REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

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

1. FROM (AGENCY OR ESTABLISHMENT)
   Health and Human Services

2. MAJOR SUBDIVISION
   Social Security Administration

3. MINOR SUBDIVISION
   Office of Field Operations

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

5. TEL. EXT
   34-5770

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 ___ 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
   2/14/83

D. SIGNATURE OF AGENCY REPRESENTATIVE
   Dr. George Deal

E. TITLE
   Department Records Management Officer

<table>
<thead>
<tr>
<th>I. - V. Comprehensive Records Retention and Disposition Schedule for the Office of Field Operations (attached):</th>
</tr>
</thead>
<tbody>
<tr>
<td>I. Office of the Associate Commissioner Files</td>
</tr>
<tr>
<td>II. Office of Field Support Files</td>
</tr>
<tr>
<td>III. Performance Management and Analysis Files</td>
</tr>
<tr>
<td>IV. Resource Management Files</td>
</tr>
<tr>
<td>V. Program and Systems Management Files</td>
</tr>
</tbody>
</table>

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 155a (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. Attach 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 for officials to identify items that are authorized for disposal. Items withdrawn or not approved for disposal will be marked. Each item required for disposal is to be accompanied by a justification for approval from GAO.

Specific Instructions

1. Item 2 should identify what agency has custody of the records that are listed on the form, and should contain the name of the department, organization, etc., with its unit and minor subdivisions.

2. Item 3 should help identify and locate the person to whom inquiries regarding the records should be directed.

3. Item 5 should be signed and initialed on the four copies by the agency responsible. The number of pages involved in the request should be inserted.

4. 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.

5. Entry 7 should contain the numbers of the items of records identified on the form in sequence, i.e., 1, 2, 3, 4, etc.

6. 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 items that can be treated as a single unit for purposes of disposal. Component parts of a series may be listed separately and numbered consecutively as 1, 2, 3, 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 vast 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 converted to records on machine readable media, the retention period should read “until determined 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 5-111-11 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.

Date 2/2/83

Date 2/3/83

SSA Records Officer

OFO Representative

Standard Form 115 SACK Rev. 4/78
### OFFICE OF FIELD OPERATIONS

I. **OFFICE OF THE ASSOCIATE COMMISSIONER FILES**

<table>
<thead>
<tr>
<th>Description of Records</th>
<th>Authorized Disposition</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Senior Executive Service (SES) Performance Plans and Appraisals</strong></td>
<td>Destroy 3 years after close of fiscal year covered by appraisal.</td>
</tr>
</tbody>
</table>

Copies of SES plans and appraisals for regional commissioners who report to the Associate Commissioner (AC), Office of Field Operations. Although "record copies" are maintained by the Division of Performance Management Analysis, these copies may contain notes made by the AC and must be retained for appraisal purposes.
II. OFFICE OF FIELD SUPPORT FILES

Description of Records

A. Conference and Meeting Files

Conference briefing packages including agenda items, background materials, action items, and other information relevant to meetings. The materials are prepared for participants of regional commissioners' quarterly meetings, area directors' meetings, regional conferences, and meetings of the National Council of Social Security Management Associations.

B. Regional Issues Files

Documentation and background information concerning administrative and program issues raised by the regions, including both incoming correspondence and replies. The files are reviewed prior to Office of Field Operations staff visits to field offices.

Authorized Disposition

Destroy when 2 years old or when no longer needed, whichever is sooner.

Destroy when 2 years old.
Description of Records

(c) Action Plan Update and Workload Analysis

Report prepared by OFO which consolidates highlighted elements from Debt Collection Narrative Reports and the Debt Management and Update Reports. It includes a summary of the narratives and reports on debt management initiatives.

C. Federal-State Relations Files

Correspondence and background material addressing such Federal-State issues as annual wage reporting by magnetic tape, State Disability Determination Services problems, and State notifications of termination of voluntary agreements for coverage (Section 218 of the Social Security Act as amended).

D. Program Security Files

Assessments and recommendations from other components concerning fraud prevention in OFO field offices (FOs), and related correspondence.

E. Systems Security Files

Vulnerability studies, overall program security studies and studies of individual OFO FO security compliance. Included are initial reports, final reports, and related correspondence. These studies are principally conducted by the Regional Security Officers.

Authorized Disposition

Destroy when 2 years old.

1. Case Files

Destroy 2 years after resolution of problem.

2. Subject Files

Destroy when 2 years old.

Destroy when 3 years old.

Destroy 2 years after final report.
### Description of Records

**F. Management Studies and Reports**

Studies and reports addressing operations and policies on a national scale. Examples include cost savings initiatives and service delivery issues. Included with the reports are final recommendations.

### Authorized Disposition

Destroy 3 years after release of report.
IV. RESOURCE MANAGEMENT FILES

Description of Records

A. Budget Files

1. Regional Monthly Expenditure Reports

Reports prepared and submitted by each regional office showing cumulative expenditures by object class codes for the fiscal year.

2. Monthly Transaction Report

Reports prepared by the Office of Financial Resources (OFR), Office of Management, Budget, and Personnel, showing expenditures by object class on a line item basis for the Office of Field Operations (OFO) field offices (FOs). It is used to balance the Monthly Expenditure Reports.

3. Payroll Analysis Recap Report

Biweekly analysis report prepared by OFO central office and FOs showing hourly salary rates by type and category of employee. Included are overtime and percentage of benefits for health insurance and retirement summaries.

4. OFO Yearly Operating Budget Plans

Budget plans submitted annually and covering a 2-year period (current year and following year.) The plans are updated quarterly.

5. Allowance Advice

Document issued quarterly by OFO listing funds that OFO has been authorized to obligate or commit.

Authorized Disposition

Destroy 3 years after close of fiscal year (FY) in which dated.

Destroy 1 year after close of FY in which dated.

Destroy 2 years after close of FY in which dated.

Destroy 2 years after close of the period covered by the plan.

Destroy 3 years after close of FY in which dated.
Description of Records

6. Cost Analysis Report

This report is prepared monthly by OFR and shows allocation of funding sources (trust funds and general revenues) for all expenditures (such as personnel and equipment). The reports are used to verify and project dollar amounts allocated to each source.

B. Staffing Reports

1. Biweekly RC/Field Staffing Report from each RO. The report shows the numbers of employees who entered on duty and who separated, and other pay period changes.

2. Quarterly Staffing Report

Forms SSA-3907, Quarterly Report of Personnel Actions, prepared by each RO and consolidated into a national report. This information is used to prepare the Field Personnel Report and the Quarterly Report of Separation for Position Types by Region. The reports are used to control budget ceiling.

C. Personnel Management Files

1. Classification Standards Development Files

Files created in the development of classification standards for positions peculiar to OFO offices. Included are position papers and other background information.

Authorized Disposition

Destroy 2 years after close of fiscal year (FY) in which dated.

Destroy 2 years after close of FY.

Destroy 2 years after close of FY in which dated.

Destroy after standard has been superseded or obsoleted. (ERS/NA/CL)
### III. PERFORMANCE MANAGEMENT AND ANALYSIS FILES

<table>
<thead>
<tr>
<th>Description of Records</th>
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</tr>
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<tbody>
<tr>
<td><strong>A. Senior Executive Service (SES) and Merit Pay Performance Planning and Review Files</strong></td>
<td>(1) Merit Pay Files, GRS 1/23a(5). Destroy 3 years after close of fiscal year (FY) covered by appraisal.</td>
</tr>
<tr>
<td>SES and Merit Pay Performance Plans, monitoring records, and related correspondence. Also included are profile packages which are interim performance reviews and analyses which contain supporting documentation for high or low appraisals. Files are maintained for regional commissioners and the Associate Commissioner, Office of Field Operations (OFO).</td>
<td>(2) SES Files, GRS 1/23b(4). Destroy 5 years after date of appraisal, exclusive of any interim service as a Presidential appointee.</td>
</tr>
<tr>
<td><strong>B. OFO Field Goal-Setting Files</strong></td>
<td>Destroy 3 years after close of FY in which dated.</td>
</tr>
<tr>
<td>Field performance goals or targets, reports, and related correspondence. They are used to set goals and monitor performance and may be used to revise SES and Merit Pay Plans.</td>
<td></td>
</tr>
<tr>
<td><strong>C. Management Information Files</strong></td>
<td>Destroy when 2 years old.</td>
</tr>
<tr>
<td>Monthly reports, broken down by region, detailing regional workloads such as retirement and survivors insurance, disability insurance, supplemental security income, and debt management. The reports contain monthly data, are not cumulative, and are based upon district and branch office (DO/BO) input.</td>
<td></td>
</tr>
<tr>
<td><strong>D. Operational Review Files</strong></td>
<td>Destroy when 3 years old.</td>
</tr>
<tr>
<td>Reports of remedial actions recommended and taken to correct problems identified in the Workload Tracking Reports.</td>
<td></td>
</tr>
<tr>
<td><strong>E. Audit Staff Liaison Files</strong></td>
<td>Destroy 3 years after release of report.</td>
</tr>
<tr>
<td>One-time studies conducted by the Office of Assessment, the U.S. General Accounting Office, and other offices. These studies may be originated by the office performing the audit or at the request of OFO.</td>
<td></td>
</tr>
</tbody>
</table>
Description of Records

F. Systems Planning Support Files

Correspondence concerning systems planning, including regional office and other central office components.

Authorized Disposition

Destroy 3 years after implementation or abandonment of proposed system.

G. Case Control Systems Support Files

Correspondence and reports concerning the Case Control System received from the Office of Management, Budget, and Personnel and the ROs.

Destroy when 2 years old.

H. Telecommunications Support Files

General correspondence and related records pertaining to the internal administration and operation of OFO telecommunications. Included are staff briefing files covering current fraud issues involving communications equipment. These noninvestigatory files are to keep top OFO staff advised on matters which may come under public scrutiny.

1. General Files

Destroy when 2 years old.

2. Fraud Briefing Files

Destroy 6 months after close of investigation.

I. Risk Analysis Files

Reports and other correspondence relating to OFO conducted risk analyses of field office operations. Included is all correspondence relating to the implementation of the final OFO recommendation for corrective action.

Destroy when 3 years old.
V. PROGRAM AND SYSTEMS MANAGEMENT FILES

Description of Records

A. Legislation Planning and Implementation Files

Documentation of the Office of Field Operations (OFO) responses to legislative planning and implementation initiatives from other offices. Included are meeting reports and action items, and related correspondence.

B. Debt Management

1. Correspondence Files

Reports and other correspondence relating to monitoring Debt Collection Center (DCC) compliance to debt collection procedures and monitoring DCC performance. Also included are impact statements addressing proposed policy and procedural change.

2. Report Files

   (a) Debt Collection Narrative Report

Monthly reports from DCCs addressing the status of debt collection activities. Certain items may be highlighted in management reports prepared by OFO.

   (b) Debt Management Update Report

Reports prepared by the regional offices (ROs) which provide information on litigation issues and the Private Agency Collection Project. Also included is a YY report providing status on the numbers of debt management cases released and closed.

Authorized Disposition

Destroy 2 years after legislation is passed or withdrawn.

Cut off file at end of the calendar year in which dated and destroy after 2 years old when.

Destroy when 1 year old.

Destroy when 1 year old.
<table>
<thead>
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</tr>
</thead>
<tbody>
<tr>
<td><strong>2. Supplemental Union Agreements</strong></td>
<td>Destroy when supplemental agreements have been superseded or terminated.</td>
</tr>
<tr>
<td>Agreements between SSA and the American Federation of Government Employees (AFGE) Field Office Council which supplement the national contract with AFGE. Background material is included in the files.</td>
<td></td>
</tr>
<tr>
<td><strong>3. Affirmative Action Plans</strong></td>
<td>Destroy when plans have been revised or superseded.</td>
</tr>
<tr>
<td>Coordination copies of affirmative action plans and related correspondence from each RO.</td>
<td></td>
</tr>
</tbody>
</table>