

REQUEST FOR RECORDS DISPOSAL AUTHORITY
(See Instructions on reverse)

771 9 Feb 1979

LEAVE BLANK	
JOB NO NCI-47-79-7	
DATE RECEIVED 05 FEB 1979	
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disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10.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>3-9-79</i> Date	<i>James P. Phoads</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 Management, Budget, and Personnel

4. NAME OF PERSON WITH WHOM TO CONFER <u>Ernest P. Lardieri</u>	5. TEL. EXT. <u>594-5770</u>
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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 9 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 <i>2/1/79</i>	D. SIGNATURE OF AGENCY REPRESENTATIVE <i>[Signature]</i>	E. TITLE <i>Dep't of Health, Education & Welfare</i>
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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>PERSONNEL MANAGEMENT FILES</u>		
	<p>1. <u>Abandonment of Position Files</u></p> <p>a. <u>Abandonment of Position Files</u></p> <p>Abandonment of position evidence files containing records documenting unsuccessful supervisory attempts to contact the employee; records documenting the employee's apparent abandonment of position; a copy of the written notice inquiring about the employee's intentions to return to duty or to resign; documents submitted by the employee; written notification of separation for abandonment of position; and a copy of the SF-50 journalizing the separation.</p> <p>Destroy when 2 years old.</p> <p>b. <u>Abandonment of Position Appeal Files</u></p> <p>Files containing the contents of the Abandonment of Position File plus the employee's letter of appeal; the appellate authorities' request for the file; a copy of the agency's comments regarding the appeal; and a copy of</p>		

115-107

Copy to Agency, New, NNA 3/12/79 29 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:

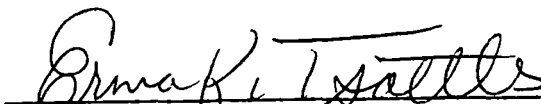
If immediate disposal is requested of past accumulations of records, the inclusive dates during which the records were produced should be stated.

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.


SSA Records Officer


RLO, Office of Management, Budget, and Personnel
OHR

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	<p>the appellate decision.</p> <p>Transfer to the Federal Records Center (FRC) 2 years after settlement. Destroy after a total 7 years' retention.</p> <p>2. <u>Termination Files</u></p> <p>a. <u>Termination During Probation Evidence Files</u></p> <p>Files containing records documenting the reasons for terminating an employee's appointment during the probationary period; any documents submitted by the employee; a copy of the written notice to the employee; and a copy of the SF-50 journalizing the termination.</p> <p>Destroy 6 months after the file is closed or 6 months after the date of the last document in the file, whichever is earlier..</p> <p>b. <u>Termination During Probation Appeal Files</u></p> <p>Files containing the contents of the Termination During Probation Evidence File plus the employee's letter of appeal, the appellate authorities' written request for the file, and a copy of the appellate decision.</p> <p>Transfer to the FRC 2 years after settlement. Destroy after a total 7 years' retention.</p> <p>c. <u>Termination of Temporary Appointment Evidence Files</u></p> <p>Files containing records documenting the reasons for terminating an employee's temporary appointment prior to the termination date where those reasons are for cause (i.e., misconduct or poor work performance); any documents submitted by the employee; a copy of the written notice to the employee and a copy of the SF-50 journalizing the termination.</p> <p>Destroy 6 months after the file is closed or 6 months after the date of the last document in the file, whichever is earlier.</p> <p>d. <u>Termination of Excepted Appointment Evidence Files</u></p> <p>Files containing records documenting the reason(s) for terminating an employee's excepted appointment where those reasons for cause (i.e., misconduct or poor work</p>		

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	<p>performance); any documents submitted by the employee; a copy of the written notice to the employee; and a copy of the SF-50 journalizing the termination.</p> <p>Destroy 6 months after the file is closed or 6 months after the date of the last document in the file, whichever is earlier.</p> <p>3. <u>Grievance Files</u></p> <p>a. <u>Informal HEW Grievance Files</u></p> <p>Records encompassing information or documents relating to Stage 1 (presentation to immediate supervisor) and Stage 2 (the final informal presentation to the first official in HEW, excluding the employee's immediate supervisor, with authority to decide on the matter grieved) decisions including personal relief sought. In addition, the file contains documented material used in consideration of the grievance, and correspondence related to its disposition.</p> <p>b. <u>Formal HEW Grievance Files</u></p> <p>File containing the contents of the Informal HEW Grievance File plus: the employee's written request for formal review; records documenting attempts to resolve the grievance during initial consideration; records documenting the HEW grievance examiner's review of the grievance including hearing transcripts and the examiner's report of findings and recommendations; the formal grievance decision; and any documents relating to a reconsideration request to the Secretary, HEW.</p> <p>c. <u>Negotiated Grievance Case Files</u></p> <p>Documents accumulated in the filing and resolution of a grievance raised by an SSA bargaining unit employee. Included are investigative reports, Form SSA-2048, Disposition of Grievances, memorandums of recommended resolution, settlement memorandums (if settled), and related documents, and similar documents for miniarbitration cases.</p> <p>Destroy the file 3 years after the case is closed (General Records Schedule (GRS) 2, item 3.1.a.).</p>	<p>NC-47-75- 20, item XIV.A., NC-47-77- 06, item III</p>	

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	<p>4. <u>Remand Evidence Files</u></p> <p>a. <u>Remands Not Proposed or Effected</u></p> <p>Files containing records documenting the proposing official's reason(s) for inquiring about a proposed reprimand; a draft written notice of proposal to reprimand; and documentation indicating the reason(s) for not pursuing the reprimand.</p> <p>Destroy when employee separates or when 1 year old, whichever is earlier.</p> <p>b. <u>Remands Proposed But Not Effected</u></p> <p>Files containing records documenting the reason(s) for proposing the reprimand; a copy of the written proposal letter to reprimand; any written or oral replies made by the employee; records documenting the arbitration process or examiner's inquiry including transcripts, the examiner's report of findings and recommendations or arbitrator's decision; and a copy of the letter withdrawing the proposal letter or written decision not to reprimand.</p> <p>Destroy when proposal is withdrawn; a decision is made not to reprimand; or 1 year after the date of the proposal letter; whichever is earlier.</p> <p>c. <u>Remands Proposed and Effected</u></p> <p>Files containing records documenting the reason(s) for proposing the reprimand; a copy of the written proposal letter to reprimand; any written or oral replies made by the employee; a copy of the written decision(s) to reprimand; and records documenting the arbitration process or examiner's inquiry including transcripts, the examiner's report of findings and recommendations, and the arbitrator's decision.</p> <p>Destroy when employee separates; after the date specified in the reprimand or after 2 years; whichever is earlier.</p> <p>5. <u>Adverse Action Files</u></p> <p>a. <u>Actions Not Proposed or Effected</u></p> <p>Files containing records documenting the proposing official's reason(s) for inquiring about a proposed adverse</p>		

NC-47-75-20
Item XIV.B.

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	<p>action; a draft proposal letter; and documentation indicating the reason(s) for not pursuing the adverse action.</p> <p>Destroy when employee separates; or when 1 year old; whichever is earlier.</p> <p>NOTE: If an employee resigns prior to receipt of a proposal to separate, the records may be retained for 1 year.</p> <p>b. <u>Actions Proposed and Not Effectuated</u></p> <p>Files containing records documenting the reason(s) for proposing the adverse action; a copy of the proposal letter, and any (1) written or oral replies made by the employee; (2) records documenting the examiner's inquiry or predecision hearing including transcripts, the examiner's report of findings and recommendations or predecision recommendations; (3) records documenting the arbitration process including: transcripts and the arbitrator's decision; and (4) a copy of the letter withdrawing the proposal letter or written decision not to take adverse action. Record copies are maintained by the Servicing Personnel Office (SRO). For headquarters, the SRO is SSA's Office of Human Resources (OHR). For field, the SRO is part of the HEW organizational structure. Informational copies may be maintained by other SSA offices.</p> <p>(1) <u>OHR Copies</u></p> <p>Destroy when proposal is withdrawn; decision is made not to proceed; or 1 year after the date of the proposal notice; whichever is earliest.</p> <p>NOTE: If an employee resigns prior to receipt of a decision to separate, the records may be retained for 1 year.</p> <p>(2) <u>Other Copies</u></p> <p>Destroy immediately after proposal is withdrawn.</p> <p>c. <u>Actions Proposed and Effectuated</u></p> <p>Files containing records documenting the reason(s) for proposing the adverse action; a copy of the proposal letter; and any (1) written or oral replies made by the employee; (2) records documenting the examiner's inquiry or a predecision hearing including transcripts, and the examiner's report of findings and recommendations or</p>		

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	<p>predecision recommendations; (3) copies of the written decision(s); (4) records documenting the arbitration process including: transcripts and the arbitrator's decision; and (5) a copy of the SF-50 journalizing the adverse action. Record copies are maintained by the SRO. For headquarters, the SRO is SSA's OHR. For field, the SRO is part of the HEW organizational structure. Informational copies of documents may be maintained by other SSA offices.</p> <p>(1) <u>OHR Copies</u></p> <p>Destroy 4 years after the case is closed (GRS 2, item 3.1.b.).</p> <p>(2) <u>Other Copies</u></p> <p>Destroy the file 90 days after date of the decision.</p> <p>d. <u>Action Appeals Files</u></p> <p>Files containing the contents of the Proposed and Effected Adverse Action File plus the employee's letter of appeal; the appellate authorities' written request for the file; a copy of the Agency's comments regarding the appeal; records documenting the appellate authority's review. including: hearing transcripts, and a copy of the appellate decision; and a copy of the SF-50 journalizing any change recommended by the appellate authority.</p> <p>Destroy 4 years after the case is closed (GRS 2, item 3.1.b.).</p> <p>6. <u>Within-Grade Increase Files</u></p> <p>a. <u>Within-Grade Increase Denial Evidence File</u></p> <p>Files containing records accumulated in the administrative review of a decision to withhold an employee's within-grade increase (WIGI) including: records documenting the reason(s) for withholding the WIGI; the 60 day advance notice; the notice of denial of increase; the employee's request for reconsideration; any documents submitted by the employee; investigative reports; transcripts; a copy of the reconsideration decision; and a copy of the SF-50 journalizing the denial.</p> <p>Destroy 2 years after approval or disapproval of the WIGI.</p>		<p>NC-47-75-20 item XIV.C. (To be deleted and re- placed by the items listed below.)</p>

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	<p>b. <u>WIGI Appeal Files</u></p> <p>Files containing the contents of the WIGI Denial Evidence File plus the employee's letter of appeal; the appellate authorities' written request for the file; a copy of the Agency's comments regarding the appeal; a copy of the appellate decision; and a copy of the SF-50 journalizing any change recommended by the appellate authority.</p> <p>Transfer to the FRC 2 years after settlement. Destroy after a total 7 years' retention.</p> <p>7. <u>Subpoena Files</u></p> <p>Files containing records accumulated to answer an order by a court of competent jurisdiction requesting information from an employee's employment records including a copy of the subpoena; material gathered to respond to the subpoena; a copy of the letter releasing the information in lieu of a personal appearance in court; and a copy of the letter to the employee indicating that the information was released where the employee's consent was not obtained.</p> <p>Dispose of when the employee separates or 1 year after the issue is resolved; whichever is earlier.</p> <p>8. <u>Garnishment Files</u></p> <p>Files containing records accumulated to process a garnishment of an employee's salary in compliance with a Notice of Court Lien including a copy of the lien; a copy of the referral to the Division of Personnel Policy, OPT; a copy of the notice that the deductions will be withdrawn from the employee's salary; and a copy of the notice to the Division of Personnel Policy, OPT that the employee has been provided a copy of the Lien.</p> <p>Destroy when 3 years old.</p> <p>9. <u>Criminal Misconduct Files</u></p> <p>Files containing records relating to criminal activity that an employee becomes involved in while employed, including correspondence from employees, Members of Congress, and members of the public alleging misconduct by an employee; newspaper accounts; police records; court records; a written summary of interview conducted with the employee; and any documents submitted by the employee.</p>	NC-47-75-20, item XIII.C	

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	<p>Destroy when employee separates or 1 year after the issue is resolved; whichever is earlier.</p> <p>10. <u>Security Inquiry Files</u></p> <p>Files containing memorandums from the Security Representative, HEW, requesting notification when the employee separates.</p> <p>Destroy when employee separates or 1 year after the issue is resolved; whichever is earlier.</p> <p>11. <u>Suitability Files</u></p> <p>Files containing records relating to an individual's suitability for employment including letters of reference; responses to pre-employment inquiries; National Agency Checks and Inquiries (NACI) materials received from the Civil Service Commission relating to non-sensitive positions' qualifications and character investigations; and other information which may relate to the suitability of the individual for the position.</p> <p>a. <u>NACI Information</u></p> <p>Destroy after the decision is made to retain or hire the individual.</p> <p>b. <u>Other Information</u></p> <p>Destroy when employee separates or when 1 year old; whichever is earlier.</p> <p>12. <u>SF-7B Employee Record Extension Files</u></p> <p>A file maintained by management officials (usually the employee's immediate supervisor) containing a collection of <u>temporary</u> records which are maintained in a separate, individualized folder for each employee. This file may contain favorable and unfavorable information about an employee covering topics such as approved awards, approved suggestions, disciplinary and adverse actions, performance ratings and appraisals, reassignment requests, details, etc. A copy of leave or tardy records (not the original) may be included in the file <u>only when a need for improvement in attendance is indicated.</u></p> <p>a. Review files at least semi-annually and destroy records which do not have continuing applicability. Note</p>		
		NC-47-75-20 item I.D.	
		NC-47-75-22, item I.C.	

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	<p>the records disposal schedule contained in Chapter IX, SSA Guide 1-4, Appendix B of the Personnel Guides for Supervisors.</p> <p>b. As a general rule, records may only be maintained during that period for which a demonstrated administrative need exists; however, no record may be maintained in the Extension File beyond 2 years.</p> <p>c. When an employee moves to a different position, the losing supervisor will review the file and destroy all obsolete material prior to forwarding the file to the employee's new work location.</p> <p>d. When an employee leaves SSA, the losing supervisor will forward the entire file in a sealed envelope annotated "For Official Use Only" with the Form SSA-2324, "Clearance of Employees for Separation or Transfer" through channels to the staffing specialist in the servicing personnel office who services his/her component.</p> <p>13. <u>Mutual Aid Fund Files</u></p> <p>Records documenting emergency loans made to employees from the SSA Employees Activities Association Mutual Aid Fund. Included is Form CO-0558, Mutual Aid Fund, or its equivalent. The forms provide personal information about the borrower, and information on the amount loaned, repayments, and loan balance. These records are no longer required for administrative purposes. Loan information is maintained by SSA Employees Activities Association. Duplicate information is no longer forwarded to OHR.</p> <p>Destroy immediately.</p>	<p>NC-47-75- 20, item XIII.A</p>	