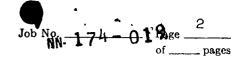
Standard Form No. 115
Revised November 1951
Prescribed by General Services
Administration
GSA Reg. 3-IV-106
116-103

## REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS

(See Instructions on Reverse)

LEAVE BLANK DATE RECEIVED 1973 JOB NO. TEN 174-010 DATE APPROVED

TO GENE	RAL SERVICES ADMINISTRATION,		"	. 013
	AL ARCHIVES AND RECORDS SERVICE, WASHINGTON, D.C. 20408			
	ry or establishment) ment of Health, Education, and Welfare	NOTI	FICATION TO AGE	NCY
2. MAJOR SUBDI Social	vision Security Administration	IN ACCORDANCE LAW 91-287 DISPO APPROVED" IS AU	OSAL OF ITEMS M	
3. MINOR SUBDI Bureau	vision of Data Processing	8-8-73	. 12	<b>p</b> 0.0
4. NAME OF PER Mr. Ar	son with whom to confer thur J. Benner, SSA Records Officer 130-45772	DATE AR	CHIVIST OF THE	UNITED STATES
6. CERTIFICATE	OF AGENCY REPRESENTATIVE:			
-	ify that I am authorized to act for the head of this agency in matters pertaining to the d	isposal of records, and	that the records d	escribed in this list o
A The re-	pages are proposed for disposal for the reason indicated: ("X" only one)  cords have	Dept. F	Records Mgt (Title)	. Officer
7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)		9. SAMPLE OR JOB NO.	10. ACTION TAKEN
1	Microfilm of Employer Report Cards			
	These files are microfilm listings of the dat on employer report cards (employer name and i tion number, employee wages paid, number of e etc.). The files are used to locate microfile of original employer reports and to provide es statistical data.	dentifica- mployees, m copies		
<u></u>	A. Destroy monthly microfilm upon receipt an acceptance of quarterly microfilm.	đ		
	B. Destroy quarterly microfilm after the ann microfilm for the same quarter is receive accepted.			
	C. Retain annual microfilm indefinitely.			
2	Reports of Self-Employment Income and Related	Records		
	These files consist of original and microfilm of self-employment income reports (Schedules Treasury Department Form 1040, U.S. Report of Employment Income) and related transmittals. included are magnetic tapes containing self-end income data provided by the Internal Revenue Schedules.	SE of f Self- Also mployment		



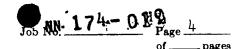
#### REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	A. Destroy original Schedules SE and related transmitta l year and 8 months after microfilming.	ls	
	B. Return magnetic tape to blank stock after microfilm has been proven acceptable.		
	C. Retain microfilm indefinitely.		
3	Employee Earnings Cards		
	These files consist of punchcards (Forms OAR-1003, Earnings Card, or their equivalents) prepared from Treasury Department Forms 941, Employer's Quarterly Federal Tax Return. The files are used to reprocess and reinstate earnings items and punchcards in ready backlog and completed work.		
	A. Destroy punchcards after third generation tape has been proven acceptable (grandfather system)		
4	Self-Employment Income Adjustment Reports and Related Records		
	These files consist of self-employment adjustment reports, related transmittals, and microfilm (originating from internal or external sources). The files are used to investigate the status of earnings records reflecting excess or credit self-employment quarters of coverage and items reported without social security numbers. Included are Treasury Department Forms 885F, Self-Employment Tax Adjustment; OAR-7041A, Corrected Schedule of U.S. Self-Employment Income; SSA-7000, Notice of Determination of Self-Employment Income; CO-5107, Interoffice Adjustment of Self-Employment Income; Amended Schedules; or their equivalents.		
	A. Destroy l year after microfilming.		
	B. Retain microfilm indefinitely.		

of \_\_\_\_\_ pages

# REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
5	General Correspondence		
	These files contain correspondence on which replies have been prepared and which are not required for claims purposes and/or not required in relation to the statute of limitations. Included is correspondence which requires the personal signature of the Commissioner or a higher official; correspondence regarding the forwarding of letters to missing persons; requests for confidential information that have been denied; correspondence on which material has been returned to addressee; and undeliverable correspondence containing information which would be costly to duplicate and which addressee may subsequently request.		
	A. Destroy after 1 year.		
6	Employer Identification Number Records		
	These files consist of Forms SS-4, Application for Employer Identification Number, and similar papers used to establish employer records. The files contain the basic identifying information used to assign employer identification numbers and to confirm information when crediting earnings to Social Security accounts. Included are Forms SSA-5010, Employer Cross Reference; SS-12a, Employer Name and/or Address Correction; SS-12AT, SS-4 Supplemental Index Form; or their equivalents; and the microfilms of current and inactive forms.		
	A. Records Created Prior to July 1971		
	(1) Transfer to a Federal Records Center after microfilming.		
	(2) Destroy 1 year after microfilming project has been completed.		
	B. Records Created on July 1, 1971, and Thereafter		
	(1) Destroy after microfilm has been proven acceptable.		,
	(2) Destroy microfilm upon receipt and acceptance of updated microfilm.		



# REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM  (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	;		
7	Improperly Reported Earnings Processing Records		
	These files consist of the Suspense and Reinstated Wage Microfilm List (SRWML) which records earnings items that have been incompletely or incorrectly reported by employers.		
	A. Destroy upon receipt and acceptance of updated microfilm.		
8	Tax Waiver Exemption Files		
	These files consist of original and microfilm copies of Forms SS-15a, List to Accompany Certificate on Form SS-15, Waiving Exemption From Taxes Under the Federal Insurance Contributions Act (FICA); SS-16, Certificate of Election of Coverage Under the Federal Insurance Contributions Act (For use by religious orders whose members are required to take a vow of poverty); or their equivalents. The files identify nonprofit employers who have waived tax exemption privileges for FICA purposes.		
	A. Transfer to a Federal Records Center (FRC) after microfilm has been proven acceptable.		
	B. Destroy after 50 years' retention in the FRC.		
	C. Retain microfilm indefinitely. J.L.W. 2 Aug. 1973		
	Hisposal is approved pending GAO concurrence. J.L.W. 2Au The munofilming of the records covered by itomo 1c, 2c, 4b, and 8c must be done in accordance with the matrications given in 41 CFR 101-11.507 (c) (1). J.L.W. 2 Aug 1973	9 1973 ·	

# NN-168-51

#### Justification

#### 1. Microfilm of Employer Report Cards

#### Current Authorized Disposition

- A. Destroy monthly microfilm upon receipt of quarterly report card microfilm.
- B. Retain quarterly report card microfilm indefinitely.

#### Recommended Disposition

- A. Destroy monthly microfilm upon receipt and acceptance of quarterly microfilm.
- B. Destroy quarterly microfilm after the annual microfilm for the same quarter is received and accepted.
- C. Retain annual microfilm indefinitely.

#### Reason for Recommended Change

An updated microfilm of employer report card data is prepared annually. The annual microfilm is a compilation of the data contained on quarterly microfilm. Once the data on the annual microfilm is reviewed for accuracy and accepted, the quarterly microfilm is of no further value.

#### 2. Reports of Self-Employment Income and Related Records

#### Current Authorized Disposition

- A. Destroy original documents l year and 8 months after microfilming.
- B. Retain microfilm indefinitely.

#### Recommended Disposition

- A. Destroy original Schedules SE and related transmittals 1 year and 8 months after microfilming.
- B. Return magnetic tape toblank stock after microfilmhas been proven acceptable.
- C. Retain microfilm indefinitely.

#### Reason for Recommended Change

The majority of self-employment data is obtained from IRS on magnetic tape. (SSA furnishes blank tape to IRS for this purpose.) When the tape is received by SSA, a listing of the data is prepared on microfilm. Once the microfilm has been reviewed for accuracy and accepted, the magnetic tape may be returned to blank stock.

#### 3. Employee Earnings Cards

#### Current Authorized Disposition

- A. Destroy punchcards used in updating records of earnings3 months after microfilming.
- B. Retain microfilm indefinitely.
- C. Destroy all other material after completion of operation.

### Reason for Recommended Change

No microfilm is made of employee earnings punchcards. Rather, they are used in the conversion of data to magnetic tape media. The files must be retained for data backup purposes until the related magnetic file has been proven acceptable and there is comparable backup capability on tape (third generation).

#### 4. Self-Employment Income Adjustment Reports and Related Records

#### Current Authorized Disposition

- A. Destroy 2 years after microfilming.
- B. Retain microfilm indefinitely.

#### Recommended Disposition

Recommended Disposition

A. Destroy punchcards after

third generation tape has

been proven acceptable). (grandfather system).

- A. Destroy 1 year after microfilming.
- B. Retain microfilm indefinitely.

#### Reason for Recommended Change

The current retention period of 2 years after microfilming is unnecessarily long. The use of the original records is minimal after the necessary adjustments are made on the earnings records. Normally, these adjustments are made within 4 months from the date the records are received.

#### 5. General Correspondence

#### Current Authorized Disposition

- A. Destroy correspondence regarding the forwarding of letters to missing persons and denials of requests for confidential information after 4 years.
- B. Destroy all other general correspondence after 1 year.

#### Reason for Recommended Change

Research did not reveal any significant reason for the prolonged retention of correspondence regarding the forwarding of letters to missing persons and denials of requests for confidential information. For the sake of consistency, we recommend a l year retention period for all records in the general correspondence series.

### 6. Employer Identification Number Records

#### Current Authorized Disposition

- A. Records Created on July 1, 1971, and Thereafter
  - 1. Destroy original documents after completion of microfilming operations.
  - 2. Retain microfilm indefinitely.

#### Recommended Disposition

A. Destroy general correspondence after l year.

#### Recommended Disposition

- A. Records Created on July 1, 1971, and Thereafter
  - 1. Destroy original documents after microfilm has been proven acceptable.
  - 2. Destroy microfilm upon receipt and acceptance of updated microfilm.

#### Reason for Recommended Change

An updated microfilm is prepared every 3 months. This microfilm contains all current employer identification data, including that abstracted

from previous microfilm records. Once the updated microfilm is reviewed for accuracy and accepted, previous microfilm records may be destroyed.

#### 7. Improperly Reported Earnings Processing Records

#### Current Authorized Disposition

#### Recommended Disposition

- A. No authority to dispose of records.
- A. Destroy upon receipt and acceptance of updated microfilm.

#### Reason for Recommended Change

The files replace paper, tape, and microfilm listings prepared in conjunction with the processing of incomplete or improperly reported wage and self-employment earnings items. An updated SRWML is prepared every 3 months.

### 8. Tax Waiver Exemption Files

#### Current Authorized Disposition

- A. Retain original documents indefinitely.
- B. Transfer to a Federal Records
  Center when organization is
  discontinued, or when no longer
  required in current operations,
  whichever is sooner.

#### Recommended Disposition

- A. Transfer to a Federal Records Center (FRC) after microfilm has been proven acceptable.
- B. Destroy after 50 years' retention in the FRC.
- C. Retain microfilm permanently.

#### Reason for Recommended Change

Original forms SS-15a and SS-16 are microfilmed upon receipt by SSA. The microfilm is used to process and verify wage and claims statements. The original documents contain the signatures of individuals who have elected coverage under FICA and serve as evidence of this fact. They must be retained for use during the claims determination and appeals process. A microfilm copy would not suffice for these purposes because analysis of the original signature is necessary to certify that an individual elected coverage.