

RG 47 37 items

**REQUEST FOR AUTHORITY
 TO DISPOSE OF RECORDS**

(See Instructions on Reverse)

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| LEAVE BLANK | |
| DATE RECEIVED 10/19/73 | JOB NO. 114=073 |
| DATE APPROVED | |
| NOTIFICATION TO AGENCY | |
| IN ACCORDANCE WITH THE PROVISIONS OF PUBLIC LAW 91-287 DISPOSAL OF ITEMS MARKED "DISPOSAL APPROVED" IS AUTHORIZED. | |
| 11-23-73 DATE | <i>James B. Rhoads</i> ARCHIVIST OF THE UNITED STATES |

TO: GENERAL SERVICES ADMINISTRATION,
 NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, D.C. 20408

1. FROM (AGENCY OR ESTABLISHMENT)
 Department of Health, Education, and Welfare

2. MAJOR SUBDIVISION
 Social Security Administration

3. MINOR SUBDIVISION
 Bureau of District Office Operations

4. NAME OF PERSON WITH WHOM TO CONFER
 Arthur J. Benner

5. TEL. EXT.
 594-5771

6. CERTIFICATE OF AGENCY REPRESENTATIVE.

I hereby certify that I am authorized to act for the head of this agency in matters pertaining to the disposal of records, and that the records described in this list or schedule of _____ pages are proposed for disposal for the reason indicated: ("X" only one)

- A The records have ceased to have sufficient value to warrant further retention.
- B The records will cease to have sufficient value to warrant further retention on the expiration of the period of time indicated or on the occurrence of the event specified.

10/15/73
 (Date)

Russell O. Hess
 (Signature of Agency Representative)

Dept. Records Mgt Officer, DHEW
 (Title)

| 7. ITEM NO. | 8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS) | 9. SAMPLE OR JOB NO. | 10. ACTION TAKEN |
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| | <u>RECORDS RETENTION AND DISPOSAL SCHEDULE</u> <u>DISTRICT OFFICE OPERATIONS</u> | | |
| | <p>The files described in this Schedule are accumulated by the Bureau of District Office Operations pursuant to Titles II, XVI, XVIII of the Social Security Act. They are filed in Central Office, BDOO. Use this Schedule in conjunction with the General Records Schedules (Exhibit I, SSA Guide ADS.g:40-2), which govern the retention and disposal of records pertaining to personnel, fiscal, accounting, procurement matters, and other common functions.</p> <p><u>Description of Records</u></p> <p>I. <u>SOCIAL SECURITY PROGRAM ADMINISTRATION RECORDS</u></p> <p>These records are created as a result of administrative actions that are related to an SSA program, but only incidental to its performance.</p> <p>A. <u>Manuals, Directories, and Other Instructional Material</u></p> <p>These records pertain to manuals and other issuances published by BDOO relating to the Social Security program. Included are record and reference sets of BDOO-prepared publications. (A record set consists of one copy, current or superseded, of published instructional material. The record set is maintained sequentially by the preparing office or office of</p> | | |

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| | <p>record for historical purposes. A reference set consists of nonrecord copies of manuals, handbooks, and similar publications, maintained for reference purposes.) Included are: Service Representative Handbook, Desk Manual, Systems Handbook, District Office Weekly Report and Work Sampling Manuals, Telecommunications Operating Procedures, Claims Manual 9000, BDOO Administrative Directives System, Employer Contact and Account Number Manual, Service Area Directory and District Office/Branch Office Telephone Directory, and similar publications.</p> <p>1. <u>Record set</u>: Transfer to the Federal Records Center (FRC) when no longer needed in current operations. Offer to the National Archives 10 years thereafter. Permanent.</p> <p>2. <u>Reference set</u>: Destroy when superseded, obsolete, or no longer needed for reference.</p> <p><u>B. Issuance Background Files</u></p> <p>These files consist of background material created in the preparation, clearance, and issuance of directives. They are accumulated by the preparing office and include studies, coordinating actions, recommendations, concurrences, and similar documents that provide a basis for issuing the publication, or that contribute to its content.</p> <p>Transfer to the FRC after 3 calendar years or when no longer needed for current operations. Destroy 10 years thereafter.</p> <p><u>C. Operations Administrative Files</u></p> <p>These documents relate to the overall routine administration of BDOO activities. Specific files described elsewhere in the Schedule are not included here. These records include, but are not limited to:</p> <p>1. <u>General Routine Correspondence</u></p> <p>To individual regions on specific situations not of national interest. See section II-E, below, for correspondence to all regions ("See Belows") and other bureaus and offices.</p> | | <p>DISPOSAL NOT APPROVED</p> <p>DISPOSAL APPROVED</p> <p>DISPOSAL APPROVED</p> |

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| | <p>2. <u>Clearance Comments</u></p> <p>These files consist of routine comments made by an individual office on directives, issuances, claims manual instructions, or other publications prepared by another office or bureau with primary responsibility.</p> <p>3. <u>Suggestion Evaluations</u></p> <p>Evaluations of suggestions that do not result in issuing a directive or issuance or in establishing a project.</p> <p>4. <u>Program, Budget, and Management</u></p> <p>Program and budget documents, management improvement reports, cost reduction reports, and comparable management reports prepared to submit data to offices responsible for these management functions.</p> <p>5. <u>Public Information</u></p> <p>Comments on, or contributions to, news releases or other media publicizing social security programs (i.e., retirement, survivors, disability, health insurance, aged, blind and disabled.)</p> <p>6. <u>Legislation</u></p> <p>Documents accumulated in drafting or commenting on proposed legislation affecting social security programs.</p> <p>7. <u>Congressional Inquiries</u></p> <p>Documents relating to congressional inquiries and replies thereto.</p> <p>8. <u>Routine Reports</u></p> <p>Routine uncontrolled reports not described elsewhere in this Schedule, including Highlights, Blue Book and similar reports.</p> | | |

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| | <p>Destroy 2 years following the close of the calendar year in which the material is dated. However, documents in closed files requiring additional action and relating to reopened cases should be brought forward for filing in the current files.</p> <p>D. <u>Committee Records</u></p> <p>These documents are created in establishing, operating, and dissolving committees whose purposes are to consider, advise, recommend, take action, and report on specifically-assigned functions. Included are material on committee establishment, charters, and members. Also included are notices, agenda, minutes, reports of meetings, and similar records.</p> <p>Transfer to the FRC when no longer needed for current operations. Offer to the National Archives 10 years thereafter. Permanent.</p> <p>E. <u>Office Organization Records</u></p> <p>These files consist of documents relating to individual office organization and function. Included are non-record copies of organizational charts, functional statements, maps of regional alignments, and similar records.</p> <p>Destroy when superseded, obsolete, or no longer needed for reference.</p> <p>F. <u>Records Disposition Records</u></p> <p>Documents reflecting the location and/or disposition of records retired or transferred out of an office. Included are SF-135, Records Transmittal and Receipt; Form SSA-325, SSA Records Transmittal; and equivalent documents, which list records transferred to the FRC or to the SSA Records Holding Area.</p> <p>Destroy when all records reflected on the list have been destroyed.</p> | | <p>DISPOSAL APPROVED</p> <p>DISPOSAL NOT APPROVED</p> <p>DISPOSAL APPROVED</p> <p>DISPOSAL APPROVED</p> |

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| II. | <p>BDOO MANAGEMENT RECORDS</p> <p>A. <u>District Office Summary and Management Records</u></p> <p>These files contain summaries of data on the general management emanating from the district office weekly reports and the district office work sampling systems of district office operations and functions.</p> <ol style="list-style-type: none"> 1. Yearly summaries from both systems. <ol style="list-style-type: none"> a. Transfer to FRC after 5 years. Destroy 50 years thereafter. 2. Monthly and quarterly summaries from both systems. <ol style="list-style-type: none"> a. Transfer to FRC after 5 years. Destroy 10 years thereafter. 3. District office weekly reports. <ol style="list-style-type: none"> a. Destroy 5 years following the close of the calendar year in which the material is dated. <p>B. <u>District Office Reviews</u></p> <p>These files consist of documents relating to the conduct of reviews of district office operations by district managers and by regional office staff members. These reviews are accomplished to analyze a district office's management, organization, and operations to improve performance of the district office in management and personnel practices, and program operations. Included are self-appraisal guides, personnel questionnaires, District Office Review Profile; narrative summaries of the comprehensive review; results and findings, and directly related papers.</p> <p>Destroy after next comparable review.</p> <p>C. <u>Regional Office Survey and Reports</u></p> <p>Documents relating to the conduct of reviews of regional office operations by the regional representative and by the Operations Analysis and Standards Staff of the Division of Appraisal. These surveys are completed to analyze a regional office's management, organization, and operations. The goal of the survey is to assist the regional office to improve its performance</p> | | <p>DISPOSAL APPROVED</p> <p>DISPOSAL APPROVED</p> <p>DISPOSAL APPROVED</p> <p>DISPOSAL APPROVED</p> |

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| | <p>in all areas of management and program operations and in its supervision of the region. Included are the region's self-appraisal reports, narrative summaries of the review, results and findings, management questionnaires and summary, and all other directly related background material and papers.</p> <p>Destroy after next comparable review.</p> | | DISPOSAL APPROVED |
| | <p>D. <u>Service Area Reviews</u></p> <p>Copies of reports prepared by district and branch offices containing detailed information and statistics relating to present population by counties and cities, growth or decline of population, social and ethnic factors, economic factors, claims workload, public contacts, service to the public and to employees, and similar statistical and management information.</p> <p>Transfer to the FRC when superseded by a new report. Offer to the National Archives 20 years thereafter. Permanent.</p> | | DISPOSAL NOT APPROVED |
| | <p>E. <u>Organization Planning and Policy Reports</u></p> <p>These documents relate to establishing and changing the organization, functions, and relationships of district and branch offices, resident and contact stations, and regional offices. Included are organizational studies, reports of work groups and staff conferences; record copies of organization and functional plans; organization charts, and similar documents. Also included are statements of organizational policies having national impact (in the form of memoranda--"See Belows," numbered and unnumbered, and identicals), memoranda that state or clarify BDOO organizational policies, and instructions that are issued nationally.</p> <p>Transfer to the FRC after 3 years. Offer to the National Archives 20 years thereafter. Permanent.</p> | | DISPOSAL NOT APPROVED |
| | <p>F. <u>District Office Status File</u></p> <p>These documents relate to the opening, closing, or change in service area of district and branch offices, resident stations, and contact stations. Included are proposals with recommendations for approval, announcements of openings and closings, and similar records.</p> <p>Transfer to the FRC after 3 years. Destroy 50 years thereafter.</p> | | DISPOSAL APPROVED |

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| | <p>G. <u>Service Area Travel Plan and Budget</u></p> <p>This file consists of Form SSA-2376, Service Area Travel Plan and Budget, which is completed annually by district, branch, and metropolitan branch offices. They are reviewed and approved by regional offices and subsequently submitted to central office for use in preparing the BDOO service area travel budget for the next two fiscal years.</p> <p>Destroy after 5 years.</p> <p>H. <u>Telecommunications Records</u></p> <p>These records are telephone service order records created in obtaining telephone installation, changes or equipment for all BDOO components nationwide. Included are requests, orders, changes in listings, drawings, diagrams, and similar documents.</p> <p>Destroy 2 years after the year in which the material is dated.</p> <p>I. <u>Space Management Records</u></p> <p>These documents are accumulated in reviewing, managing, and keeping a record of district office space assignments for a specific office location in both Federally-owned and leased buildings. Included are Standard Form 81, Request for Space; GSA Form 65, Space Assignment Record; Form SSA-371, Field Facility Space Inventory; space utilization reports; maps, photographs, and similar records.</p> <p>Review after 3 calendar years. ^(a) Destroy all material not pertaining to current lease or Federal office building (FOB) assignment. ^(b) Retain lease material 2 years following the close of the calendar year in which the lease expires, ^(c) except where there has been a dispute between the landlord and the Government, in which case retain lease material for 2 years after settlement or other final disposition of the dispute.</p> | | <p>DISPOSAL APPROVED</p> <p>DISPOSAL APPROVED</p> <p>DISPOSAL APPROVED</p> <p>DISPOSAL APPROVED</p> <p>DISPOSAL APPROVED</p> |

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| III. | <p>HOUSEKEEPING RECORDS</p> <p>These records relate to the performance of routine administrative operations and in obtaining housekeeping-type services from the organizations responsible for providing them.</p> <p>A. <u>General Management Records</u></p> <p>Documents related to the internal management or general administration of an office. These records include, but are not limited to:</p> <ol style="list-style-type: none"> 1. Office internal procedures, hours of duty, and individual duties that do not have continuing applicability. 2. Bureau participation in charitable affairs, such as blood donations and contributions to charitable organizations. 3. Parking, traffic control, and similar matters. <p>Destroy 1 year following the close of the calendar year in which the material is dated.</p> <p>B. <u>Housekeeping Instructions</u></p> <p>These files consist of instructions relating to housekeeping procedures in the preparing office. Included are copies of the instructions and related background papers. <u>Note:</u> This definition does not apply to instructions that are issued on a nationwide basis.</p> <p>Destroy when superseded or obsolete.</p> <p>C. <u>Safety Reports</u></p> <p>Documents relating to accident and fire reporting, including accident experience reports. Included are reports pertaining to employee injuries, fatalities, fires, property damage, motor vehicle accidents, accident and injury experience, injury cause analysis, and similar records.</p> <p>Destroy after 3 years.</p> | | <p>DISPOSAL APPROVED</p> <p>DISPOSAL APPROVED</p> <p>DISPOSAL APPROVED</p> |

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| F. <u>Office Reference Records</u> | These records are maintained to provide a source of reference materials readily available to the office. | | |
| | 1. <u>Technical and Reference Publications</u> | | |
| | These records consist of copies of issuances, including reference binders and other publications issued by any element of DHEW, SSA, other Government agencies, and non-Governmental organizations, which are maintained by an office for reference purposes. These files also include memorandums, letters, messages, or other documents used to transmit program instructions in advance of official SSA issuances. | | |
| | a. Destroy when superseded, obsolete, or when no longer needed for reference. | | DISPOSAL APPROVED |
| | 2. <u>Reading Files</u> | | |
| | These files consist of extra copies of outgoing communications, arranged chronologically, which are maintained for review by staff members. | | |
| | a. Destroy 1 year following the calendar year in which the material is dated. Earlier disposal is authorized. | | DISPOSAL APPROVED |