

Rev NCO 13 Feb 79M

REQUEST FOR RECORDS DISPOSAL AUTHORITY  
(See Instructions on reverse)

LEAVE BLANK	
JOB NO	NC1-47-79-8
DATE RECEIVED	13 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disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10	
Date	7-19-79 <i>James B. Rhoads</i> Acting 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 Family Assistance

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 24 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 2/16/79	D. SIGNATURE OF AGENCY REPRESENTATIVE <i>Ernest P. Lardieri</i>	E. TITLE Dept. Recds Mgt. Ofcr.
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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 align="center"><u>RECORDS RETENTION AND DISPOSAL SCHEDULE</u> <u>OFFICE OF FAMILY ASSISTANCE HEADQUARTERS RECORDS</u></p> <p>The records described below are created by Office of Family Assistance (OFA) headquarters components in the administration of the Aid to Families with Dependent Children (AFDC) program, a joint Federal-State program providing public assistance to families with dependent children. OFA headquarters components develop policies and procedures for State implementation of the AFDC program; review and authorize State AFDC budgets and payments; and develop research and statistical information relating to the program. OFA also administers refugee assistance programs (Cuban and Indo-Chinese programs) and the U.S. Repatriate Program, a program of assistance for U.S. citizens abroad.</p> <p>This schedule should be used in conjunction with Administrative Directives System (ADS) Guide SSA.g:40-2, Exhibit 1, Files Common to Most Offices. ADS Guide SSA.g:40-2, Exhibit 1, provides retention and disposal instructions for personnel, reference, and management files maintained by most SSA offices.</p>		

7-5-79. Changes with approval of Charlotte Whiteight (SSA).

69 items

115-107

sent to: New NAF - Agency E  
NAB 122479 7-25-79

STANDARD FORM 115  
Revised April, 1975  
Prescribed by General Services Administration  
FPMR (41 CFR) 101-11.4

# 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.

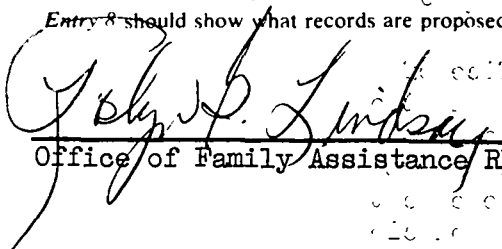
A statement should be provided showing when disposal is to be made of the records, thus:

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 Family Assistance RLO

  
SSA Records Officer

7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
I.	<p><u>GENERAL PROGRAM ADMINISTRATION RECORDS</u></p> <p>A. <u>Administrative Files</u></p> <p>Files created or maintained by most regional offices in the performance of their assigned functions.</p> <ol style="list-style-type: none"> <li>1. Official file copies of outgoing correspondence related to office functions.</li> <li>2. Comments on draft reports, studies, and proposals prepared by other offices.</li> <li>3. Contributions to and/or comments on proposed legislation.</li> <li>4. Suggestion evaluations.</li> <li>5. Program and management reports, such as overtime and staffing reports, workload and production reports, and other reports prepared to submit narrative or statistical data to management offices.</li> </ol> <p>Destroy 2 years after the close of the calendar year in which dated.</p> <p><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 of 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>		

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	<p>C. <u>Controlled Correspondence Files</u></p> <p>Files consisting of correspondence received from Members of Congress or the public relating to OFA programs. These records are not required for claims or legal purposes. Correspondence is generally maintained in alphabetical order by name of writer or name of claimant.</p> <p>1. <u>Congressional Inquiries</u>  Destroy <sup>when</sup> <del>after</del> 1 year. <i>old.</i></p> <p>2. <u>Public Inquiries</u>  Destroy <sup>when</sup> <del>after</del> 6 months. <i>old.</i></p> <p>D. <u>Correspondence Control Logs</u></p> <p>Correspondence control 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> <p>E. <u>Office of General Counsel Opinions</u></p> <p>Published and unpublished copies of HEW Office of General Counsel (OGC) opinions maintained by OFA offices for reference purposes. These opinions may pertain to any aspect of OFA programs.</p> <p>Destroy when superseded or obsolete.</p> <p>II. <u>PROGRAM FILES</u></p> <p>A. <u>Policy Files</u></p> <p>1. <u>Policy Precedent Files</u></p> <p>Policy memorandums, interpretations (policy interpretation questions), clarifications, and similar records accumulated by OFA headquarters components responsible for program policy development. The records serve as precedent for future program policy determinations. These records may be maintained by OFA offices or within the OFA central files. <i>These records are maintained by the Division of Policy and Procedures.</i></p>		

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	<p>Permanent. Review files at the close of each calendar year. Transfer records older than 10 years to the Federal Records Center (FRC). Offer to the National Archives 10 years thereafter.</p> <p>2. <u>Policy Precedent Background Files</u></p> <p>Background materials maintained in alphabetical subject files created in the formulation of OFA program policies. These materials relate to such subjects as issues of eligibility and assistance; employability and fiscal policy; and entitlement and administrative policy. These documents include copies of policy memorandums, correspondence, drafts, component comments, background studies, and related reference materials.</p> <p>Review files at the close of each calendar year. Destroy documents which do not have continuing relevancy after 2 years.</p> <p>3. <u>Program Regulations Files</u></p> <p>Program regulations that have been published in the Code of Federal Regulations. They are filed by subject area and regulation number. The files contain pending and completed draft proposals, concurrences from OFA components, OGC concurrences, policy memorandums, public comments, and <u>Federal Register</u> publications. These files include regulations for OFA's assistance program under SRS (formerly Assistance Payments Administration (APA)) and SSA. Under SSA, record copies of OFA's regulations are maintained by the Office of Operational Policy and Procedures (OOPP).</p> <p>a. <u>APA Regulations</u></p> <p>Transfer to the FRC 10 years after publication in the Code of Federal Regulations. <del>Offer to the National Archives 20 years thereafter.</del> <i>publication</i></p> <p>b. <u>OFA Regulations</u></p> <p>Destroy 10 years after the regulations are obsoleted or superseded.</p>		<p><i>Agency concurred. 11-21-79 Changed to 20 years for clarity. The intent was to retain files for 20 yrs after publication. W.N.R.C. (Pl)</i></p>

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	<p>4. <u>Administrator Decision Files</u></p> <p>Copies of formal policy decisions rendered by the Administrator of SRS on issues submitted by APA (now OFA) components for top-level resolution. The file dates to 1946-1969 and contains only the printed decisions. Record copies of the decisions are maintained with the SRS Administrator's records.</p> <p>Transfer to the FRC immediately. Destroy 5 years thereafter.</p> <p>B. <u>Legislative Records</u></p> <p>1. <u>Legislative History Files</u></p> <p>A history file for each piece of legislation related to OFA programs. The files are arranged by year and contain copies of the bills, legislative summaries, analyses, committee reports, and related background documents. These files are maintained for reference purposes. Record copies are maintained by SSA headquarters, Office of Legislative and Regulatory Policy (OLRP). Legislation affecting OFA program is generally part of Social Security legislation.</p> <p>Review files annually and destroy material which does not have continuing relevance.</p> <p>2. <u>Hearing Files</u></p> <p>Copies of transcripts and printed reports of hearings before congressional committees on bills or issues relating to OFA. Record copies are retained by OLRP. The files are retained for reference purposes.</p> <p>Review files annually and destroy material which does not have continuing relevance.</p> <p>3. <u>Public Law Files</u></p> <p>Published copies of all public laws relating to OFA and its predecessor organizations. These files date from 1935 and relate to all OFA subjects. These files are maintained for reference purposes.</p>		

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	<p>Review files annually and destroy material which does not have continuing relevance.</p> <p>4. <u>Legislative Proposals File</u></p> <p>Files of proposals for changes in legislation affecting OFA programs. Also included in the file are related background materials and clearance comments. The documents contain proposed legislative language, supporting statements, alternative proposals, and other information.</p> <p>Review files annually and destroy material which does not have continuing relevance.</p> <p>5. <u>Background Books</u></p> <p>Binders containing material prepared for use by SSA and HEW officials in testifying before congressional committees on a given piece of legislation or issue. The material provides background information on the legislation or issue and an analysis of the implications for OFA programs.</p> <p>Transfer to the FRC when 3 years old. <del>Offer to the National Archives 3 years thereafter.</del> <i>Destroy when 5 years old.</i></p> <p>6. <u>Court Case Files</u></p> <p>Files documenting court cases which involve OFA programs and for which the Secretary of HEW is sued. Cases are filed by Federal court or by State courts. Documents in these files consist of published copies of court decisions, memorandums, precedent material, transcripts, and related documents. Record copies are maintained by OGC, HEW. These files are used for reference purposes in developing regulations and in any subsequent litigation on similar issues.</p> <p>Destroy 3 years after case has been resolved.</p> <p>C. <u>Procedural Records</u></p> <p>1. <u>Instructional Issuances</u></p> <p>a. <u>Handbook of Public Assistance</u></p>		

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	<p>A handbook issued to States for implementing public assistance programs. This handbook, which is no longer published, contained policy and operating instructions for the States. These instructions have been incorporated into the Code of Federal Regulations. The handbook contained instructions on such topics as State organization and administration; personnel administration; eligibility, assistance and services; fiscal operations and accountability; statistical reporting and research; and forms and procedures.</p> <p>Permanent. Transfer to the FRC when administrative value ceases. Offer to the National Archives 10 years thereafter.</p> <p>b. <u>Action Transmittals</u></p> <p>Formal issuances containing OFA and APA/SRS instructions to the States. These transmittals require State actions on program matters and are maintained in numbered series by year. They may deal with any program topic. The action transmittals include the subject, regulation references, program applicability with any attachments, related issuances, effective date, and action required.</p> <p>Permanent. Transfer to the FRC when no longer needed in current operations. Offer to the National Archives 10 years thereafter.</p> <p>c. <u>Information Transmittals</u></p> <p>Formal issuances transmitting administrative and program instructional information to States, i.e., information not requiring any State action. Records are maintained in a numbered series by year. Informational transmittals may cover any administrative or program topic.</p> <p>Destroy 3 years after publication date.</p>		



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	<p>d. <u>Administrator's Memorandums</u></p> <p>A numbered series of published memorandums issued by the SRS Administrator and by APA, which covered a variety of administrative and program topics. These were also used to notify States of proposed regulations. Information on the memorandums included subject, content, effective date, background, comment period, and inquiry information. Examples of memorandum topics included work measurement and work simplification; proposed publications; lists of program issuances; and status reports.</p> <p>Destroy 3 years after publication date.</p> <p>e. <u>Group Memorandum ("See Below")</u></p> <p>Memorandums from SRS headquarters to the SRS Regional Commissioners. The documents are <sup>or</sup> various administrative and program subjects such as court decisions, handling of certain cases, annual program reports, legislative effects, and State surveys. The memorandums, which contain no policy, were discontinued when SRS was abolished.</p> <p>Destroy <sup>when</sup> after 3 years. <i>add.</i></p> <p>f. <u>State Letters</u></p> <p>A series of numbered and unnumbered memorandums containing instructions to States on any aspect of OFA programs. The letters date from 1942 until discontinued in 1975 when all the content (instructions) was transferred to regulations, program instructions, informational or other issuance format.</p> <p>Transfer immediately to the FRC. Destroy after 10 years.</p> <p>2. <u>Resource Files</u></p> <p>Subject files containing resource and background materials used in the development of procedural instructions. Formal procedural instructions</p>		

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	<p>are contained in the Code of Federal Regulations and Action Transmittals. Resource files contain materials such as books, publications, reference materials, draft instructional materials, studies, component comments or input, correspondence, copies of final regulations or instructions, and related records. These files cover topics such as administrative and management aspects of AFDC programs, personnel, training, staff development, systems development, and State implementation of AFDC.</p> <p>Review files annually. Transfer records no longer needed in current operations to the FRC. Destroy 5 years thereafter.</p> <p>3. <u>Special Study and Project Files</u></p> <p>Files created from one-time special studies or projects conducted by OFA. These studies or projects relate to State implementation of AFDC programs and cover both administrative and program topics. Included in the files are copies of final reports, correspondence, clearance comments, State-submitted data, questionnaires, drafts, and contract information (if performed by a contractor). Examples of recent study or project topics include work measurement, development of training review guides, State review of AFDC redeterminations, case maintenance process, and review of initial eligibility determination process in States. Final reports may be published as formal OFA publications.</p> <p>a. <u>Final Report</u></p> <p>Destroy <sup>when</sup> after 5 years. <i>altd.</i></p> <p><u>Note:</u> If reports are published as formal OFA publications, retain in accordance with II.K.3.a. of this records schedule.</p> <p>b. <u>Background Documentation</u></p> <p>Destroy 2 years after completion of study or project.</p>		

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	<p>4. <u>Systems Development Files</u></p> <p>a. <u>Systems and Equipment Acquisition Files</u></p> <p>Documents created or received in the approval of Federal matching funds for State-submitted requests for equipment or systems acquisition or modifications. Documents are retained in historical case files by State. The files contain correspondence, advance planning documents, requests for proposal for equipment selection, contracts, installation documents, approval documents, and manual materials. The files are used in the periodic monitoring of approved systems or equipment and as a reference source when additional equipment or systems are requested.</p> <p>Review files annually and transfer files on obsolete equipment or systems to the FRC. Destroy after 8 years' retention in the FRC.</p> <p>b. <u>Vendor Files</u></p> <p>Brochures, literature, price lists, pamphlets, and other advertisement-type material received from private vendors. The material is retained as a ready source of information about the vendor and its products. It is filed by the name of the vendor.</p> <p>Destroy when superseded or obsolete.</p> <p>D. <u>Special Programs</u></p> <p>1. <u>Cuban Refugee Assistance Files</u></p> <p>a. <u>Cuban Refugee Subject Files</u></p> <p>Files broken down by subject in alpha-numeric sequence relating to administrative and program aspects of the Cuban Refugee Program. The files consist of correspondence, memorandums, issuances, publications, publicity materials, conference and committee records, legislative records, and other related documents pertaining to the providing of financial assistance to Cuban refugees.</p>		

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	<p>(1) Review files at the close of each calendar year.</p> <p>(2) Destroy administrative documents 2 years after the close of the calendar year in which dated.</p> <p>(3) Transfer program documents older than 2 years old to the FRC. Destroy after a total 6 years' retention.</p> <p><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>Management Reports</u></p> <p>Reports received monthly from the Cuban Refugee field office, located in Miami, Florida. These reports are submitted to OFA headquarters to appraise management of program operations. Examples of reports include:</p> <p style="padding-left: 40px;">Total Program Report; Consolidated Report of Overall Operations Report; Fact Sheet; Cuban Refugee Assistance Report; Community Relations Report; Comparable Analysis of Application Report; and Intake Consolidated Report.</p> <p>Destroy 2 years after the close of the calendar year in which dated.</p> <p>c. <u>Financial Files</u></p> <p>(1) <u>Contract Files</u></p> <p>Working copies of contracts and associated background documentation for the procurement of goods and nonpersonal services related to the Cuban Refugee Assistance Program. Documents in the files include requests for proposal, technical evaluations, cost reports, contractor reports,</p>		

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	<p>and related records. Record copies of contract files are maintained by the Office of Management, Budget, and Personnel (OMBP).</p> <p>Destroy 2 years after expiration of the contract.</p> <p>(2) <u>State Payment Reports</u></p> <p>Form CRP-2040, State Claim for Federal Funds from HEW, or its equivalent, submitted monthly by States to request Federal repayment of State monies expended in the assistance of Cuban refugees. Information on the form consists of number of persons and net expenditures by categories such as State/local outlays, medical assistance payments and any other allowable expense. The form also contains an HEW approval notation and allowable amounts. After approval, copies of the forms are submitted to OMBP for payment.</p> <p>Destroy <sup>when</sup> after 2 years. <del>old</del>.</p> <p>(3) <u>Vendor Invoice Files</u></p> <p>Invoices submitted by vendors for payment of services or goods. The invoices are filed by vendor name and maintained to answer any inquiries regarding payment from the vendors. Invoices are submitted by OFA to OMBP for payment.</p> <p>Destroy 2 years after date of invoice.</p> <p>d. <u>Newspaper Files</u></p> <p>A nonrecord file of newspaper articles and clippings in English and Spanish dealing with Cuban refugees and immigration programs. The file includes information on any topic of political importance and is used for reference purposes.</p> <p>Review file annually and destroy materials which are no longer relevant or significant.</p>		

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	<p>2. <u>Indo-Chinese Program</u></p> <p>a. <u>Indo-Chinese Subject File</u></p> <p>Files broken down by subject in alpha-numeric sequence relating to the administration and program aspects of the Indo-Chinese program. The files consist of correspondence, memorandums, reports, reference materials, and legislation. They deal with privacy issues, voluntary agency participation, housing, education, and other related documents pertaining to the providing of financial assistance to the Indo-Chinese refugees. These subject files also include records of the Refugee Task Force, the organization which initiated and implemented the Indo-Chinese Refugee Assistance Program.</p> <p>(1) Review files at the close of each calendar year.</p> <p>(2) Destroy administrative documents 2 years after the close of the calendar year in which dated.</p> <p>(3) Transfer program documents older than 2 years old to the FRC. Destroy after a total of 6 years' retention.</p> <p><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>Relocation Camp Records</u></p> <p>Subject files consisting of materials on the Refugee Reception Centers (Eglin, Chaffer, Indiantown Gap, Guam, Camp Pendleton, and Clark's Field). The program started in 1975 and the centers are now closed. Records are no longer being created. The files contain correspondence, departure listings, airline tickets, cables, vouchers, and computer printouts of new arrivals. Material on individual family resettlement has been incorporated into automated computer system.</p>		

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	<p>Transfer to the FRC immediately and destroy 3 years thereafter.</p> <p>c. <u>Evacuee Listing</u></p> <p>Computer listing of all Indo-Chinese refugees by refugee surname. The listings contain such information as name and address of evacuee, mother's given name, date of birth, family identification number, and alien or social security number and sponsor. These listings are used to verify that an individual applying for refugee assistance is, in fact, a refugee and entitled to payment under applicable laws. The listing, or portions of the listing, are periodically updated.</p> <p>Destroy superseded material upon receipt of updated listings.</p> <p>d. <u>Newspaper Publication Records</u></p> <p>Records created in the publication by OFA of a newspaper in three language translations. The newspaper contains articles of interest to refugees and is printed and distributed via subscription by a contractor. Records maintained by OFA include subject files as references for potential articles; proofs and galleys, and negatives.</p> <p>(1) <u>Subject Files</u></p> <p>Review files annually. Destroy reference materials which do not have continuing relevancy.</p> <p>(2) <u>Other Records</u></p> <p>Destroy 3 months after publication date.</p> <p>e. <u>Grant Records</u></p> <p>A working file containing copies of grants including planning documents,</p>		

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	<p><u>Federal Register</u> notices, memorandums, technical evaluation reports, periodic reports, financial advisory reports, budget negotiations, award notices, and similar records. These files document grants related to Indo-Chinese refugee programs and are maintained for reference purposes. Record copies of grants are maintained by OMBP.</p> <p>Destroy 2 years after termination or completion of grant.</p> <p>3. <u>U.S. Repatriate Program</u></p> <p>Case files, in alphabetical order by surname, on U.S. citizens who receive public assistance while returning from abroad because of destitution, illness or a crisis such as war, threat of war or invasion. The case files contain correspondence with HEW regional offices, the Department of State, public and private welfare agencies, relatives of the repatriates, and others.</p> <p>Transfer to the FRC 1 year after termination of collection efforts. Destroy <del>after 5 years' retention in the FRC.</del> <i>after termination of collection efforts.</i></p> <p>E. <u>State Plan Records</u></p> <p>Record copies of approved State plans materials submitted by each State, territory and possession pertaining to State administration of public assistance grants-in-aid programs. The files contain copies of State laws, Attorney Generals' opinions, approved assistance plans developed by the States, formal transmittals, plans maintenance data, and related material. As portions of the plans are changed, the superseded materials are withdrawn and filed as obsolete material in the same order as filed in the State plan. For each State, there is the current plan material and earlier material showing its evolution. This file is basic for a study of the operations of the public assistance program in the States. These materials may be required as evidence in payment litigation cases of Federal-State agreements on services to be provided by the States.</p>		



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	<p>1. <u>State Plan Material</u></p> <p>Transfer to the FRC 10 years after obsolete or superseded. Destroy after a total 20 years' retention.</p> <p>2. <u>Duplicate or Loan Set of State Plans</u></p> <p>Dispose of obsolete duplicate plan materials 2 years after they are superseded.</p> <p>3. <u>Control Forms</u></p> <p>Close out file at the end of each calendar year. Transfer to the FRC 10 years thereafter. Destroy after a total 20 years' retention.</p> <p>4. <u>Other Materials</u></p> <p>Transfer to the FRC when 10 years old. Destroy after 20 years' retention.</p> <p>F. <u>State Compliance Cases</u></p> <p>Record copies of cases involving formal administrative actions pertaining to State plans which are disapproved or any State practices or procedures which are not in conformance with Federal provisions. Documents in case files include correspondence, briefs, notes, hearing transcripts, and related background materials. Federal funds may be reduced or terminated as the result of the hearing.</p> <p>Transfer to the FRC 3 years after resolution of the case. Destroy <del>10</del><sup>13</sup> years thereafter. <i>resolution.</i></p> <p>G. <u>State Financial Records</u></p> <p>1. <u>Budget Projection Files</u></p> <p>a. <u>Quarterly Financial Plans</u></p> <p>Form SRS-OA-25A, State Agency Quarterly Statement of Financial Plans, or its equivalent, submitted by the States to OFA. These forms contain budget requests and projections for eight quarters (two fiscal years) and are used to prepare OFA budget submissions to SSA for State payments and also</p>		

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	<p>trend analysis purposes. Information on the form includes budget figures for maintenance assistance by program (AFDC, emergency assistance, State and local assistance, and State and local training). Also included are memorandums of analysis of the budget figures performed by the regions and related background documents. These documents are filed by State.</p> <p>Close off file at the end of each budget year. Destroy 5 years thereafter.</p> <p>b. <u>Budget Submission Files</u></p> <p>Case files by budget year containing documentation on OFA's budget submission to SSA for AFDC and related programs. Also included in the files are copies of documents on agency and congressional budget submission for AFDC programs. Documents in the file consist of schedules, tables, narratives, justifications, and supporting documentation. These records may be used for appeal of authorized funds and historical reference purposes for future budget submissions.</p> <p>Close off file at the end of each budget year. Destroy 5 years thereafter.</p> <p>c. <u>Quarterly Report to Congress</u></p> <p>A quarterly report, A Report to the Senate Appropriations Committee on the Status of Fund Requirements for the Public Assistance Program for FY __, submitted to Congress on the status of budget projections and expenditures for public assistance programs. Information on the reports consists of program-by-program summaries of estimates and comparison of State estimates and revised requirements. The report also includes narrative budget information and information on grants.</p> <p>Destroy <sup>when</sup> after 3 years. <i>old.</i></p>		

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	<p>2. <u>State Grant Administration Records</u></p> <p>a. <u>State Grant Files</u></p> <p>Files maintained by State and fiscal year showing State quarterly expenditures of budgeted Federal monies. The files contain regional recommendations on amounts to be paid to States for expenditures and supporting documentation; budget estimates; trend analysis; quarterly statements; and other related records. These records are retained for reference and may be needed as supporting documentation in State appeals or litigation initiated by States to recover additional funds. There is no statute of limitations regarding Federal payment of State expenditures and litigation cases may be retroactive.</p> <p>Close out file at the end of the budget year. Transfer to the FRC 5 years thereafter. Destroy <del>after a total 20 years' retention.</del> <i>when 20 yrs. old</i></p> <p>b. <u>Grant Computation Files</u></p> <p>Files maintained in State order containing payment forms and supporting documentation for the payment of monies for State expenditures under the AFDC program. Documents in the file include copies of grant awards letters forwarded to the State containing awarded amounts; Forms SRS-OA-41, Statement of Maintenance Assistance Expenditures; Form SRS-OFM-65, Quarterly Estimates of Expenditures; Form SF-424, Federal Assistance; Form SSA-3751, Computation of Amounts for Public Assistance Grants Under Title IV.A of the Social Security Act; Form SSA-3752, Computation of Amounts for Public Assistance Grants Under Titles I, X, XIV, and XVI of the Social Security Act; Form SSA-3753, Accounting Data for Income Security Grants Under Titles I, X, XIV, and XVI of the Social Security Act; Form SSA-3754, Accounting Data for Income Security Grants Under Title IV.A of the Social Security Act; quarterly statements of expenditures for States using single letter of credit; and maintenance assistance program exhibit pages. These files are maintained for reference purposes and as supporting documentation for State payment appeals and litigation cases.</p>		

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	<p>Close out file at the end of the budget year. Transfer to the FRC 5 years thereafter. Destroy after a total 20 years' retention.</p> <p>c. <u>Deferral and Disallowance Files</u></p> <p>Files maintained in State order documenting the deferral or disallowance of State-submitted expenditures. Expenditure items generally are disallowed because the items are not covered under the Social Security Act or regulations. Deferral or disallowance actions may be appealed and can result in litigation for recovery of funds. Contents of the files include regional office review reports and recommendations, correspondence with States and internal correspondence and related records.</p> <p>Close out files at the end of the budget year. Transfer to the FRC 5 years thereafter. Destroy after a total 20 years' retention.</p> <p>H. <u>Audit Liaison Files</u></p> <p>Records relating to both management and financial audits of State agency operations, including notifications of forthcoming audits, nonrecord copies of draft and final reports, comments on findings and recommendations, replies to the General Accounting Office and HEW audit agencies and reports on statute of implementation and recommendations. Official audit liaison files are maintained by the Office of Evaluation.</p> <p>Place in an inactive file after final SSA action on the audit report. Cut off inactive file at the end of the calendar year and destroy 2 years thereafter.</p> <p>I. <u>State Reference Books</u></p> <p>Reference books maintained in binders by State in chronological order containing such items as copies of State-submitted correspondence; internal memorandums; congressional correspondence; regional correspondence; administrative review reports of State practices conducted by regional personnel; emergency assistance requests; and policy interpretation</p>		

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	<p>questions. The books serve as reference tools for any action or information that relates to a particular State. Policy documents are duplicated in policy files. The binders contain documents from the 1960's to date.</p> <p>Close off binders at the end of each calendar year. Hold 3 additional years and transfer to the FRC. Destroy <del>after a total 10 years' retention.</del> <i>when old.</i></p> <p>J. <u>Evaluation and Research Records</u></p> <p>1. <u>Management Initiative Tracking System (MITS) Files</u></p> <p>A manual tracking system used to identify and track the status of administrative and program management work objectives of OFA components. Records include narrative submissions, charts, progress and status reports received from OFA organizations.</p> <p>Destroy 6 years after completion of management objective.</p> <p>2. <u>Research and Demonstration Project Files</u></p> <p>Files documenting projects which are Federal grants (demonstration grants) to States who volunteer to conduct study programs. The records are filed by project (by State or contractor). The files contain applications and correspondence, notation of approval or disapproval, comments of OFA components, copies of decision memorandums to establish programs, progress reports, and final project reports. Record copies are maintained by the Office of Research and Statistics. Also included in the files are records of disapproved demonstration projects. Examples of recent research and demonstration projects include a job incentive project (Michigan utilization of private employment agencies to place welfare recipients in jobs); decision making logic tables (New York project using decision logic tables for determining eligibility for AFDC programs and amount of payment); and volunteer fuel allowance system (a Michigan project involving direct payments to utilities, by State, for program participants).</p>		

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	<p>a. <u>Approved Projects</u></p> <p>(1) <u>Final Report</u> Destroy after <sup>with</sup> 5 years. <i>old.</i></p> <p>(2) <u>Other Documents</u> Destroy 2 years after receipt of final report.</p> <p>b. <u>Disapproved Projects</u> Destroy <sup>with</sup> after 5 years. <i>old.</i></p> <p>K. <u>Publications Files</u></p> <p>Publications prepared by OFA components related to the administrative and program aspects of AFDC and other OFA administered assistance programs. Documents in the publications files include drafts; proofs; galleys; OFA components' comments and input; clearance comments; copies of published reports; and other related background materials.</p> <p>Publications consist of the following:</p> <ol style="list-style-type: none"> <li>"How They Do It" series, a series of publications on State practices in the administration of AFDC. Examples of these publications include: <u>Supervisory Review of Case Actions, New Mexico; Bank Distribution Systems for Assistance Payments, New York and Pennsylvania; Photo ID's, New York; and State Monitoring of Local Office Performance, Maine and Washington.</u></li> <li><u>Characteristics of State Plans for Aid to Families with Dependent Children</u>, an annual series of publications containing information on characteristics and changes in State assistance plans.</li> <li>Other publications such as <u>Bendix Beneficiary Data Exchange, Texas and Virginia Systems Documentation; WIN and You; and Aid to Families with Dependent Children.</u></li> </ol> <p>a. <u>Publications</u></p>		

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	<p>(1) <u>Record Copy</u></p> <p>Maintain record copy of each publication. Close out file at the end of 5 years. Transfer to the FRC 5 years thereafter and offer to the National Archives <i>close out, when 15 yrs. old.</i></p> <p>(2) <u>Extra Copies</u></p> <p>Destroy when superseded or obsolete.</p> <p>b. <u>Background Material</u></p> <p>Destroy 1 year after publication.</p>		
III.	<p><u>MANAGEMENT SUPPORT AND SERVICES RECORDS</u></p> <p>A. <u>Financial Management Records</u></p> <p>1. <u>Budget Estimate and Justification Files</u></p> <p>These files consist of budget estimates and associated justification statements submitted annually to the Office of Financial Resources (OFR), OMBP, by each SSA bureau and office. The files are used in the preparation of the annual SSA budget submission to HEW and the Office of Management and Budget (OMB). 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 Sub-class; 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 equivalent or related documents.</p> <p>Destroy 10 years after the close of the budget year.</p> <p>2. <u>Travel Records</u></p> <p>Retained copies of requests and authorizations for employee travel and claims for reimbursement. Included are Forms HEW-1, Travel Order; SF-1012, Travel Voucher; SF-1038, Application and Account for Advance of Funds; SF-1164, Claim for Reimbursement for Expenditures on Official Business; or</p>		

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	<p>their equivalents. Also included are supporting documents (receipts, schedules, etc.). Record copies are retained by OMBP, OFR, for GAO site audit purposes.</p> <p>Destroy after 2 years, except that records involving a change of station should be destroyed after 3 years.</p> <p>3. <u>Schedule of Accrued Obligations</u></p> <p>A report submitted three times a year to OFR, OMBP, by each SSA bureau and office. It lists actual expenditures year-to-date by object and subobject class and contains projections for the use of resources for the remainder of the year. Included are Forms CO-0773 and CO-0773A, Schedule of Accrued Obligations, or their equivalents. The report is used in monitoring budget execution.</p> <p>Destroy <sup>within</sup> after 1 year. <i>old</i>,</p> <p>4. <u>Report of Estimated Obligations and Cost Distribution</u></p> <p>A monthly report submitted to OFR, OMBP, by each SSA bureau and office. It contains an estimate of year-to-date expenditures through the current month by object and subobject class. Included is Form SSA-180, Report of Estimated Obligations and Cost Distribution, or its equivalent.</p> <p>Destroy <sup>within</sup> after 1 year. <i>old</i>,</p> <p>B. <u>Personnel Records</u></p> <p>1. <u>OFA Position Descriptions</u></p> <p>Files containing documents which describe the duties and responsibilities associated with given positions for all OFA jobs. Included is Optional Form 8, Position Description, or its equivalent.</p> <p>Destroy 1 year after position is abolished or description is superseded.</p>		



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	<p>2. <u>Overtime and Staffing Reports</u></p> <p>Reports submitted to OFR, OMBP, by each SSA bureau and office used in monitoring budget execution. Included is the Report of Accessions and Separations (full-time and permanent positions), the report of staff on duty (headcount), the report of staff on duty by location (form SSA-1699), and the report of overtime hours worked.</p> <p>Destroy <sup>when</sup> after 2 years <sup>sld.</sup></p> <p>C. <u>Equipment and Supply Records</u></p> <p>1. <u>Equipment Inventory Records</u></p> <p>Records consisting of Form HEW-22, Property Action Request to Supply Officer, and kardex strips for all equipment considered as part of the OFA equipment inventory. Form HEW-22 describes equipment that has been surplus and returned to stock. Kardex strips list equipment still in use throughout OFA offices. These strips list types of equipment, brand name, model, and serial number.</p> <p>Destroy 3 years after the item is removed from the OFA equipment inventory.</p> <p>2. <u>Equipment Requisition Files</u></p> <p>Files documenting the procurement of equipment for OFA components. Included are Forms SF-1147, Order for Supplies and Services, and HEW-393, Purchase/Service/Stock Requisition. These files are used for reference and as source documents for the inventory files.</p> <p>Destroy <sup>when</sup> after 3 years <sup>sld.</sup></p> <p>3. <u>Equipment Maintenance Records</u></p> <p>Form HEW-43, Equipment Item Record, or its equivalent used to record maintenance and repair of equipment. Information on the card consists of equipment identification, location information, inventory checks, replacement data, and maintenance information.</p> <p>Destroy 1 year after equipment is removed from service.</p>		