

HHS
UARA
GAO

REQUEST FOR RECORDS DISPOSITION AUTHORITY

(See Instructions on reverse)

LEAVE BLANK

JOB NO.

NI-47-87-1

DATE RECEIVED

3-4-87

TO GENERAL SERVICES ADMINISTRATION
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408

NOTIFICATION TO AGENCY

In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10. If no records are proposed for disposal, the signature of the Archivist is not required.

1. FROM (Agency or establishment)

Health & Human Services

2. MAJOR SUBDIVISION

Social Security Administration

3. MINOR SUBDIVISION

Deputy Commissioner for Programs and Policy

4. NAME OF PERSON WITH WHOM TO CONFER

Mary F. Sikora

5. TELEPHONE EXT.

934-5772

DATE

1-12-89

ARCHIVIST OF THE UNITED STATES

Withdrawn

6. CERTIFICATE OF AGENCY REPRESENTATIVE

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records, that the records proposed for disposal in this Request of 22 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, if required under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is attached.

A GAO concurrence is attached, or is unnecessary

B. DATE

7/30/86

C. SIGNATURE OF AGENCY REPRESENTATIVE

Dr. George Deal

D. TITLE

Department Records Management Officer

7. ITEM NO

8. DESCRIPTION OF ITEM
(With Inclusive Dates or Retention Periods)

9. GRS OR SUPERSEDED JOB CITATION

10. ACTION TAKEN (NARS USE ONLY)

See attached Agency Schedules 13 and 15.

Items already approved have been lined through.

These schedules will replace current Schedule 12, Operational Policy and Procedures Files and Schedule 13, Office of Policy Files.

Concurrences

Sally M. Zuercher
Associate Commissioner for Policy
Sandy Crank

07/28/86
Date

SSA Records Officer

Date

George Harrison
Office of Legislative and
Regulatory Policy

7/29/86
Date

WITHDRAWN

RECORDS MANAGEMENT HANDBOOK
RECORDS RETENTION AND DISPOSAL SCHEDULE

Withdrawn

MRM 07 Schedule 13

MRM 07
Schedule 13 Office of Policy Files

The files described in this schedule are created in the administration of Social Security Administration (SSA) programs by the offices having responsibility for research, statistics and international policy, and policy coordination, regulations and program directives.

Description of Records

Authorized Disposition

~~I. GENERAL PROGRAM ADMINISTRATIVE FILES~~

~~A. Administrative Files~~

Files created by most Policy components in the performance of their assigned functions.

Destroy 2 years after the close of the calendar year in which dated.

NOTE: Documents in the file that require additional action or that relate to ongoing projects may be retained until the action or project is completed.

1. Official file copies of outgoing correspondence relating to office functions.

2. Comments on draft reports, studies and proposals prepared by other offices.

3. Comments on proposed legislation.

4. Suggestion evaluations.

5. Program and management reports, such as overtime and staffing reports, workload and production reports, highlights, activity reports and other reports prepared to submit narrative or statistical data to management offices. Excluded are reports specifically identified elsewhere in this Schedule.

6. Correspondence control logs reflecting the assignment and disposition of incoming controlled correspondence.

Close out at the end of the calendar year and destroy 1 year thereafter.

B. Working Files

Nonessential working papers retained for reference purposes by staff members. Included are extra copies of official file material, supporting or background material used in developing official files but not needed as part of the official file, studies or similar material not acted upon, papers used as local administrative aids and other papers which do not serve as the basis for official action.

Destroy after 2 years or when no longer needed for reference, whichever is earlier.

II. RESEARCH, STATISTICS & INTERNATIONAL POLICY RECORDS

A. Research Grants and Contracts Records

These records accumulate in the processing of applications for grants and contracts which are awarded under the trust fund and grants program.

1. Grants Program Records

Applications for cooperating research or demonstration grants, the final report for funded projects and related correspondence.

1. Applications for Completed Projects

Destroy 5 years after completion of project.

2. Rejected Project Applications

Destroy after 3 years.

3. Copies of Final Reports

a. Record Copy

Close out file after 5 years. Destroy 10 years thereafter.

b. Other Copies

Destroy after 1 year.

2. Contracts Program Records

Applications for contracts, final report for funded projects and related correspondence.

1. Rejected Contract Proposals

Destroy 3 years after date of action.

2. Awarded Contracts

Destroy 6 years after completion of contract.

4

3. Final Reports

a. Record Copy

Close out file when 5 years old.
Destroy 10 years thereafter.

b. Other Copies

Destroy when 1 year old.

3. Funding Policy Correspondence

Correspondence regarding the funding of grants and contracts.

Review file annually and destroy those documents which do not have continuing relevancy.

B. Publication Records

Documents related to the publication of research and statistical studies, such as the Office of Retirement and Survivors Insurance Program (ORSIP) Notes. Included are camera copy and negatives of the publications; Form SSA-100, Printing Requisition; Form GPO-2511, Print Order; and equivalent documents. Excluded are copies of the publications themselves.

Destroy 1 year after printing.

C. Program Analysis Records

1. New Beneficiary Survey

Records

This tape includes information obtained from newly-entitled Retirement and Survivors Insurance (RSI), Disability Insurance (DI) or widow's benefits by a private contractor who collected the data and prepared the tape. SSA employees perform quality checks and evaluations of the tape and publish reports based on the data in the Social Security Bulletin.

1. Tapes

Permanent. Offer duplicate tapes to the National Archives when updated. Erase and return to stock other Agency copies of tapes when administrative value ceases.

2. Reports

a. Record Copy

(1) Publications and reports distributed by the Government Printing Office (GPO) and printed before 1980.

Permanent. Offer to the National Archives and Records Administration (NARA) 10 years after publication.

(2) Publications and reports distributed by GPO and printed after 1979.

Destroy when administrative value ceases.

(3) Publications and reports not printed nor distributed by GPO.

Permanent. Offer to NARA 10 years after publication.

b. Other Copies

Destroy when administrative value ceases.

3. Tabulations which may be:

a. Published Reports

Destroy 2 years after publication.

b. Unpublished Reports

Destroy 3 years after decision not to publish.

4. Background Data

Retain in Agency space until administrative value ceases. Destroy when no longer needed.

2. Drug Addicts and Alcoholics in the Supplemental Security Income (SSI) Program

This demonstration program is required by the 1980 Disability legislation. Contractors interviewed sample SSI recipients who qualified as addicts/alcoholics. The final report on the study will be sent to Congress.

1. Tapes

Destroy 10 years after final report is issued.

2. Final Report

a. Record Copy

Offer to the National Archives 2 years after printing and distribution.

b. Other Copies

Destroy when administrative value ceases.

4

D. Economic Research Records

1. Income Studies

Records accumulated in carrying out analytical studies of the effect of Government-wide funding of projects on income distribution in the United States. The studies, such as the Congressionally mandated Retirement Age Study, Old Age, Survivors, Disability and Health Insurance (OASDHI) Payroll Tax Projections and analyses of various issues pertaining to the financing and effects of Social Security using micro-simulation and macroeconomic models, are published in the Social Security Bulletin and in the Annual Statistical Supplement to the Bulletin. Other long-term projects include studies of the economic status of the aged population and the economics of private pensions. Data from the Bureau of Census, Internal Revenue Service (IRS) and other agencies are used in preparing these studies. The studies are published periodically and may be combined into a monograph or a staff paper.

1. Record Copy of Publications

a. Publications and reports distributed by GPO and printed before 1980.

Permanent. Offer to NARA 10 years after publication.

b. Publications and reports distributed by GPO and printed after 1979.

Destroy when administrative value ceases.

c. Publications and reports not printed nor distributed by GPO.

Permanent. Offer to NARA 10 years after publication.

2. Other Copies

Destroy when administrative value ceases.

3. Background Data

Retain in Agency space until administrative value ceases; destroy when no longer needed.

2. Economic Projections and Earnings Analysis Records

Records accumulated in making projections for budget planning purposes and Social Security payroll tax revenue to the trust fund. Included, but not limited to, is the Projection of OASDHI Disability and Health Insurance Tax Liability and Collections. The report, prepared as needed for use by the Office of Management, Budget, and Personnel (OMB), the Department of the Treasury and other offices, projects the budget position of the Social Security revenue tax and the policy implications for financing. Included is related background data received from OMB and other offices.

Destroy when 10 years old.

E. Statistical Analysis Records

1. Earnings and Employment Statistics Records

a. Letters to the Department of the Treasury

These annual reports, Tax Refund Estimates and Single Employer Excess Taxes, relate to the transfer of payments from the Social Security trust fund to general revenue funds.

1. Record Copy

Destroy 10 years after date of annual report.

2. Other Copies

Destroy when administrative value ceases.

b. Projections for Establishment and Maintenance of Workloads

This annual report, with quarterly revisions, projects (for budget purposes) the selected workloads 2 fiscal years in advance.

1. Record Set

Destroy 5 years after the date of report.

2. All Other Copies

Destroy after 1 year.

c. Earnings and Employment Statistics Reports

These reports, which are based on original and microfilm copies of statistical tabulations from Old Age, Survivors and Disability Insurance (OASDI) program statistics, include but are not limited to the following:

1. Tabulations

Destroy when administrative value ceases.

2. Reports

(1) Earnings Distribution in the U.S.

This report, prepared annually, provides data by standard metropolitan area on workers and earnings in covered employment by age, race and sex.

a. Record Copy

(1) Publications and reports distributed by GPO and printed before 1980.

Permanent. Offer to NARA 10 years after publication.

(2) Social Security Numbers (SSNs) Issued

This report, issued annually, shows the number of SSN issuances by age, race, sex and State of issuance.

(2) Publications and reports distributed by GPO and printed after 1979.

Destroy when administrative value ceases.

(3) County BusinessPatterns

This report, published jointly by SSA and the Bureau of Census, contains data on workers and payrolls by county and industry for the private non-farm sector of industry.

(3) Publications and reports not printed nor distributed by GPO.

Permanent. Offer to NARA 10 years after publication.

(4) IndustrialClassification Handbook

This Handbook contains aids to using the Standard Industrial Classification (SIC) Manual and guides for handling employer classification problems not covered in the SIC Manual.

2. Claims Benefit StatisticsRecords

These documents accumulate in preparing for publication statistics on OASDI benefits and beneficiaries. The publications include the Monthly Benefit Statistics which contains summaries of cash benefits awarded and in current payment status for calendar and fiscal years, statistical tables contained in the monthly Social Security Bulletin, the Annual Statistical Supplement and the OASDI State and County Data Book, published annually, which contains monthly cash benefit data by beneficiary's residence. Included are specifications for the studies, tabulations and related correspondence.

1. Tabulations

Destroy when administrative value ceases.

2. Publicationsa. Record Copy

(1) Publications and reports distributed by GPO and printed before 1980.

Permanent. Offer to NARA 10 years after publication.

(2) Publications and reports distributed by GPO and printed after 1979.

Destroy when administrative value ceases.

(3) Publications and reports not printed nor distributed by GPO.

Permanent. Offer to NARA 10 years after publication.

b. Other Copies

Destroy when administrative value ceases.

F. SSI Records

1. Revised Management Information Counts System

This monthly tape contains summaries by State and County levels of the counts and dollar amounts of SSI recipients by selected program and demographic characteristics. Included in the counts are the number of recipients, broken down by age, race, sex, living arrangements, income resources, marital status, medical diagnosis and other selected items of topical interest. The tape is tabulated from selected data elements on the Supplemental Security Record (SSK). Articles based on an analysis of the tape appear in the Social Security Bulletin. Also issued annually are reports Program and Demographic Characteristics of SSI Beneficiaries and State and County Data. A bi-annual report, Geographic Distribution of SSI Recipients, is also issued.

1. Tapes

a. December Tape

Not authorized for disposal.

b. Other Tapes

Return to stock when no longer needed for reference.

2. Reports and Articles

a. Record Copy

(1) Publications and reports distributed by GPO and printed before 1980.

Permanent. Offer to NARA 10 years after publication.

(2) Publications and reports distributed by GPO and printed after 1979.

Destroy when administrative value ceases.

(3) Publications and reports not printed nor distributed by GPO.

Offer to NARA 10 years after publication.

b. Other Copies

Destroy when administrative value ceases.

2. Fiscal Accounting Control System

This small database contains summary statistics on 159 SSI recipients who receive Federal SSI payments and State supplements. It is broken down by monthly payment category, aged, blind and

1. Tapes

Return to stock when no longer needed for reference.

disabled. The tape is controlled by the Office of Financial Resources, OMBP. The information on accounts and dollar amounts is published in the Social Security Bulletin and the monthly Benefit Statistics.

2. Reports

a. Record Copy

(1) Publications and reports distributed by GPO and printed before 1980.

Permanent. Offer to NARA 10 years after publication.

(2) Publications and reports distributed by GPO and printed after 1979.

Destroy when administrative value ceases.

(3) Publications and reports not printed nor distributed by GPO.

Permanent. Offer to NARA 10 years after publication.

b. Other Copies

Destroy when administrative value ceases.

3. SSI Controls File

This monthly microdata file contains a 1 percent sample (approximately 100,000 records) of SSI recipients and is pulled from the SSR. It is used for special projects, for internal consistency checks and to answer special requests for data from the Office of Management and Budget (OMB), Congress and other Government agencies.

1. Tapes

Return to stock when no longer needed for reference.

2. Listings

Destroy when no longer needed for reference.

G. Statistical Operations and Service Records

~~1. Continuous Work History~~

~~Sample System~~

~~A machine-readable system of records on magnetic tapes maintained at SSA headquarters and indexed by SSN (some files are indexed by scrambled identifiers). System files consist of samples of persons with SSNs issued through the cut-off date of the files. Specific files include 1 percent 1937 to-Date File, one-tenth of 1 percent 1937 to Date File, 1 percent Annual~~

1. Magnetic Tape Files

a. Permanent. Offer duplicate tapes annually to the National Archives when they are updated.

b. Erase and return to stock other Agency copies of tapes when administrative value ceases.

~~Employee-Employer File (dating from 1957 to present), 1 percent Annual Self-Employed File (1960 to present) and 1 percent Longitudinal Employee-Employer File. The files are updated annually. Also included are those individuals working for the Federal Government and those covered by the Railroad Retirement Act, as well as individuals under Social Security.~~

The purposes of the system are for socio-economic research policy analysis, workload estimates and program statistics. The types of information in each file record consist of employee characteristics (date of birth, sex and race), employer characteristics (geographic location and industrial activity), earnings information, self-employment information, insured status information, benefit information and geographical information (residence of employee). Input information is obtained via tape of transfer from other systems of records. Once an individual is selected in the 1 percent sample file, updated information is received from such records sources as the Master Beneficiary Record, Earnings and Self-Employment Records (quarterly and summary records), Employer Identification Number File, Railroad Retirement Board Master File and (prior to the Tax Reform Act of 1976) IRS name and address file (for employee residential address information.)

Output information consists of statistical tabulations which are used for periodically published articles in the Social Security Bulletin and ORSIP Notes. Microfilm copies of the 1 percent Annual Employer-Employee File and one-tenth of 1 percent 1937-to-Date Files are also produced.

At the present time, there are no public use versions of the Continuous Work History Sample (CWHS) magnetic tapes. Since CWHS contains tax information, the release of the records is subject to the provisions and restrictions of the Tax Reform Act of 1976.

Accessioning by NARA will be contingent upon concurrence of IRS.

2. Microfilm

Destroy when updated microfilm is received.

3. Tabulations

Destroy after 3 years.

4. Publications and Reports

a. Record Copy

(1) Publications and reports distributed by GPO and printed before 1980.

Permanent. Offer to NARA 10 years after publication.

(2) Publications and reports distributed by GPO and printed after 1979.

Destroy when administrative value ceases.

(3) Publications and reports not printed nor distributed by GPO.

Permanent. Offer to NARA 10 years after publication.

b. Other Copies

Destroy when administrative value ceases.

2. Reimbursable Services Records

These documents accumulate in processing requests for statistical services from non-SSA offices. Included are Forms SSA-1033, Estimation Form for Use in Negotiating Reimbursable Services; SSA-1034, Agreement Covering Reimbursable Services; or equivalent forms and related correspondence.

Destroy after 10 years.

3. Specifications Records

Correspondence from other offices which is rewritten as specifications for statistical data to be processed by the Office of Systems. The specifications describe the parameters of the study to be undertaken.

Destroy after 5 years.

4. RSI and DI Statistical Tabulations

These files consist of statistical tabulations relating to the RSI and DI programs. Included are data on earnings, employment, claims and benefits, black lung and related subjects. The files are a source of management information used in the preparation of historical publications and in research to generate projections for future programs and to support policy decisions.

Destroy when administrative value ceases.

5. Management Statistics and Services Records

a. Services Records

Documents, such as questionnaires, objectives and specifications, accumulated in analyzing data which is published by other offices.

Destroy after publication of data.

b. Management Statistics Records

These documents, such as random sampling of office activities, are accumulated in estimating workload and staffing requirements necessary to carry out SSA activities in the offices. Tables of anticipated workload, prepared quarterly, semiannually and annually, are forwarded to the requesting office. The taped quarterly table is updated every 4 months.

1. Quarterly and Semiannual Tables

Destroy after 1 year.

2. Annual Table

Destroy after receipt of next quarterl table.

6. Recipient Characteristics

Study

Sample of records containing the characteristics of SSI recipients. The study is used to develop cost-effective procedures for determining the characteristics of error and non-error cases.

Destroy after study results have been published or when administrative value ceases, whichever is earlier.

III. INTERNATIONAL POLICY RECORDS

~~A. Comparative Studies Records~~

Documents accumulated in the collection of data relating to Social Security programs of all countries. The resultant findings are published every 2 years in Social Security Throughout the World, as well as intermittent articles in the ORSIP Notes, Social Security Bulletin and foreign periodicals. Included are papers presented at international meetings and related correspondence.

1. Published Reports and Articles

a. Record Copy

(1) Publications and reports distributed by GPO and printed before 1980.

Permanent. Offer to NARA 10 years after publication.

(2) Publications and reports distributed by GPO and printed after 1979.

Destroy when administrative value ceases.

(3) Publications and reports not printed nor distributed by GPO.

Permanent. Offer to NARA 10 years after publication.

b. Other Copies

Destroy when administrative value ceases.

2. Papers Presented at International Meetings

a. Record Copy

Permanent. Offer to the National Archives 10 years after presentation date.

b. Other Copies

Destroy when administrative value ceases.

B. Technical Liaison Records

These documents accumulate in maintaining relationships between SSA and international Social Security organizations, such as the International Labor Organization, the International Social Security Association, the Inter-American Conference on Social Security and the Organization for Economic Cooperation and Development (OECD). Included are replies to inquiries and questionnaires on U.S. Government policy and correspondence relating to appointments to committees which research specific Social Security problems, develop questionnaires and prepare reports.

1. Replies to Inquiries and Questionnaires

Destroy after 3 years.

2. Committee Appointment Correspondence

Destroy after 5 years.

C. International Agreement Negotiations Records

These documents accumulate in the development of international agreements on Social Security, such as correspondence between members of the negotiating team, official reports of meetings, copies of the final agreements and auxiliary agreements. The official copy of the agreement is maintained in the Department of State.

Permanent. Transfer to the Federal Records Center after agreement is canceled or superseded. Offer to the National Archives 10 years thereafter.

D. Certifications of Coverage Under International Agreements

Documents accumulated in issuing certificates of coverage under international agreements. When a worker would otherwise be subject to U.S. Social Security taxes and Social Security taxes in another country with which the U.S. has an agreement, the country to which taxes will be paid in accordance with the agreement issues a certificate which exempts the worker from the taxes in the other country. Included are copies of all certificates issued by both countries and correspondence relating to the issuance of the certificates.

1. Certificates

Destroy 5 years after expiration of certificate.

2. Correspondence

Destroy after 5 years.

~~E. International Training Records~~

~~Documents accumulated in arranging for training of foreign nationals in Social Security educational programs. Included are lists of those persons trained, training curricula and related correspondence. Also included are~~

~~1. Training Lists and Curricula~~

~~Review file annually and destroy those documents which do not have continuing applicability.~~

~~documents accumulated in providing technical assistance to the Agency for International Development and other agencies regarding parameters of Social Security technical needs of developing countries and correspondence from other countries relating to their needs.~~

~~2. All Other Material
Destroy after 3 years.~~

IV. POLICY COORDINATION, REGULATIONS AND PROGRAM DIRECTIVES FILE

A. Program Directives Files

1. Issuances

Instructional manuals, directives and other formal policy and procedural issuances prepared and published by OP relating to Social Security programs. These include, but are not limited to, the Program Operations Manual System, Claims Manual, Postentitlement Manual, Mail and Direct Input Manual, Black Lung Payment Manual, Disability Operating Manual, Desk Manual for Claims Clericals, Law and Regulations Manual and their equivalents.

1. Office Responsible for Issuance

Permanent. Transfer a copy to the FRC when no longer needed for reference.

2. Other Offices

Destroy when superseded or obsolete.

2. Issuance Background Files

Records accumulated in the preparation, clearance, issuance or interpretation of directives and comparable instructional materials. Included are studies, clearance comments, concurrences, recommendations and similar records that provide a basis for issuance or contribute to the content of the instructional material. A copy of the previous issuance is placed in the background file of the issuance which supercedes it.

1. Office Responsible for the Preparation and Issuance of the Instructional Material

Permanent. Transfer to the FRC when no longer needed for reference.

2. Other Offices

Destroy after 2 years.

is

3. Program Circulars Records

Circulars which contain information pertaining to new developments in the programs, alerts of cyclical occurrences, reminders of reports due and similar data. Also included are related correspondence and background material.

Transfer to the SSA Records Holding Area 1 year after obsolescence. Destroy after 5 years retention in the holding area.

4. Regional Issuances Records

Reference set of all regional issuances and program circulars published by the 7 program service centers and the 10 regional offices. These records contain the postreview performed by OP of the issuances and circulars.

Destroy when no longer needed in current operations or for reference.

B. Privacy Act Records

These records document the Agency's programs established to comply with The P.L. 93-579, The Privacy Act of 1974. Not included in these series of records are files accounting for disclosure of records.

1. Systems Notice History Files

A case history file of each system of records covered by the Privacy Act. The file includes the request to establish a new system of records, the draft proposal for the system, clearance correspondence (including the Office of the General Counsel (OGC) and the HHS Privacy Officer) and the final notices as published in the Federal Register. Also included are subsequent requests for changes.

Destroy pertinent case history 20 years after the system of records has been discontinued.

2. Disclosure Policy Files

These disclosure policy files include interpretations of Privacy Act regulations and laws, decision memorandums, policy statements (regarding Privacy) and Privacy opinions. The material is filed by subject matter and program area.

Permanent. Offer to the National Archives when 20 years old.

3. Agency Procurement Request Files

SSA Privacy Officer clearances of ADP lease/purchase requests (Request for Proposals). The clearances indicate and assure that Agency ADP systems comply with provisions of the Privacy Act.

Destroy 3 years after clearance action.

4. Privacy Act Reports

Annual reports, such as the Privacy Act Annual Report, which contain data on the number of accesses, number of allowances and denials and other information requested by OMB or HHS. Also included are the Right to Financial Privacy Act Report, which contains data on the number of requests for financial information made by SSA to financial institutions and what the institution charged SSA for providing the information. These reports are prepared as feeder reports to HHS for their annual reports.

Destroy when 5 years old.

C. Litigation Files

These files document the Agency's coordination of litigation with OGC, HHS, for civil and administrative cases. The files are created and maintained by the Litigation Branch in SSA, which is the principal liaison and contact point for OGC in all matters pertaining to litigation involving individual and class actions.

1. Litigation Staff Files

Documents the Litigation Branch's involvement in individual and class action court cases. Records include requests from OGC concerning SSA's position in defending cases, the investigation of out-of-court settlement and policy issues regarding appeals of court decisions. Also included are SSA's responses to OGC requests.

Destroy 2 years after the last action regarding the case except those cases which establish major precedence or identify landmark issues. Review these cases annually and destroy those which are no longer needed for current operations.

2. Effectuation Files

These records document SSA's effectuation of court orders in reversals and the payment of any associated attorney fees. The records consist of separate case files for each reversal and attorney fees and include paper documentation of the court decision, the SSA component responsible for effectuating or implementing the decision (court order) and the fact that the component was notified. The effectuation cases are controlled through

a computerized control system which also forms a database used to produce management reports and trend analyses which depict the characteristics of cases, such as types and numbers of claims in litigation and how many and what type of cases SSA wins/loses.

a. Paper Records -
Effectuation Files

Destroy upon verification of effectuation of payments.

b. Management Reports

Destroy when 3 years old.

c. Control Records

Purge and delete from system when paper records are destroyed or when no longer needed for management reports (GRS 23, Item 5).

RECORDS MANAGEMENT HANDBOOK
RECORDS RETENTION AND DISPOSAL SCHEDULE

MRM 07 Schedule 15

MRM 07
Schedule 15 Legislative Regulatory Policy Coordination

The files described in this schedule are created in the administration of Social Security Administration (SSA) programs by the offices having responsibility for legislative and regulatory policy coordination.

Description of Records

Authorized Disposition

~~1. GENERAL PROGRAM ADMINISTRATIVE FILES~~

~~A. Administrative Files~~

~~Files created by legislative and regulatory policy components in the performance of their assigned functions.~~

~~Destroy 2 years after the close of the calendar year in which dated.
NOTE: Documents in the file that require additional action or that relate to ongoing projects may be retained until the action or project is completed. They should be destroyed when they have no continuing relevance.~~

~~1. Official file copies of outgoing correspondence relating to office functions.~~

~~2. Comments on draft reports, studies and proposals prepared by other offices.~~

~~3. Comments on proposed legislation not otherwise covered under Section 11. B.~~

~~4. Suggestion evaluations.~~

~~5. Program and management reports, such as overtime and staffing reports, workload and production reports, highlights, activity reports and other reports prepared to submit narrative or statistical data to management offices. Excluded are reports specifically identified elsewhere in this Schedule.~~

~~6. Correspondence control logs reflecting the assignment and disposition of incoming controlled correspondence.~~

~~Close out at the end of the calendar year and destroy 1 year thereafter.~~

B. Working Files

Nonessential working papers retained for reference purposes by staff members. Included are extra copies of official file material, supporting or background material used in developing official files but not needed as part of the official file, studies or similar material not acted upon, papers used as local administrative aids and other papers which do not serve as the basis for official action.

Destroy after 2 years or when no longer needed for reference, whichever is earlier.

II. LEGISLATIVE AND REGULATORY POLICY RECORDS

A. Program Analysis Files

Files accumulated in the ongoing review and analysis of the effectiveness of present Social Security programs and in planning ways and means for improving those programs. The files are retained by subject matter category and include copies of memorandums and bill reports, position papers, studies, plans, proposals and comments.

Review files annually and destroy material which does not have continuing relevance.

B. Legislative Language and Specifications Files

Retained copies of proposals for changes in the Social Security laws and related material. The documents contain proposed legislative language, supporting statements, alternative proposals and other information. Included in the files are related clearance comments.

Review files annually and destroy material which does not have continuing relevance.

C. Background Books

Binders containing material prepared for use by SSA and HHS officials in testifying before congressional committees on a given piece of legislation or issue. The material provides background information on the legislation or issue and an analysis of the implications for Social Security programs.

Permanent. Transfer to the Legislative Reference Office after 2 years. Offer to the National Archives 25 years thereafter.

D. Bill Files

Copies of bills introduced in Congress pertaining to Social Security or related programs and associated background material. Included are copies of any introductory remarks by members of Congress, bill reports, analyses and cost estimates, committee reports and similar documents. Documents relating to bills upon which congressional action is taken are retained in bound volumes.

1. Bound Volumes

Permanent. Offer to the National Archives when no longer needed for reference.

2. Other Documents

Review file when new Congress is seated and destroy obsolete material or combine with bound legislative history volumes where appropriate.

E. Congressional Bills File System Records

This automated system contains data on Social Security-related bills, such as bill number, sponsor, co-sponsor, subject matter and other descriptive information. The system is used to monitor the progress of bills through Congress and for other management information purposes.

1. Coding sheets used to enter data into the system.

Destroy after data have been entered into the system and verified as accurate.

2. System output, including chronological listings, subject matter listings and author listings.

Destroy upon receipt of updated listing.

3. Final system output (listings) providing summary data on Social Security-related legislative activity for a given Congress. The listings are prepared when a new Congress is seated. They are retained in bound volumes.

Permanent. Transfer to the Legislative Reference Office after 2 years. Offer to the National Archives 25 years thereafter.

4. Magnetic tape records.

Erase and return to blank stock 60 days after release of final system output.

F. Hearing Files

Copies of transcripts and printed reports of hearings before congressional committees on bills or issues relating to Social Security programs. One copy of each printed hearing report is retained in a bound volume for historical purposes.

1. Transcripts

Review at the end of each Congress (2 years) and destroy obsolete material.

2. Printed Reports

Permanent. Offer bound volume to the National Archives within 35 years.

G. Name Files

Material documenting the positions of individual members of Congress on issues relating to Social Security programs. Included are copies of press releases and speeches, clippings from the Congressional Record, newspaper or magazine articles and similar records.

Review files upon seating of a new Congress and destroy obsolete material.