

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: NC-047-75-007

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules.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

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These items, unless subsequently superseded, may be used by the agency to disposition records.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.

All items not listed below 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SUPERSEDED AND OBSOLETE ITEMS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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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Item VIII.A was superseded by DAA-0047-2012-0004, items 0002, 0003, 0005, and 0006.

Item IX.A was superseded by DAA-0047-2012-0002-0001.

**REQUEST FOR AUTHORITY
 TO DISPOSE OF RECORDS**

(See Instructions on Reverse)

43 items

RG 47

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

LEAVE BLANK	
DATE RECEIVED NOV 21 1974	JOB NO.
DATE APPROVED NC - 47-75 - 7	

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

2 MAJOR SUBDIVISION
 Social Security Administration

3. MINOR SUBDIVISION
 Division of Administrative Appraisal and Planning

4. NAME OF PERSON WITH WHOM TO CONFER
 Charles D. Smith

5 TEL. EXT.
 594-5772

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disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10.

1-28-75
 Date *James E. O'Neil*
 acting Archivist of the United States

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 schedule of _____ pages are proposed for disposal for the reason indicated: ("X" only one)

- A The records have ceased to have sufficient value to warrant further retention.
- B The records will cease 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.

11-15-74

Charles D. Smith

SSA Records Officer
 (Title)

7. ITEM NO	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10 ACTION TAKEN
I.	<p><u>AUDIT LIAISON AND COORDINATION FILES</u></p> <p>These files are accumulated in coordinating arrangements for various General Accounting Office (GAO) and HEW Audit Agency audits, in coordinating followup action on audit reports, and in assuring, through periodic status reports, that accepted audit recommendations are implemented.</p> <p>A. <u>Audits of SSA Operations</u></p> <p>These files contain records relating to audits of SSA operations, including notifications of forthcoming audits, copies of draft and final audit reports, comments on findings and recommendations, replies to GAO and HEW, and reports on the status of implementation of recommendations.</p> <p>Place in an inactive file after final SSA action on the audit report. Cut off inactive file at the end of the calendar year and destroy 2 years thereafter.</p> <p><i>These are duplicate copies; official copies appear in SSA Bureau schedules which were submitted to GAO.</i></p>		

Copy to WNRC + Agency 1/30/75

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
II.	<p>B. <u>Audits of Agencies Under Contract or Agreement With SSA</u></p> <p>These files contain periodic reports on fiscal and management audits of agencies performing work for SSA. Included are copies of draft and final audit reports, copies of closing agreements, comments on the status of recommendations and replies to HEW.</p> <p>Place in an inactive file after final SSA action on the audit report. Cut off inactive file at the end of the calendar year and destroy 2 years thereafter.</p> <p><u>INVESTIGATIONS FILES</u></p> <p>A. <u>Investigations Case Files</u></p> <p>These are official case files containing evidence developed in formal investigations of suspected violations of criminal statutes relating to the administration of the Social Security Act, alleged employee misconduct, and conflict of interest. The evidence may eventually be referred to a U.S. Attorney for use in a criminal prosecution.</p> <p>Place in an inactive file after final action on the case. Cut off inactive file at the end of the calendar year, hold 2 years, and then transfer to a Federal Records Center (FRC). Destroy 5 years thereafter.</p> <p>B. <u>Investigations Background Files</u></p> <p>These files contain materials which are related to or accumulated in a particular investigation and are not included in case files described above. Included are duplicate copies of reports which summarize the findings of a particular investigation.</p> <ol style="list-style-type: none"><u>Office Responsible for Conducting the Investigation</u> Destroy 10 years after the close of the calendar year in which the investigation was completed.<u>Other Offices</u> Destroy after 2 years.		

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
III.	<p><u>ADMINISTRATIVE APPRAISAL FILES</u></p> <p>A. <u>Management Study Case Files</u></p> <p>These files document the inception, scope, findings, and accomplishments of management study, appraisal, or survey projects. Such projects generally involve the review and evaluation of organizational structures, operating procedures, or management practices. Included are records reflecting the request and authorization to undertake the project, project plans, the final project report, and any followup reports on actions taken.</p> <p>1. <u>Office Conducting the Project</u></p> <p>Destroy 5 years after completion of the final report.</p> <p>2. <u>Other Offices</u></p> <p>Destroy after 2 years or when no longer needed for reference, whichever is first.</p> <p>B. <u>Management Study Working Files</u></p> <p>These files contain working papers accumulated in the preparation, clearance, and issuance of final project reports. Included are notes, drafts, feeder reports, statistical listings, clearance comments, and similar records.</p> <p>Destroy 2 years after completion of the final report.</p>		
IV.	<p><u>EMERGENCY AND CIVIL DEFENSE PLANNING FILES</u></p> <p>A. <u>Emergency and Civil Defense Plans</u></p> <p>These are plans providing for continuity of operations and for protection of personnel and property in the event of an enemy attack, natural disaster, civil disturbance, or other emergency situation. The plans generally outline emergency operating procedures, lines of succession, emergency duties and responsibilities, damage assessment procedures, and reporting requirements.</p> <p>Destroy when superseded.</p>		

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
	<p>B. <u>Disaster Operations Reporting Files</u></p> <p>These files consist of interim and final summary reports on the operations of SSA installations during natural disasters or other emergency situations. The reports provide information on the date, location, and cause of the disaster; casualties and property damage incurred; services provided; emergency procedures adopted; and facilities utilized. They are used in the development and evaluation of emergency plans and programs; in responding to Congressional and public inquiries; and in obtaining reimbursement for disaster assistance expenditures under Public Law 91-606.</p> <p>1. <u>Office of the SSA Defense Planning Officer</u></p> <p>Destroy 10 years after the close of the calendar year in which dated.</p> <p>2. <u>Other Offices</u></p> <p>Destroy 3 years after the close of the calendar year in which dated.</p> <p>C. <u>Civil Defense Exercise Files</u></p> <p>These files consist of documents relating to various test exercises conducted to determine the effectiveness of civil defense plans, procedures, or equipment. Included are test announcements, instructions to civil defense personnel, reports on test findings, and similar records.</p> <p>Destroy after 2 years.</p> <p>V. <u>ORGANIZATION PLANNING FILES</u></p> <p>A. <u>Organization Planning Files</u></p> <p>These files consist of records which establish, or effect substantive changes in, the organization, functions, or relationships of components of the Social Security Administration. Included are approved organizational and staffing plans and charts, reorganization plans, functional or mission statements, and directly supporting papers.</p>		

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
	<p><u>1. Office Having SSA-Wide Organization Planning Responsibility</u></p> <p>Permanent. Place in an inactive file when superseded. Cut off inactive file after 5 years and transfer to an FRC. Offer to the National Archives 20 years thereafter.</p> <p>2. <u>Office Having Bureau/Office Organization Planning Responsibility</u></p> <p>Destroy 10 years after supersession.</p> <p>3. <u>Other Offices</u></p> <p>Destroy when superseded or when no longer needed for reference, whichever is first.</p> <p>B. <u>Delegation of Authority Files</u></p> <p>These files consist of program and administrative delegations of continuing authority and revocations thereof. Included are approved program delegations having statutory basis in titles II, XVI, and XVIII of the Social Security Act, as amended, and title IV of the Federal Coal Mine Health and Safety Act of 1969, as amended, such as authority to certify benefit payments, authority to make Federal determinations of disability, authority to enter into agreements with states, authority to determine entitlement of individuals to benefits under title XVIII, etc. Also included are approved administrative delegations of authority, such as authority to process adverse actions, authority to award contracts, authority to approve leave and overtime, printing, procurement, and recruitment authority, etc.</p> <p><u>1. Record Copies of Approved Program Delegations of Authority</u></p> <p>Permanent. Place in an inactive file upon revocation or supersession. Cut off inactive file after 5 years and transfer to an FRC. Offer to the National Archives 20 years thereafter.</p>		

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
VI.	<p>2. <u>Record Copies of Approved Administrative Delegations of Authority</u></p> <p>Place in an inactive file upon revocation or supersession. Cut off inactive file at the end of the calendar year and destroy 10 years thereafter.</p> <p>3. <u>Other Files</u></p> <p>Destroy upon revocation or supersession.</p> <p><u>OPERATIONS PLANNING FILES</u></p> <p>A. <u>Operational Objectives and Plans Case Files</u></p> <p>These are case files containing statements of operational objectives for a given fiscal year, detailed plans describing how these objectives will be achieved, and periodic reports on the progress which has been made toward achieving the objectives. The plans specify the milestones and completion date, the resources required, and the lead component for each objective.</p> <p>1. <u>Official Case Files Relating to SSA Objectives and Plans</u></p> <p>Permanent. Place in an inactive file at the close of the fiscal year covered by the plan. Cut off inactive file after 5 years and transfer to an FRC. Offer to the National Archives 20 years thereafter.</p> <p>2. <u>Official Case Files Relating to Bureau/Office Objectives and Plans</u></p> <p>Destroy 5 years after the close of the fiscal year covered by the plan.</p> <p>3. <u>Other Files</u></p> <p>Destroy 2 years after the close of the fiscal year covered by the plan.</p>		

Lead Component - Office of primary responsibility

in bureau schedules - plans and policy

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
VII.	<p><u>LONG-RANGE ADMINISTRATIVE PLANNING FILES</u></p> <p><i>All records under VII and VIII are factual records.</i></p> <p>A. <u>Baseline Data Files</u></p> <p>These are statistical data files used in the development of various projections, estimates, and assessments required for long-range administrative planning. The files include workload, staffing, cost, and similar management data duplicated elsewhere.</p> <p>Destroy when no longer needed for reference.</p> <p>B. <u>Contingency Planning Files</u></p> <p>These files consist of documents which analyze the impact of various contingencies and trends on SSA programs and administrative operations. For given contingencies and trends, these documents provide assessments of manpower, equipment, and facilities requirements; cost, financing, and taxation considerations; organization, management, and systems alternatives; lead-time requirements; and other considerations. Included are administrative planning summary worksheets.</p> <p>1. <u>Office Responsible for Preparation</u></p> <p>Destroy when superseded or obsolete.</p> <p>2. <u>Other Offices</u></p> <p>Destroy after 2 years.</p>		
VIII.	<p><u>MANAGEMENT INFORMATION FILES</u></p> <p>A. <u>Management Information System Files</u></p> <p>1. Input documents, including copies of overtime and staffing reports, workload and processing time reports, and similar management reports prepared by various SSA components.</p> <p>Destroy 5 years after the close of the fiscal year in which dated.</p>		

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
	<p>2. Periodic end product reports, including:</p> <p>a. Weekly Summary of Operations; Monthly Report of RSDI Accuracy and Processing Time Data; RSI Processing Time and Pending Workload Tables; RSDHI Workload and Program Notes; Quarterly Report of Program Abuse and Potential Fraud Activities; SSA Facts</p> <p>(1) <u>Office Responsible for Preparation of the Report</u></p> <p>Destroy 5 years after the close of the fiscal year in which dated.</p> <p>(2) <u>Other Offices</u></p> <p>Destroy upon receipt of next comparable report.</p>		

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
IX.	<p>b. The Year In Review - Annual Report on the Administration of Social Security Programs</p> <p>(1) <u>Office Responsible for the Preparation of the Report</u></p> <p>Permanent. Place in an inactive file at the close of the fiscal year in which dated. Cut-off inactive file after 10 years and transfer to an FRC. Offer to the National Archives 20 years thereafter.</p> <p>(2) <u>Other Offices</u></p> <p>Destroy upon receipt of next comparable report.</p> <p>3. Records used in the preparation of the end-product reports, including computer print-outs, drafts, notes, working papers, and similar records.</p> <p>Destroy when no longer needed for reference.</p> <p><u>REPORTS MANAGEMENT FILES</u></p> <p>A. <u>Reports Management Case Files</u></p> <p>These files consist of records accumulated in evaluating the requirement for, approving, and controlling specific reports. Included are applications for approval, revision, or elimination of specific reports, such as Form SSA-4099, Proposal for a New, Revised, or Eliminated Report; copies of pertinent reporting forms; descriptions of format; preparation instructions; and similar records.</p> <p>Destroy 2 years after discontinuance of the report.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

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X.	<p><u>B. Reports Symbol Control Files</u></p> <p>These files consist of documents used to control the assignment of reports approval symbols. Included are registers, listings, and similar records.</p> <p>Destroy when no longer needed for control purposes.</p> <p><u>C. Reports Inventory Files</u></p> <p>These files consist of records accumulated in periodic inventories of current reports. Included are inventory forms and similar records.</p> <p>Destroy after next comparable inventory.</p> <p><u>COMMITTEE MANAGEMENT FILES</u></p> <p>For the purposes of this section, the term "committee" means a formally established group that operates on an ad hoc or standing basis to consider, investigate, advise, take action, and report on matters relating to the programs, responsibilities, or activities of the Social Security Administration.</p> <p><u>A. Committee Management Files</u></p> <p>These files are accumulated in exercising management control over the establishment, operation, and dissolution of SSA's public advisory, inter-departmental and departmental committees. Included are proposals, approvals, and disapprovals for the establishment, continuance, or dissolution of committees; documents used to approve, appoint, evaluate, and relieve committee members, such as Form HEW-532, Request for Approval of Nominees for Public Advisory Committees; and similar records.</p> <p><u>1. Office of SSA Committee Management Officer</u></p> <p>Destroy 5 years after disapproval or dissolution of the committee.</p>		

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	<p>2. <u>Other Offices</u></p> <p>Destroy 2 years after disapproval or dissolution of the committee.</p> <p>B. <u>Reports on SSA Committees</u></p> <p>These files consist of periodic and one-time reports on SSA committee activity prepared by the SSA Committee Management Officer and submitted to the Department or other requesting organizations. Included is the Annual Report of Public Advisory Committees, the Quarterly Report of Committees, and the Annual Report of Interdepartmental Committees.</p> <p>Destroy 2 years after the close of the calendar year in which dated.</p> <p><u>Committee Inventory Files</u></p> <p>These files are created as a result of periodic inventories of SSA's functioning public advisory, interdepartmental and departmental committees. Included is Form HEW-70, Committee Inventory Record, or its equivalent.</p> <p>Destroy after next comparable inventory.</p> <p>D. <u>Committee Records</u></p> <p>These records document the workings of specific public advisory, interdepartmental, or departmental committees over which SSA has primary management responsibility. Included are meeting agendas, minutes, reports issued or approved by the committee, charters, lists of committee memberships, and similar records.</p>		

*B -
 These are
 principally
 of committees
 to HEW office
 of management
 control purposes.*

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
XI.	<p>1. <u>Office Having Primary Management Responsibility For the Committee</u></p> <p>Permanent. Place in an inactive file at the close of the calendar year in which committee was dissolved. Cut off inactive file after 5 years and transfer to an FRC. Offer to the National Archives 20 years thereafter.</p> <p>2. <u>Other Offices</u></p> <p>Destroy after 2 years.</p> <p><u>CONFERENCE MANAGEMENT FILES</u></p> <p>A. <u>Conference Planning Files</u></p> <p>These files are accumulated in planning for various national and regional conferences sponsored by SSA components, such as the Commissioner's Regional Conference, the Inter-Regional Management Program Conference, and the Claims Policy Conference. Included in these files are requests, approvals, and disapprovals for the holding of conferences; tentative and final conference schedules; announcements and notifications; lists of attendees; and similar records.</p> <p>1. <u>Sponsoring Office</u></p> <p>Destroy 5 years after the close of the fiscal year in which conference was held.</p> <p>2. <u>Other Offices</u></p> <p>Destroy after 2 years.</p> <p>B. <u>Conference Records</u></p> <p>These records document the actual workings of specific national or regional SSA conferences. Included are agenda, minutes, and reports highlighting the significant conclusions, recommendations, opinions, and action items which result from the conference. Conference records generally have significant implications for SSA programs, policies, or functions.</p>		

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	<p>1. <u>Sponsoring Office</u></p> <p>Permanent. Place in an inactive file at the close of the fiscal year in which conference was held. Cut off inactive file after 5 years and transfer to an FRC. Offer to the National Archives 20 years thereafter.</p> <p>2. <u>Other Offices</u></p> <p>Destroy after 2 years.</p>		