

Rec'd NOV 29 524 78 14

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

LEAVE BLANK

JOB NO

NC1 47 78 24

DATE RECEIVED

SEP 28 1978

NOTIFICATION TO AGENCY

In accordance with the provisions of 44 CFR 101.11.6, the records described in this request are being disposed of in accordance with the records retention schedule of the agency.

11-17-78
Date

James B. Chade
Director 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 External Affairs

4 NAME OF PERSON WITH WHOM TO CONFER
Ernest P. Lardieri

5. TEL EXT
594-5770

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 3 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
9/19/78

D SIGNATURE OF AGENCY REPRESENTATIVE
Ernest P. Lardieri

E TITLE
SA Records Officer

7. ITEM NO

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

9. SAMPLE OR JOB NO

10. ACTION TAKEN

RECORDS RETENTION AND DISPOSAL SCHEDULE
OMBUDSMAN (SERVICE OFFICER) PROGRAM RECORDS

The ombudsman or service officer program was an experimental program involving designated individuals whom the public contacted directly for information or to resolve social security problems. This program operated in the Atlanta, Boston, Dallas, and Seattle Regions. Its operations were analyzed by a private contractor and an evaluation report submitted to the Social Security Administration. The records listed below were maintained by regional ombudsmen.

I. GENERAL PROGRAM ADMINISTRATION RECORDS

A. Administrative Files

Files created or maintained by most offices in the performance of their assigned functions.

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

(6 items)

sent to Agency 11-24-78 MMS

| 7. ITEM NO | 8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods) | 9 SAMPLE OR JOB NO | 10 ACTION TAKEN |
|---------------|--|--------------------------|--------------------|
| | <p>2. Comments on draft reports, studies, and proposals prepared by other offices.</p> <p>3. Contributions to and/or comments on proposed legislation.</p> <p>4. Suggestion evaluations.</p> <p>5. Program and management reports, including overtime and staffing reports, workload and production reports, and other reports prepared to submit narrative or statistical data to management offices.</p> <p>Destroy 2 years after the close of the calendar year in which dated.</p> <p><u>B. 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 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> <p>Destroy after 2 years or when no longer needed for reference, whichever is earlier.</p> <p><u>II. PROGRAM RECORDS</u></p> <p><u>A. Problem Case Files</u></p> <p>A working file developed in the resolution of problem social security cases. Documentation in these files may include Form SSA-3475, Ombudsman Summary Contact; Master Beneficiary Record and Supplemental Security Record queries; correspondence; and copies of any other documentation relating to the particular problem. Official copies of claims-related materials are sent to the appropriate locations (district offices, program service centers, the Bureau of Disability Insurance, etc.) for maintenance in the claims folder.</p> <p>Destroy 1 year after last action.</p> | | |

| 7. ITEM NO | 8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods) | 9 SAMPLE OR JOB NO | 10 ACTION TAKEN |
|---------------|---|--------------------------|--------------------|
| | <p data-bbox="301 294 529 324">B. <u>Daily Log</u></p> <p data-bbox="224 360 1121 580">A daily log sheet recording requests for assistance received from members of the public. Information on the log consists of name, social security number, telephone number, and nature of problem. This information is used by the contractor to contact the individual to determine the quality of ombudsman's response and successes in resolving the problem.</p> <p data-bbox="224 616 586 647">Destroy after 6 months.</p> <p data-bbox="301 683 671 713">C. <u>Public Inquiry File</u></p> <p data-bbox="224 749 1102 935">Informational inquiries received from members of the public regarding social security programs. These inquiries do not result in the development of a problem case file. Documents in this file include copies of public inquiries, copies of responses, and related correspondence.</p> <p data-bbox="224 971 586 1001">Destroy after 6 months.</p> <p data-bbox="301 1038 671 1068">D. <u>Publicity Materials</u></p> <p data-bbox="224 1104 1121 1225">Various publicity materials, such as motion pictures and printed handout materials, used to publicize the ombudsman program. Materials may be used for radio, television, or newspaper features.</p> <p data-bbox="224 1262 794 1292">Destroy when superseded or obsolete.</p> | | |

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.

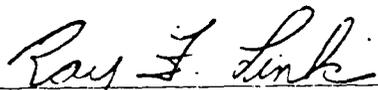
A statement should be provided showing when disposal is to be made of the records, thus:

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.



Office of External Affairs, RLO



SSA Records Officer