

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER NI-184-09-3	
To NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received 9/17/09	
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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	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 Bureau of the Actuary			
3 MINOR SUBDIVISION			
4 NAME OF PERSON WITH WHOM TO CONFER	5 TELEPHONE NUMBER	DATE	ARCHIVIST OF THE UNITED STATES
Charles Mierzwa	(312) 751-3363	9/15/09	
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>7</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 type="checkbox"/> is not required <input checked="" type="checkbox"/> is attached, or <input type="checkbox"/> has been requested			
DATE 9-15-2009	SIGNATURE OF AGENCY REPRESENTATIVE  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7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
(1-26)	Railroad Retirement Board Bureau of the Actuary (comprehensive)	NCI 184-88-1 Item(s) 2-1 through 2-5 NCI 184-89-3 Item(s) 8-12 through 8-35	

**RRB RECORDS SCHEDULE 2
Bureau of the Actuary**

The Bureau of the Actuary is responsible for periodically determining the actuarial soundness of the benefit systems and recommending changes in tax rates as needed, calculating the amount of the financial interchange with the social security system, and compiling reports, articles and other tabular material for RRB publications

- 1** **2-1** **Chief Actuary Program and Policy Files**
Correspondence, memoranda, reports, e-mail messages, and other documents maintained by the Chief Actuary related to policy-making decisions, significant program management functions, procedures, initiatives, and other mission and policy-related issues
- PROPOSED DISPOSITION PERMANENT** - Cut off annually Transfer to NARA in 10-year blocks when 15 years old
- Current NARA authority NEW
- 2** **2-2** **Chief Actuary Working Files**
Nonessential working documents retained for reference purposes by the Chief Actuary Included are extra copies of official file material, supporting or background documents used in developing official files, but not needed as part of the official file, material not acted upon, documents used as administrative aids, and documents that do not serve as a basis for official action
- PROPOSED DISPOSITION** Review annually, Destroy when two (2) years old or no longer needed for reference, whichever is later
- Current NARA authority NEW
- 3-4** **2-3** **Actuarial Valuations**
Actuarial valuations of RRB assets and liabilities under the Railroad Retirement Act (RRA) Includes required Section 22 (RRA)/Section 502 (Railroad Retirement Solvency Act of 1983) annual report to Congress of the actuarial status of the Railroad Retirement System as well as triennial valuation in accordance with Section 15 of the RRA
- a) Record copy
- PROPOSED DISPOSITION PERMANENT** – Transfer to NARA when 25 years old in 10 year blocks
- b) Other copies
- PROPOSED DISPOSITION** Destroy when no longer needed for administrative use
- Current NARA authority NCI-184-88-1 Item 2-1
- 5-6** **2-4** **Actuarial Advisory Committee (AAC) Records**
(a) Series consists of the record copy of formal statements, approved meeting minutes, communications and miscellaneous records related to the RRB's Actuarial Advisory Committee
- PROPOSED DISPOSITION PERMANENT** – Break file by calendar year Transfer to National Archives when accumulation reaches at least one cubic foot
- (b) Other copies

**RRB RECORDS SCHEDULE 2
Bureau of the Actuary**

PROPOSED DISPOSITION Destroy when no longer needed for administrative use

Current NARA authority NEW

- 7** **2-5** **Actuarial Publications and Reports working files and documentation**
Series consists of working files and documentation used to generate Actuarial Publications and Reports. Includes Valuation Data Summaries, computer-generated printouts, back-up worksheets, sign-off sheets, PC files of projection results and miscellaneous other documentation

PROPOSED DISPOSITION: Destroy when no longer needed for administrative use

Current NARA authority NI-184-93-2 Item 2-2 & 2-4

- 8** **2-6** **Actuarial Notes**
Statistical and narrative informational response by the Bureau of Actuary on a wide variety of topics related to RRB operations

PROPOSED DISPOSITION Destroy when no longer needed for administrative use

Current NARA authority NCI-184-88-1 Item 2-3

- 9** **2-7** **Gross Earnings Original Sample Employer Reports**
Includes original reports submitted by employers on paper or by electronic media

PROPOSED DISPOSITION Destroy or return to employers 2½ years after receipt

Current NARA authority NCI-184-89-3, Item 8-12

- 10-11** **2-8** **Gross Earnings Work Files**
Contains gross earnings amounts after editing which are used in creating the summarized file. Includes summarized listings of employer reports, skeleton file, edit listings and magnetic tape files created in editing

(a) Magnetic tape file

PROPOSED DISPOSITION Destroy when 1 year old

(b) All other related records (paper and personal computer)

PROPOSED DISPOSITION Destroy when 3 years old

Current NARA authority NCI-184-89-3, Item 8-13

- 12-13** **2-9** **Summarized Gross Earnings Master File**
One record for each sample account number which includes monthly, quarterly, and annual gross earnings amounts, service and compensation data and age and service codes as of the year of the file

PROPOSED DISPOSITION Destroy mainframe disk and PC files 5 years after creation. Destroy magnetic tape files 2 years after creation

Current NARA authority NCI-184-89-3, Item 8-14

RRB RECORDS SCHEDULE 2
Bureau of the Actuary

- 14** **2-10** **Annual Sorted SSA Replies File**
Contains social security earnings data used to produce self-employment income and dual coverage information for the Financial Interchange
- PROPOSED DISPOSITION**· Destroy when 1 year old
- Current NARA authority NCI-184-89-3, Item 8-15
- 15-16** **2-11** **Gross Earnings Sample Tabulations**
Includes individual gross earnings and summaries of earnings under selected monthly and annual limits at current wage rates and assuming various wage increases. Other tables show dual coverage amounts, self-employment income and multiple employment earnings used for Financial Interchange adjustments
- (a) Tabulations used in the Financial Interchange
- PROPOSED DISPOSITION** Destroy when no longer needed for administrative use Transfer to FRC not authorized
- (b) Tabulations not used in the Financial Interchange
- PROPOSED DISPOSITION**· Destroy when 2 years old
- Current NARA authority NCI 184-89-3, Item 8-16
- 17** **2-12** **Cumulative 1-Percent Gross Earnings Sample File**
Contains record of gross earnings (taxable and non-taxable) by year for 1-percent sample of employees who worked at any time after 1950
- PROPOSED DISPOSITION**· Destroy when no longer needed for administrative use
- Current NARA authority NCI-184-89-3, Item 8-17
- 18-20** **2-13** **Annual Wage Study Computer Files (Mainframe and PC)**
Extracted from EDMA for statistical analysis. File contains service and compensation data of current and preceding year for all railroad employees active in calendar year. Data also includes age, sex, and total-to-date service and compensation
- PROPOSED DISPOSITION**· Destroy mainframe file 3 years after completion. Destroy PC version of final extract and final file 10 years after completion. Destroy intermediate PC files 1 year after completion
- Current NARA authority NCI-184-89-3, Item 8-18
- 21-22** **2-14** **Annual Wage Study Tabulations**
Includes summaries of occupation, age, sex, employer and compensation intervals. Totals include benefit eligibility, earnings intervals, status, service months, age and sex. Tabulations of employee addresses by employer and state, state and county, and by district office territories
- PROPOSED DISPOSITION** Transfer paper tables to FRC when 15 years old. Destroy when 25 years old. Destroy PC version of tables when 25 years old

**RRB RECORDS SCHEDULE 2
Bureau of the Actuary**

Current NARA authority NCI-184-89-3 Item 8-19

23-24 2-15 **Unemployment Sickness Monthly, Quarterly and Yearly Tabulations**
Statistical tables containing the unemployment and sickness benefits paid each month, quarter, benefit year or fiscal year. Data tabulated includes total benefits paid in period, types of benefits (normal, extended, etc.), benefit exhaustions, registration periods and compensable days. Summary information by age group, sex, years of service, daily benefit rate, state, types of sickness, and types of benefits paid.

(a) Monthly and quarterly tabulations

PROPOSED DISPOSITION Transfer paper tables to FRC when 3 years old. Destroy when 8 years old. Destroy PC version of tables when 8 years old.

(b) Yearly tabulations

PROPOSED DISPOSITION. Transfer paper tables to FRC when 10 years old. Destroy when 20 years old. Destroy PC version of tables when 20 years old.

Current NARA authority NCI-184-89-3, Item 8-22, JOB NCI-184-89-3, Item 8-24

25-26 2-16 **Unemployment Sickness Monthly, Quarterly and Yearly Magnetic Files**
Extracted from USI files and edited for statistical purposes. Includes details of payments made during the period and cumulative data for the benefit years.

(a) Monthly and quarterly files

PROPOSED DISPOSITION: Destroy when 15 months old.

JOB NCI-184-89-3, Item 8-23

(b) Yearly files

PROPOSED DISPOSITON Destroy when 3 years old.

Current NARA authority NCI-184-89-3, Item 8-25

27 2-17 **Financial Interchange Case Files**
Individual case files used to calculate individual financial interchange benefits amounts. These are amounts that the person would receive under social security if railroad earnings were covered under social security. The file represents a 1-percent sample of all cases paid under the RRA.

PROPOSED DISPOSITION Transfer to FRC 2 years after annuitant benefits terminate. Destroy when 20 years old.

Current NARA authority NCI-184-89-3, Item 8-28

28-30 2-18 **Financial Interchange (FI) Magnetic Tape Case File**
Magnetic tape file containing information for about 11,000 beneficiaries in the financial interchange one percent sample. Used to determine transfers between railroad retirement and social security.

**RRB RECORDS SCHEDULE 2
Bureau of the Actuary**

trust funds

(a) Magnetic Tape File DSN P RES #9411DD4

PROPOSED DISPOSITION Destroy 3 years from date of creation

(b) Tape file printouts (paper and microfiche) of all records, cost and zero cost, for the current determination

PROPOSED DISPOSITION Destroy when no longer needed for administrative use Transfer to FRC not authorized

(c) FI Historical Master File Access database containing information on all FI sample beneficiaries from 1990 to the last completed determination

PROPOSED DISPOSITION Destroy when no longer needed for administrative use

Current NARA authority NCI-184-89-3, Item 8-29 (a) and (b)
(c) subseries is NEW

31 2-19 Financial Interchange Worksheets

Benefit, tax and other worksheets for all financial interchange determinations Results are used to obtain the dollar amounts of transfers from and to the Social Security Administration and Centers for Medicare and Medicaid Services

PROPOSED DISPOSITION. Destroy when no longer needed for administrative use Transfer to FRC not authorized

Current NARA authority NCI-184-89-3, Item 8-30

32-35 2-20 Financial Interchange Data Processing Material

(a) Master copy of program requests, FI Help File, FI minimaster record outline

PROPOSED DISPOSITION Destroy when no longer needed for administrative use Transfer to FRC not authorized

(b) FI tabulations

PROPOSED DISPOSITION Destroy when no longer needed for administrative use Transfer to FRC not authorized

(c) Working copies of FI program requests, one-percent quarterly listings, status listings

PROPOSED DISPOSITION Destroy when 5 years old

(d) Program syslists, reject listings, and other miscellaneous listings

PROPOSED DISPOSITION Destroy when 2 years old

Current NARA authority NCI-184-89-3, Item 8-31

**RRB RECORDS SCHEDULE 2
Bureau of the Actuary**

36-40 2-21

Retirement and Survivor Program Tabulations

Periodic tabulations of retirement and survivor benefit data

(a) Annual tabulations

PROPOSED DISPOSITION Transfer paper tables to FRC when 5 years old Destroy when 15 years old Destroy PC version of tables when 15 years old

(b) Quarterly and fiscal year tabulations

PROPOSED DISPOSITION Transfer paper tables to FRC when 20 years old Destroy when 30 years old Destroy PC version of tables when 30 years old

(c) Monthly M tables

PROPOSED DISPOSITION: Transfer to FRC when 10 years old Destroy when 20 years old

(d) Monthly state tables

PROPOSED DISPOSITION Transfer paper tables to FRC when 5 years old Destroy when 15 years old Destroy PC version of tables when 2 years old

(e) Annual Beneficiary Data Report (includes counts by district office and county)

PROPOSED DISPOSITION Transfer paper tables to FRC when 5 years old Destroy when 15 years old Destroy PC version of tables when 15 years old

(f) Annual Congressional District tables

PROPOSED DISPOSITION Destroy paper and PC files when 3 years old **GRS 20/4**

Current NARA authority NCI-184-89-3, Item 8-32 (a)-(e)
GRS 20 Item 4, Item 8-32 (f)

41 2-22

Annual Retirement and Survivor Family Magnetic Tape Files

Extracted from the Retirement and Survivor Master Benefit Files and used to produce annual program tabulations for reference and publication Files contain a wide range of data for each beneficiary in current-payment status at the end of each year and awarded during the year

PROPOSED DISPOSITION Destroy 500 days after completion

Current NARA authority NCI-184-89-3, Item 8-33

42-43 2-23

Quarterly FAADS Files

Magnetic tape files, PC files and listings created monthly and quarterly during the FAADS development cycle Includes quarterly PC downloads e-mailed to the Bureau of the Census

PROPOSED DISPOSITION Destroy mainframe files when 1 year old Destroy listings and PC files when 2 years old

Current NARA authority NCI-184-89-3, Item 8-34

**RRB RECORDS SCHEDULE 2
Bureau of the Actuary**

- 44-45** **2-24** **Budget Projections**
Account balance sheets, cost estimates, worksheets and background materials for projections
- (a) Final account balance sheets
- PROPOSED DISPOSITION:** Destroy when no longer needed for administrative use Transfer to FRC not authorized
- (b) Working papers and PC files
- PROPOSED DISPOSITION** Destroy when 5 years old
- Current NARA authority NCI-184-89-3, Item 8-36
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- 46** **2-25** **Special Request and Recurring Project File**
Personal computer files, work papers, memoranda, and other correspondence relating to requests for information and regularly recurring projects
- PROPOSED DISPOSITION:** Destroy when 10 years old or when no longer needed for administrative use, whichever is sooner
- Current NARA authority NCI-184-89-3, Item 8-37
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- 47** **2-26** **Publications**
Includes record copy of items published on the RRB website such as Statistical Tables and Statistical Notes
- PROPOSED DISPOSITION:** Destroy when no longer needed for administrative use
- Current NARA authority NEW

CERTIFICATION

I have reviewed the record descriptions and the proposed dispositions for Bureau of Actuary records. 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

	Date
<u><i>Frank J. Byrri</i></u>	<u>9/14/09</u>
RRB Chief Actuary	

<u><i>Charles Mungwa</i></u>	<u>9-15-2009</u>
RRB Records Officer	