

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-184-88-001

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 6/23/2021

## **ACTIVE ITEMS**

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

All items not listed below remain active.

## **SUPERSEDED AND OBSOLETE ITEMS**

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

Items 2-1a/b were superseded by N1-184-09-003 item 2-3

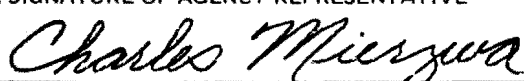
NOTE: The Railroad Retirement Board (RRB) published its comprehensive schedule (NC1-184-79-03) in 1979. This schedule was updated in 1988-89 under four job numbers (N1-184-88-001, N1-184-89-001, N1-184-89-002, and N1-184-89-003). These schedules carried forward many items from the 1979 schedule without edit. NARA continued to consider the 1979 schedule as the authority for these items. After approval of the four later schedules, the RRB began to cite the 1988-89 schedules. In subsequent years, RRB schedules submitted to NARA often (technically incorrectly) cited the 1988-89 schedules as the then-current authority rather than the 1979 schedule.

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b> (See Instructions on reverse)		LEAVE BLANK	
TO: <b>GENERAL SERVICES ADMINISTRATION NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408</b>		JOB NO. <b>NI-184-88-1</b>	DATE RECEIVED <b>6-22-88</b>
1. FROM (Agency or establishment) <b>Railroad Retirement Board</b>		NOTIFICATION TO AGENCY	
2. MAJOR SUBDIVISION		In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10. If no records are proposed for disposal, the signature of the Archivist is not required.	
3. MINOR SUBDIVISION			
4. NAME OF PERSON WITH WHOM TO CONFER <b>Charles Mierzwa</b>	5. TELEPHONE EXT. <b>FTS 386-3363</b>		
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 48 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, if required under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is attached.

A. GAO concurrence:  is attached; or  is unnecessary. ~~Has been requested.~~

B. DATE <b>6-21-88</b>	C. SIGNATURE OF AGENCY REPRESENTATIVE 	D. TITLE <b>Agency Records Officer</b>
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7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARS USE ONLY)
	<p>The Railroad Retirement Board's Records Control Schedule is being updated to make it consistent with current agency operations. This is the first of three SF-115's to be submitted and contains copies of the following schedules:</p> <ul style="list-style-type: none"> <li>Schedule 2 - Bureau of Actuary (Revision)</li> <li>Schedule 3 - Bureau of Hearings and Appeals (Revision)</li> <li>Schedule 4 - Office of Information Resources Management (Revision)</li> <li>Schedule 5 - Bureau of Supply and Service (Revision)</li> <li>Schedule 7 - Bureau of Personnel (Revision)</li> <li>Schedule 15 - Bureau of Quality Assurance (New Schedule)</li> <li>Schedule 16 - Office of Equal Employment Opportunity (New Schedule)</li> <li>Schedule 17 - Office of the Inspector General (New Schedule)</li> <li>Schedule 18 - Office of Planning (New Schedule)</li> <li>Schedule 19 - Office of Public Affairs (New Schedule)</li> </ul>		

RRB RECORDS SCHEDULE 2

Bureau of Actuary

The Bureau of the Actuary is responsible for the preparation of estimates of the liabilities created by the 1974 Railroad Retirement Act. The bureau also prepares a five-year projection of anticipated revenues to and payments from the Railroad Retirement Account and a report on the actuarial status of the railroad retirement system under various economic and employment assumptions. In connection with these actuarial valuations, the bureau conducts studies of rates of mortality, disability, retirement, withdrawal, family composition and other factors. The bureau prepares long-range projections of the financial effects of proposed amendments to the Railroad Retirement Act and Railroad Retirement Tax Act. The bureau recommends to the Board the rate of tax necessary to finance the supplemental annuity program.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
2-1	<u>Actuarial Valuations</u>  Financial actuarial valuations of RRB assets and Liabilities under the Railroad Retirement Act.  (a) Record copy.  (b) Other copies.	Transfer PERMANENT. <del>offer</del> to National Archives when 25 years old, <del>offer</del> in 10 year blocks.  Destroy when no longer needed for administrative use.

JOB: NCI-184-79-3 Item 2-1

<del>2-2</del>	<del><u>Actuarial Valuation Data Summaries</u></del>  Mathematical summarizations of computer generated data for use in triennial actuarial valuations. Includes data on mortality rates, retirement rates, service patterns, salaries, and related papers.	<del>Destroy after completion of 4th subsequent valuation.</del>
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JOB: NCI-184-79-3 Item 2-2

RRB RECORDS SCHEDULE 2

Bureau of Actuary

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
2-3	<u>Actuarial Notes</u>  Statistical and narrative informational response by the Bureau of Actuary on a wide variety of topics related to RRB operations.	Destroy when no longer needed for administrative use.
JOB: NCI-184-79-3 Item 2-3		
2-4	<u>Valuation Computer Generated Printouts</u>  Computer generated printouts including data pertaining to benefit schedules, awards, projections, earnings. Used to prepare Actuarial Valuation Data Summaries.	Destroy when subsequent 2 valuations are completed.
JOB: NCI-184-79-3 Item 2-4		
2-5	<u>Actuarial Studies</u>  Bound volumes of actuarial studies including occupational differences in separation rates for railroad workers, the railroad retirement disability program, method of financing the railroad retirement system, and related programs.	
	(a) Record copy.	PERMANENT. Transfer <del>offer</del> to National Archives when accumulation reaches at least one cubic foot.
	(b) Other copies.	Destroy when no longer needed for administrative use.
JOB: NCI-184-79-3 Item 2-5		

RRB RECORDS SCHEDULE 3

Bureau of Hearings and Appeals

The Bureau of Hearings and Appeals provides a forum for hearings and its referees render decisions on appeals from determinations of the Bureau of Retirement Claims, Unemployment and Sickness Insurance and Compensation and Certification on allowance or disallowance in full or in part of claims for benefits under the Railroad Retirement and Unemployments Acts and Title VII of the Regional Rail Reorganization Act.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
3-1	<u>Appeals Referee Decisions</u>  These decisions pertain to appeals from findings of the Bureau of Retirement Claims, Bureau of Unemployment and Sickness Insurance, and Bureau of Compensation and Certification including cases on disability, computations, relationship of appellant, creditability of service, compensation, unemployment and sickness insurance and related matters.  (a) Record copy of appeals decision maintained in Bureau of Hearings and Appeals.  (b) Copy of appeals decision maintained in appellant's claims folder.	  Destroy when 2 years old or no longer needed for administrative use, whichever is sooner.  Retain for life of claim folder.

JOB: NCI-184-79-3 Item 3-1

3-2	<u>Appeals Decision Correspondence</u> (Administrative Record)  Correspondence, reports, forms, memoranda, and other background materials relating to claimant's appeal before the Bureau of Hearings and Appeals. (Originals are maintained in appellant's claim folder for life of file.)
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RRB RECORDS SCHEDULE 3

Bureau of Hearings and Appeals

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
3-2	<u>Appeals Decision Correspondence</u> (Cont'd)	
	(a) Correspondence related to Referee decisions not appealed further.	Destroy 6 months after Referee's decision.
	(b) Correspondence related to Referee decisions appealed to Board members.	Transfer with claim folder to Board members
JOB: New Item		
<del>3-3</del>	<del><u>Appeals Decision Index</u></del>	
	<del>Reference listing of Appeals Referees decisions made each fiscal year. Information includes name of appellant, claim number, type of appeal and disposition (claim or waiver allowed or denied).</del>	<del>Review annually. Destroy those listings no longer needed for reference.</del>
JOB: GRS 23, Item 7b		
3-4	<u>Tape Recordings of Appeal Hearings</u>	
	Tape recordings of appeal hearings brought before the Bureau of Hearings and Appeals from other bureaus.	
	(a) Tape recordings of appeal hearings in which initial RRB decision is reversed.	Destroy 2 years after Referee's decision.
	(b) Tape recordings of appeal hearings in which claims for benefits are denied, and no further appeal is made to Board members.	Destroy 2 year after Referee's decision.
	(c) Tape records of appeals which are denied, and further appeal is made to the Board.	Transcribe tape recording. Transfer tape and transcript to Board Secretary for final disposition.

JOB: NCI-184-82-2

RRB RECORDS SCHEDULE 4

Office of Information Resources Management

The Office of Information Resources Management supports the information and data collection activities of all operating units within the agency. The key elements of the office mission are to ensure that the Board complies with the public information collection and ADP equipment conduct and accountability requirements of the Paperwork Reduction Act and related OMB directives; to administer and coordinate the actions required by the Privacy and Freedom of Information Acts; to coordinate the safeguarding of IRS information; to coordinate the exchange of information with outside organizations; to guide and coordinate management of the Board's forms, correspondence, mail, reports, records, directives; to control the Board's forms, audiovisual, periodicals and pamphlets; to interpret and administer data base management policies; to define rules of data base use and access constraints; to develop and maintain data dictionary standards, recommend policy and other matters relating to data processing such as organization structures and agency-wide strategy; to evaluate proposals for ADP hardware and software acquisitions; to recommend actions to be taken on ADP involved proposals; and to guide and coordinate the activities of the ADP steering committee.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
<del>4-1</del>	<del><u>Freedom of Information (FOIA) Request Files</u>  Files created in response to requests for information under the Freedom of Information Act consisting of the original request, a copy of the reply thereto, and all related supporting files which may include the official file copy of the requested record or copy thereof.  (a) Correspondence and supporting documents (<u>excluding the official file copy of the records requested if filed herein</u>).  1. Granting access to all the requested records.  2. Responding to requests for non-existent records; to requestors who provide inadequate descriptions; and to those who fail to pay agency reproduction fees.</del>	<del>Destroy 2 years after date of reply.</del>

RRB RECORDS SCHEDULE 4

Office of Information Resources Management

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
<del>4-1</del>	<del><u>Freedom of Information (FOIA) Request Files (Cont'd)</u></del>	
	<del>a. Request <u>not</u> appealed.</del>	<del>Destroy 2 years after date of reply.</del>
	<del>b. Request appealed.</del>	<del>Destroy 6 years after final determination by agency or 3 years after final adjudication by the courts, whichever is later.</del>
	<del>3. Denying access to all or part of the records requested.</del>	
	<del>a. Denial <u>not</u> appealed.</del>	<del>Destroy 6 years after date of reply.</del>
	<del>b. Denial appealed.</del>	<del>Destroy 6 years after final determination by agency or 3 years after final adjudication by the courts, whichever is later.</del>
	<del>(b) Official file copy of requested records.</del>	<del>Dispose of in accordance with the approved RRB disposition instruction for the related records, or with the related FOIA request, whichever is later.</del>
JOB:	GRS 14-16 A and B	
4-2	<u>FOIA Reports Files</u>	
	Recurring reports and one-time information requirements relating to the agency implementation of the Freedom of Information Act, including Annual Reports to the Congress.	



RRB RECORDS SCHEDULE 4

Office of Information Resources Management

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
4-2	FOIA Reports Files (Cont'd)	
	(a) Annual reports at departmental or agency level.	<del>PERMANENT. Offer to</del> Transfer NARA with related agency records approved for permanent retention in agency records control schedule or when 15 years old whichever is sooner.
	(b) Other reports.	Destroy when 2 years old or sooner if no longer needed for administrative use.
JOB:	GRS 14-19 A and B	
4-3	<u>Privacy Act Report Files</u>	
	Recurring reports and one-time information requirements relating to agency implementation, including annual reports to the Congress, OMB, and the report on new systems.	
	(a) Annual reports at departmental or agency level.	<del>PERMANENT. Offer to</del> Transfer NARA with related agency records approved for permanent retention or when 15 years old whichever is sooner.
	(b) Other reports.	Destroy when 2 years old.
JOB:	GRS 14-29 A and B	
4-4	<u>Form Files</u>	
	(a) Master set of each form created by RRB with related information showing purpose of the form.	Destroy 5 years after related form is discontinued, superseded or cancelled.

RRB RECORDS SCHEDULE 4

Office of Information Resources Management

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
4-4	Forms Files (Cont'd)  (b) Case files, including working papers, background materials, specifications, processing data and control records.  GRS 16-4 A and B	Destroy when no longer needed for administrative use.
4-5	<u>Reports Control Files</u>  Case files maintained for each agency report created or proposed, including public use reports. Included are clearance forms, including SF-83, copies of pertinent forms or descriptions of format; copies of authorizing directives; preparation instructions; and documents relating to the evaluation, continuation, revision, and discontinuance of reporting requirements.  GRS 16-8	Destroy 2 years after the report is discontinued.
4-6	<u>Records Management Files</u>  Correspondence reports, authorizations, and other records that relate to the management of agency records, including such matters as forms, correspondence, reports, mail and files management, the use of microforms, ADP systems, vital records and all other aspects of records management.  GRS 16-11	Destroy when 6 years old. Earlier disposal is authorized, if records are superseded, obsolete, or no longer needed for reference.  Break file: End of calendar year.

RRB RECORDS SCHEDULE 4

Office of Information Resources Management

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
4-7	<p><u>Operations Memoranda</u></p> <p>Records dealing with specific policy and programs, direction and outline procedures which are not of a general administrative nature such as those in the administrative manual. Issued by the chief executive officer to coordinate operations of the bureaus.</p> <p>(a) Record copy, including related memoranda, correspondence and related papers, filed in the office of information resources management.</p> <p>(b) Distribution and information copies.</p> <p>(c) Security copy.</p>	<p>Transfer PERMANENT. <del>Offer</del> to NARA when operations memoranda are cancelled or obsolete and accumulation is at 1 cubic foot.</p> <p>Destroy when superseded.</p> <p>Destroy when replaced by new copy.</p>
JOB: 184-79-3 Item 4-3 A, B and C		
4-8	<p><u>Administrative Manual</u></p> <p>(a) Record copy of administrative manual filed in the Office of Information Resources Management.</p> <p>(b) Distribution and mailroom copies.</p> <p>(c) Case files. Background records including memoranda correspondence, studies and related papers.</p>	<p>Transfer PERMANENT. <del>Offer</del> to NARA when 15 years old.</p> <p>Destroy when superseded.</p> <p>Destroy when related instructions are superseded or cancelled.</p>
JOB: NCI 184-79-3 Item 4-2 A, B and C		

RRB RECORDS SCHEDULE 4

Office of Information Resources Management

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
4-9	<u>ADP Steering Committee Files</u>  Records created or accumulated by the Committee Secretary which document membership, policy, and accomplishments of the ADP Steering Committee. Included are agenda, minutes, memoranda, and related records.	Destroy 2 years after termination of committee.
JOB:	GRS 16, Item 12a(2)	
4-10	<u>ADP Steering Committee Reports</u>  Monthly reports created and maintained by the Secretary to the ADP Steering Committee, tracking the progress and documenting of the completion of ADP projects and procurements approved by the Steering Committee.	Destroy when 3 years old or no longer needed for reference, whichever is sooner.  Break file: End of fiscal year.
JOB:	GRS 16-12b(2)	
4-11	<u>ADP Project/Service Request Files</u>  Files documenting ADP Steering Committee approval or denial of requests from various RRB bureaus and offices for ADP services (exceeding 200 manhours) provided by the Bureau of Data Processing or for ADP item purchases. Included are RRB Forms G-436a, b, c and related memoranda.	Retain 3 years and destroy except that files on which actions are pending will be brought forward to the next fiscal year's files for disposal therewith.  Break file: End of fiscal year.
JOB:	GRS 16-12b(2)	

RRB RECORDS SCHEDULE 5

Bureau of Supply and Service

The Bureau of Supply and Service provides support and services to all agency bureaus and offices. Specific responsibilities include providing for efficient mail processing and claim folder handling as well as coordinating all agency procurement, duplicating, supply, space-management and telecommunications activities. The bureau also acts as agency representative on various matters involving outside concerns and other federal agencies such as the General Services Administration, Department of Energy, Federal Emergency Management Agency and the Department of Labor (OSHA).

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
<del>5-1</del>	<del><u>General Procurement Case Files</u>  Contract, requisition, purchase order, lease and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment, and other records described in the Federal Acquisition Regulation; 48 CFR 4.805.  (a) Procurement or purchase organization copy and related papers necessary for GAO or internal audit purposes.  1. Transactions of more than \$25,000 and all construction contracts exceeding \$2,000.  2. Transactions of \$25,000 or less and construction contracts under \$2,000.  (b) Obligation copy.</del>	<del>          Destroy 6 years and 3 months after final payment.  Destroy 3 years after final payment.  Destroy when funds are obligated.</del>
JOB:	GRS 3-4 A and B, (NI-GRS-86-2)	
5-2	<u>Solicited and Unsolicited Bids and Proposals</u>  (a) Successful bids and proposals.	Destroy with related contract case files (see item 1 of this schedule).

RRB RECORDS SCHEDULE 5

Bureau of Supply and Service

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
5-2	<u>Solicited and Unsolicited Bids and Proposals</u> (Cont'd)  (b) Unsuccessful bids and proposals.  1. Relating to small purchases as defined in the Federal Acquisition Regulations; 48 CFR, Part 13.  2. Relating to transactions above the small purchase limitations in 48 CFR, Part 13.  (a) when filed separately from the contract file.  (b) when filed with related contract case file.  (c) lists or card files of acceptable bidders.	   Destroy 1 year after date of award or final payment, whichever is later.     Destroy when related contract is completed.  Destroy with related contract case file.  Destroy when superseded or obsolete.
JOB:	GRS 3-6 A, B and D, (NI-GRS-86-2)	
5-3	<u>Contract Appeals Case Files</u>  Contract appeals case files consisting of notices of appeal and acknowledgements thereof; correspondence between parties, copies of contracts, plan specifications, exhibits, change orders and amendments; transcripts of hearings; documents received from parties concerned; final decisions; and all other related papers.  (a) Cases prior to October 1, 1979.  (b) Cases since October 1, 1979.	   Destroy 6 years 3 months after final decision  Destroy 1 year after final decision.
JOB:	GRS 3-19 A and B, (NI-GRS-87-9)	

RRB RECORDS SCHEDULE 5

Bureau of Supply and Service

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
<del>5-4</del>	<p><u>Surplus Property Case Files</u></p> <p>Case files on sales of surplus personal property, comprising invitations, bids, acceptances, lists of materials, evidence of sales, and related correspondence.</p> <p>(a) Transactions of more than \$10,000.</p> <p>(b) Transactions of \$10,000 or less.</p>	<p>Destroy 6 years after final payment. (Place in inactive file on final payment and transfer to Federal Records Center 2 years thereafter.)</p> <p>Destroy 3 years after final payment. (Close file at the end of each fiscal year, retain 3 years, and destroy except that files on which actions are pending will be brought forward to the next fiscal year's files for disposal thereafter.)</p>
JOB:	GRS 4-6 A and B	
<del>5-5</del>	<p><u>Excess Personal Property Reports</u></p> <p>Reports to GSA of excess personal property, SF-120.</p>	<p>Destroy when 3 years old.</p>
JOB:	GRS 4-5	
<del>5-6</del>	<p><u>Space Files</u></p> <p>Records relating to the acquisition, allocation, utilization, release and maintenance of space under agency control.</p>	

RRB RECORDS SCHEDULE 5

Bureau of Supply and Service

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
<del>5-6</del>	<del><u>Space Files (Cont'd)</u>  (a) Building plan files and related agency records utilized in space planning, assignment and adjustment.  (b) Correspondence with and reports to staff agencies relating to agency space holdings and requirements.  1. Reports to GSA regarding space occupied including the regions and Washington Liaison Office.  2. Copies in subordinate reporting units and related work papers.</del>	<del>Destroy 2 years after termination of assignment, or when lease is cancelled, or when plans are superseded or obsolete.        Destroy when 2 years old.   Destroy when 1 year old.</del>
JOB:	GRS 11-2 A and B	
5-7	<u>Space and Maintenance General Correspondence Files</u>  Space and maintenance correspondence files of the Division of Real Property.	Destroy when 2 years old.
JOB:	GRS 11-1	
5-8	<u>Building and Equipment Service Files</u>  Requests for building and equipment maintenance services, excluding fiscal copies.	Destroy 3 months after work performed or requisition cancelled.
JOB:	GRS 11-5	



RRB RECORDS SCHEDULE 5

Bureau of Supply and Service

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
<del>5-9</del>	<del><u>Contractor's Payroll Files</u>  Contractor's payroll (construction contracts) submitted in accordance with Labor Department regulations, with related certifications, antikickback affidavits, and other related papers.</del>	<del>Destroy 3 years after date of contract unless contract performance is subject of enforcement action on such date.</del>
JOB:	GRS 3-12	
<del>5-10</del>	<del><u>Survey and Inspection Files</u>  Reports of surveys and inspections conducted to ensure adequacy of protective and preventive measures taken against hazards of fire, explosion, and accidents, and to safeguard information and facilities against sabotage and unauthorized entry.</del>	<del>Destroy when 3 years old.</del>
JOB:	GRS 18-10	
<del>5-11</del>	<del><u>Investigative Files</u>  Files accumulating from investigations of fires, explosion, and accidents, consisting of retained copies of reports and related papers when the original reports are submitted for review and filing in other agencies or organizational elements, and reports and related papers concerning occurrences of such a minor nature that they are settled locally without referral to other organizational elements.</del>	<del>Destroy when 2 years old.</del>
JOB:	GRS 18-12	
<del>5-12</del>	<del><u>Personal Property Accountability Files</u>  Files relating to accountability for personal property lost or stolen.  (a) Ledger files.</del>	<del>Destroy 3 years after final entry.</del>

RRB RECORDS SCHEDULE 5

Bureau of Supply and Service

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
<del>5-12</del>	<del><u>Personal Property Accountability Files</u> (Cont'd)  (b) Reports, loss statements, receipts and other papers relating to lost and found articles.</del>	<del>Destroy when 1 year old.</del>
JOB:	GRS 18-16 A and B	
<del>5-13</del>	<del><u>Key Accountability Files</u>  Files relating to accountability for keys issued.  (a) For areas under maximum security.  (b) For other areas.</del>	<del>Destroy 3 years after turn-in of key.  Destroy 6 months after turn-in of key.</del>
JOB:	GRS 18-17 A and B	
<del>5-14</del>	<del><u>Vistor Control Files</u>  Registers or logs used to record names of outside contractors, service personnel and employees admitted to restricted areas.  (a) For areas under maximum security.  (b) For other areas.</del>	<del>Destroy 5 years after final entry or 5 years after date of document as a appropriate.  Destroy 2 years after final entry or 2 years after date of document as appropriate.</del>
JOB:	GRS 18-18 A and B	

RRB RECORDS SCHEDULE 5

Bureau of Supply and Service

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
5-15	<u>Facilities Checks Files</u>  Files relating to periodic guard force facility checks.  (a) Data sheets, door slip summaries, check sheets and guard reports on security violations.  (b) Reports of routine after hours security checks which do not reflect security violations.	  Destroy when 1 year old.  Destroy when 1 month old.
JOB:	GRS 18-19 A and B	
5-16	<u>Guard Service Control Files</u>  (a) Control center key or code records, and building record and employee identification cards.  (b) Round reports, service reports on interruptions and tests, and punch clock dial sheet.  (c) Automatic machine patrol charts and registers of patrol and alarm services.	  Destroy when superseded or obsolete.  Destroy when 1 year old.  Destroy when 1 year old.
JOB:	GRS 18-20 A, B and C	
5-17	<u>Guard Assignment Files</u>  (a) Ledger Records.  (b) Requests, analyses, reports, change notices, and other papers relating to post assignments and strength requirements.	  Destroy 3 years after final entry.  Destroy when 2 years old.
JOB:	GRS 18-14 A and B	

RRB RECORDS SCHEDULE 5

Bureau of Supply and Service

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
5-18	<u>Guard Logs and Registers</u>  Guard logs and registers not covered elsewhere in this schedule.  (a) Central guard office master logs.  (b) Individual guard post logs of occurrences entered in master log.	   Destroy 2 years after final entry.  Destroy 1 year after final entry.
JOB:	GRS 18-21 A and B	
5-19	<u>Security and Protective Services Administrative Correspondence</u>  Correspondence files relating to administration and operation of the facilities security and protective services program not covered elsewhere in this schedule.	  Destroy when 2 years old.
JOB:	GRS 18-9	
5-20	<u>Emergency Planning Administrative Correspondence</u>  Correspondence files relating to administration and operation of the emergency planning program.	  Destroy when 2 years old.
JOB:	GRS 18-27	
5-21	<u>Emergency Directives Reference Files</u>  Copies of directives and plans issued by the agency, as well as those issued by FEMA, other Federal agencies, State and local governments, and the private sector.	  Destroy when obsolete or superseded.
JOB:	GRS 18-29	

RRB RECORDS SCHEDULE 5

Bureau of Supply and Service

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
5-22	<u>Communication Correspondence, Reports, and Reference Files</u>  (a) Correspondence and related records pertaining to internal administration and operation.  (b) Telecommunications general files including plans, reports, and other records pertaining to equipment requests, telephone service and like matters.  (c) Telecommunications statistical reports including cost and volume data.  (d) Telecommunications reference voucher files.  1. Reference copies of vouchers, bills, invoices, and related records.  2. Records relating to installation, change, removal, and servicing of equipment.  (e) Copies of agreements with background data and other records relating to agreements for telecommunication services.	  Destroy when 2 years old.  Destroy when 3 years old.  Destroy when 1 year old.  Destroy when 1 fiscal year old.  Destroy 1 year after audit or when 3 years old, whichever is sooner.  Destroy 2 years after expiration or cancellation of agreement.
JOB:	GRS 12-2 A, B, C, D and E	
5-23	<u>Telecommunications Operational Files</u>  (a) Message registers, logs, performance reports, daily load reports, and related and similar records.  (b) Copies of incoming and original copies of outgoing messages.	  Destroy when 6 months old.  Destroy when 2 months old.

RRB RECORDS SCHEDULE 5

Bureau of Supply and Service

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
5-23	<u>Telecommunications Operational Files (Cont'd)</u>  (c) Machine copies (hard copies), discs, and tapes of outgoing messages.	Destroy after transmission.
JOB:	GRS 12-3 A, B and C	
5-24	<u>Telephone Records</u>  Telephone statements and toll slips.	Destroy 3 years after period covered by account.
JOB:	GRS 3-11	
5-25	<u>Motor Vehicle Operating and Maintenance Files</u>  (a) Operating records including those relating to gas and oil consumption, dispatching and scheduling.  (b) Maintenance records, including those relating to service and repair.  (c) Records relating to individual employee operation of government-owned vehicles including driver tests, authorization to use, and related correspondence.  (d) Records relating to motor vehicle accidents.	Destroy when 3 months old.  Destroy when 1 year old.  Destroy 3 years after separation of employee or 3 years after rescision of authorization to operate Government owned vehicles, whichever is sooner.  Destroy 6 years after case is closed.
JOB:	GRS 10-2A and B GRS 10-7 and 10-5	

RRB RECORDS SCHEDULE 5

Bureau of Supply and Service

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSAL</u>
<del>5-26</del>	<del><u>Requisition for Stocked Supplies and Forms</u>  Warehouse copy of requisitions for stocked supplies and forms in current inventory. (AMIS Pick and Issue document, equivalent forms, or RRB Form G-615.)  GRS 3-9 A</del>	<del>Destroy 2 years after completion or cancellation of requisition.</del>
5-27	<u>Requisition for Unstocked Items and Special Services</u>  Record copy of requisitions for equipment and supplies not in current inventory and special services.	Destroy 2 years after completion or cancellation of requisition.
JOB: NCI 184-79-3 Item 5-5A		
5-28	<u>Inventory Files</u>  (a) Inventory lists.  (b) Stock ledger cards, Form G-161, or equivalent.  GRS 3-10 A and B	Destroy 2 years after all accounts have been reconciled.  Destroy 2 years after discontinuance of item, or 2 years after stock balance is transferred to new card and is reconciled with annual inventory.
5-29	<u>Government Bills of Lading</u>  (a) Issuing office Memorandum copy.  (b) Other copies.  (c) Registers and control records.	Destroy when 3 years old.  Destroy when 1 year old.  Destroy when 3 years old.
JOB:	GRS 9-1 A, B and C	

RRB RECORDS SCHEDULE 5

Bureau of Supply and Service

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
5-30	<u>Public Printer Files</u>  Records relating to printing requisitions submitted to the Government Printing Office, and all supporting papers.  (a) Printing procurement unit copy of requisition, invoice, specifications, and related papers.  (b) Accounting copy of requisition.	   Destroy 3 years after completion.  Destroy 3 years after period covered by related account.
JOB:	GRS 3-7 A and B	
5-31	<u>JCP Reports Files</u>  (a) Agency report to Joint Committee on Printing regarding operation of Class A and B Plants and inventories of printing, binding, and related equipment in Class A and B Plants or in storage.  (b) Copies in subordinate reporting units and related work papers.	  Destroy when 3 years old.  Destroy 1 year after date of reply.
JOB:	GRS 13-6 A and B	
5-32	<u>Printing Control Records</u>  (a) Pressroom Job Register.  (b) Control records in pressroom section.	  Destroy inactive register 1 year after close of fiscal year.  Destroy 1 year after close of fiscal year.
JOB:	NCI 184-79-3 Item 5-9 A and B	



RRB RECORDS SCHEDULE 5

Bureau of Supply and Service

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
5-33	<u>Requisitions for Duplicating</u>  Print shop copy of requisitions for duplicating and binding. (RRB Form G-48.)	Destroy when 1 year old.
JOB:	GRS 3-8	
5-34	<u>Mail Control Files</u>  (a) Records of receipt and routing of incoming and outgoing mail.  (b) Statistical reports of postage used on outgoing mail (airmail, special delivery, registered, foreign, and parcel post over 4 pounds included.)  (c) Other mail control records including reports and data relating to handling of mail and volume of work performed.	Destroy when 1 year old.  Destroy when 6 months old.  Destroy when 1 year old.
JOB:	NCI 184-79-3 Item 5-18	

RRB RECORDS SCHEDULE 7

Bureau of Personnel

The mission of the Bureau of Personnel is to plan and carry out the Board's responsibilities in personnel administration; to advise and assist managers and supervisors in the exercise of their personnel management responsibilities; to develop policy, programs and procedures in personnel management and personnel administration for the Board; to assure that all personnel matters are carried out in accordance with applicable laws, regulations and Board policies; and to deal and work with the Office of Personnel Management on personnel and related management matters.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
<del>7-1</del>	<del><u>Official Personnel Folders</u>  Records documenting each employee's federal service employment. Maintained according to FPM supplement 293.31.  (a) Transferred employees.  (b) Separated employees.  (c) Material filed on left side of Official Personnel Folder.</del>	<del>See Federal Personnel Manual relating to folders of employees transferred to another agency.  Transfer to NPRC 30 days after separation.  Destroy upon separation or transfer of employee or when 1 year old, whichever is sooner.</del>
JOB:	GRS 1-1, 1-10	
<del>7-2</del>	<del><u>Service Record Cards</u>  Service Record Cards (SF-7). Individual summary of employee basic data, position history, and salary information originated and maintained by the Bureau of Personnel.</del>	<del>Destroy 3 years after separation of employee.</del>
JOB:	GRS 1-2 B	

RRB RECORDS SCHEDULE 7

Bureau of Personnel

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
<del>7-3</del>	<del><u>Position Identification Strips</u>  Position Identification Strips (SF-7D). Summary data of position including position title, position number, FLSA code, supervisory code, classification series, pay plan, and grade.  GRS 1-11</del>	<del>Destroy when position is cancelled or new strip is prepared.</del>
7-4	<u>Notifications of Personnel Actions</u>  Notification of Personnel Action (SF-50). Official documents recording employment changes, exclusive of those in Official Personnel Folders.  JOB: GRS 1-14 A	Destroy when 2 years old.
7-5	<u>Request for Change in Consolidated List of Permanent Positions</u>  Record copies of RRB Form G-189 which out- line bureau or region requests for changes in their organizational structure.  JOB: NCI-184-79-3 Item 7-6	Destroy original 6 months after close of fiscal year.
7-6	<u>Application for Employment</u>  Application for Employment (SF-171) and related papers. Personal qualifications statements, appraisals, work samples, test scores, copies of correspondence, interview summaries.  JOB: GRS 1-15	Destroy upon receipt of OPM inspection report or when 2 years old, whichever is earlier, providing the re- quirements of FPM Chapter 333 Section A-4 are observed.

RRB RECORDS SCHEDULE 7

Bureau of Personnel

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
X-7	<u>Personnel Correspondence</u>  Correspondence, forms, internal reports, and OPM inspection reports relating to the administration and operation of the Board's personnel programs.  (a) Bureau of Personnel copy.  (b) Security copy of the quarterly position inventory.  (c) Other copies.	  Destroy when 3 years old.  Destroy upon receipt of new copy.  Destroy when no longer needed for reference.
JOB: NCI 184-79-3 Item 7-8		
7-8	<u>Position Classification Files</u>  (a) Position Classification Standards Files.  1. Standards and guidelines issued or reviewed by OPM and used to classify and evaluate positions within the agency.  2. Memoranda correspondence and other records relating to the development of standards for classification of positions peculiar to the agency and OPM approval or disapproval.  (a) Case file.  (b) Review File	  Destroy when superseded or obsolete.  Destroy 5 years after position is abolished or description is superseded.  Destroy when 2 years old.

RRB RECORDS SCHEDULE 7

Bureau of Personnel

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
7-8	<p><u>Position Classification Files (Cont'd)</u></p> <p>(b) Position descriptions files describing established positions including information on title, series, grade, duties and responsibilities.</p> <ol style="list-style-type: none"><li>1. Record copy.</li><li>2. All other copies.</li></ol> <p>(c) Survey Files.</p> <ol style="list-style-type: none"><li>1. Classification Survey Reports.  Survey reports on various positions prepared by classification specialists, including periodic reports.</li><li>2. Inspection, Audit and Survey File.  Correspondence memoranda, reports and other records relating to inspections, surveys, desk audits and evaluations.</li></ol> <p>(d) Appeals Files.  Case files relating to classification appeals.</p>	<p>Destroy 5 years after position is abolished or description superseded.</p> <p>Destroy when position is abolished or description superseded.</p> <p>Destroy when 3 years old or 2 years after regular inspection, whichever is sooner.</p> <p>Destroy when obsolete or superseded.</p> <p>Destroy 3 years after case is closed.</p>

JOB:

GRS 1-7 A, B, C and D

RRB RECORDS SCHEDULE 7

Bureau of Personnel

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
<del>7-9</del>	<u>Training Records</u>	
	(a) Training Aids	
	Training aids from other agencies or private institutions.	Destroy when obsolete or superseded.
	(b) Central Personnel Training Data File	
	1. Correspondence, memoranda, agreements, authorizations, reports, requirement reviews, plans, and objectives relating to the establishment and operation of training, courses and conferences. Includes annual and quarterly reports of training submitted by the bureau and regions that contain information pertaining to the cost type and hours spent training.	Destroy when 5 years old or 5 years after completion of a specific training program.
	2. Background and workpapers.	Destroy when 3 years old.
	(c) Employee Training	
	Correspondence memoranda, reports, and other records relating to the availability of training, and employee participation in training programs sponsored by other government agencies or non-government institutions.	Destroy when 5 years old or when superseded or obsolete, whichever is sooner.
	(d) Course Announcement Files.	
	Reference file of pamphlets, notices, catalogs, and other records which provide information on courses or programs offered by government or non-government institutions.	Destroy when superseded or obsolete.

JOB:

GRS 1-30 A<sup>(2)</sup> B, C and D

RRB RECORDS SCHEDULE 7

Bureau of Personnel

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
<del>7-10</del>	<del><u>Certificates of Eligibles</u>  Requests to OPM for certificates of eligibles with related requests, forms and correspondence.  GRS 1-5</del>	<del>Destroy when 2 years old.</del>
7-11	<u>Offers of Employment Files</u>  Correspondence, letters and telegrams offering appointments to potential employees.  (a) Accepted offers  (b) Declined offers.  1. When name is received from certificate of eligibles.  2. Temporary or excepted appointment.  3. All others.	Destroy immediately.  Return to OPM with reply and application.  File inside application.  Destroy immediately.
JOB:	GRS 1-4 A and B	
7-12	<u>Exit Interviews</u>  Summary comments of employees resigning, separating or transferring from RRB.	Destroy 6 months after transfer or separation of employee.
JOB:	GRS 1-8	

RRB RECORDS SCHEDULE 7

Bureau of Personnel

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
X-13	<u>Grievance, Disciplinary, and Adverse Action Files</u>  (a) Grievance, Appeals Files (5 CFR 771)  Records originating in the review of grievances and appeals raised by agency employees, except EEO complaints. These case files include statements of witnesses, reports of interviews and hearings, examiners findings and recommendations, a copy of the original decision, related correspondence and exhibits, and records relating to a reconsideration request.  (b) Adverse Action Files (5 CFR 752)  Case files and related records created in reviewing an adverse action.	  Destroy 3 years after case is closed.           Destroy 4 years after case is closed.
JOB:	GRS 1-31 A and B	
7-14	<u>Merit Promotion Skills</u>  Supervisory appraisal, extracts from personnel folders showing experience, education and special skills, appraisal of supervisory potential, and forms indicating interest in field managerial positions.	Destroy when 3 years old.
JOB:	NCI 184-79-3 Item 7-15	



RRB RECORDS SCHEDULE 7

Bureau of Personnel

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
7-15	<u>Merit Promotion Panel Work Papers</u>  All materials used by merit promotion panels to evaluate candidates for promotion including Forms G-125, G-125K, G-161, G-186, work samples, proficiency tests, criteria and sources sheet, memoranda of withdrawal.	Destroy 2 years after the personnel action.
JOB:	GRS 1-33	
7-16	<u>Personnel Security Clearance Files</u>  Personnel security clearance case files and related indexes maintained by the personnel security office of the employing agency.  (a) Case files documenting the processing of investigations on Federal employees or applicants for Federal employment, whether or not a security clearance is granted, and other persons, such as those working for a Federal agency under contract, who require an approval before having access to government facilities or to sensitive data. These files include questionnaires, summaries of reports prepared by the investigating agency, and other records reflecting the processing of the investigation and the status of the clearance, exclusive of copies of investigative reports furnished by the investigating agency.  (b) Investigative reports and related papers furnished to agencies by investigative organizations for use in making security/suitability determinations.	Destroy upon notification of death or not later than 5 years after separation or transfer of employee or no later than 5 years after contract relationship expires, whichever is applicable.  Destroy in accordance with the investigative agency instructions.
JOB:	GRS 18-23 A and B	

RRB RECORDS SCHEDULE 7

Bureau of Personnel

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
7-17	<p><u>Incentive Awards Program Files</u></p> <p>(a) Case files including recommendations, approved nominations, memoranda, correspondence, reports, and related handbooks pertaining to agency-sponsored cash and non-cash awards such as incentive awards, within-grade merit increases, suggestion awards and outstanding performance awards (SSP).</p> <p>(b) Length of Service Awards</p> <p>Records including correspondence, memoranda, reports, computation of service and lists of awardees.</p> <p>(c) Incentive Award Program Reports</p> <p>Reports pertaining to the incentive awards program.</p>	<p>Destroy 2 years after approval or disapproval.</p> <p>Break file: End of fiscal year.</p> <p>Destroy when 1 year old.</p> <p>Destroy when 3 years old.</p>
JOB:	GRS 1-12 A and B, 1-13	
7-18	<p><u>Tuition Assistance</u></p> <p>Initial request for assistance, course evaluation and reimbursement receipts. Filed alphabetically by employee.</p>	<p>Destroy when 5 years old or when superseded or obsolete.</p>
JOB:	NCI 184-79-3 Item 7-18	
7-19	<p><u>Labor Management Relation Records</u></p> <p>(a) Labor Management Relations General and Case Files</p> <p>Correspondence, memoranda, reports and other records relating to the relationship between management and employee unions or other groups including negotiated agreements.</p>	<p>Destroy when 5 years old.</p>

RRB RECORDS SCHEDULE 7

Bureau of Personnel

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
7-19	<u>Labor Management Relation Records</u> (Cont'd)  (b) Labor Arbitration General and Case Files  Correspondence, forms, and background papers relating to labor arbitration cases.	Destroy 5 years after final resolution of case.
JOB:	GRS 1-29 A and B	
7-20	<u>Notice of Vacancies and Selections</u>  Notice of Vacancies include period of filing, description of duties, minimum qualifications, evaluation and ranking criteria, selective placement factors and statement of equal employment opportunity. Notices of selection identify positions, selectee, and former organizational unit.	Destroy 2 years after date of selection.
JOB:	NCI 184-79-3 Item 7-21	
7-21	<u>Retention Registers and Related Papers</u>  (a) Registers from which reduction-in-force actions have been taken.  (b) Registers from which no reduction-in-force actions have been taken.	Destroy when 2 years old.  Destroy when superseded or obsolete.
JOB:	GRS 1-17 B (1)(2)	
7-22	<u>Health Unit Control Files</u>  Logs or registers reflecting daily number of visits to dispensaries, first aid rooms and health units. Information is summarized on a statistical report.	Destroy 3 months after last entry.
JOB:	GRS 1-20 A	

RRB RECORDS SCHEDULE 7

Bureau of Personnel

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
<del>7-23</del>	<del><u>Individual Health Record Files</u>  Cards which contain such information as date of employee's visit, diagnosis and treatment.</del>	<del>Destroy 6 years after date of last entry.</del>
JOB:	GRS 1-19	
<del>7-24</del>	<del><u>Employee Medical Folder</u>  (a) Long-term medical records as defined in the Federal Personnel Manual (FPM), chapter 293.  1. Transferred employees.  2. Separated employees.</del>	<del>See FPM for instructions relating to the disposition of EMFs of employees transferring to another agency.  Transfer Employee Medical Folder to the National Personnel Records Center (CPR), 30 days after separation except in situations outlined in FPM Supplement 293-31 regarding the transfer of Official Personnel Folders.  NPRC will destroy after birth date of employee, 60 years after date of the earliest document in the folder if the date of birth cannot be ascertained, or 30 years after latest separation, whichever is later.</del>
	(b) Temporary short-term records as defined in the FPM.	Destroy 1 year after separation or transfer of employee. Do not transfer to FRC.

RRB RECORDS SCHEDULE 7

Bureau of Personnel

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
7-24	<u>Employee Medical Folder (Cont'd)</u>  (c) Individual Employee Health Case Files created prior to establishment of the EMF system that have been retired to the FRC.	Destroy 60 years after retirement to the FRC.
JOB:	GRS 1-21 (NI-GRS-86-4)	
7-25	<u>Personal Injury Files</u>  Forms, reports, correspondence and related medical and investigatory records relating to on the job injuries, whether or not a claim for compensation was made, <u>excluding</u> copies filed in the Official Personnel Folder and copies submitted to the Department of Labor.	Cut off file on termination of compensation or when deadline for filing a claim has passed. Destroy 3 years after cutoff.
JOB:	GRS 1-32 (NI-GRS 86-4)	
7-26	<u>Statistical Summaries</u>  Copies of statistical summaries and reports with related papers pertaining to employee health, retained by the reporting unit.	Destroy 2 years after date of report.
JOB:	GRS 1-22	
7-27	<u>Employee Performance File System Records</u>  Performance records of non-SES appointees.  (a) Appraisals of unacceptable performance, where a notice of proposed demotion or removal is issued, but not effected, and all related documents.	Destroy after the employee completes 1 year of acceptable performance from the date of the written advance notice of proposed removal or reduction in grade notice.

RRB RECORDS SCHEDULE 7

Bureau of Personnel

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
<del>7-27</del>	<del><u>Employee Performance File System Records</u> (Cont'd)</del>	
	<del>(b) Performance-related records pertaining to a former employee.</del>	<del>Destroy when 3 years old or when no longer needed, whichever is sooner.</del>
	<del>(c) All other summary performance appraisals records, including performance appraisals and job elements and standards upon which they are based.</del>	<del>Destroy 3 years after date of appraisal or when no longer needed, whichever is sooner.</del>
JOB:	GRS 1-23 A (1)(3)(4)(5)	
<del>7-28</del>	<del><u>Unemployment Compensation Files</u></del>	
	<del>Notices, forms correspondence and other records relating to separated employee claims to state agencies for unemployment benefits.</del>	<del>Destroy 3 years after separation of employee.</del>
JOB: NEW ITEM		
<del>7-29</del>	<del><u>Organizational Charts</u></del>	
	<del>Official organizational charts, narrative history and related records which document the organization and functions of the agency.</del>	
	<del>(a) Record copy.</del>	<del><u>PERMANENT.</u> Transfer to FRC when 5 years old, transfer to National Archives after 10 years in 10 year blocks.</del>
	<del>(b) Other copies.</del>	<del>Destroy when superseded or obsolete.</del>
JOB: NCI 184-79-3 Item 4-1		

RRB RECORDS SCHEDULE 15

Bureau of Quality Assurance

The Bureau of Quality Assurance monitors and evaluates the quality of key services provided to the railroad community by the U.S. Railroad Retirement Board. The bureau ensures that the benefit programs comply with established policies, standards, and procedures to provide the public with the optimum level of service. The bureau maintains the quality assurance monitoring system and the quality assurance review system.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
15-1	<u>Quality Assurance Study Files</u>  Documents describing the purpose and scope of proposed quality assurance studies to be undertaken by BQA. These studies, which evaluate the quality and effectiveness of various Railroad Retirement Board operations, include sampling plans and statements of anticipated accuracy.	Destroy when 10 years old.  Break file: End of fiscal year.
JOB: NEW		
15-2	<u>Case Study Checklists</u>  Data collection forms containing statistical and narrative information used to complete various studies and reports issued by the BQA.	Destroy 3 years after completion of report or study.
JOB:		
15-3	<u>Bureau of Quality Assurance Reports</u>  Record copies of memoranda to the Chief Executive Officer documenting the results of formal studies initiated by BQA. Included in each report is an executive summary, historical background, findings, recommendations, and related appendices.	Destroy when 10 years old.

JOB: NEW

RRB RECORDS SCHEDULE 15

Bureau of Quality Assurance

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
15-4	<u>Quarterly and Annual Progress Reports</u>  Office copies of administrative reports to the Chief Executive Officer documenting BQA progress on various quality assurance studies and other program activities.	Destroy when 2 years old.  Break file: End of fiscal year.
JOB:	GRS 23-1	
15-5	<u>Resolved Issues File</u>  Contains memoranda between the BQA and other Board bureaus and offices concerning the resolution of operational deficiencies or procedural ambiguities identified.	Destroy when 5 years old or no longer needed for reference, which ever is sooner.  Break file: End of fiscal year.
JOB:	NEW	



RRB RECORDS SCHEDULE 16

Office of Equal Employment Opportunity

The Equal Employment Opportunity office is responsible for providing advice and counsel to the RRB's management staff on all matters relative to equal opportunity in personnel management programs. The Equal Employment Opportunity office also provides for counseling to employees and applicants who believe that they have been discriminated against because of Race, Sex, National Origin, Color, Religion, Age and/or Handicap. The office is responsible for the Acceptance/Rejection, the Investigation, and drafting of proposed dispositions to discrimination complaints in a timely and expeditious manner.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
16-1	<u>Discrimination Complaint Case Files</u>	
	(a) Official case file containing complaints with related correspondence, reports, exhibits, withdrawal notices, copies of decisions, records of hearings and meetings, and other records as described in 29 CFR 1613.222. Includes cases resolved within the agency, by EEOC, or by a U.S. Court.	Destroy 4 years after resolution of case.
	(b) Copies of Complaint Case Files.	Destroy 1 year after resolution of case.
	(c) Background records not filed in an official case file including EEO counselor reports and informal discrimination complaints.	Destroy 2 years after final resolution of case.
JOB:	GRS 1-26 A, B and C	
16-2	<u>EEO Affirmative Action Plans</u>	
	Agency copy of Affirmative Action Plans. Includes Disabled Veterans Affirmative Action Plan.	Destroy 5 years from date of plan.
JOB:	GRS 1-26 H (1)	

RRB RECORDS SCHEDULE 16

Office of Equal Employment Opportunity

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSAL</u>
16-3	<u>Employment Statistics Files</u>  Employment statistical files relating to race and sex. Files include MD-202, Annual Statistical Report on Discrimination Complaints, EEO-15 Monthly Report of Personnel Actions, Federal Equal Opportunity Recruitment Reports, and miscellaneous accomplishment reports for minorities and women.	Destroy when 5 years old.
JOB:	GRS 1-26F	

RRB RECORDS SCHEDULE 17

Office of the Inspector General

The Inspector General, Railroad Retirement Board, monitors agency programs and operations to prevent and reduce waste and fraud and to improve agency management. The Inspector General Act of 1978, as amended, and other legislation established an Office of Inspector General (OIG) in selected government agencies. The OIG, RRB, conducts and supervises audits and investigations, recommends policies to promote economy, efficiency, and effectiveness and to prevent fraud and abuse; and reports problems, deficiencies and progress to the agency head. Statutory OIGs must submit semiannual reports to the Congress.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
17-1	<u>Policy and Procedures Files</u>  Records defining and documenting the policies required for directing, controlling, and carrying out OIG operations.	
	(a) One record copy of each if not included in the agency's permanent set of master directives files or the record set of publications.	<u>PERMANENT</u> . Cut off when superseded or obsolete. Transfer to NARA in 10 years blocks when 10 years old.
	(b) All other copies.	Destroy when no longer needed.
	(c) Working papers and background materials.	Destroy when no longer needed.

JOB: GRS 25-1 A, B and C

17-2	<u>Semiannual Report to the Congress Files</u>  OIG reports submitted to the Congress and working papers. The reports summarize the activities of the OIG for the six-month periods ending March 31 and September 30.	
	(a) Record copy of report.	<u>PERMANENT</u> . Cut off upon transmission to the Congress. Transfer to NARA in 10 year blocks when 10 years old.

RRB RECORDS SCHEDULE 17

Office of the Inspector General

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
17-2	<u>Semiannual Report to the Congress Files</u> (Cont'd)  (b) Other copies of the report.  (c) Working papers.	  Destroy when no longer needed.  Destroy when no longer needed.
JOB:	GRS 25-2 A, B and C	
17-3	<u>Investigative Case Files</u>  Files developed during investigations of known or alleged fraud and abuse, and irregularities and violations of laws and regulations.  GRS 25-3 B	  Placed in inactive files when case is closed. Cutoff inactive files at end of fiscal year. Destroy 10 years after cutoff.
17-4	<u>Audit Case Files</u>  Case files of internal audits of agency programs, operations, and procedures, and of external audits of contractors and grantees. Consist of audit reports, correspondence, memoranda, and supporting working papers.  GRS 25-4	  Cutoff file at end of fiscal year after close of case. Destroy 8 years after cutoff.
17-5	<u>Indexes to Case Files</u>  Used as references to investigative and audit case files.	  Destroy when superseded or obsolete.
JOB:	GRS 25-5	

RRB RECORDS SCHEDULE 17

Office of the Inspector General

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
<del>IX-6</del>	<del><u>OIG Budget Files</u>  Records relating to the custody and disposition of funds related to OIG.  (a) Administrative files documenting OIG policy and procedure governing decisions affecting expenditures for OIG programs.  (b) One record copy of the formal OIG Budget Justification for Congressional committees and OMB, together with justification statements containing summaries of financial, manpower, cost and workload data.  (c) Working papers, cost statements and rough data accumulated in preparation of annual budget estimates and in administering approved budgets.  (d) Periodic reports on status of appropriation accounts, apportionments and reapportionments.</del>	<del>Destroy when no longer needed for reference.  Destroy 10 years after close of fiscal year involved.  Destroy 1 year after close of fiscal year covered by budget or when no longer needed for reference.  Destroy 5 years after close of fiscal year covered by reports.</del>

JOB: NCI 184-79-3 Item 6-8 A, B, D and E

RRB RECORDS SCHEDULE 18

Office of Planning

The Office of Planning organizes and maintains the agency's systems for the development and implementation of plans covering long term strategy, bureau level operations, automation initiatives, and major special projects. Working with key management staff, Planning assists in developing plans for specific needs and in reviewing proposed objectives, schedules, and resource allocations. Planning also tracks progress against specific planning objectives and helps identify where adjustments may be necessary.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
18-1	<u>Operations Plans</u>  Yearly plans submitted by bureaus and offices in two parts. First call submission summarizes accomplishments of the completed fiscal year based on previously set objectives. Second call submission predicts work by setting objectives for the next three years. Series includes the agency consolidated plan and reports on special projects provided by each bureau concerning specific objectives that are tracked by Planning staff.  (a) Agency Consolidated Plan.	Transfer <u>PERMANENT</u> . Offer to National Archives when 20 years old in 10 year blocks.  Break file: End of fiscal year.
	(b) Office of Planning file copies of first and second call submissions.	Destroy when 5 years old.  Break file: End of fiscal year.

RRB RECORDS SCHEDULE 18

Office of Planning

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
18-1	<u>Operations Plan (Cont'd)</u>  (c) Special Project Reports.	Place in inactive file as projects are completed.  Destroy when 5 years old.
JOB: New Item.		
18-2	<u>Audit History Files</u>  Files containing copies of all audits by the Office of Inspector General, the audit recommendation status list, resolution agreement forms, semi-annual corrective action status reports, semi-annual open audit status report, and documentation for implemented and closed recommendations.	Destroy files 8 years after audit recommendation is closed.  Do not transfer to FRC.
JOB: New Item.		
<del>18-3</del>	<del><u>Employee Work Measurement Records</u>  Reports of work output by bureaus. Series include RRB Forms G-387E (input forms, originals and corrections), output forms (reject listings); the monthly reports; tape runs by data processing, and the systems lists (hard copy of the program runs).  (a) Cumulative fiscal year report (produced every September).  (b) All other monthly reports.</del>	<del>Destroy when 3 years old.  Destroy at end of fiscal year.</del>

RRB RECORDS SCHEDULE 18

Office of Planning

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
<del>18-3</del>	<del>Employee Work Measurement Records (Cont'd)</del>	
	<del>(c) Input forms, output forms, and systems lists used to generate monthly reports.</del>	<del>Destroy previous years files 6 months after close of fiscal year.</del>
	<del>(d) Magnetic Tape.</del>	
	<del>1. Master copy.</del>	<del>Instruct BDP to destroy when 1 year old.</del>
	<del>2. Security copy.</del>	<del>Instruct BDP to send to security storage, retrieve and destroy when 1 year old.</del>

JOB: NCI 184-79-3 Item 6-10



RRB RECORDS SCHEDULE 19

Office of Public Affairs

The Office of Public Affairs is responsible for conducting a nationwide public information program for the Board. It compiles, edits, and writes material for Board publications including the Board's Annual Report, Informational Conference Handbooks, Monthly Benefit Statistics, and others; prepares informational material on legislation and operations in the form of booklets, news releases, and other material for railway labor and management publications and the media; prepares speeches for the Board Members and other officials as requested; and answers general and technical inquiries from the media, government, industry, and the general public.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
<del>19-1</del>	<del><u>Office of Public Affairs Publications</u></del>	
	<del>(a) Record copy of office of public affairs publications including the Annual Report, Statistical Supplement, Monthly Benefit Statistics, Benefits and Beneficiaries, News Releases and Pamphlets, and the All-A-Board.</del>	<del>PERMANENT. Hold 5 years and transfer to FRC. Transfer offer to NARA after 15 years.</del>
	<del>(b) Other copies.</del>	<del>Break file: End of fiscal year.</del>
JOB: NCI 184-79-3 Item 8-1		<del>Destroy when no longer needed for administrative use.</del>
<del>19-2</del>	<del><u>Material Files for Office of Public Affairs Publications</u></del>	
	<del>Files contain background material for publications, including source material camera-ready layout, and galleys of publications.</del>	<del>Destroy when 1 year old.</del>
JOB: NCI 184-79-3 Item 8-2		
<del>19-3</del>	<del><u>General Response Files</u></del>	
	<del>Contain responses to correspondence, including Action Line and VIP inquiries.</del>	<del>Destroy when 5 years old.</del>
JOB: NCI 184-79-3 Item 8-4		

RRB RECORDS SCHEDULE 19

Office of Public Affairs

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
<del>19-4</del>	<del><u>Speeches and Special Projects File</u>  Contains record copies of speeches of Board members, bureau heads and field personnel concerning special projects and other matters. These projects include general data furnished to magazines and organizations upon request.  (a) Speeches of Board Members.  (b) All other speeches and projects.</del>	<del>PERMANENT. <sup>Transfer</sup> <del>Offer to</del> NARA when 10 years old in 10 years blocks.  Destroy when 1 year old.</del>
JOB: NCI 184-79-3 Item 8-5		
19-5	<u>Publications from Outside the Board</u>  Includes news releases, reports, and other printed material received in the office of public affairs from government agencies, Association of American Railroads, and other groups dealing with work-related subjects.	Destroy when 5 years old.
JOB: NCI 184-79-3 Item 8-50		

RRE RECORDS SCHEDULE 2

Bureau of Actuary

Explanatory Notes

1. Item 2-1(a), Actuarial Valuations - No change in <sup>disposition</sup> ~~retention period~~ from NCI 184-79-3, Item 2-1. Valuations are computed once every 3 years rather than annually as assumed in NCI 184-79-3. Due to this fact, a longer internal retention period than that originally provided for is required to meet the reference requirements of the bureau.
2. NCI-184-79-3, Item 2-6, Keypunch Cards for Actuarial Valuations - This series no longer exists and was deleted from the revised schedule. Direct data entry into a personal computer has replaced the use of tab cards for several years.

## RRB RECORDS SCHEDULE 3

### Bureau of Hearings and Appeals

#### Explanatory Notes

1. Item 3-1(a), Appeals Referee Decisions - The limit of this series retention period has been reduced by 13 years for the following reasons: 1. bureau personnel rarely refer to these records after the referee's decision has been issued. 2. appellants has only 60 days to to appeal referee's decision to the three member Board (20 CFR 260.9(b)), 3. a copy of the referee's decision is always filed in the appellant's claim folder and maintained for that folders life (see item 3-1(b)).
2. Item 3-2(a), Appeals Decision Correspondence - This series contains a variety of file items, such as medical and vocational reports, hospital records, attorney letters, copies of applications for workmen's compensation, etc., which the bureau referee refers to in adjudicating a claimant's appeal. These records have no unique informational value beyond their original administrative purpose of supporting an appeal. The 6 month retention period for this series takes into account the 60 day period a claimant has to appeal a referee's decision to the full Board (20 CFR 260.9(9)), with an added 4 month allowance for filing extensions as provided in 20 CFR 260.9(c).
3. Item 3-3, Appeals Decision Index - This is both a finding aid for and brief synopsis of each appeal decision rendered by the bureau during a fiscal year. The disposition is as recommended in GRS 23, Item 7b.
4. Item 3-4(a), Tape Records of Appeal Hearings - The retention period for this series has been increased by 18 months. The current 6 month retention period, as provided by NCI 184-82-2, Item 3-2(a), is inadequate. The bureau occasionally receives evidence or information after the referee's decision is released which requires a review of actual testimony to determine whether a reopening of the decision is in order. A 2 year retention period ensures both the rights of the claimant and the Board are protected from potential fraud or misunderstanding.
5. Item 3-4(b), Tape Records of Appeal Hearings - The retention period for this series has been increased by 18 months over that provided in NCI 184-82-2. There have been occasions in the past where appeal forms were either lost in the mail or in the agency or were held in another bureau by mistake, but the appellant did not inquire about his appeal until a substantial amount of time passed. There are also cases where an appeal is not filed in a timely manner. As the Board needs these tapes to properly review any appeal, the extended retention period provides relief in situations such as those described.

## RRB RECORDS SCHEDULE 4

### Bureau of Information Resources Management

#### Explanatory Notes

1. The Bureau of Management Control (BMC) is defunct. Record series formerly belonging to BMC are distributed among other bureau/office schedules or no longer in use.
2. Most series in this schedule have descriptions and retention periods unchanged from the General Records Schedules or old Schedule 4, NCI 184-79-3.
3. New Item 4-9, ADP Steering Committee Files - The ADP Steering Committee was established by amended Board Order 75-1 in 1980. The committee is responsible to the Board's Chief Executive Officer; its principal function is to formulate ADP policies, plans, and priorities for the agency. At this time, the committee's primary responsibility is to review and approve various bureau and office requests for ADP products and services. Included in this series are various memoranda and correspondence relating to the committee's administration and a copy of the amended board order establishing the committee's function and organization. Though normally a separate series, minutes and agenda have been added to the series description because of their small volume (less than 4 inches since 1980) and annual accumulation rate (less than 1/2 inch). Series disposition instructions are consistent with GRS 16, Item 12(a)2.
4. New Item 4-10, ADP Steering Committee Reports - These reports created monthly by the committee secretary, show the status of various Board ADP projects and procurements, approved by the committee, in terms of how close to completion the projects or procurements are. Series retention period meets the reference needs of the committee and is as recommended in GRS 16, Item 12(b)2.
5. New Item 4-11, ADP Project/Service Request Files - Series consists primarily of administrative forms used by Board bureaus and offices to petition the ADP Steering Committee for their approval of proposed ADP equipment/service acquisitions. These forms are not official procurement documents or purchase orders. Disposition is as recommended in GRS 16, Item 12(b)2 and meets the informational requirements of the committee.
6. Old Item 4-1, NCI 184-79-3, Organizational Records - This series is now found in Schedule 7, Item 29, Bureau of Personnel.
7. Old Item 4-5, NCI 184-79-3, BMC Audit Reports - This series is now in Schedule 17, Office of the Inspector General.
8. Old Item 4-6, NCI 184-79-3, Audit Workpapers - Same as above.
9. Old Item 4-8, NCI 184-79-3, Freedom of Information Act Administrative Files - Series may now be found in Schedule 20, Records Common to Most Offices.

10. Old Item 4-9, NCI 184-79-3, Daily Time Sheets - Same as above.
11. Old Item 4-10, NCI 184-793, District Office Administrative Inspection Audits - This series is now in Schedule 13, Bureau of Field Service.
12. Old Item 4-12, NCI 184-79-3, Privacy Act General Administrative Files - Series is now in Schedule 20, Records Common to Most Offices.
13. Old Item 4-13, NCI 184-79-3, List of Offices of RRB - Form T-83 - Same as above.

RRB RECORDS SCHEDULE 5

Bureau of Supply and Service

Explanatory Notes

1. All items in the revised Bureau of Supply and Service schedule have retention periods as authorized by the General Records Schedule or unchanged from NCI 184-79-3.
2. Old Item 5-1(c) (NCI 184-79-3), Procurement Case Files - Subseries no longer exists.
3. Old Item 5-3 (NCI 184-79-3), Property Disposal Correspondence Files - Series has been transferred to new RRB Schedule 20.
4. Old Item 5-4 (NCI 184-79-3), Requisition for Stocked Supplies and Forms - New Item 5-26 in revised schedule. Old (b) subseries transferred to new RRB Schedule 20.
5. Old Item 5-5 (NCI 184-79-3), Requisition for Unstocked Items and - Special Services - New Item 5-27 in revised schedule. Old (b) subseries transferred to new RRB Schedule 20.
6. Old Item 5-6 (NCI 184-79-3), Inventory Files - New Item 5-28 in revised schedule.
7. Old Item 5-7 (NCI 184-79-3), Government Bills of Lading - New Item 5-29 in revised schedule.
8. Old Item 5-8 (NCI 184-79-3), Public Printer Files - New Item 5-30 in revised schedule.
9. Old Item 5-9 (NCI 184-79-3), Printer Control Records - New Item 5-32 in revised schedule.
10. Old Item 5-10 (NCI 184-79-3), Space Files - New Item 5-6 in revised schedule.
11. Old Item 5-11 (NCI 184-79-3), Motor Vehicle Operating and Maintenance Files - New Item 5-25 in revised schedule.
12. Old Item 5-12 (NCI 184-79-3), Directory Service Listings - Obsolete series deleted from revised schedule.
13. Old Item 5-13 (NCI 184-79-3), Access Passes - Series has been transferred to new RRB Schedule 20.
14. Old Item 5-14 (NCI 184-79-3), Excess Personal Property Reports - New Item 5-5 in revised schedule.

15. Old Item 5-15 (NCI 184-79-3), Surplus Property Case Files - New Item 5-4 in revised schedule.
16. Old Item 5-16 (NCI 184-79-3), Telephone Records - New Item 5-24 in revised schedule.
17. Old Item 5-17 (NCI 284-79-3), Messenger Service Files - Series has been transferred to new RRB Schedule 20.
18. Old Item 5-18 (NCI 184-79-3), Mail Control Files - New Item 5-34 in revised schedule.



RRB RECORDS SCHEDULE 7

Bureau of Personnel

Explanatory Notes

1. Most series in this revised schedule have descriptions and retention periods unchanged from old Schedule 7, NCI 184-79-3. Where appropriate, retention periods are also supported by General Records Schedule citations.
2. Old Item 7-2a, NCI 184-79-3, Service Record Cards - This series no longer exists and has been deleted from the revised schedule.
3. Old Item 7-3, NCI 814-79-3, Employee Record Cards - This series has been transferred to new Schedule 20, Records Common to Most Offices.
4. Old Item 7-12, NCI 184-79-3, Executive Inventory Files - This is an obsolete series and has been deleted from the revised schedule. Records have not been created since 1979.
5. Old Item 7-17, NCI 184-79-3, Position Descriptions - This series has been transferred to new Schedule 20, Records Common to Most Offices.
6. Old Item 7-19, NCI 184-79-3, Training Files - Series is Item 7-9c in the revised schedule.
7. Old Item 7-20, NCI 184-79-3, Merit Promotion Panel Work Papers - This series is Item 7-15 in the revised schedule. The retention period has been reduced from three years to two years so as not conflict with GRS 1-33.
8. New Item 7-28, Unemployment Compensation Files - This series contains copies of forms and correspondence between the Railroad Retirement Board and state unemployment agencies which the bureau refers to when determining a separated employee's eligibility for unemployment compensation. Information within these files is of routine administrative value and used exclusively by the Bureau of Personnel to support or deny a former employee's claim for benefits. Retention period meets bureau's reference requirements.

RRB RECORDS SCHEDULE 15

Bureau of Quality Assurance

Explanatory Notes

1. Item 15-1, Quality Assurance Study Files - This series documents operational areas within individual bureaus (primarily Bureau of Retirement Claims) and offices which the Bureau of Quality Assurance (BQA) proposes reviewing during a fiscal year. These proposals are usually one or two pages in length, identify the specific operational component to be studied, the purpose of the study, contain a synopsis of how the study is to be executed, and project the study's anticipated accuracy. The "studies" are assigned numbers as they are formulated through the fiscal year. Some proposals are not acted upon, because of resource constraints.

The Bureau of Quality Assurance has been in existence less than 3 years and has not yet established a significant history or "memory" to which personnel can refer. The retention period for this series takes into account.

2. Item 15-2, Case Study Checklists - Forms containing raw statistical and narrative data supporting conclusions and recommendations in bureau reports. Retention period is as recommended in GRS 16, Item 10.
3. Item 15-3, Bureau of Quality Assurance Reports - Series contains written reports in the form of memoranda, which provide Board managers, most notably the Chief Executive Officer, with information concerning the quality of various services provided by the agency. Most reports are narrow in scope and analyze specific technical procedures rather than broad program strategies. These reports usually result from initiatives within the Bureau of Quality Assurance (see Item 15-1).

The 10 year retention period for this series meets the administrative and reference needs of the bureau.

4. Item 15-4, Quarterly and Annual Progress Reports - Contains one or two page reports to the Chief Executive Officer (CEO) on agency performance in operational areas being studied or monitored by BQA and are not to be confused with the monthly informational reports all RRB bureaus and offices submit to the CEO. Retention period is as recommended in GRS 23, Item 1.
5. Item 15-5, Resolved Issues File - Correspondence between BQA and other offices and bureaus usually concerning the resolution of minor procedural errors or ambiguities brought to the attention of BQA or discovered through BQA studies (Item 15-1). Series contains BQA requests to correct deficiencies, requests for procedural clarifications, and recommendations. Affected bureau or office responds as necessary. Retention period for series meets all bureau reference and administrative needs.

RRB RECORDS SCHEDULE 16

Office of Equal Employment Opportunity

Explanatory Notes

New records control schedule covering series created by the Board's Office of Equal Employment Opportunity. All items have retention periods as specified by the General Records Schedule.

RRB RECORDS SCHEDULE 17

Office of the Inspector General

Explanatory Notes

1. Item 17-1 through 17-5 - All series and retention periods are consistent with General Records Schedule 25.
2. Item 17-6, OIG Budget Files - The Railroad Retirement Board's Office of the Inspector General (OIG) is budgeted independently of other Board bureaus and offices. Its budget is not under the purview of the Bureau of Fiscal Operations. Therefore, OIG requires a separate set of disposition authorities in order to schedule its budget records. These authorities are consistent with NCI 184-79-3, Schedule 6, Items 8 A, B, D, and E.

RRB RECORDS SCHEDULE 18

Bureau of Planning

Explanatory Notes

1. New Item 18-1a - This series is created annually by the Office of Planning. Accumulation rate is approximately one inch per year, with a current "in house" backlog of less than one cubic foot. Plans date from 1982 to present. Arranged numerically.

The consolidated plan summarizes key provisions of Railroad Retirement Board plans (Item 18-1b) for administrative and program operations over three fiscal years. Its purpose is to bring into agency-wide focus the broad management initiatives which RRB has planned for those years and document progress made toward achieving those initiatives. Included within the series are such items as a narrative overview of agency operations as affected by federal legislation, workload forecasts, staffing and production reports, and additional sections concerning the status of agency field operations, special projects, data processing, long range automation, claims processing, and administrative developments (management and organizational changes, facilities improvement, etc.). Statistical exhibits supporting narrative conclusions and projections within the consolidated plan are also present.

2. New Item 18-1b - The Office of Planning uses these records to monitor the progress RRB offices and bureaus make toward fulfilling their program objectives. This information, in turn, is relayed by Planning to the Chief Executive Officer. Included within the series are such items as mission statements, staffing charts, workload indicators, and production forecasts. Specified retention period meets administrative requirements by allowing performance comparisons to be made over several years.
3. New Item 18-1c - These reports document progress being made by individual bureaus or offices on special projects assigned to them by the Chief Executive Officer. Planning refers to these reports as part of its monitoring function and maintains them for five years after project completion to avoid potential duplication effort.
4. New Item 18-2 - Audit History Files - The Office of Planning is responsible for tracking the completion of various audit recommendations made by the Office of the Inspector General (OIG). Planning is not subordinate to or affiliated with OIG, however, and reports to the Chief Executive Officer instead. As it does not have access to original OIG records, the Office of Planning must maintain its own set of OIG audits to fulfill its monitoring function. Retention period is consistent with reference requirements of Planning and GRS 25-4.

5. New Item 18-3a - Retention period for this series (formerly Item 6-10b(1) NCI 184-79-3) has been extended by one year to reflect reference needs of the Office of Planning. These cumulative reports are used to substantiate data submitted by other bureaus and officers in their operations plans (Item 18-1).
6. New Item 18-3b - Series duplicates information in cumulative fiscal year report (Item 18-3a) and need not be kept after creation of such report. Weekly reports are no longer created.
7. New Item 18-3c - Retention period for these records increased slightly over that provided in items 6-10a(1)(2) of NCI 184-79-3. Monthly and cumulative reports are not always generated as scheduled. New disposition instruction allows for delays in creation of the reports.
8. New Item 18-3d - No change in retention periods from those provided in NCI 184-79-3.

RRB RECORDS SCHEDULE 19

Office of Public Affairs

Explanatory Notes

1. The mission and duties of the Office of Public Affairs (OPA) originally belonged to the Bureau of Research. In the mid-1980s the Railroad Retirement Board (RRB) reorganized itself and created several new bureaus and offices, including OPA.

New RRB Schedule 19 is a compilation of 5 series of records originally located in old RRB Schedule 8. Series descriptions and retention periods remain essentially unchanged from those previously approved in NCI 184-79-3.

RAILROAD RETIREMENT BOARD

Accumulation Rate and Volume of Permanent Items Submitted With 184-88-1

<u>Item</u>	<u>Accumulation Rate</u>	<u>Current Volume</u>
2-1 Actuarial Valuations	200 pages every 3 years	Less than 1 cubic foot
2-5 Actuarial Studies	Less than 1 inch a year	Less than 1 cubic foot
4-2 FOIA Annual Report	1 inch a year	1 cubic foot
4-3 Privacy Act Annual Report	1 inch a year	1 cubic foot
7-29 Organizational Charts	Less than 1 cubic foot a year	3 cubic feet
18-1 Operations Plans	1 inch a year	Less than 1 cubic foot
19-1 Board Publications	1 cubic foot a year	25 cubic feet