# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: NN-174-000019

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: <u>12/28/2021</u>

### **ACTIVE ITEMS**

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

Items 5, 6, and 7 remain active.

# SUPERSEDED AND OBSOLETE ITEMS

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

Item 1 was superseded by NC1-047-79-10, items 1b, 1c, and 1d.

Item 2 was superseded by NC1-047-79-10, item 4.

Item 3 is obsolete since it is unique to a medium (punchcards) not created for many decades.

Item 4 was superseded by N1-047-09-003, item 1.

Item 8 was superseded by NC1-047-79-10, item 2.

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

# REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS

(See Instructions on Reverse)

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	LEAVE BLAHR				
	DATE RECEIVED 1973	JOB NO.			
	DATE APPROVED	174-019			
1		. 014			
	NOTIFICATION	TO AGENCY			

O:	GENERAL SERVICES ADMINISTRATION,	
	NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, D.C.	20408

1. FROM (AGENCY OR ESTABLISHMENT)
Department of Health, Education, and Welfare

2. MAJOR SUBDIVISION
Social Security Administration

3. MINOR SUBDIVISION
Bureau of Data Processing

4. NAME OF PERSON WITH WHOM TO CONFER Mr. Arthur J. Benner, SSA Records Officer 130-45772

IN ACCORDANCE WITH THE PROVISIONS OF PUBLIC LAW 91-287 DISPOSAL OF ITEMS MARKED "DISPOSAL APPROVED" IS AUTHORIZED.

8-8-73 BRUNDS

6. CERTIFICATE OF AGENCY REPRESENTATIVE:

I hereby certify that I am authorized to act for the head of this agency in matters pertaining to the disposal of records, and that the records described in this list or hedule of \_\_\_\_\_\_ pages are proposed for disposal for the reason indicated: ("X" only one)

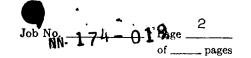
The records have ceased to have sufficient value to warrant further retention on the expiration of the period of time indicated or on the occurrence of the event specified.

7/18/73

Russell O. Hess

Dept. Records Mgt. Officer

(Signature of Agency Representative) 9. 8. DESCRIPTION OF ITEM 10. SAMPLE OR ITEM NO. **ACTION TAKEN** (WITH INCLUSIVE DATES OR RETENTION PERIODS) JOB NO. 1 Microfilm of Employer Report Cards These files are microfilm listings of the data contained on employer report cards (employer name and identification number, employee wages paid, number of employees, etc.). The files are used to locate microfilm copies of original employer reports and to provide employer statistical data. Destroy monthly microfilm upon receipt and acceptance of quarterly microfilm. Destroy quarterly microfilm after the annual microfilm for the same quarter is received and accepted. Retain annual microfilm indefinitely. 2 Reports of Self-Employment Income and Related Records These files consist of original and microfilm copies of self-employment income reports (Schedules SE of Treasury Department Form 1040, U.S. Report of Self-Employment Income) and related transmittals. Also included are magnetic tapes containing self-employment income data provided by the Internal Revenue Service.

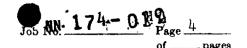


# REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

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 transmittal lyear 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-704LA, 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.		

# REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS-Continuation Sheet

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.		



# REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. TEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
7	Twomananty Panantad Famnings Dragging Pagands		
ı	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.		<u> </u>
	B. Destroy after 50 years' retention in the FRC.		
	C. Retain microfilm indefinitely. J.L.W. 2 Aug. 1973		
	' Netall interest ilm permanentity. V. L. N. X / VI. 1173		
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	Disposal is approved pending GAO concurrence. J.L.W. 2Au	9 1973 .	
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	The munofilming of the records covered by itoms 1c, 2c, 4b, and 8c must be done in accordance with the matrications		
	and 8c must be done in accordance with the instructions		
	guen in 41 CFR 101-11:507 (c) (1). J.L.W. 2 Aug 1993		
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# 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 1 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 to blank stock after microfilm has 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 earnings 3 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.

### Recommended Disposition

A. Destroy general correspondence after l 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 1 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
  - Destroy original documents after completion of microfilming operations.
  - 2. Retain microfilm indefinitely.

#### Recommended Disposition

- A. Records Created on July 1, 1971, and Thereafter
  - 1. Destroy original documents after microfilm has been proven acceptable.
  - 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.