

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: NC1-047-78-12

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules.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These items, unless subsequently superseded, may be used by the agency to disposition records.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SUPERSEDED AND OBSOLETE ITEMS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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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Item 4g was superseded by DAA-0047-2012-0002-0001

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

| | |
|--|--|
| LEAVE BLANK | |
| JOB NO. | NC1 47 78 12 |
| DATE RECEIVED | 24 APR 1978 |
| 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disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10. | |
| <i>5-10-78</i> Date | <i>[Signature]</i> Archivist of the United States |

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

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

2. MAJOR SUBDIVISION
Social Security Administration

3. MINOR SUBDIVISION
Office of Program Operations

| | |
|--|---------------------------------|
| 4. NAME OF PERSON WITH WHOM TO CONFER <u>George S. Yamamura</u> | 5. TEL. EXT. <u>594-5770</u> |
|--|---------------------------------|

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 10 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

- A** Request for immediate disposal.
- B** Request for disposal after a specified period of time or request for permanent retention.

| | | |
|---------------------------|---|--|
| C. DATE <u>3/28/78</u> | D. SIGNATURE OF AGENCY REPRESENTATIVE <i>Eugene J. Reed, Jr.</i> for <u>Russell O. Hess</u> | E. TITLE <u>Department Records Management Officer</u> |
|---------------------------|---|--|

| 7. ITEM NO. | 8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods) | 9. SAMPLE OR JOB NO. | 10. ACTION TAKEN |
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| | <u>RECORDS RETENTION AND DISPOSAL SCHEDULE</u> <u>AREA DIRECTORS' RECORDS</u> | | |
| I. | <u>GENERAL PROGRAM ADMINISTRATION RECORDS</u> <u>A. Administrative Files</u> Files created or maintained by most area directors' offices 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. Destroy 2 years after the close of the calendar year in which dated. | | |

115-107
Sent to agency - 5/11/78

INSTRUCTIONS

General Instructions:

Use Standard Form 115 (obtainable from supply depots of the Federal Supply Service, General Services Administration) and the continuation sheet Standard Form 115a (obtainable from the Records Disposition Division, Office of Federal Records Centers, National Archives and Records Service, Washington, D.C. 20408) to obtain authority to dispose of records or to request permanent retention of records. Detach the fifth copy from the set and keep as your reference copy. Submit the first four copies of the set to the National Archives and Records Service. One copy will be returned to the agency as notification of items that are authorized for disposal. Items withdrawn or not approved for disposal will be so marked. Each SF 115 requiring Comptroller General concurrence must be accompanied by a notification of approval from GAO.

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 be signed and dated on the four copies by the agency representative. The number of pages involved in the request should be inserted.

Box A should be checked if the records may be disposed of immediately. Box B should be checked if continuing disposal authority is requested or if permanent retention is requested. Only one box may be checked.

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 or retention. 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.

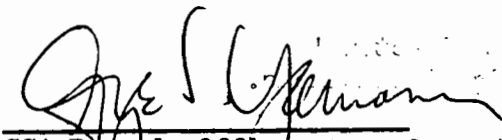
A statement should be provided showing when disposal is to be made of the records, thus:

If immediate disposal is requested of past accumulations of records, the inclusive dates during which the records were produced should be stated.

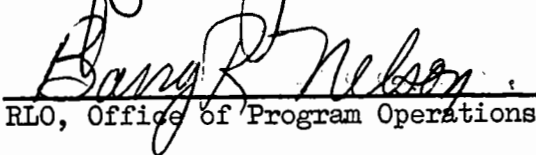
If continuing disposal is requested for records that have accumulated or will continue to accumulate, the retention period may be expressed in terms of years, months, etc., or in terms of future actions or events. A future action or event that is to determine the retention period must be objective and definite. If disposal of the records is contingent upon their being microfilmed, or otherwise reproduced or recorded on machine readable media, the retention period should read: "Until ascertained that reproduced copies or recordings have been made in accordance with GSA regulations and are adequate substitutes for the paper records." Also, the provisions of FPMR § 101-11.5 should be observed.

Entry 9 should be checked if samples are submitted for an item. However, samples of the records are not required unless they are requested by the NARS appraiser. If an item has been previously submitted, the relevant job and item number should be entered.

Entry 10 should be left blank.



SSA Records Officer



RLO, Office of Program Operations

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| | <p data-bbox="217 284 766 314">B. <u>Program and Management Reports</u></p> <p data-bbox="283 348 1114 471">Program and management reports such as overtime and staffing reports, workload and production reports, and other reports received or prepared to submit narrative or statistical data to management offices.</p> <p data-bbox="283 508 1136 631">Reports may be required by or issued by central office, by the regional office, or by the area director. Specific examples of central office issued reports include:</p> <ol data-bbox="283 667 1145 1084" style="list-style-type: none"> 1. District Office Workload Derivative Report; 2. District Office Workload Summary Report; 3. SSI Initial Claims Processing Times Report; 4. District Office Totals - Exception Control Report; 5. SSA Critical Case System Processing Report; 6. Average Award Processing Time Report; and 7. Title II Postentitlement Reports. <p data-bbox="283 1120 1121 1181">Regional office or area director reports are locally developed and unique to that region or area.</p> <p data-bbox="283 1247 1136 1530">Destroy 1 year after the close of the calendar year in which dated. <u>Note:</u> If reports issued at specific intervals are compiled into a final summary report (i.e., weekly into monthly, monthly into quarterly, quarterly into annual report), retain final summary report covering longest time interval (i.e., annual report) for 1 year after the close of the calendar year in which dated. Destroy other reports when administrative value ceases.</p> <p data-bbox="217 1566 494 1596">C. <u>Working Files</u></p> <p data-bbox="283 1630 1145 1870">Nonessential working papers retained for reference purposes by staff members. Included are extra copies of official file material, supporting or background papers used in developing official files but not needed as part of the official file, studies or similar material not acted upon, papers used as administrative aids, and papers that do not serve as a basis for official action.</p> | | |

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| | <p>Destroy after 2 years or when no longer needed for reference, whichever is earlier.</p> <p>D. <u>Office of Program Operations (OPO) Memorandums ("See Below")</u></p> <p>These memorandums ("See Below," numbered and unnumbered, and Identicals) are copies of central office issuances which discuss informational items or one-time action items.</p> <p>Destroy after 2 years.</p> <p>E. <u>General Administrative Notes (GAN)</u></p> <p>These documents from OPO central office ("GAN's") highlight new procedures for claims or management of the district or branch office. (GAN were discontinued August 1, 1977.)</p> <p>Destroy after 1 year.</p> <p>F. <u>Program Circulars</u></p> <p>These circulars outline new procedures for SSA programs, such as health insurance, disability insurance, retirement and survivor's insurance, and supplemental security income. SSA program circulars transmit noninstructions information about retirement and survivors, disability insurance, supplemental security income, operations or systems subjects; and reminder items based on existing instructions.</p> <p>Destroy when superseded or obsolete.</p> <p>G. <u>Policy Memorandum Files</u></p> <p>Policy memorandums, interpretations, clarifications, and similar records used for reference purposes relating to administration of an SSA program. Record copies of documents which relate to SSA-wide policies are retained by SSA headquarters components.</p> <p>Review files on an annual basis, and destroy those records which do not have continuing applicability.</p> | | |

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| | <p>H. <u>Controlled Correspondence</u></p> <p>Copies of congressional and other types of controlled correspondence prepared by district and branch offices within the area. Correspondence relates to all SSA programs and is not required for legal or claims purposes. Area directors receive copies for informational purposes only.</p> <p>Destroy 6 months after date of final reply.</p> <p>I. <u>Labor Relations Records</u></p> <p>Documents relating to unions representing social security employees in district and branch offices. Documents may include union organization and recognition documents, union constitution, and locally negotiated union agreements. If the area director is the collective bargaining official for district and branch offices in his/her area, he/she may retain record copies of historical documents; grievance settlements and arbitration issues and awards relating to locally-negotiated agreements; unfair labor practices correspondence; and consultation summaries. Otherwise, record copies of this documentation is retained by SSA headquarters.</p> <p>1. <u>Files of Area Directors Who are Collective Bargaining Officials</u></p> <p>a. <u>Historical File</u></p> <p>Review file annually and destroy those documents which do not have continuing value.</p> <p>b. <u>Grievance Settlements and Arbitration Documents</u></p> <p>Destroy when agreement is superseded or terminated.</p> <p>c. <u>Unfair Labor Practices Correspondence</u></p> <p>Destroy after 5 years or after termination of present and successor agreement, whichever is earlier.</p> | | |

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| | <p>d. <u>Consultation Summaries</u></p> <p>(1) <u>Summaries That Interpret Working Contacts</u></p> <p>Review file annually and destroy those summaries which do not have continuing value.</p> <p>(2) <u>Other Summaries</u></p> <p>Destroy after 5 years or after termination of present and successor agreement, whichever is earlier.</p> <p>e. <u>Other Documents</u></p> <p>Destroy when agreement is superseded or terminated.</p> <p>2. <u>Files of Other Area Directors</u></p> <p>Destroy documents when agreement is superseded or terminated.</p> <p>J. <u>Teletypes</u></p> <p>Teletypes received by area directors via SSA Data Acquisition and Response System and Advance Records Systems covering a variety of subjects, such as beneficiary data, reports, procedures, or administrative subjects. Teletypes may contain disposition instructions.</p> <p>Destroy in accordance with teletype disposition instructions or when no longer needed for reference, whichever is later.</p> <p>K. <u>Form SSA-4100, Availability for Assignment</u></p> <p>Forms used by SSA personnel to request assignment in district and branch offices within the area. Area directors maintain form SSA-4100's for those job classifications that may be filled by the area director. The forms contain information on present position, grade, series, office location, and availability (specific positions for which available, lowest acceptance grade, and geographic and organizational location for which available). Applications</p> | | |

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| II. | <p>for employment and employee evaluations are attached.</p> <p>Destroy after 1 year.</p> <p><u>PROGRAM RECORDS</u></p> <p>A. <u>District Office Reviews</u></p> <p>Documents accumulated in comprehensive reviews of district office operations conducted in each district office every 3 years. The area directors and regional office personnel from program bureaus participate in the review, and copies of the final report are forwarded to the district manager, regional commissioner, and SSA headquarters. Included are reports from bureau participants, draft reports, final reports of findings and recommendations, and related correspondence. Reports include such information as service area characteristics and processing and workload statistics.</p> <p>Retain two most recent reviews. Destroy earlier review upon completion of subsequent review.</p> <p>B. <u>Program Bureau Visit Reports</u></p> <p>Reports prepared by SSA program bureaus of visits to district and branch offices. The visits review program implementation, e.g., claims processing. A copy of the visit report, which includes recommendations and action items to be implemented, and district office comments are sent to the area director for informational purposes.</p> <p>Destroy after 2 years or after implementation or resolution of all recommendations, whichever is later.</p> <p>C. <u>Area Director Visit Reports</u></p> <p>Reports prepared by area directors from visits to field facilities conducted once each quarter. Reports are prepared from specific agenda items relating to operational and management areas. Included are final reports, agendas, recommendations, followup actions, and related correspondence.</p> <p>Destroy when 1 year old.</p> | | |

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| | <p>D. <u>District Office Files (DOF)</u></p> <p>Files containing informational materials on individual district and branch offices within the area. These files are used for planning the agenda for area director visits and include administrative materials, outside visit reports, statistical reports, and personnel materials. Information in the files relates to such topics as operational problems, staffing, employee problems, budget and space, and training. Depending on office practice, these documents may be retained in individual folders by district offices as district office files or may be retained within file categories listed elsewhere in the records retention schedule.</p> <p>Review file annually. Destroy those documents that do not have continuing relevancy.</p> <p>E. <u>Service Area Reviews</u></p> <p>Copies of reports prepared by district and branch offices containing detailed information relating to present population by counties and cities, growth or decline of population, social and ethnic factors, economic factors, claims workload, public contacts, service to the public and to employees, and similar statistics and management information. The reports are used for classification of district offices and district managers and for determination of any additional public services required. Record copies are retained by OPO headquarters.</p> <p>Destroy when latest review is updated in its entirety.</p> <p>F. <u>Area Director Conference Files</u></p> <p>Records relating to conferences organized by area directors and attended by district and branch office personnel within the area. Conferences are held every year. Documentation includes copies of printed agenda, correspondence and related background materials. Information in the files consists of discussion topics (management or operational topics), current issues, state of district office operations, and SSA regional office prospectives.</p> <p>1. <u>Conference Agenda</u></p> <p>Retain two conference agendas in file. Destroy</p> | | |

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| | <p>earlier agenda upon development of later agenda.</p> <p>2. <u>Background Materials</u></p> <p>Destroy 1 year after date of conference.</p> <p>G. <u>Area Director Meeting Files</u></p> <p>Files documenting meetings held with district and branch managers on an as-needed basis. Area directors are required to hold periodic meetings with managers in their area to discuss management and operational problems. Records consist of minutes of the meetings, agendas, announcement memorandums, and related background materials.</p> <p>Close out file at the end of the calendar year. Hold 1 additional year and then destroy.</p> <p>H. <u>Claims Review Files</u></p> <p>Informational copies of Forms SSA-3253, SSI Initial Claims Review, and SSA-8978, SSI Redetermination Review, or equivalent documents, completed by the Bureau of Supplemental Security Income (BSSI) regional offices in the quality review of a stratified sample of SSI initial claims and redeterminations. These forms are received by area directors for review to identify common claims processing errors of district offices. Training or instructional needs may be identified from these reviews. A report of common problems may be circulated to district offices. Copies of forms SSA-3253 and SSA-8978 are sent to the district office involved and BSSI headquarters. A copy is also retained by the BSSI regional office.</p> <p>Destroy 3 months after date of receipt.</p> <p>I. <u>Service Area Travel Plan and Budget</u></p> <p>Copies of Form SSA-2376, Service Area Travel Plan and Budget, or its equivalent, for district and branch offices within an area. Included are information on expenditures (auto, per diem) for budget year and estimates for next budget year, average claims per day, and total days at contact station. Official copies are retained by OPO headquarters.</p> | | |

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| | <p>Destroy 2 years after close of current budget year.</p> <p>J. <u>Field Mileage Reports</u></p> <p>Reports of the number of miles driven by district and branch office employees in commercially-owned, GSA-owned, or privately-owned vehicles in connection with Government business. The reports are prepared by district and branch offices. Regional offices also maintain these reports.</p> <p>Destroy after 1 year.</p> <p>K. <u>Facilities Space Files</u></p> <p>Documents relating to each SSA field facility within the area. Included are copies of space requests, solicitations and bids, copies of leases, floor plans, correspondence on space problems, and other related documents. Record copies are maintained by regional offices.</p> <p>Destroy documents after relocation or closing of the facility.</p> <p>L. <u>Field Office Training Materials</u></p> <p>Files or materials developed for and used in various district office training courses within the area. Included are transcripts, handouts, charts, graphs, transparencies, course outlines, and similar materials.</p> <p>Destroy 6 months after training is discontinued.</p> <p>M. <u>Safety Records</u></p> <p>Records pertaining to personal safety in the district and branch office buildings within each area. Included are the copies of the Facility Disaster Control Plan, safety regulations, equipment safety background material, questionnaires on occupational safety made to the regional office, and similar documents.</p> | | |

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| | <p>1. <u>Facility Disaster Control Plan and Safety Regulations</u> Destroy when superseded or obsolete.</p> <p>2. <u>All Other Material</u> Destroy after 2 years.</p> | | |