

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: NC1-047-76-17

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules.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These items, unless subsequently superseded, may be used by the agency to disposition records.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SUPERSEDED AND OBSOLETE ITEMS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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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.

Items IV/B and IV/C were superseded by NC1-047-84-11.

**REQUEST FOR AUTHORITY
 TO DISPOSE OF RECORDS**

(See Instructions on Reverse)

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

LEAVE BLANK	
DATE RECEIVED DEC 10 1975	JOB NO.
DATE APPROVED NC1-47-76	

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

2. MAJOR SUBDIVISION
Social Security Administration

3. MINOR SUBDIVISION
Bureau of Supplemental Security Income

4. NAME OF PERSON WITH WHOM TO CONFER
George S. Yamamura

5. TEL. EXT.
45770

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disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10.

4-5-76 James B. Rhoads
 Date 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.

11/18/75 (Date) for Eugene J. Reed, Jr. (Signature of Agency Representative) Dept. Records Mgt. Officer (Title)

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<u>Records Retention and Disposal Schedule</u> <u>Bureau of Supplemental Security Income (Headquarters)</u>		
I.	<u>GENERAL PROGRAM ADMINISTRATION FILES</u> <u>A. Administrative Files</u> Files created by most BSSI Headquarters components in the performance of their assigned functions.		
	1. Official file copies of outgoing correspondence relating to office functions. 2. Comments on draft reports, studies, and proposals prepared by other offices. 3. Contributions to and/or 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.		

Copy to Agency & NCW
 4-8-76

3/31/76 - Changes with approval of C. White-
 Four copies, including original, to be submitted to the National Archives and Records Service

INSTRUCTIONS

General Instructions: Use Standard Forms 115 and 115a, obtainable from Supply Centers of the Federal Supply Service, General Services Administration, to obtain authority to dispose of records. Submit four copies, all of which should be signed and dated, to the National Archives and Records Service. Indicate the number of pages involved in the disposal request under entry 6. Copy 4 of the standard form will be returned to the agency as notification that Congress has authorized disposal of the items marked "approved."

Specific Instructions:

Entries 1, 2, and 3 should show *what* agency has custody of the records that are identified on the form, and should contain the name of the department or independent agency, and its major and minor subdivisions.

Entries 4 and 5 should help identify and locate the person to *whom* inquiries regarding the records should be directed.

Entry 6 should show *what kind of authorization* is requested. Only one of two kinds of authorizations may be requested on a particular form.

Box A should be marked if immediate disposal is to be made of past accumulations of records, and the completed form thus marked is a list.

Box B should be marked if records that have accumulated or will continue to accumulate are to be disposed of at some definite future time or periodically at stated intervals, or if disposal is to be made of microphotographed records after it has been ascertained that the microfilm copies were made in accordance with the standards prescribed in GSA Regulations 3-IV-105; and the completed form thus marked is a schedule.

Entry 7 should contain the numbers of the items of records identified on the form in sequence, i. e., 1, 2, 3, 4, etc.

Entry 8 should show what records are proposed for disposal.

Center headings should indicate *what office's records* are involved if all records described on the form are not those of the same office or if they are records created by another office or agency.

An identification should be provided of the *types of records* involved if they are other than textual records, for example, if they are photographic records, sound recordings, or cartographic records.

An itemization and accurate identification should be provided of the *series of records* that are proposed for disposal. Each series should comprise the largest practical grouping of separately organized and logically related materials that can be treated as a single unit for purposes of disposal. Component parts of a series may be listed separately if numbered consecutively as 1a, 1b, etc., under the general series entry.

A statement should be provided showing *when* the records were produced or *when* disposal is to be made of the records, thus:

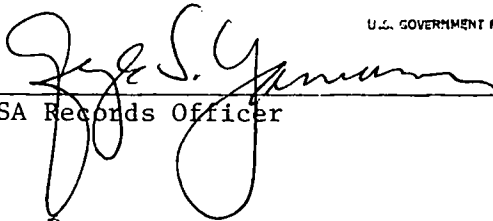
If *Box A* under entry 6 was marked, the inclusive dates during which the records were produced should be stated.

If *Box B* under entry 6 was marked, the period of retention should be stated. The retention period may be expressed in terms of years, months, etc., or in terms of future actions or events. A future action or event that is to determine the retention period must be objective and definite. If disposal of the records is contingent upon their being microfilmed, the retention period should read: "Until ascertained that microphotographic copies have been made in accordance with GSA Regulations 3-IV-105 and are adequate substitutes for the paper records."

Entry 9 should show *what samples* of records were submitted for each item, or with *what job number* such samples were previously submitted. Samples of types of records other than textual and cartographic records should not be submitted.

Entry 10 should be left blank.

U.S. GOVERNMENT PRINTING OFFICE:1953-O-712-313


SSA Records Officer


BSSI Records Liaison Officer

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>Destroy 2 years after the close of the calendar year in which dated. <u>NOTE:</u> Documents in the file that require additional action or that relate to ongoing projects may be retained until the action or project is completed.</p> <p>B. <u>Working Files</u></p> <p>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.</p> <p>Destroy after 2 years or when no longer needed for reference, whichever is earlier.</p> <p>II. <u>BUREAU DIRECTOR'S FILES</u></p> <p>A. <u>Official Correspondence Files</u></p> <p>Official file copies of outgoing correspondence originating from the Office of the Bureau Director, BSSI. The correspondence is retained for its historical value.</p> <p>Permanent. Transfer to the SSA Records Holding Area 2 years after the close of the calendar year in which dated, hold 3 years, and then transfer to the FRC. Offer to the National Archives 5 years thereafter. <i>when 10 years old.</i></p> <p>B. <u>Correspondence Control Logs</u></p> <p>Logs reflecting the assignment and disposition of incoming controlled correspondence.</p> <p>Close out at the end of the calendar year and destroy 1 year thereafter.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

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III.	<p>C. <u>Director's Reading Files</u></p> <p>Extra copies of outgoing BSSI correspondence retained for convenience of reference.</p> <p>Destroy 2 years after the close of the calendar year in which dated.</p> <p><u>PROGRAM POLICY FILES</u></p> <p>A. <u>Policy Precedent Files</u></p> <p>Policy memorandums, interpretations, clarifications, and similar records accumulated by BSSI Headquarters components responsible for program policy development. The records serve as precedent for future program policy determinations.</p> <p>Permanent. Review files at the close of each calendar year. Destroy documents which do not have continuing relevance and transfer file to the FRC. Offer to the National Archives 10 years thereafter.</p> <p>B. <u>Litigation Case Files</u></p> <p>Folders containing copies of legal documents and miscellaneous correspondence relating to Title XVI claims cases in litigation. Included are copies of the complaint and answer, motions, court orders, and other documents relevant to the case. Record copies of these documents are retained by the Office of the General Counsel.</p> <p>Transfer to the FRC 2 years after the case is closed. Destroy 7 years thereafter. <i>after case is closed.</i></p> <p>C. <u>Hearing Decisions</u></p> <p>Nonrecord copies of hearing decisions rendered by the Presiding Officer in Title XVI claims cases. The decisions are forwarded to BSSI by the Bureau of Hearings and Appeals (BHA) and reviewed by staff members for technical deficiencies. Included is Form HA-514e, Hearing Decision, and related correspondence with BHA.</p> <p>Destroy copies of form HA-514e after 6 months. Destroy related correspondence after 1 year.</p>		

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	<p>D. <u>Activity Task Officer (ATO) Files</u></p> <p>Documents created in planning and monitoring the initial implementation of various aspects of the Supplemental Security Income (SSI) program. Included are plans, status reports, policy and procedural determinations, and similar documents. The files document the development of major SSI program functions.</p> <p>Permanent. Transfer to the SSA Records Holding Area, hold 3 years, and then transfer to the FRC. Offer to the National Archives 5 years thereafter. <i>when 8 years old.</i></p> <p>E. <u>Field Issuance Files</u></p> <p>Nonrecord copies of program circulars and other field issuances submitted to BSSI Headquarters components for postissuance review. Included are copies of memorandums to the field regarding a specific issuance.</p> <p>Transfer to the SSA Records Holding Area after 2 years. Destroy 3 years thereafter. <i>when 5 years old.</i></p>		
IV.	<p><u>STATE PROGRAMS FILES</u></p> <p>A. <u>State Agreements Files</u></p> <p>Agreements entered into with the State agencies by the Secretary of Health, Education, and Welfare (HEW) pursuant to sections 1616, 1631, and 1634 of the Social Security Act, as amended. The agreements provide for Federal administration of State supplementary payments programs, for reimbursement to the States for interim assistance payments, and for Federal determination of Medicaid eligibility. Included are original agreements and amendments thereto, copies of agreements retained for reference purposes, summaries, records of negotiations, and similar documents.</p> <p>1. <u>Original Agreements and Amendments</u></p> <p>Permanent. Transfer to the FRC 3 years after the close of the calendar year in which terminated. Offer to the National Archives 10 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
	<p>2. <u>Other Files</u></p> <p>Destroy 3 years after the agreement is terminated.</p> <p>B. <u>State Agency Budget and Financial Report Files</u></p> <p>Records used to estimate, justify and approve State agency SSI program costs and to account for funds received and expended by the State agency. Included are Forms SSA-2666, State Agency Budget; SSA-2666A, State Agency Budget List of Positions; SSA-2667, State Agency Budget Notice of Approval; SSA-2668, Notice to State Agency; SSA-2669, Financial Accountability Statement; SSA-2669A, Quarterly Expenditure Report; SSA-8710, State Agency Budget Request; SSA-8711, State Agency Budget List of Positions; SSA-8712, State Agency Budget Notice of Approval; SSA-8713, Quarterly Expenditure Report and Request for Reimbursement; SSA-8714, Notice of Payment and Financial Accountability Statement; or their equivalents. Also included are supplementary budgets, certificates of authority, and related documents.</p> <p>Transfer to the FRC 5 years after the close of the budget year. Destroy 8¹⁰ years thereafter. <i>after the close of the budget year.</i></p> <p>C. <u>Closing Agreements Files</u></p> <p>Records documenting the accepted final settlement of reimbursable expenses incurred by the State agency in performing services provided for in the State agreement. Included are closing agreements, appendices, schedules of balances due, and similar documents.</p> <p>Transfer to the FRC 3 years after HEW audit and final settlement. Destroy 7⁶ years thereafter. <i>after HEW audit and final settlement.</i></p> <p>D. <u>Financial Accountability Statements--Supplementary Payments Program</u></p> <p>Form SSA-8700, Financial Accountability Statement for State Supplementary Payments Program, or its equivalent. The forms are used to account for the disposition of State funds transferred to the Federal Government to cover State liability for expenditures under the supplementary payments program. They are prepared from a combination of machine listings and manual postings.</p>		

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7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>1. <u>Form SSA-8700 and Machine Listings</u></p> <p>Transfer to the FRC 3 years after the close of the fiscal year in which dated. Destroy 8 ⁶ years thereafter. <i>after the close of the fiscal year in which dated.</i></p> <p>E. <u>State Supplementation and Medicaid Decisions Files</u></p> <p>Documents relating to decisions made by the State agencies regarding supplementary payment levels, payment categories, criteria for Medicaid eligibility, and the locus of Medicaid eligibility determinations. Included are narrative charts summarizing the various State decisions as of a given date. The charts provide basic documentation of the manner in which the SSI program is being administered in the States. They are revised periodically.</p> <p>1. <u>Charts</u></p> <p><i>A)</i> The preparing office will retain 1 copy of each set of charts permanently. These charts will be transferred to the FRC in 5-year accumulations and offered to the National Archives 5 years <i>when 10 years</i> thereafter. <i>old.</i> <i>B)</i> Other offices will destroy their copies when superseded.</p> <p>2. <u>Other Documents</u></p> <p>Destroy when superseded or obsolete.</p> <p>F. <u>Billings for Medicaid Services</u></p> <p>Copies of Form SSA-1036, Billing Covering Reimbursable Services Performed, or its equivalent. The forms are executed pursuant to section 1634 of the Social Security Act to obtain reimbursement from the States for costs incurred by SSA in making determinations of Medicaid eligibility. Fiscal copies are retained by the Office of Financial Management (OFM), Office of Management and Administration (OMA).</p> <p>Destroy 3 years after the close of the fiscal year in which dated.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

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	<p>G. <u>Medicaid Program Coordination Files</u></p> <p>Correspondence between BSSI and the Social and Rehabilitation Service (SRS), DHEW, regarding SSA's role in administering the Medicaid program (Title XIX of the Social Security Act, as amended). Also included are copies of SRS regulations, program instructions, positions papers, and policy memorandums retained for convenience of reference.</p> <ol style="list-style-type: none">1. Destroy copies of SRS regulations and instructional material when superseded.2. Review correspondence and other file material at the close of each calendar year and destroy documents which do not have continuing relevance. <p>H. <u>State Correspondence Files</u></p> <p>Routine correspondence with the State agencies on matters relating to the administration of the SSI program. Included is correspondence relating to a specific State problem.</p> <p>Destroy after 2 years.</p> <p>V. <u>SYSTEMS PLANNING FILES</u></p> <p>A. <u>Systems Planning Files</u></p> <p>Documents created in planning the design, complete redesign, or expansion of Electronic Data Processing (EDP) systems or subsystems thereof. Included are systems proposals, performance specifications, and related documents.</p> <ol style="list-style-type: none">1. <u>Office Having Primary Systems Management Responsibility</u> <p><i>A</i> Retain documents relating to implemented systems permanently. Transfer to the FRC after complete redesign or termination of the system. Offer to the National Archives 5 years thereafter. <i>B</i> Destroy documents relating to nonimplemented systems after 3 years.</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. <u>Other Offices</u></p> <p>Destroy when superseded or obsolete.</p> <p>B. <u>Systems Implementation Files</u></p> <p>Documents relating to the implementation of an EDP system. Included are design specifications, EDP programs, forms and other documentation, EDP, and non-EDP procedures, and related documents. Record copies are retained by the Bureau of Data Processing.</p> <p>Destroy when superseded or obsolete.</p> <p>C. <u>Validation and Quality Control Files</u></p> <p>Documents relating to the validation of EDP programs. Included are summaries of data, reports of validation results, and related documents.</p> <p>Destroy upon validation of the program or completion of the quality control test.</p> <p>D. <u>Installation Procedures and Schedules</u></p> <p>Procedures and schedules relating to the installation of an EDP system. Included are plans and schedules for equipment installation, space redesign, training, and other operations required for the orderly installation of the system.</p> <p>Destroy 1 year after installation of the system.</p> <p>E. <u>Technical Resources Files</u></p> <p>Documents relating to the procurement of the various technical resources required for the operation of a particular EDP system including hardware and software. Included are requests for resources, justification statements, comments, approvals, cost data, and related documents. Record copies are retained by the Office of Data Development, OMA.</p> <p>Destroy after 2 years.</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>VI.</p> <p><i>DI - A - 1 through 3 Withdrawn</i></p>	<p><u>OPERATING SYSTEMS RECORDS</u></p> <p>A. <u>Supplemental Security Record (SSR)</u></p> <p>Magnetic tape and microfiche file containing data regarding eligibility, citizenship, residence, eligibility for other benefits, alcoholism or drug addiction (if applicable), income, resources, payment amounts, and living arrangements for all persons who have applied for SSI payments. The data are derived from application forms filed by individuals in SSA district/branch offices. The SSR serves as the historical record of all payment activity for a particular person. Information from this file is used by the Treasury Department to prepare SSI benefit checks. In addition, statistical data are derived from the file for actuarial and management information purposes.</p> <ol style="list-style-type: none"><u>Transaction Tapes</u> Return to blank stock after third update cycle.<u>Master Tape Files</u> Return to blank stock after third update cycle.<u>Microfiche File</u> Destroy upon production and verification of updated materials. <p>B. <u>Online Claims Data File</u></p> <p>Magnetic disk file containing claims data (similar to that in the SSR) for all persons who have applied for SSI payments. The file is used in conjunction with a telecommunications network to expeditiously provide SSI data to SSA field offices throughout the nation. The data are indexed by social security number.</p> <p>Retain in agency space until administrative value ceases and then dispose of the data.</p>		

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	<p>C. <u>Cases Currently in Process File</u></p> <p>Magnetic tape file created from the SSR containing eligibility and SSI case folder location data. The file is used primarily for internal case control purposes.</p> <p>Retain in agency space until administrative value ceases and then dispose of the data.</p> <p>D. <u>Claims Index File</u></p> <p>Magnetic tape file containing an index of social security numbers which may be used to identify a particular individual who has applied for SSI payments. The file is used to determine an individual's correct social security number so that claims data may be properly processed on the SSR.</p> <p>Retain in agency space until administrative value ceases and then dispose of the data.</p> <p>E. <u>Advance Payment File</u></p> <p>Magnetic disk file containing a record of the amount and date of the advance payment made to an individual who has applied for SSI payments and requested the initial payment in advance. The file is used as a preventive measure against the issuance of duplicate advance payments.</p> <p>Retain in agency space until administrative value ceases and then dispose of the data.</p> <p>F. <u>Overpayment File</u></p> <p>Magnetic tape file containing data on potential overpayments made to a particular SSI recipient. The file serves as the basis for SSI overpayment recovery activities. As such, it is used to alert SSA district/branch offices of potentially overpaid recipients and to prepare bills to the States to recover their share of the overpayment. The file contains basic eligibility and claims data extracted from the SSR.</p> <p>Retain in agency space until administrative value ceases and then dispose of the data.</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>G. <u>SSI Refund File</u></p> <p>File containing data on refunds sent to SSA by persons who were overpaid or not entitled to SSI payments. Included is name, social security number, date, and amount of refund data. The data are input into an electronic system by punchcards and matched against information entered by SSA district/branch offices for audit purposes. In addition, a manual file of source documents and cross-reference listings is maintained to handle inquiries from the district/branch offices.</p> <p>1. <u>Source Documents (Form SSA-1395 and Cross-Reference Listings)</u></p> <p>Transfer to the FRC 2 years after the close of the fiscal year in which received. Destroy 4 years thereafter. <i>6 years after the close of the fiscal year in which received.</i></p> <p>2. <u>Punchcards</u></p> <p>Destroy after data have been entered into the system and all exceptions resolved.</p> <p>H. <u>State Data Exchange System</u></p> <p>Magnetic tape, microfilm, and paper files provided to the State agencies by SSA for use in establishing and maintaining records of State supplementary payments and Medicaid determinations. The files contain basic eligibility and payment data for all persons residing in a particular State who have applied for SSI payments. The data are extracted from the SSR. In addition to the files maintained in the State agencies, backup files are retained by SSA.</p> <p>1. <u>State Agency Files</u></p> <p>Dispose of in accordance with State practice.</p> <p>2. <u>Backup Files</u></p> <p>Dispose of after 90 days.</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
VII.	<p><u>FISCAL CONTROL AND AUDIT FILES</u></p> <p>A. <u>SSI Disbursement Records</u></p> <p>Forms SSA-8703, Control Ledger-Supplemental Security Record; SSA-8705, Control Ledger-General; SSA-8706, Control Ledger-Certification; and equivalent documents used to account for and certify the disbursement of funds for SSI payments. The documents also serve as a source of information for the preparation of periodic financial reports. Included are control vouchers, such as Forms SSA-8704, Voucher-Control Ledger Certification; SSA-8707, Voucher-Control Ledger Supplementary Record; and SSA-8708, Voucher-General Ledger. Also included are computer run sheets when used in lieu of vouchers and related supporting documentation (punchcards and worksheets).</p> <p>1. <u>Punchcards and Worksheets</u></p> <p>Destroy after 90 days or when they have served their purpose.</p> <p>2. <u>Vouchers and Computer Runs</u></p> <p>Transfer to the FRC after 90 days using Record Group 217. Destroy 6 years thereafter.</p> <p>3. <u>Ledgers</u></p> <p>Transfer to the FRC 1 year after the close of the fiscal year in which dated using Record Group 217. Destroy 5 years thereafter.</p> <p>B. <u>Statements of Transactions and Supporting Records</u></p> <p>Standard Form (SF) 224, Statement of Transactions, and related supporting documentation, such as SF-219, Certificate of Deposit; SF-1081, Voucher and Schedule of Withdrawals and Credits; SF-1098, Schedule of Cancelled Checks; SF-1184E, Unavailable Check Cancellation; SF-1017G, Journal Voucher; SF-1166, Voucher and Schedule of Payments; Treasury Form TUS-5504; SSA-8715, SSI Daily Report of Benefit Activity; and SSA-8716, Breakdown of Benefit Activity by State. The records are used to account for and certify the disbursement of funds for SSI payments.</p>		

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	<p>Transfer to the FRC 90 days after the close of the fiscal year in which dated using Record Group 217. Destroy 6 years thereafter.</p> <p>C. <u>Daily Cancellation Listings</u></p> <p>Daily listings received from the Department of the Treasury identifying all checks cancelled by the Treasury for a particular day. They are used as an aid in identifying out-of-balance conditions.</p> <p>Destroy on balancing of the monthly totals.</p> <p>D. <u>Monthly Cancellation Listings</u></p> <p>Monthly listings received from the Department of the Treasury identifying all checks cancelled by the Treasury for a given month. The listings are used to verify the total of the SF-1098, Schedule of Cancelled Checks, received for the month.</p> <p>Destroy after balancing operation has been completed.</p>		
VIII.	<p><u>FINANCIAL MANAGEMENT FILES</u></p>		
	<p>A. <u>BSSI Budget Submission</u></p> <p>Budget estimates and associated justification statements submitted annually to OFM, OMA. The files are used by OFM in the preparation of the annual SSA budget submission to the Department and to the Office of Management and Budget. Included are Forms OAAD-413, Summary of Estimates for Personal Services and Other Objects of Expenditure; OAAD-417, Worksheet for Detail of Personal Services by Position; OAAD-419, Worksheet for Detail of Personal Services by Subclass; SSA-421, Summary of Estimates for Travel and Transportation of Persons; SSA-422, Conferences and Meetings; SSA-425, Summary of Estimates for Transportation of Things; SSA-426, Summary of Estimates for Rent, Communications, and Utilities Services; SSA-427, Estimates for Rental of Space; and related documents. Record copies are retained by OFM, OMA.</p> <p>1. <u>Office Having BSSI Financial Management Responsibility</u></p> <p>Transfer to the SSA Records Holding Area 3 years</p>		

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IX.	<p>after the close of the budget year. Hold an additional 3 years in the Holding Area and then transfer to the FRC. Destroy 4 years thereafter. <i>Destroy 10 years after the close of</i> 2. <u>Other Offices</u> <i>the budget year.</i></p> <p>Destroy 2 years after the close of the budget year.</p> <p>B. <u>Overtime and Staffing Reports</u></p> <p>Periodic reports submitted to OFM, OMA, on overtime used and staff on duty in BSSI. The reports are used in monitoring budget execution. Included are requests for overtime received from BSSI components.</p> <p>Destroy after 2 years.</p> <p><u>PERSONNEL AND MANAGEMENT SERVICES FILES</u></p> <p>A. <u>Promotion Package Files</u></p> <p>Nonrecord copies of applications filed for specific BSSI job vacancies. Record copies of these documents are retained by the Office of Human Resources (OHR), OMA.</p> <p>Destroy 30 days after cancellation of vacancy or selection of candidate. <u>NOTE</u>: If a question is raised regarding a particular promotion action, retain documents having a direct bearing on that action until the question is resolved.</p> <p>B. <u>Unofficial Personnel Folders</u></p> <p>Unofficial personnel folders for BSSI Headquarters and field employees. The folders contain working papers, nonrecord copies of SF-52, Request for Personnel Action, and similar documents. Official personnel folders are retained by OHR, OMA.</p> <p>Destroy 1 year after separation of the employee from BSSI.</p> <p>C. <u>Factors and Weights Files</u></p> <p>Nonrecord copies of documents used in rating</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>applicants for BSSI job vacancies. The documents identify the various factors considered in filling the vacancy and the weight accorded to each.</p> <p>Destroy when superseded or obsolete.</p> <p>D. <u>Training Plan Files</u></p> <p>Annual BSSI training plan submitted to OHR, OMA, for use in forecasting budgetary and other requirements for SSA training activities. The plan provides a description of anticipated training needs, training classifications, and priority levels; estimates of the number of trainees, amounts of time, and costs involved; and similar data. Included is Form SSA-2553, Training Plan, or its equivalent. Record copies are retained by OHR, OMA.</p> <p>Destroy 5 years after the close of the fiscal year covered by the plan.</p> <p>E. <u>Program Participant Files</u></p> <p>These files document a BSSI employee's participation in the Staff Development Program, the Executive Development Program, or a similar career development program. Included in a participant's file are copies of development plans, qualifications statements, records reflecting training courses taken, copies of supervisory appraisals and evaluations, and similar records. Also included are Forms SSA-1889, Candidate's Statement of Interest; SSA-1890, Notification of Eligibility and Career Planning and Interest Questionnaire; SSA-1891, Supervisory Recommendations for Employee's Career Development; SSA-2031, Profile of Eligible Candidate; SSA-2588, Career Planning and Recommendations; or their equivalents.</p> <p>Two years after the participant completes the program, remove and destroy all material from the file except: (1) development plans, (2) qualifications statements, and (3) forms SSA-2031 and SSA-2588. These three items should be destroyed 5 years after the completion of the program.</p>		

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	<p>F. <u>Course Announcements</u></p> <p>Pamphlets, notices, brochures, catalogs, and other documents which announce or list training courses being offered by SSA or other Governmental or non-Governmental organizations.</p> <p>Destroy when no longer current or when no longer needed for reference, whichever is earlier.</p> <p>G. <u>Training Logs</u></p> <p>Documents to control the processing of training requests for BSSI employees.</p> <p>Destroy when no longer needed for control purposes.</p> <p>H. <u>Space Request Files</u></p> <p>Documents submitted to the Office of Operating Facilities (OOF), OMA, to request additional space allocations for BSSI. Included are periodic reports on the status of the requests. Record copies are retained by OOF, OMA.</p> <p>Destroy 1 year after final action on the request.</p> <p>X. <u>PROGRAM DIRECTIVES FILES</u></p> <p>A. <u>Instructions Files</u></p> <p>Manuals, directives, handbooks, and other formal policy and procedural issuances prepared and published by the BSSI Headquarters components. Included are Administrative Directives System (ADS) issuances, Parts 12 and 13 of the Claims Manual, SSI State Manual, Numbered Identical Memorandums, and similar material.</p> <p>1. <u>Office Responsible for Instructions Coordination</u></p> <p>Permanent. Transfer to the FRC at the close of the calendar year in which superseded or discontinued. Offer to the National Archives 10 years thereafter.</p>		

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7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>2. <u>Other Offices</u></p> <p>Destroy when superseded or discontinued.</p> <p>B. <u>Instructions Background Files</u></p> <p>Records accumulated in the preparation, clearance, and publication of manuals, directives, handbooks, and other formal policy and procedural issuances. Included are studies, clearance comments, recommendations, and similar records which provide a basis for publication or contribute to the content of the issuance.</p> <p>1. <u>Office Responsible for Instructions Coordination</u></p> <p>Retain in accordance with item I.A. above. <i>Destroy when superseded or obsolete.</i></p> <p>2. <u>Other Offices</u></p> <p>Destroy 2 years after the close of the calendar year in which dated.</p> <p>C. <u>Forms History Folders</u></p> <p>Folders containing records documenting the developmental history of a particular BSSI form. Included is documentation of meetings, requirement assessments, pilot testings, and the like; copies of justification statements (forms SSA-5100 and SSA-5100a); initial and subsequent drafts of the form, intra- and inter-bureau clearances; clearances from OMB, the Office of the General Counsel, and other Government agencies; and copies of employee suggestions regarding the form and evaluations of these suggestions.</p> <p>Transfer to the SSA Records Holding Area 3 years after supersession or obsolescence of the form. Destroy 3 years thereafter.</p>		

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7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
XI.	<p><u>PROGRAM ANALYSIS AND PLANNING FILES</u></p> <p>A. <u>Case Studies Files</u></p> <p>Documents relating to various case studies and analyses conducted to assess variances from BSSI program objectives, to measure the impact of possible legislative changes, to assess the effect of trends on the SSI recipient population, to evaluate the need for program alternatives, and for other purposes. Included are working papers, such as questionnaires, photocopies of Title XVI claims case material, and drafts; and final reports of findings and recommendations.</p> <p>1. <u>Working Papers</u></p> <p>Destroy 1 year after preparation of final study report.</p> <p>2. <u>Final Reports</u></p> <p>Destroy after 5 years.</p> <p>B. <u>Program Monitoring Files</u></p> <p>Records accumulated in tracking progress made toward the accomplishment of BSSI program objectives. Included are periodic status reports and background material relating to Operational Planning System (OPS) objectives, processing time objectives, BSSI work plans, and legislative implementation objectives. Record copies of reports relating to OPS objectives are retained by the Office of Administrative Appraisal and Planning (OAAP), OMA.</p> <p>Destroy after 2 years.</p> <p>C. <u>Reports Management Files</u></p> <p>Records accumulated in evaluating the requirement for, approving, and controlling specific BSSI recurring reports. Included are nonrecord copies of Form SSA-4099, Proposal for a New, Revised, or Eliminated Report; samples, and related documents. Record copies are retained by OAAP, OMA.</p> <p>Destroy upon discontinuance of the report.</p>		

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	<p>D. <u>Monitoring, Alerting, and Planning System Files</u></p> <p>Statistical tables and computer generated reports used to assess and make projections of SSI program trends. Included are analyst tables containing claims data derived from the SSR, eligibility factor tables containing data on applications (number denied, percent denied broken down by demographic characteristics), payment range tables reflecting data on Federal and State payment amounts, user tables containing data on State variations in payment based on differences in living arrangements, and ad hoc reports.</p> <p>Destroy when obsolete.</p>		
XII.	<p><u>PRIORITY CORRESPONDENCE FILES</u></p> <p>A. <u>SSI Congressional Inquiries Files</u></p> <p>Folders containing a copy of an individual's letter to a member of Congress, a copy of the Congressman's letter to BSSI, and a copy of BSSI's reply to the Congressman. The folders are used in replying to a second inquiry made by or for the individual and in replying to other similar inquiries.</p> <p>Destroy after 1 year.</p> <p>B. <u>SSI Priority Correspondence Staff Files</u></p> <p>Reports, in letter form, containing data on the claims status of persons who have applied for SSI, RSI, or DI payments. The reports are indexed by name and are used in replying to written inquiries. The data are derived from SSI, RSI, or DI claims records, from the SSR, from the individual, or from SSA district/branch offices.</p> <p>Destroy after 1 year.</p>		