

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse)		LEAVE BLANK (NARA use only)	
TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER	N1-47-99-1
1. FROM (Agency or establishment) Social Security Administration		DATE RECEIVED	5-27-99
2 MAJOR SUBDIVISION Operations		NOTIFICATION TO AGENCY	
3 MINOR SUBDIVISION Policy		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	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 Bill White	5 TELEPHONE (410) 965-2596	DATE	ARCHIVIST OF THE UNITED STATES
		11-5-99	<i>John W. Paul</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 3 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 4/27/99	SIGNATURE OF AGENCY REPRESENTATIVE <i>Frank T. Colzo</i>	TITLE SSA Records Officer
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7 ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	<u>Title II Retirement & Survivors Insurance for International Claims Folders</u> (See attached)	N1-47-95-3	

International RSI Claims

These claims folders contain all correspondence and other pertinent material accumulated in the process of adjudicating a claim. The award or disallowance determination forms, certain supporting proofs, and other records depicting payment history of the claim are filed on the left side of the folder. The claims application, other proofs, correspondence, and related documents are filed on the right side of the folder. When auxiliary or survivor is entitled based on a disability, the folder will also contain physician's reports, medical evidence, continuing disability reviews, transcripts of disability hearings, and other disability evidence.

Proposed Disposition

Subject to specific exceptions determined by SSA whereby records would be retained for a longer period of time, SSA will adhere to the following disposition schedule:

A. International RSI Claims Folders

1. Folders for awarded claims involving no disability-based benefits: Destroy all folder records 5 years after the event date the claim was terminated provided ^{FOR} the files ~~does not~~ ^{containing} representative payee application less than 7 years old. ^{see item 2.}

Transfer to the Federal Records Center (FRC) after being identified by the Folder Selection Process. Destroy 5 years thereafter.

(per telephone discussion w/ Bill White, SSA 6/17/99)
EBR 0

2. Representative payee applications: Destroy 7 years after action is processed to completion.

Transfer to FRC after being identified by the Folder Selection Process. Destroy 7 years thereafter.

3. Folders for claims disallowed or terminated for nonmedical reasons: Destroy all folder records 5 years after the final disallowance or termination date and all appeals have been expired for the last beneficiary on the record.

Transfer to FRC after being identified by the Folder Selection Process. Destroy 5 years thereafter.

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Job no. N1-47-99-1

Schedule revisions: June 17, 1999 per discussion w/ Bill White, SSA

[add item 4]

4. Electronic copies created on word processing, e-mail, and other office automation systems:
Delete when file copy is generated, or when no longer needed for reference or updating

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Exceptions:

1. Any claims or postentitlement folder or documentation where fraud or abuse is under investigation or legal action is underway and/or anyone on the record is or potentially could be affected by a court case, including class actions, will be retained until conclusion of the investigation or legal action. This is true for both awarded and denied claims.
2. When there is an underpayment outstanding, the folder will not be destroyed until 5 years after that individual's termination event.
3. When there is an uncollected overpayment on the record for which recovery has not been waived, the folder will not be destroyed until 10 years after collection efforts have been terminated.
4. For entitled beneficiaries: In those limited situations where SSA's electronic file contains insufficient information for maintenance of the record (e.g., paper special determination material), the folder will not be destroyed until 5 years after the final termination date.
5. These disposition instructions apply only to hardcopy claims documentation. Transaction and payment histories are maintained indefinitely on SSA's electronic data bases pending approval by NARA of a separate machine readable records disposition schedule for the Master Beneficiary Record.

Rationale:

The original foreign documents that were submitted at the time of the original filing are contained in the claims file, and in many instances cannot be obtained again, since the records in some countries were destroyed during the wars. Some of these documents pertain to citizenship status and in some instances the citizenship of the worker determines the payment of benefits to auxiliaries and survivors.

There are numerous instances where a claimant has been denied regular RSI benefits from the U.S., but either failed to file for benefits under the Totalization agreement, or did not know that he/she was eligible to file. When the claimant returns to his/her country of origin and learns of the eligibility to file under a Totalization agreement, the protective filing date is contained in the original claims file and is not necessarily shown on the MBR.

A retention schedule of five (5) years after the event date the claim was denied, disallowed or terminated, would greatly enhance the Office of International Operation's ability to recall those folders that are needed in the processing of both survivors and Totalization claims.

Office of the General Counsel Certification:

I have reviewed the record descriptions and their respective proposed dispositions. 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 Agency's activities.

Agency Concurrence:

<u>N/A</u>	_____
Chief Counsel for Social Security	Date
<u>N/A</u>	_____
Inspector General	Date
<u>Don Palub</u>	<u>04/16/99</u>
Office of Public Service and Operations Support Representative	Date
<u>Franket Cofso</u>	<u>04/27/99</u>
SSA Records Officer	Date