

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		JOB NUMBER <i>NI-184-091</i>	
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received <i>9/10/08</i>	
1 FROM (Agency or establishment) Railroad Retirement Board		NOTIFICATION TO AGENCY	
		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
2 MAJOR SUBDIVISION Office of Programs			
3 MINOR SUBDIVISION Office of Policy and Systems			
4. NAME OF PERSON WITH WHOM TO CONFER	5 TELEPHONE NUMBER	DATE	ARCHIVIST OF THE UNITED STATES
Charles Mierzwa	(312) 751-3363	<i>7/9/09</i>	<i>Adrian Thomas</i>
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 <u>3</u> 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,			
<input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached, or <input type="checkbox"/> has been requested			
DATE <i>9-8-2008</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>Charles Mierzwa</i> Charles Mierzwa		TITLE RRB Records Officer
7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
(1)	Railroad Retirement Board (RRB) Imaging System	NI 184-99-01 Item 12-1	

## DESCRIPTION OF ITEM AND PROPOSED DISPOSITION

### **Item 10-5 Railroad Retirement Board (RRB) Imaging System**

Digital Imaging system that captures, stores, retrieves and processes a wide variety of claims-related Railroad Retirement Act (RRA) and Railroad Unemployment Insurance Act (RUIA) documents

Item 1

#### **(a)(1) RRA Imaging System Data**

System component consisting of digital images of scanned or directly input documents (from other electronic systems/applications), that serve to provide life-cycle documentation of an annuitant and their family member(s) eligibility to benefits under the RRA

Records include, but are not limited to, applications for benefits, evidence of entitlement; the RRB's decisions and awards and the underlying computations; changes in benefit status (including the suspension and termination of benefits), representative payee development and monitoring, income tax withholding, post adjudicative monitoring efforts, overpayment recovery/debt-collection documents, and related correspondence, word processing records and E-mails

**Proposed Disposition:** Destroy/delete individual claimant data 7 years after the close of the fiscal year determined to be inactive

Scheduled

#### **(a)(2) RRA Imaging SQL Indexing Database**

GRS 20,  
Item 9

**Proposed Disposition:** Destroy/delete with related RRA Imaging System data.

Scheduled

#### **(a)(3) RRA Imaging Scanned Documents**

GRS 20,  
Item 2a(4)

Series consists of original hard copy (paper) RRA – related documents scanned into the Imaging system by RRB headquarters and field office staff. Records include, but are not limited to, applications for benefits, evidence of entitlement, RRB's decision and awards; the underlying computations; changes in benefit status, including the suspension and termination of benefits, post-adjudicative efforts including representative payee development and monitoring activity, Medicare, income-tax withholding, overpayment recovery/debt-collection, and related correspondence, word-processing records and E-mails

**Proposed Disposition:** Destroy 90 days after the date scanned into the system or after completion of the quality assurance process, whichever is later

Scheduled

#### **(b)(1) RUIA Imaging System Data**

NI-184-99-1,  
Item 1

System component consisting of digital images of scanned or directly input documents (from other electronic systems/applications) currently captured on optical disk, that serve to provide documentation of an applicant's application and claim(s) for sickness and unemployment benefits, payment or denial activity and any associated debt-collection activity. Records include, but are not limited to, sickness and unemployment applications and claim forms; records related to the payment or denial of benefits, including notices of late filing and separation allowances; RUIA Lien Notice Files, records documenting the debt notification and debt recovery process, and related correspondence, word processing records and E-mails.

**Proposed Disposition:** Destroy/delete claimant data 6 years and 3 months after the end of the benefit year unless debt-recovery action is indicated. Destroy/delete debt-recovery related data 6 years and 3 months after recovery has been completed or waived

Scheduled  
GRS 20,  
Item 9

**(b)(2) RUIA Imaging SQL Indexing Database**

**Proposed Disposition:** Destroy/delete with related RUIA Imaging System data.

Scheduled  
GRS 20,  
Item 2a(4)

**(b)(3) RUIA Imaging Scanned documents**

Series consists of original hard copy (paper) RUIA-related documents scanned into the Imaging system by RRB headquarters and field office staff. Records include, but are not limited to, sickness and unemployment applications and claim forms, records related to the payment or denial of benefits, including notices of late filing and separation allowances, RUIA Lien Notice Files; records documenting the debt notification and debt recovery process, and related correspondence, word processing records and E-mails

**Proposed Disposition** Destroy 90 days after the date scanned into the system or after the completion of the quality assurance process, whichever is later

Scheduled  
GRS 20,  
Item 2b

**(c) Interim Processing Files**

Series consists of electronic files including Tagged Image Files (TIF), Text Files, Document Definition Files (DDF), and static and variable system files

**(1) Tagged Image Format Files (TIF) and/or TextFiles, and Document Definition Files (DDF)**

TIF's are files created when items are scanned. When TIF's are processed by the scanning software, Document Definition Files (DDF's) are created. DDF's help define which TIF belong to which document e.g. Document 1 might be TIF's 1,2,3,4, and 5. Document 2, TIF's 6 and 7. Text files (such as word processing documents) can be attached to imaging documents

**Proposed Disposition:** Delete upon processing by imaging system

**(2) Static and variable files**

Electronic files created upon processing of TIF and DDF files by Rapid Batch Entry (RBE) program that is maintained on a fileserver and used to facilitate workflow and internal processing. Inactive static and variable files are copied to optical disk creating the "archival" or "resord copy". Static files consist of imaged documents. Variable files consist of electronic form information such as name, SS# etc. Variable file information changes when the electronic form is modified and include information regarding when an image is accessed in workflow or when an attachment or note is added

**Proposed Disposition:** Copy inactive files to optical disk when internal processing is completed and delete.

Scheduled  
GRS 20,  
Item 16

**(d) System Generated Electronic Management Information Reports**

Series includes recurring work status and productivity reports as well as various ad-hoc and non-recurring reports

**Proposed Disposition** Destroy/delete when 3 years old or no longer needed for administrative use, whichever is sooner

Scheduled ~~(e) Electronic Mail and Word Processing Copies~~

GRS 20,

Items 13

and 14

Electronic copies of related records that are created on electronic mail and word processing systems and used solely to generate a record keeping copy (see items (a)(2) and (b)(2) for record keeping copies) 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 record keeping 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 record keeping copy

**Proposed Disposition:** Destroy/delete within 180 days after the record keeping copy is produced

(2) Copies used for dissemination, revision or updating that are maintained in addition to the record keeping copy

**Proposed Disposition:** Destroy/delete when dissemination, revision, or updating is completed

**Certification**

I have reviewed the record descriptions and their respective proposed dispositions for the Railroad Retirement Board Imaging System that are listed on the previous pages 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 people directly affected by the Railroad Retirement Board's activities

  
\_\_\_\_\_  
RRB Inspector General

9/4/2008  
Date

  
\_\_\_\_\_  
RRB General Counsel

9/8/2008  
Date

  
\_\_\_\_\_  
RRB Records Officer

9/8/2008  
Date

## **Explanatory Notes Railroad Retirement Board (RRB) Imaging System**

### **Background**

The RRB utilizes a digital imaging system, currently divided into two subsystems which provide for the storage, retrieval and processing of most<sup>1</sup> Railroad Retirement Act (RRA) and Railroad Unemployment Insurance Act (RUIA) documents

The RRA portion of the system, though currently an unscheduled series, has been reviewed and evaluated previously by NARA staff as part of RRB submission NI 184-02-01 (withdrawn by RRB) and was determined to be non-permanent. The RUIA portion of the system has been previously appraised by NARA and is a scheduled record series under authority granted by NARA (NI 184-99-01)

With the submission of the SF-115, the RRB proposes to combine the two series, while also providing for the expansion of Imaging to RRB field offices thereby allowing them to process "field office only" records as well as items that they now mail in to RRB headquarters for scanning. It is the RRB's intent to have more than half of all field offices scanning their own records by the middle of FY 2008 with full-scale field implementation by mid FY-2009.

The RRA portion of the system consists of scanned or directly input documents that serve to provide life-cycle documentation of an annuitants and their family member(s) application for benefits under the RRA. The system will eventually replace RRA paper claim folders over a period of years. Records maintained by the system include, but are not limited to, applications for benefits, evidence of entitlement, the RRB's decisions and awards, the underlying computations, changes in benefit status, including the suspension and termination of benefits; post adjudicative monitoring efforts including representative payee development and monitoring activity; Medicare, income tax withholding; overpayment recovery/debt-collection documents, and any related correspondence, word-processing records and E-mails

The RUIA portion of the system consists of scanned or directly input documents that serve to document activity related to an applicant's application and claim(s) for RUIA sickness or unemployment benefits and any related adjudicative actions including, denial actions, follow-up, debt-recovery, or other adjudicative actions and any related correspondence, word-processing records and E-mails

The system receives input from interim electronic processing files (generated from the scanned documents or documents directly input from other information systems) and are used to facilitate workflow and internal processing. After a period of inactivity, the data these interim processing files contain is transferred to optical disk (creating the archival record). The system also generates miscellaneous statistical and production reports for management purposes

### **Justification of Proposed Disposition(s)**

The descriptions of the records and their proposed dispositions were developed as a result of a cooperative effort between RRB records management, program, legal and Inspector General staff and are designed to meet the RRB's legal, fiscal and administrative needs

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<sup>1</sup> Certain documents associated with the administration of the disability program under the RRA are not currently included with this system, but are being maintained in hardcopy document files (See Railroad Retirement Act Claim Folders (NARA 184-08-01))

The RRB has proposed the following dispositions:

**Item 10-5 Railroad Retirement Board (RRB) Imaging System**

**(a)(1) RRA Imaging System Data**

**Proposed Disposition** Destroy/delete individual claimant data 7 years after the close of the fiscal year determined to be inactive.

The RRB will periodically inactivate system data. We will use the same criteria to identify inactive system data that we have traditionally used to establish inactivity for a claim folder . . . a claimant's RRA data will be defined as inactive if 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. The RRB's legal, fiscal and administrative needs are met by the proposed disposition

**(a)(2) RRA Imaging SQL Indexing Database:**

**Proposed Disposition:** Destroy/delete with related RRA Imaging System data.

The proposed retention is consistent with NARA General Records Schedule (GRS) 20 Item 9 and satisfies the RRB's legal, fiscal and administrative needs

**(a)(3) RRA scanned documents:**

**Proposed Disposition:** Destroy 90 days after the date scanned into the system or after completion of the quality assurance process, whichever is later.

The RRB's Office of Programs and Office of Inspector General have agreed that all hard copy documents scanned into the system can be disposed of 90 days from scan date provided that required quality assurance (QA) activities are completed. The proposed contingent retention requires that QA activity be completed before any disposal action can occur. The RRB's legal, fiscal and administrative needs are met by the proposed disposition

**(b)(1) RUIA Imaging System Data**

**Proposed Disposition:** Destroy/delete when 6 years and 3 months after the end of the benefit year created unless debt-recovery action is indicated. Destroy/delete debt-recovery related data 6 years and 3 months after recovery has been completed or waived

Since last scheduled by NARA (NI 184-99-01) the use of the RUIA Imaging System has been expanded to include documents associated with debt-recovery records. Given the nature of debt-recovery and GAO-approved dispositions, the disposition has been modified to account for claims data with/without associated debt-recovery documents. The RRB's legal, fiscal and administrative needs are met by the proposed disposition

**(b)(2) RUIA Imaging SQL Indexing Database:**

**Proposed Disposition:** Destroy/delete with related RRA Imaging System data.

The proposed retention is consistent with NARA General Records Schedule (GRS) 20 Item 9 and satisfies the RRB's legal, fiscal and administrative needs

**(b)(3) RUIA Scanned documents**

**Proposed Disposition:** Destroy 90 days after the date scanned into the system or after completion of the quality assurance process is completed, whichever is later.

The RRB's Office of Programs and Office of Inspector General have agreed that all hard copy documents scanned into the system can be disposed of 90 days from scan date provided that required quality assurance (QA) activities are completed. The proposed contingent retention requires that QA activity be completed before any disposal action can occur. The RRB's legal, fiscal and administrative needs are met by the proposed disposition.

**(c) Interim Processing Files**

The proposed series will consist of electronic files (including Tagged Image Files (TIF) and Document Definition Files (DDF) which contain input documents that are maintained in batch file format on a fileserver and used to facilitate workflow and internal processing. When the internal processing on these electronic files is completed they become input to the RRB optical disk. The RRB's legal, fiscal and administrative needs are met with the proposed disposition.

**(1) Tagged Image Format Files (TIF) and/or Textfiles, and Document Definition Files (DDF)**

**Proposed Disposition:** Delete upon processing by imaging system.

TIF's are files created when items are scanned or directly input from other systems. When TIF's are processed by the scanning software, Document Definition Files (DDF's) are created. DDF's help define which TIF belong to which document e.g. Document 1 might be TIF's 1,2,3,4, and 5. Document 2, TIF's 6 and 7. Text files (such as word processing documents) can be attached to imaging documents. Static and variable files are created upon processing of TIF and/or text files, and DDF files by a Rapid Batch entry (RBE) program that is maintained on a fileserver and are used to facilitate workflow and internal processing. Once the Static and Variable files are created, the TIF's and DDF's are no longer needed and thus are deleted. The RRB's legal, fiscal and administrative needs are met by the proposed disposition.

**(2) Static and variable files**

**Proposed Disposition:** Transfer information to optical disk when internal processing is completed and delete.

Static and variable files created by processing of TIF, and/or text files, and DDF files by a Rapid Batch Entry (RBE) program. Maintained on a fileserver and used to facilitate workflow and internal processing, these electronic files become input files to the RRB optical disk when internal processing is completed. The RRB's legal, fiscal and administrative needs are met by the proposed disposition.

**(d) System Generated Electronic Management Information Reports**

**Proposed Disposition:** Destroy/delete when 3 years old or no longer needed for administrative use, whichever is sooner.

The proposed series consists of various recurring and hoc electronic reports generated by the system that provide information to management officials regarding work activity. The RRB's legal, fiscal and administrative needs are met by the proposed disposition.

**Item 10-1 (e) E-Mail and Word Processing Records**

**(e)** Electronic copies of related records that are created on electronic mail and word processing systems and used solely to generate a record keeping copy (see items 10(b) and (e) for record keeping copies). 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 record keeping 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 record keeping copy.

**Proposed Disposition:** Destroy/delete within 180 days after the record keeping copy is produced.

(2) Copies used for dissemination, revision or updating that are maintained in addition to the record keeping copy.

**Proposed Disposition:** Destroy/delete when dissemination, revision, or updating is completed

Proposed disposition for this series is consistent with NARA guidelines for these types of records and meets the RRB's legal, fiscal and administrative needs