Report;c. SSI Initial Claims Processing Times Report;d. District Office Totals - Exception Control Report;e. SSA Critical Case System Processing Report;f. Average Award Processing Time Report; and		

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	<p>g. Title II Postentitlement Reports.</p> <p>Regional office or area director reports are locally developed and are unique to that region or area.</p> <p>Destroy 1 year after the close of the calendar year in which dated.</p> <p><u>Note:</u> If reports issued at specific intervals are compiled into a final summary report (i.e., weekly into monthly, monthly into quarterly, quarterly into annual report), retain final summary report covering longest time interval (i.e., annual report) for 1 year after the close of the calendar year in which dated. Destroy other reports when administrative value ceases.</p> <p>13. <u>Work Sampling Transmission Documents</u></p> <p>Hard copy documents of systems transmission of sampling data to central office. Data is transmitted weekly and includes sampling information on pending and completed workloads. Information is transmitted via SSADARS or ARS.</p> <p>Destroy 2 months after the end of the sample month.</p> <p>14. <u>Time and Attendance Payroll Transmission Documents</u></p> <p>Hard copy documents of systems transmissions of time and attendance information to central office for payroll preparation purposes. Information is transmitted via SSADARS or ARS.</p> <p>Destroy When 2 weeks old.</p>		