

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

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

1. FROM (AGENCY OR ESTABLISHMENT)

Health & Human Services

2. MAJOR SUBDIVISION

Social Security Administration

3. MINOR SUBDIVISION

Office of Central Operations

4. NAME OF PERSON WITH WHOM TO CONFER

Ernest P. Lardieri

FWB

5. TEL EXT

934-5770

LEAVE BLANK

JOB NO

NC1-47-84-1

DATE RECEIVED

11-16-83

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disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10

1-5-84

Date

Blank
Archivist of the United States

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 5 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 8/22/83	D. SIGNATURE OF AGENCY REPRESENTATIVE <i>Dr. George E. Deal</i> Dr. George E. Deal	E. TITLE Department Records Management Officer
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7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
	<u>Office of Disability Operations</u> <u>Fiscal and Program Records</u> Attached pages revising SSA's Records Retention and Disposal Schedule published in Administrative Directives System Guide OCO.g:40-2, Appendix D, originally approved as NARS job number NC 174-258.		
		26 items	

MASS DATA CHANGE SHEET NOT REQUIRED

ALPN SENT 1-10-84 BY DMM.

INSTRUCTIONS

General Instructions.

Use Standard Form 115 (obtainable from supply depots of the Federal Supply Service, General Services Administration) and the continuation sheet Standard Form 115a (obtainable from the Records Disposition Division, Office of Federal Records Centers, National Archives and Records Service, Washington, D.C. 20408) to obtain authority to dispose of records or to request permanent retention of records. Detach the fifth copy from the set and keep as your reference copy. Submit the first four copies of the set to the National Archives and Records Service. One copy will be returned to the agency as notification of items that are authorized for disposal. Items withdrawn or not approved for disposal will be so marked. Each SF 115 requiring Comptroller General concurrence must be accompanied by a notification of approval from GAO.

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 be signed and dated on the four copies by the agency representative. The number of pages involved in the request should be inserted.

Box A should be checked if the records may be disposed of immediately. Box B should be checked if continuing disposal authority is requested or if permanent retention is requested. Only one box may be checked.

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 or retention. 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 disposal is to be made of the records, thus:

If immediate disposal is requested or, past accumulations of records, the inclusive dates during which the records were produced should be stated.

If continuing disposal is requested for records that have accumulated or will continue to accumulate, the extent in 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, or otherwise reproduced or recorded on machine readable media, the retention period should read: "Until ascertained that reproduced copies or recordings have been made in accordance with GSA regulations and are adequate substitutes for the paper records." Also, the provisions of FPMR § 101-11.5 should be observed.

Entry 9 should be checked if samples are submitted for an item. However, samples of the records are not required unless they are requested by the NARS appraiser. If an item has been previously submitted, the relevant job and item number should be entered.

Entry 10 should be left blank.

OCO- Dale L. Ireland

James L. Clark, ODO, OSS
ODO REPRESENTATIVE

for
SSA RECORDS OFFICER

August 15, 1983

August 15, 1983
DATE

8/18/83
DATE

Description of RecordsAuthorized Disposition1. Disability Inquiry RecordsODO-Controlled Correspondence Files

These files consist of individual folders containing records accumulated in processing and responding to a specific piece of ODO-controlled correspondence. Included in each folder is a copy of the original inquiry and final SSA response, and copies of interim responses. The folders are arranged in SSN sequence.

Destroy 1 year after final response.

2. Recovery of Overpayment and
Supplementary Medical Insurance (SMI)
Premium Collection Records

The records described below accumulate in the controlling and accounting of all monies incorrectly paid to social security beneficiaries. They consist of records generated as a result of the automated system, Recovery of Overpayments, Accounting and Reporting (ROAR), and those created in recovering health insurance overpayments or in paying SMI premiums.

a. Computer Input Coding Records

These files consist of Form SSA-1112, Accounts Receivable Coding Sheet, and equivalent documents used to enter accounting and statistical information into the ROAR System (DIB) and to manually annotate the SSA-5079, Health Insurance Overpayment Ledger Card (Obsoleted 1982), for Coal Mine Health and Safety Act (CMHASA) (Black Lung) Benefits and update the DEC System (Black Lung).

Destroy upon verification of their acceptance in the ROAR and/or DEC Systems.

b. Monthly Cumulative Records

These are monthly computer listings representing transactions through the last day of the month to which they pertain. They further contain a complete history of all established overpayment, and conserved and misused fund accounts, both open and closed.

~~(1) Non-CMHASA (Black Lung)~~

WITHDRAWN

~~Destroy when superseded by an updated list.~~

(2) CMHASA (Black Lung) Records

Destroy when 1 year old.

Description of RecordsAuthorized Dispositionc. Remittance Registers

These records consist of Form SSA-124-U3, Remittance Register, or its equivalent. They identify all receipts of cash, checks, postal notes and money orders, including those related to the refund of health insurance overpayments or to the payment of SMI premiums and Coal Mine Health and Safety Act (Black Lung) overpayments.

Transfer to the FRC 3 years following the close of the calendar year in which dated. Destroy 6 years after the calendar year in which dated.

d. Health Insurance and CMHASA (Black Lung) Overpayment Ledger Cards

These records consist of Form SSA-5079, Health Insurance Overpayment Ledger Card (Obsoleted 1982), or its equivalent. The records are used to maintain a record of repayments by health insurance beneficiaries or Black Lung beneficiaries.

(1) Health Insurance Records

Transfer to FRC after conversion to ROAR System. Destroy 4 years after converted.

(2) CMHASA (Black Lung) Records

(a) Collection action waived or overpayments repaid: Transfer to the FRC 9 months after action waived or overpayment repaid. Destroy 4 years after action waived or overpayment repaid.

(b) Collection action suspended: Upon implementation of National Accounts Receivable or ROAR System, transfer to the FRC. Destroy 4 years after implementation into National Accounts Receivable or ROAR system.

~~e. Recovery and Collection Action Reports~~

~~These records consist of Forms SSA-3832 (formerly OA-0397), Report of Recovery and Collection Actions; and SSA-397, A Report of Recovery and Collection Actions (Health Insurance), or their equivalents. The records summarize activities regarding the recovery and collection of Title II and Title XVIII overpayments and CMHASA (Black Lung) overpayments from social security beneficiaries.~~

~~Destroy 3 years after the year in which dated.~~

WITHDRAWN

f. SMI Premium Control Records

These records consist of prenumbered Form SSA-1395-BK, Receipt and Transmittal of Refund Payments, Premium Payments and Returned Benefits Checks. The records are prepared to control all SMI premium remittances processed.

Destroy when 1 year old.

Description of RecordsAuthorized Disposition**3. FISCAL AND AUDIT RECORDS****a. Benefit Detail Balanced Block Listings for CMHASA (Black Lung)**

These listings include information on balanced blocks, out-of-balance blocks, and blocks with inconsistent items.

Destroy after 90 days.

b. Statements of Transactions and Supporting Records

These records consist of copies of SF-224, Statement of Transactions, or its equivalent. The records are prepared at the close of each accounting month. (Originals are forwarded to the Treasury Department pursuant to the Treasury Fiscal Requirements Manual.) Also included in this category are documents supporting the Statement of Transactions, such as Forms SSA-2049, Daily Report of Benefit Activity; the equivalent late, summary and final reports; SF-215, Deposit Ticket; SF-1081, Voucher and Schedule of Withdrawals and Credits; SF-1098, Schedule of Canceled Checks; SF-1184, Unavailable Check Cancellation; SF-1017G, Journal Voucher; SF-1166, Voucher and Schedule of Payments; Treasury Form 5515, Debit Vouchers; SSA-666, Adjustment in Trust Fund Accounts; copies of SSA-110-U4, Voucher and Schedule of Payments under Titles II and XVIII, Social Security Act, as Amended, and the CMHASA (Black Lung), used in preparation of daily report of benefit activity; and equivalent documents.

Transfer to FRC 1 year after close of fiscal year in which dated. Destroy 6 years and 3 months after period covered by account.

c. General Fund Reimbursement Reports

These records consist of reports of net reimbursement to the trust fund from general funds. Included are Prouty worksheets and computer listings which reflect general fund totals.

Transfer to FRC 1 year after close of fiscal year in which dated. Destroy ~~6 years~~ and ~~3 months~~ after period covered by account.

d. Coal Mine Payment Benefit Edit Tapes

These records consist of daily worksheets which are used in compiling fiscal control totals. They are used in SSA's administration of the CMHASA (Black Lung) program.

Destroy after 2 years.

Description of RecordsAuthorized Disposition~~e. Daily Cancellation Listings~~

These records are daily listings received from the Department of Treasury which identify all checks canceled by Treasury for a particular day. They are used as an aid in identifying out-of-balance

Destroy on balancing monthly totals.

WITHDRAWN

~~f. Monthly Cancellation Listings~~

These records are monthly listings received from the Department of Treasury which identify all checks canceled by Treasury for the month. The files are used by Fiscal Control and Audit to verify that the total reflected on their copy of the monthly cancellation listing agrees with the total of the daily SF-1098, Schedule of Canceled Checks, received for the month.

Destroy after balancing operation has been completed.

WITHDRAWN

~~g. Returned Check Operations Listings~~

These listings contain check cancellation data on instances where computer-determined totals are not in agreement with the check cancellation listings and the SF-1098, Schedule of Canceled Checks.

Destroy after all discrepancies have been reconciled with the local Department of Treasury office.

WITHDRAWN

4. EXCEPTION PROCESSING RECORDSa. Social Security Benefit Payment Vouchers and Related Records

These records accumulate as a result of making benefit payments to social security beneficiaries under Titles II and XVIII of the Social Security Act, as amended, and under the Coal Mine Health and Safety Act. Included are copies of Forms SSA-110-U4, Voucher and Schedule of Payments under Titles II and XVIII, Social Security Act, as amended; Forms SSA-3925 through SSA-3932 (formerly SSA-107), benefit and determination notices; SSA-101-U3 (formerly OA-C101C), Determination of Award (when manually processed by the Treasury Department outside of the EDP system) or their equivalents; and computer listings containing payment or stop-payment information, the originals of which have been submitted to the Department of Treasury.

(1) Control copy of Form SSA-110

Destroy upon receipt of "Paid" copy from Fiscal Control and Audit.

(2) All other documents

Transfer to FRC after 90 days. Destroy 6 years and 3 months after period covered by account.

Description of RecordsAuthorized Dispositionb. Hold Check Listings

These records consist of documents received from disbursing centers which list checks held for the current month.

(1) Paper Listings

Destroy upon receipt and acceptance of microfiche.

(2) Microfiche

Destroy when 7 years old.

c. Check Return and Cancellation

These records consist of documents received from disbursing centers at the end of the month which list all the prior month's checks returned and canceled by the Department of Treasury. A microfiche copy of the check cancellation and return information is received annually.

(1) Paper Listings

Destroy upon receipt and acceptance of microfiche.

(2) Microfiche

Destroy when 7 years old.

d. Regular Transcript Pass Tape (RTPT) Listing Files

These files consist of RTPT listings of control, exception, balancing and notification data, grouped in SSN sequence by message code. The listings also contain reconciliation totals for validations. The listings are used in balancing the regular transcripts (CMHASA Listings) and were used to balance the Disability Insurance Listings until April 1977.

(1) Disability Insurance Listings:(a) Listings Created Prior to April 1, 1977

Transfer to the FRC after 1 year. Destroy after a total of 6 years and 3 months retention.

(b) Listings Created on or after April 1, 1977

Destroy when 1 year old.

(2) CMHASA (Black Lung) Listings

Transfer to the FRC after 1 year. Destroy after a total of 6 years and 3 months retention.