

REQUEST FOR RECORDS DISPOSITION AUTHORITY <i>(See Instructions on reverse)</i>		LEAVE BLANK (NARA use only)	
TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER	NI-47-90-1
1 FROM (Agency or establishment) Social Security Administration		DATE RECEIVED	10/18/89
2 MAJOR SUBDIVISION Office of Systems Requirements		NOTIFICATION TO AGENCY	
3 MINOR SUBDIVISION		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
4 NAME OF PERSON WITH WHOM TO CONFER	5 TELEPHONE	DATE	ARCHIVIST OF THE UNITED STATES
George Rosch	(410) 965-2595		WITHDRAWN

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 ___ page(s) are not now needed for the business of 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,

is not required; is attached; or has been requested.

DATE	SIGNATURE OF AGENCY REPRESENTATIVE	TITLE
06/26/97	<i>Patricia J. Glover</i> Patricia J. Glover	SSA Records Officer

7 ITEM NO	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	<u>Master Beneficiary Record System</u> See attached	NC-1 47-80-13 (withdrawn 7/27/83)	WITHDRAWN

**Master Beneficiary Record System
Appended Files
and One-percent Statistical Sample File**

1. Master Beneficiary Record (MBR) System. This is a machine-readable database containing information on all social security beneficiaries currently entitled to receive retirement, survivors, disability and special minimum social security benefits. The MBR further contains information pertaining to beneficiaries whose entitlement has been terminated and for claimants whose claims have been denied or disallowed. The MBR also contains limited interface records on all entitled railroad retirement, black lung and supplemental security income recipients for whom an MBR has not been established. The MBR database is updated monthly from an online orbit file which is updated daily and contains records from 1962 to the present. Master beneficiary information pertaining to each individual may include social security number, primary insurance amount (insured) or quarters of coverage required and earned, insured status, benefit computation, use of military or retirement credits, effective date of onset of disability for disability cases, date and proof of death for death cases, name and address of payee, servicing district office, date of birth, sex, race, benefit payment status, date of entitlement, enrollment data on health or supplementary medical insurance provisions of the Social Security Act, annual report of earnings, representative payee data and chronological payment listings for each beneficiary. (Exhibit 1 lists the data lines and fields on MBR queries; exhibit 2 defines the fields for the MBR as they are displayed on the Microfiche Reference File.)

Records are established and updated through data input forms, direct data entry and interfaces with object programs. Information in the MBR can be from the claimant, developed by the Social Security Administration, and provided by other Federal agencies, State and local agencies and third parties.

2. Appended Files. Other files or databases are appended to the MBR in that they are either automatically or electively queried when the MBR is queried. The appended files can also be queried independently from the MBR. The following are appended files:

- a. Payment History Update System (PHUS): This file contains a record of checks and electronic payments actually made to beneficiaries rather than the payments scheduled to be made which appear on the MBR. It, along with the MBR when PHUS information is incomplete, is used to produce the annual social security benefits statement sent to beneficiaries. Data in the PHUS file begins with tax year 1984 (1/3/84 payment for 12/83 benefits) except for the occasional capture of earlier payment data which is identified as non-taxable.
- b. Critical Payment System (CPS): This file is used to establish a record of payments when entitlement has not been established and/or an MBR should not be created but a payment or payments is (are) necessary. The need for the payment can be established through court order, hardship while awaiting adjudication of the claims application, etc. CPS records remain online until they are adjusted (i.e., the payment status changes) at which time they are archived to a security backup tape.
- c. Recovery of Overpayments, Accounting and Reporting (ROAR) System and Recovery and Collection of Overpayments Process (RECOOP): These systems are used in SSA's debt management program.
- (1) The ROAR System is an overpayment accounting system which establishes an overpayment record for retirement, survivor's and disability insurance (RSDI); supplemental security income (SSI); health insurance (HI); and, in some situations, black lung overpayments for which a refund is requested or for which adjustment is made against the person primarily or contingently liable. Information includes recent actions processed against the record, cause(s) of the overpayment, the overpayment amount and status, remittance agreement status, recent waiver information and the identity of the individual liable for the overpayment(s).
 - (2) The RECOOP is a billing and follow-up control system which generates monthly bills, follow-up delinquency bills, and alerts for telephone contact for title II and title XVI debts where recovery cannot be made by adjustment to title II or title XVI benefit

payments. It receives update information from the ROAR system, the Supplemental Security Record, and the Remittance Process.

- (3) The Remittance Process is a transaction generating system that reads the file containing items keyed via on-line screens and generates batch files for the RECOOP, the title II system, and the title XVI system.

3. One-Percent Old Age, Survivors and Disability Insurance Statistical Sample File. This file contains statistical data about individuals who comprise a one-percent sample of the MBR. It contains approximately 600,000 abbreviated records each of which contains 556 characters (208 data elements). The sample is produced monthly and is used by SSA's Office of Research and Statistics (ORS) for the production of descriptive statistics, simulations of the beneficiary population and general research studies. Exhibit 3 lists the data elements for the one-percent sample file, annotated to show deletions in a version sent annually to the Congressional Budget Office (CBO).

ORS is developing a version of the file in which county and ZIP Codes and earnings data will be deleted. Other information which, because of its uniqueness, could lead to the identity of individuals in the record will be deleted or made untraceable. Efforts are currently underway to create an unrestricted public-use statistical file edited to avoid individual identification. If individual identities cannot be adequately protected without the excessive loss of information in the file, the alternative will be to disseminate a restricted version of the file under safeguard arrangements similar to those that presently apply to the CBO. This would require users' agreement, for example, to return each file in exchange for an updated version; to make no redisclosure of individual records; and to make no attempt to identify individuals or link individual data from other sources.

4. The MBR consists of approximately 80 cartridges of compressed data. The one-percent sample file is stored on one cartridge.

Disposition

1. Security Backup and Appended File Tapes

Erase and return to stock the security backup MBR and appended file tapes 120 days after update. Delete records from the MBR when no longer required for operational or administrative purposes, but not prior to the destruction of the pertinent hard copy claims folder(s).

2. One Percent Statistical Sample OASDI

Transfer to the National Archives annually. All extant previous sample files to be transferred upon approval of this schedule. Transfer copy must comply with technical format specifications found in 36 CFR 1228.188. However, no personally identifiable information will be disclosed by NARA to anyone outside NARA for a period of 125 years after the records are transferred to NARA. NARA personnel will have access to the personally identifiable information only for the purpose of record-keeping activities.

3. CBO Version

Transfer to the National Archives annually. All extant previous sample files to be transferred upon approval of this schedule. Transfer copy must comply with technical format specifications found in 36 CFR 1228.188. The CBO version should not have personally identifiable information in it. If, however, it does have such information, it will not be disclosed by NARA to anyone outside NARA for a period of 125 years after the records are transferred to NARA. NARA personnel will have access to the personally identifiable information only for the purpose of record-keeping activity.

CONCURRENCES:

John M. Dond
Director of Division of Payment Processes
Office of Systems Requirements 6/6/97

6/6/97
Date

Patricia J. Glover
SSA Records Officer
Office of Library, Records and
Reprographics

6/11/97
Date

John B. Watson
Associate General Counsel

7-17-97
Date

Willie J. Beck
Team Leader
Office of Disclosure Policy

6/11/97
Date