

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: NC1-047-78-21

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules.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These items, unless subsequently superseded, may be used by the agency to disposition records.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SUPERSEDED AND OBSOLETE ITEMS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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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Item II.B was superseded by DAA-0047-2012-0002-0001

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

LEAVE BLANK	
JOB NO	
NC1 47 78 21	
DATE RECEIVED	
SEP 18 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disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10.	
11-28-78 Date	<i>James B. Rhoads</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 Research and Statistics

4. NAME OF PERSON WITH WHOM TO CONFER Ernest P. Lardieri	5. TEL. EXT 594-5770
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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 11 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 9/14/78	D. SIGNATURE OF AGENCY REPRESENTATIVE <i>[Signature]</i>	E. TITLE
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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
	<u>RECORDS RETENTION AND DISPOSAL SCHEDULE</u> <u>OFFICE OF RESEARCH AND STATISTICS</u> The records described in this Schedule are accumulated by the Office of Research and Statistics. However, all of the records are not maintained in any single office.	NC174-172	
I.	<u>RESEARCH GRANTS AND CONTRACTS RECORDS</u> These records accumulate in the processing of applications for grants and contracts which are awarded under the trust fund and grants program.		
	A. <u>Grants Program Records</u> These records consist of applications for cooperating research or demonstration grants, the final report for funded projects, and related correspondence.		
	1. ----- 2. -----		
	PERMANENT RECORDS: Arrangement: Alphabetical by name of publication. Item II-B-3: Alphan. by subject. Estimated annual volume: Less than 1 cubic foot for all items.		

NNF + NNB copies sent: 12-30-78.

115-307 11/24/78 Changes sent to NEW Agency approval of C. Whitwright (SSA). 30 items

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.

Henry W. Moore
Office of Research and Statistics RLO

Ernest R. Linder
SSA Records Officer

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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>3. <u>Copies of Final Reports</u></p> <p>a. <u>Record Copy</u></p> <p>Close out file after 5 years. Select random 1 percent sample of all grants and contract final reports. Offer random sample to the National Archives and destroy remainder of reports 10 years thereafter.</p> <p><i>Destroy</i></p> <p>b. -----</p> <p>B. <u>Contract Records</u></p> <p>These records consist of:</p> <p>1. -----</p> <p>2. Requests for Proposals</p> <p>a. -----</p> <p>b. Awarded proposals, related correspondence, and final reports.</p> <p>(1) -----</p> <p>(2) <u>Final Reports</u></p> <p>(a) <u>Record Copy</u></p> <p>Close out file after 5 years. Select random 1 percent sample of all grants and contract final reports. Offer random sample to the National Archives and destroy remainder of reports 10 years thereafter.</p> <p><i>Destroy</i></p> <p>(b) -----</p> <p>C. -----</p> <p>D. <u>Funding Policy Correspondence</u></p> <p>These records consist of correspondence regarding the funding of grants and contracts.</p> <p>Review file annually and destroy those documents which do not have continuing relevancy.</p>		

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II.	<p><u>INTERNATIONAL STAFF RECORDS</u></p> <p>A. <u>Comparative Studies Records</u></p> <p>These documents accumulate in the collection of data relating to social security programs of all countries. The resultant findings are published every 2 years in <u>Social Security Throughout the World</u>, as well as <u>intermittent articles in the R & S Notes, Social Security Bulletin</u>, and foreign periodicals. Included are papers presented at international meetings and related correspondence.</p> <p>1. <u>Published Reports and Articles</u></p> <p>a. <u>Record Copy</u></p> <p>Permanent. Offer to the National Archives 10 years after publication date.</p> <p>b. <u>Other Copies</u></p> <p>Destroy when administrative value ceases.</p> <p>2. <u>Papers Presented at International Meetings</u></p> <p>a. <u>Record Copy</u></p> <p>Permanent. Offer to the National Archives 10 years after presentation date.</p> <p>b. <u>Other Copies</u></p> <p>Destroy when administrative value ceases.</p> <p>3. -----</p> <p>B. <u>Technical Liaison Records</u></p> <p>These documents accumulate in maintaining relationships between SSA and international social security organizations, such as the International Labor Organization, the International Social Security Organization, and the Inter-American Conference on Social Security. 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,</p>		

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<p>III. -----</p> <p>IV. Evaluation and Measurement System Records (Resubmitted NCI-47-78-6 and deleted and published as a separate organizational component)</p> <p>V. -----</p>	<p>develop questionnaires, and prepare reports. Also included are documents relating to development of international agreements on social security, such as correspondence between members of the negotiating team, official reports of the meetings, copies of the final agreement, and auxiliary agreements. The official copy of the agreement is maintained in the Department of State.</p> <p>1. -----</p> <p>2. -----</p> <p>3. <u>Documents Relating to International Agreements</u></p> <p>Permanent. Transfer to the Federal Records Center (FRC) after agreement is canceled or superseded. Offer to the National Archives 10 years thereafter.</p> <p>C. <u>International Training Records</u></p> <p>These documents accumulate 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 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.</p> <p>1. <u>Training Lists and Curricula</u></p> <p>Review file annually and destroy those documents which do not have continuing applicability.</p> <p>2. -----</p>		

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VI.	<p><u>Supplemental Security Income Records</u></p> <p>A. <u>State Statistics Reports</u></p> <p>These monthly reports, prepared at the request of ORS, contain data on payments made to SSI recipients by the individual States.</p> <p>Destroy 10 years after date of report.</p> <p>B. <u>SSI Publications</u></p> <p>These reports, based on statistics received monthly from the Bureau of Data Processing (BDP) and from the Bureau of Census, are published periodically in the <u>R & S Notes</u> and as special reports.</p> <p>1. <u>Published Reports</u></p> <p>a. <u>Record Copy</u></p> <p><i>Permanent.</i> Offer to the National Archives 10 years after publication date.</p> <p>b. <u>Other Copies</u></p> <p>Destroy when administrative value ceases.</p> <p>2. <u>Tabulations</u></p> <p>Destroy 2 years after publication of report.</p>		
VII.	<p><u>ECONOMIC AND LONG-RANGE STUDIES</u></p> <p>These records accumulate in carrying out analytical studies of the effect of Government-wide funding of projects on income distribution in the U.S. The studies, such as Cost Redistributive Effects of Current Income Maintenance, Workmen's Compensation Estimates, and Federal Grants to States, are published in the <u>Social Security Bulletin</u> and in the <u>Annual Statistical Supplement</u> to the <u>Bulletin</u>.</p> <p>Other long-term projects include studies of Welfare Reform, Financing Social Security, and Private Pension Plans. Data from the Bureau of Census, Internal Revenue Service, and other agencies are used in preparing these studies. The long-term studies are published periodically and may be combined into a monograph or staff paper.</p>		

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	<p>A. <u>Record Copy of Publications</u></p> <p>Permanent. Offer to the National Archives 10 years after publication date.</p> <p>B. <u>Other Copies</u></p> <p>Destroy when administrative value ceases.</p> <p>C. -----</p>		
VIII.	<p><u>ECONOMIC PROJECTIONS AND EARNINGS ANALYSIS RECORDS</u></p> <p>These records accumulate in projecting, for budget planning purposes, social security payroll tax revenue to the trust fund. Included, but not limited to, are:</p> <p>A. -----</p> <p>B. <u>Projections for Establishment and Maintenance of Workloads</u></p> <p>This annual report, with quarterly revisions, projects, for budget purposes, the selected BDP workloads 2 fiscal years in advance.</p> <p>1. <u>Record Set</u></p> <p>Destroy 5 years after date of report.</p> <p>2. -----</p> <p>C. -----</p> <p>D. -----</p>		
IX.	<p><u>DISABILITY STUDIES RECORDS</u></p> <p>A. <u>Social Surveys Records</u></p> <p>These records consist of original and microfilm copies of tabulations of Bureau of Census questionnaires pertaining to the socio-economic status (such as income, assets, health, medical costs, living arrangements, and employment history) of applicants for disability insurance. The tabulations are used to prepare special published statistical reports on the disabled, such as <u>Identifying the Disabled</u>, <u>Concepts and Methods in the Measurement of Disability</u>,</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><u>Work and Earnings of the Disabled, and General Characteristics of the Disabled.</u> Monographs, which incorporate broad summaries of the reports, are published at the completion of the special studies.</p> <p>1. -----</p> <p>2. <u>Reports and Monographs</u></p> <p>a. <u>Record Copy</u></p> <p>Permanent. Offer to the National Archives 10 years after publication.</p> <p>b. <u>Other Copies</u></p> <p>Destroy when administrative value ceases.</p> <p>B. <u>Special Studies Records</u></p> <p>These records consist of longitudinal 2$\frac{1}{2}$-percent randomly selected sample of disability insurees (excluding dependents) selected from disability insurance folders. Punchcards, prepared from the data, are used to produce tapes. The tape contains such data as the general characteristics of the insuree, data pertaining to the disability program, and the sample collected of the medical factors of disability. Included are Forms CO-2185, ORSI Characteristics of Claimant, CO-2185A-G, State Agency Initial Determination, and their equivalents Reports which are prepared from the data include:</p> <p>1. <u>Periodic Data Summary</u></p> <p>Published monthly or quarterly, this report contains the sample size, selected characteristics of the sample, such as age, sex, medical impairment, type of occupation, and decision outcome.</p> <p>2. <u>Project Studies</u></p> <p>Published annually, these reports pertain to the methodology of the disability program, such as Longitudinal Approach of Reconsideration Decision Process, and Medical Evaluation Process in BDI.</p>		

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	<p>3. <u>Staff Reports</u></p> <p>These reports, prepared periodically at the request of other bureaus and offices, contain data on subjects such as the impact upon the public of proposed increased or decreased coverage, the effect of a proposed increase case load, and the effects of a changed definition of disability</p> <p>a. <u>Reports</u></p> <p>(1) <u>Record Copy</u></p> <p>Permanent. Offer to the National Archives 10 years after publication.</p> <p>(2) <u>Other Copies</u></p> <p>Destroy when administrative value ceases.</p> <p>b. -----</p> <p>c. -----</p> <p>d. -----</p> <p>C. <u>Program Analysis Records</u></p> <p>These records consist of tabulations, tables, reports, and related correspondence regarding analyses of the disability program and disability beneficiaries. The reports are published in the <u>R & S Notes</u> on such subjects as <u>Adults Disabled Since Childhood</u>, <u>Identifying Disabled Workers Who May Return to Work</u>, <u>Rehabilitation and Medical Improvement Screening Decisions</u>, and <u>Spanish Surname Social Security Beneficiaries in the Southwest</u>. The reports may be republished in the <u>Social Security Bulletin</u>.</p> <p>1. -----</p> <p>2. <u>Reports</u></p> <p>a. <u>Record Copy</u></p> <p>Permanent. Offer to the National Archives 10 years after publication.</p>		

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	<p>b. <u>Other Copies</u></p> <p>Destroy when administrative value ceases.</p> <p>X. <u>RETIREMENT AND SURVIVORS INSURANCE</u></p> <p>These documents accumulate in the collection of data for use in studies of the aged population and survivors of deceased workers. The data is received from the Bureau of the Census in the forms of original and microfilm copies of tabulations and tapes. After study, the data is published in the <u>Social Security Bulletin</u> on such subjects as the <u>The Family Structure in Preretirement Years and Student Beneficiaries</u>. The articles are reprinted periodically as survey reports. Also included is related correspondence.</p> <p>A. <u>Reports</u></p> <p>1. <u>Record Copy</u></p> <p>Permanent. Offer to the National Archives 10 years after publication.</p> <p>2. <u>Other Copies</u></p> <p>Destroy when administrative value ceases.</p> <p>B. -----</p>		
	<p>XI. <u>OASDI STATISTICS RECORDS</u></p> <p>A. <u>Earnings and Employment Statistics Records</u></p> <p>1. <u>Letters to the Department of Treasury</u></p> <p>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.</p> <p><u>Record Copy</u></p> <p>Destroy 10 years after date of annual report.</p> <p>2. <u>Earnings and Employment Statistics Reports</u></p> <p>These reports, which are based on original and microfilm copies of statistical tabulations</p>		

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	<p>from OASDI statistics, include, but are not limited to the following:</p> <p>a. <u>Social Security Numbers Issued</u> - This report, issued annually, shows the number of SSN issuances by age, race, sex, and State of issuance.</p> <p>b. <u>Industrial Classification Handbook</u> - This handbook contains aids to using the SIC Manual and guides for handling employer classification problems not covered in the SIC Manual.</p> <p>c. <u>Earnings Distribution in the U.S.</u> - This report, issued periodically, provides employment and earnings information for metropolitan and nonmetropolitan workers in covered employment.</p> <p>d. <u>County Business Patterns</u> - This report, published jointly by SSA and the Bureau of the Census, contains data on workers and payrolls by county and industry for the private nonfarm sector of industry.</p> <p>(1) -----</p> <p>(2) -----</p> <p>(3) <u>Reports</u></p> <p style="padding-left: 40px;">(a) <u>Record Copy</u></p> <p style="padding-left: 80px;">Permanent. Offer to the National Archives 10 years after date of report.</p> <p style="padding-left: 40px;">(b) <u>Other Copies</u></p> <p style="padding-left: 80px;">Destroy when administrative value ceases.</p> <p>B. <u>Claims Benefit Statistics Records</u></p> <p>These documents accumulate in preparing for publication statistics on OASDI benefits and beneficiaries. The publications include the Monthly Benefit Statistics</p>		

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	<p>which contains summaries of cash benefits awarded and in current payment status for calendar and fiscal years and special studies, such as Student Beneficiary Data published in the <u>R' & S Notes</u>, statistical tables contained in the monthly <u>Social Security Bulletin</u> and in the <u>Annual Statistical Supplement</u>, and the <u>OASDI State and County Data Book</u>, published annually, which contains monthly cash benefit data by beneficiary's residence. Included are specifications for the studies, original and microfilm copies of the tabulations, and related correspondence.</p> <p>1. -----</p> <p>2. -----</p> <p>3. <u>Publications</u></p> <p> a. <u>Record Copy</u></p> <p> Permanent. Offer to the National Archives 10 years after publication date.</p> <p> b. <u>Other Copies</u></p> <p> Destroy when administrative value ceases.</p> <p>4. -----</p> <p>C. -----</p> <p>D. -----</p> <p>E. -----</p>		
XII.	<p><u>HEALTH INSURANCE RECORDS</u></p> <p>This section will be deleted. The organizational component creating these records is now part of the Health Care Financing Administration.</p>		