

**ACTIVE ITEMS.** These items, unless subsequently superseded, may be used by the agency to disposition records.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.

**INACTIVE ITEMS.** These items may no longer be used to disposition records. They are superseded, obsolete, filing instructions, describe non-records, or were lined off and not approved at the time of scheduling.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 may be annotated on the schedule.

**(P) Permanent**

**(T) Temporary**

<b>ITEM</b>	<b>STATUS</b>	<b>WHY INACTIVE</b>
1 / A	T (Inactive)	superseded by NC1-047-78-17, item 1
1 / B	T (Active)	
1 / C	T (Active)	
2 / A / 1	P (Inactive)	superseded by DAA-0047-2023-0001-0002
2 / A / 2	T (Inactive)	superseded by DAA-0047-2012-0002-0001
2 / B / 1	T (Inactive)	superseded by DAA-0047-2012-0002-0001
2 / B / 2	T (Inactive)	superseded by DAA-0047-2023-0001-0006
2 / C / 1	T (Active)	
2 / C / 2	T (Active)	
2 / D	T (Active)	
2 / E	T (Active)	
2 / F	T (Active)	
3 / A / 1	P (Active)	
3 / A / 2	T (Active)	
3 / B / 1	P (Inactive)	superseded by DAA-0047-2024-0001-0001
3 / B / 2	T (Inactive)	superseded by DAA-0047-2024-0001-0002
4 / A	T (Active)	
4 / B	T (Active)	
5 / A	T (Active)	
5 / B	T (Active)	
5 / C	T (Active)	
5 / D / 1	T (Active)	
5 / D / 2	T (Active)	

	T (Active)	
5 / E / 1	T (Active)	
5 / E / 2	T (Active)	
6 / A / 1	T (Active)	
6 / A / 2	T (Active)	
6 / B	T (Active)	
6 / C	T (Active)	
6 / D	T (Active)	
6 / E	T (Active)	
6 / F	T (Active)	
6 / G	T (Active)	
6 / H / 1 / a	T (Active)	
6 / H / 1 / b	T (Active)	
6 / H / 2	T (Active)	
6 / I	T (Active)	
7 / A / 1 / a	T (Inactive)	superseded by DAA-0047-2022-0003-0004
7 / A / 1 / b	T (Inactive)	superseded by DAA-0047-2022-0003-0004
7 / A / 2 / a	P (Active)	
7 / A / 2 / b	T (Active)	
7 / B / 1	T (Active)	
7 / B / 2	T (Active)	
7 / B / 3	T (Active)	
8 / A / 1	T (Active)	
8 / A / 2	T (Active)	
8 / B / 1	T (Active)	
8 / B / 2	T (Active)	
8 / C / 1	T (Active)	
8 / C / 2	T (Active)	
8 / D	T (Active)	
8 / E / 1	T (Active)	
8 / E / 2	T (Active)	
8 / F / 1	T (Active)	
8 / F / 2	T (Active)	
8 / F / 3	T (Active)	
9	n/a	filing instructions
10 / A / 1	T (Active)	
10 / A / 2	T (Active)	
11 / A	T (Active)	
11 / B / 1	T (Active)	
11 / B / 2	T (Active)	
11 / C	T (Active)	
11 / D / 1	T (Active)	

11 / D / 2	T (Active)	
11 / D / 3	T (Active)	
11 / E	T (Active)	
12 / A / 1	T (Active)	
12 / A / 2	T (Active)	
12 / B	T (Active)	
12 / C	T (Active)	
12 / D / 1	T (Active)	
12 / D / 2	T (Active)	
12 / E / 1	T (Active)	
12 / E / 2	T (Active)	
12 / F	T (Active)	
13 / A	T (Active)	
13 / B / 1	T (Active)	
13 / B / 2	T (Active)	
13 / C / 1	T (Active)	
13 / C / 2	T (Active)	
14 / A / 1	P (Inactive)	superseded by DAA-0047-2012-0002-0001
14 / A / 2	T (Inactive)	superseded by DAA-0047-2023-0001-0005
14 / B / 1	T (Inactive)	superseded by DAA-0047-2012-0002-0001
14 / B / 2	T (Active)	
15 / A	T (Active)	
15 / B	T (Active)	
15 / C	T (Active)	
15 / D	T (Active)	
15 / E / 1	T (Active)	
15 / E / 2	T (Active)	
15 / F	T (Active)	
15 / G	T (Inactive)	superseded by NC1-047-83-10
15 / H	T (Active)	
15 / I	T (Active)	
15 / J / 1	T (Active)	
15 / J / 2	T (Active)	
15 / K / 1	T (Active)	
15 / K / 2	T (Active)	

**REQUEST FOR AUTHORITY  
 TO DISPOSE OF RECORDS**

(See Instructions on Reverse)

98 items RG 47  
 TO: GENERAL SERVICES ADMINISTRATION,  
 NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, D.C. 20408

LEAVE BLANK	
DATE RECEIVED <b>SEP 13 1974</b>	JOB NO.
DATE APPROVED <b>NOV 4 7-75</b>	<b>9</b>
NOTIFICATION TO AGENCY	
In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10.	
<u>11-3-74</u> Date	<u>James B. [Signature]</u> Archivist of the United States

1. FROM (AGENCY OR ESTABLISHMENT)

Department of Health, Education, and Welfare

2 MAJOR SUBDIVISION

Social Security Administration

3. MINOR SUBDIVISION

Bureau of Hearings and Appeals

4. NAME OF PERSON WITH WHOM TO CONFER

Charles D. Smith, Jr.

5. TEL. EXT.

594-5772

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.

9/10/74  
(Date)

Eugene J. Reed, Jr.  
Russell O. Hess  
 (Signature of Agency Representative)

Dept. Records Mgt Officer  
(Title)

7. ITEM NO	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9 SAMPLE OR JOB NO.	10 ACTION TAKEN
	<p align="center"><u>RECORDS RETENTION AND DISPOSAL SCHEDULE</u>  <u>BUREAU OF HEARINGS AND APPEALS</u></p> <p>The files described in this Schedule are created in the administration of the hearings and appeals process of the Social Security Administration (SSA). This process involves the adjudication of appealed claims cases under titles II, XVI, and XVIII of the Social Security Act, as amended, and title IV of the Federal Coal Mine Health and Safety Act of 1969, as amended.</p> <p>I. <u>HEARING FILES</u></p> <p>A. <u>Hearing Case Folders</u></p> <p>The hearing case folder contains records which document the review and adjudication of an appealed claims case in the Bureau of Hearings and Appeals (BHA) and in the Federal courts. Although the precise documentation in a given folder will vary depending upon the level of final adjudication, the following are generally included: the record copy of the decision rendered on the case by the Presiding Officer (PO), the Appeal's Council, or by the Federal courts; comments, recommendations, and analyses made by hearings and appeals analysts, attorney fee analysts, members of the Medical Advisory Staff, or by members of the Appeal's</p>		

Copy to Agency & NNRC 11/12/74 (K)

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7 ITEM NO.	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
	<p>Council; hearing transcripts; reports to the file; post-review correspondence; and similar records.</p> <p>Transfer to an inactive file after final adjudication of the case. Close out inactive file after 4 months and transfer to a Federal Records Center (FRC). Destroy 10 years thereafter.</p> <p>B. <u>Presiding Officer Working Files</u></p> <p>The working file contains copies of documents accumulated by the PO in his review and adjudication of a particular appealed claims case. The file is retained in the field by the PO to facilitate the handling of the case on remand and the handling of post-review correspondence.</p> <p>Destroy 2 years after final action on the case by the P O.</p> <p>C. <u>Hearing Record Cards</u></p> <p>These cards are used to record the significant actions taken in the review and adjudication of a particular appealed claims case in BHA. They reflect such information as the name of persons assigned the case for action, the dates of assignment, as well as the types of dispositions made and the dates thereof. They also provide a mechanism for retrieving hearing case folders from the FRC. Included is the salmon-colored copy of the Form HA-503, Case Record Card, or its equivalent.</p> <p>Transfer to an inactive file when the hearing case folder is forwarded to a FRC. Destroy 10 years thereafter.</p>		
<p>II.</p>	<p><u>GENERAL PROGRAM ADMINISTRATION FILES</u></p> <p>A. <u>BHA Issuance Files</u></p> <p>These files consist of manuals, directives, handbooks, and other formal policy and procedural issuances prepared and published by BHA components. Included is the <u>Bureau of Hearings and Appeals Handbook</u>, a</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7 ITEM NO.	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
	<p>publication which prescribes the basic procedural guidelines for the adjudication of appealed claims cases at the various stages of the hearings and appeals process.</p> <p>1. <u>Office Responsible for Preparation of the Issuance</u></p> <p><u>Permanent</u>. Transfer to the BHA Central Reference Unit when superseded or discontinued. Offer to the National Archives 10 years thereafter.</p> <p>2. <u>Other Offices</u></p> <p>Destroy when superseded, discontinued, or no longer needed for reference, whichever is first.</p> <p>B. <u>BHA Issuance Background Files</u></p> <p>These files consist of records accumulated in the preparation, clearance, publication, or interpretation of manuals, directives, handbooks, and other formal policy and procedural issuances. Included are studies, clearance comments, recommendations, and similar records that provide a basis for publication or contribute to the content of the issuance.</p> <p>1. <u>Office Responsible for Preparation of the Issuance</u></p> <p>Transfer to the Central Reference Unit when the issuance is superseded or discontinued. Destroy 10 years thereafter.</p> <p>2. <u>Other Offices</u></p> <p>Destroy after 2 years. Earlier disposal is authorized.</p> <p>C. <u>Reference Files</u></p> <p>1. Records accumulated for general information purposes that require no action and that are not required to document a particular action, project, or case.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
	<p>2. Reading files (i.e., extra copies of outgoing communications which are arranged chronologically and maintained solely for convenience of reference.</p> <p>Destroy after 2 years. Earlier disposal is authorized.</p> <p>D. <u>Technical and Reference Publications Files</u></p> <p>These files consist of publications issued by governmental or nongovernmental organizations and maintained solely for convenience of reference.</p> <p>Destroy when no longer needed for reference.</p> <p>E. <u>Routine Reports Files</u></p> <p>These files consist of routine uncontrolled reports not described elsewhere in this Schedule. Included are highlights, cost reduction reports, routine statistical reports, and similar office or program activity reports.</p> <p>Destroy after 2 years.</p> <p>F. <u>General Correspondence Files</u></p> <p>These files consist of routine correspondence pertaining to the general administration of the hearings and appeals program. Excluded are records for which specific disposition instructions are provided elsewhere in this Schedule.</p> <p>Destroy after 2 years.</p> <p>III. <u>LIAISON FILES</u></p> <p>A. <u>Professional Liaison Files</u></p> <p>These files are accumulated in maintaining liaison with various conferences, committees, advisory bodies, professional associations, and other governmental or nongovernmental organizations concerned with the hearings and appeals process. They document the workings of these organizations</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO	10 ACTION TAKEN
	<p>which have significant implications for BHA programs, policies, or functions. Included are agenda, minutes, correspondence, studies, reports, and similar records.</p> <p>1. <u>Office of Record</u></p> <p><u>Permanent</u>. Transfer to the Central Reference Unit after 5 years. Offer to the National Archives 10 years thereafter.</p> <p>2. <u>Other Offices</u></p> <p>Destroy after 2 years. Earlier disposal is authorized.</p> <p>B. <u>Briefing Files</u></p> <p>These files consist of records used in briefings, speeches, lectures, and other presentations given by high echelon BHA officials regarding Bureau programs, policies, or functions. Included are copies of transcripts, charts, graphs, hand-outs, and similar materials.</p> <p>1. <u>Office of Record</u></p> <p><u>Permanent</u>. Transfer to the Central Reference Unit after 5 years. Offer to the National Archives 10 years thereafter.</p> <p>2. <u>Other Offices</u></p> <p>Destroy after 2 years. Earlier disposal is authorized.</p> <p>IV. <u>EQUAL EMPLOYMENT AND LABOR RELATIONS FILES</u></p> <p>A. <u>Equal Employment Activity Reports</u></p> <p>These files consist of copies of periodic reports on equal employment opportunity activity. Included are Forms SSA-2756, Monthly Report of Pre-Complaint Counseling; CSC 113-C, Monthly Report of Federal Participation in Economic Opportunity Program; HEW-415, Individual Placement of the Handicapped; HEW-415A, Summary Report of Placements of the Handicapped (Quarterly); HEW-425, Individual Placement of a Mental Retardate; HEW-425A, DHEW</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO	10 ACTION TAKEN
	<p>Roster of Mental Retardates Employed; or their equivalents. Also included are semiannual reports of continuing program of affirmative action, reports on the status of minority groups, changes in the minority data files, and similar records. Record copies of these reports are retained at the agency or Departmental level.</p> <p>Destroy after 2 years.</p> <p>B. <u>Employee Grievance and Discrimination Complaint Files</u></p> <p>These files consist of documents accumulated in the filing and resolution of employee grievances and discrimination complaints. Included are statements of witnesses and reports of personal interviews, hearing records, reports of findings, copies of grievance decisions, and related papers. Record copies are retained by the Office of Administration.</p> <p>Destroy 2 years after final resolution of the grievance or complaint.</p> <p>V. <u>MEDICAL ADVISORY STAFF (MAS) FILES</u></p> <p>A. <u>MAS Case Evaluation Files</u></p> <p>These files contain working copies of written analyses prepared by members of MAS in reviewing and evaluating cases involving disability, health insurance, or black lung benefits. Record copies of these analyses are retained in the hearing case folders.</p> <p>Destroy after 1 year. Copies of particularly significant analyses may be retained until no longer needed for reference.</p> <p>B. <u>Worksheet and Control Card Files</u></p> <p>These files consist of Form HA-549, Medical Advisory Staff Worksheet and Control Card, or its equivalent. The cards are used to control cases referred to MAS for review. They record the actions taken by staff members in the review of a particular case.</p> <p>Transfer to an inactive file after completion of MAS review. Close out inactive file at the end of the fiscal year and destroy.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7 ITEM NO.	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9 SAMPLE OR JOB NO.	10 ACTION TAKEN
	<p>C. <u>Register of Medical Advisors</u></p> <p>This register contains the names and addresses of medical advisors under contract with SSA. The register is published annually.</p> <p>Destroy when superseded.</p> <p>D. <u>Recruitment and Contract Files</u></p> <p>1. Records accumulated in offering contracts to members of the medical profession to procure their services in an advisory capacity to SSA.</p> <p>Destroy after contract has been accepted or rejected.</p> <p>2. Duplicate copies of medical advisor contracts.</p> <p>Destroy 5 years after termination of the contract.</p> <p>E. <u>Advisor Utilization Files</u></p> <p>1. Monthly reports received from PO's containing statistical information on the utilization of medical advisors under contract with SSA.</p> <p>Destroy after the information has been posted to the listings.</p> <p>2. Listings reflecting the amount of individual use made of medical advisors by the PO's and the number of cases reviewed by each medical advisor. Information is posted to these listings on a monthly basis and totaled at the end of the fiscal year.</p> <p>Destroy after 1 year.</p>		
VI.	<p><u>FINANCIAL MANAGEMENT FILES</u></p> <p>A. <u>Budget Estimate and Justification Files</u></p> <p>These files contain budget estimates and associated papers prepared annually by BHA and submitted to the Office of Administration (OA) for incorporation</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO	10 ACTION TAKEN
	<p>into the SSA budget. Included are schedules, narrative justification statements, and similar papers.</p> <p>1. <u>Office Having BHA Staff Responsibility</u></p> <p>Transfer to a FRC 10 years after the close of the fiscal year covered by the budget. Destroy 15 years thereafter.</p> <p>2. <u>Other Offices</u></p> <p>Destroy 2 years after the close of the fiscal year covered by the budget.</p> <p>B. <u>Budget Preparation Working Files</u></p> <p>These files consist of working papers accumulated in the preparation and clearance of the annual BHA budget estimates. Included are preliminary estimates, feeder reports, statistical listings, clearance comments, and related background material.</p> <p>Destroy 4 years after the close of the fiscal year covered by the budget.</p> <p>C. <u>Object Classification Files</u></p> <p>These files consist of records which provide information on object and subobject classification of expenditures, such as travel, equipment, printing, supplies, and similar items. Included are the monthly allotment listings and the Monthly Transaction Report.</p> <p>Destroy 4 years after the close of the fiscal year covered by the budget.</p> <p>D. <u>Medical Advisor and Vocational Expert Contract Files</u></p> <p>These files contain duplicate copies of contracts entered into between SSA and various medical advisors and vocational experts. The contracts provide for the furnishing of professional services. Record copies are retained by OA.</p> <p>Destroy 1 year after termination of the contract.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10 ACTION TAKEN
	<p>E. <u>Contractor Invoice Files</u></p> <p>These files contain duplicate copies of invoices which have been submitted by medical advisors and vocational experts to obtain payment for professional services rendered. Included is Form HA-590b, Contractor's Invoice, or its equivalent. Record copies are retained by OA.</p> <p>Destroy after 2 years.</p> <p>F. <u>Leased Space Files</u></p> <p>These files document the acquisition and assignment of space for BHA offices throughout the country. Included are Standard Form 81, Request for Space; GSA Form 65, Space Assignment Record; space utilization and cost reports; and similar records.</p> <p>Destroy 2 years after termination of the lease, unless there is an unresolved dispute between the landlord and the Government, in which case destroy 2 years after final settlement of the dispute.</p> <p>G. <u>Employee Travel Files</u></p> <p>These files contain duplicate copies of travel orders and vouchers accumulated by BHA employees. Included are Forms HEW-1, Travel Order; SF-1012, Travel Voucher; and similar records.</p> <p>Destroy after 2 years, except that records involving a change of station should be destroyed after 3 years.</p> <p>H. <u>Staffing Files</u></p> <p>1. <u>Weekly Staffing Reports</u></p> <p>These are reports on the number of personnel on duty and the number of committed and budgeted positions. They are used in the control of budgeted personnel ceilings.</p> <p>a. <u>Office Responsible for Preparation of the Report</u></p> <p>Destroy after 3 years.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7 ITEM NO.	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
	<p>b. <u>Other Offices</u></p> <p>Destroy after 1 year. Earlier disposal is authorized.</p> <p>2. <u>Staffing Card File</u></p> <p>This file contains cards which provide name, position title, grade, and salary data for each BHA employee in central office and field components. Included is Form CO-9544, Personnel Inventory Record, or its equivalent.</p> <p>Transfer employee's card to an inactive file upon separation. Close out inactive file at the end of the fiscal year and destroy when no longer needed for reference.</p> <p>I. <u>Work Measurement Files</u></p> <p>These files contain periodic reports of workload, caseload, manpower utilization, production time, or similar work measurement data prepared at the operating level and submitted to management offices. The reports are used in forecasting budgetary requirements and in monitoring budget execution. Included are Forms HA-557.2, Manpower Utilization Report; HA-573, Attorney Fee Manpower Utilization Report; HA-574, Monthly Statistical Report; HA-610, Disability Branch Manpower Utilization Report; and similar records.</p> <p>Destroy after 5 years. Earlier disposal is authorized.</p> <p>VII. <u>MANAGEMENT INFORMATION FILES</u></p> <p>A. <u>Management Information Reports</u></p> <p>1. Consolidated summary reports, tables, and listings of work measurement data prepared by management offices for management information purposes. The following are included: Report of Court Remand Cases; Requests for Hearing; Processing Time and Pending Profiles; Requests</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
	<p>for Hearing; Case Status by Region; Requests for Hearing; Case Docket and Disposition Data by PO; Report of PO Usage of Medical Advisors and Vocational Experts; Requests for Review; Appeal's Council Processing Time and Pending Profiles; Court Remands and Disposition Report; and similar records.</p> <p>a. <u>Office Responsible for Preparation of the Report</u> Destroy after 5 years.</p> <p>b. <u>Other Offices</u> Destroy after 1 year. Earlier disposal is authorized.</p> <p>2. Final published summary reports of work measurement data which document the scope of hearings and appeals activity over a given period of time. Included is the annual publication entitled <u>Operational Analysis of the Bureau of Hearings and Appeals</u>.</p> <p>a. <u>Office Responsible for Preparation of the Report</u> <u>Permanent</u>. Transfer to the Central Reference Unit after 5 years. Offer to the National Archives 10 years thereafter.</p> <p>b. <u>Other Offices</u> Destroy after 2 years. Earlier disposal is authorized.</p> <p>B. <u>Reports Management Files</u></p> <p>1. Records accumulated in evaluating the requirement for, approving, and controlling specific recurring reports. Included are applications for approval of the reports; copies of pertinent forms or descriptions of format; copies of requiring directives; preparation instructions; documents relating to the continuation, revision, or other change to the report; and related records. Record copies are retained by OA.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO	10 ACTION TAKEN
III.	<p>Destroy 2 years after the report is discontinued.</p> <p>2. Records relating to periodic inventories or surveys of reports.</p> <p>Destroy 1 year after completion of the inventory or survey.</p> <p>3. Documents used to control the assignment of reports control symbols.</p> <p>Destroy when no longer needed for control purposes.</p> <p><u>MANAGEMENT ANALYSIS FILES</u></p> <p>A. <u>Organization Planning Files</u></p> <p>These files consist of records which establish, or substantive changes in, the organization, functions, or relationships of BHA components. Included are copies of approved organizational and staffing plans and charts, reorganization plans, functional or mission statements, and supporting papers. <u>Record copies are retained by OA.</u></p> <p>1. <u>Office Having BHA Staff Responsibility</u></p> <p>Destroy 20 years after supersession.</p> <p>2. <u>Other Offices</u></p> <p>Destroy when superseded or no longer needed for reference, whichever is first.</p> <p>B. <u>Operations Planning Files</u></p> <p>These files consist of records which establish, or effect substantive changes in, operating procedures or production methods. Included are copies of approved operational plans, systems plans and specifications, flow charts, and supporting papers. Record copies are retained by OA.</p>		

**REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet**

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
	<p>1. <u>Office Having BHA Staff Responsibility</u></p> <p>Destroy 20 years after supersession.</p> <p>2. <u>Other Offices</u></p> <p>Destroy when superseded or no longer needed for reference, whichever is first.</p> <p>C. <u>Management Survey Case Files</u></p> <p>These files document the inception, scope, and accomplishments of individual survey and study projects involving BHA's organizational structure, operating procedures, or management practices. Included are records reflecting the request or authorization to undertake the survey, survey plans, the final survey report, and any follow-up reports on actions taken. Note: Survey reports which serve as the basis for substantive organizational or operational changes should be retained in accordance with items A and B above.</p> <p>1. <u>Office Conducting the Survey</u></p> <p>Destroy 10 years after completion of the final survey report.</p> <p>2. <u>Other Offices</u></p> <p>Destroy after 2 years. Earlier disposal is authorized.</p> <p>D. <u>Management Survey Working Files</u></p> <p>These files contain working papers accumulated in the preparation, clearance, and issuance of final management survey reports. Included are notes, drafts, feeder reports, statistical listings, clearance comments, and similar records.</p> <p>Destroy 2 years after completion of the final survey report.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO	10 ACTION TAKEN
	<p>E. <u>Directives Management Files</u></p> <p>1. Records accumulated in evaluating the requirement for, approving, and controlling specific directives.</p> <p style="padding-left: 40px;">Destroy 2 years after the directive is superseded.</p> <p>2. Documents used to control the assignment of directives control symbols.</p> <p style="padding-left: 40px;">Destroy when no longer needed for control purposes.</p> <p>F. <u>Records Management Files</u></p> <p>1. Records accumulated in surveys of records, files, and other aspects of records management.</p> <p style="padding-left: 40px;">Destroy 1 year after completion of the survey.</p> <p>2. Records management reports such as Form SSA-1804, Report of Selected Records Management Activities or its equivalent.</p> <p style="padding-left: 40px;">Destroy after 1 year.</p> <p>3. Documents reflecting the location and/or disposition of records retired or transferred from an office. Included is Standard Form 135, Records Transmittal and Receipt, or its equivalent.</p> <p style="padding-left: 40px;">Destroy when all records listed on the documents have been disposed of.</p>		
IX.	<p><u>PERSONNEL MANAGEMENT RECORDS</u></p> <p>Retention and disposition standards for personnel management records such as official personnel folders, position description files, incentive award case files, job application files, service record cards, and others are contained in General Records Schedule 1, Civilian Personnel Records, Exhibit 1, of this Guide. Also refer to Appendix B, Filing Retention Table (Employee Records and Files), chapter IX, SSA Guide 1-4, Personnel Guide for Supervisors.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10 ACTION TAKEN
X.	<p><u>INQUIRY FILES</u></p> <p>A. <u>Public and Congressional Correspondence Files</u></p> <p>1. Duplicate copies of correspondence prepared in response to a specific inquiry received from a member of Congress or from the general public. Included are related attachments, exhibits, and other background material. Record copies are retained by the Division of Public Inquiries, OA, or in the hearing case folders.</p> <p>Destroy 90 days after final response.</p> <p>2. Correspondence control cards, such as Form OAAD-217, Congressional Correspondence Control, or its equivalent.</p> <p>Destroy 90 days after final response.</p>		
XI.	<p><u>FACILITIES FILES</u></p> <p>A. <u>Forms Management Files</u></p> <p>These files contain records relating to the initiation, development, printing, or history of a particular BHA form. Included are Forms SSA-5100, Request for Forms Action; SSA-100, SSA Printing Requisition; or their equivalents.</p> <p>Transfer to the Forms and Publications Management Section (FPMS), OA, when form is superseded or obsoleted, or when records are no longer needed for reference. FPMS: destroy records which are duplicated in the official SSA forms history file.</p> <p>B. <u>Distribution Management Files</u></p> <p>1. Mailing lists and similar records which govern the distribution of publications and other printed material to BHA central office and field components.</p> <p>Destroy when superseded or obsolete.</p>		

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	<p>2. Requests for changes in distribution mailing lists or requests for publications and other printed materials. Included is Form SSA-1296, Request for Change in Mailing List, Address and/or Request for Manuals or Publications, or its equivalent.</p> <p>Destroy when action on the request has been completed.</p> <p>C. <u>Employee Locator File</u></p> <p>This file contains a locator card for each BHA employee. The card provides such information as home and office address and telephone number, timekeeper number, and the name of a person to contact in the event of an emergency. Included is Form SSA-4033, Employee Locator Card, or its equivalent.</p> <p>Destroy when superseded or upon separation of the employee.</p> <p>D. <u>Facilities Management Files</u></p> <p>1. Records relating to the physical layout or design of a facility, such as floor plans, parking plans, and similar papers.</p> <p>Destroy when superseded, obsolete, or no longer needed for reference.</p> <p>2. Records relating to communications, transportation, custodial or other services required by an office. Included are requests for the installation or repair of telephones and extensions. Also included are records relating to maintenance services performed on office physical structures such as heating, lighting, cooling, ventilation, or electrical systems.</p> <p>Destroy after 1 year.</p>		

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	<p>3. Documents relating to office safety, such as safety inspection reports, notification of unsafe practices, and similar records. Also included are documents concerning tests of fire, civil defense, or comparable emergency evacuation procedures.</p> <p>Destroy after 1 year.</p> <p>E. <u>Equipment and Supply Files</u></p> <p>These files contain documents relating to the purchase, use, or disposal of office equipment, furniture, or supplies. Included are Forms HEW-393, Purchase/Service/Stock Requisition; SSA-2006, Request for Disposal Instructions; HEW-22, Property Action Request to Supply Officer; SF-147, Order for Supplies or Services; or their equivalents.</p> <p>Destroy after 2 years.</p> <p>XII. <u>TRAINING AND CAREER DEVELOPMENT FILES</u></p> <p>A. <u>Training Authorization Files</u></p> <p>These files consist of records which authorize BHA employees to attend specific Government and non-Government training courses. Included are Forms HEW-350, Training in Other Government Facilities; or their equivalents. Note: Copies of these forms are retained in the official personnel folder.</p> <p>1. <u>Authorizing Office</u></p> <p>Destroy 5 years after the year in which dated, except that records may be destroyed after 2 years if a Departmental or Civil Service Commission evaluation of the training function has been completed.</p> <p>2. <u>Other Offices</u></p> <p>Destroy 2 years after the year in which dated.</p>		

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	<p><b>B. <u>Career Development Files</u></b></p> <p>These files document an individual's participation in the Staff Development Program, the Executive Development Program, the Management Intern Program, or a similar career development program. Included are copies of individual development plans, qualifications statements (SSA-45 or SF-171), records reflecting training courses taken, copies of supervisory appraisals and evaluations, and similar records. Also included are Forms SSA-2031, Profile of Eligible Candidate; SSA-2588, Career Planning and Recommendations; or their equivalents.</p> <p>Two years after the participant completes the program, remove and destroy all material from the file except: (1) development plans; (2) qualifications statements; and (3) forms SSA-2031 or SSA-2588. These 3 items should be destroyed 5 years after completion of the program.</p> <p><b>C. <u>Training Materials Master File</u></b></p> <p>This is a master file of materials developed for and used in various BHA training courses. Included are transcripts of lectures, handouts, charts, graphs, course outlines, and similar materials.</p> <p>Destroy 5 years after the material is superseded or the course is discontinued.</p> <p><b>D. <u>Course Evaluation Files</u></b></p> <p>1. Course evaluation forms completed by participants of a BHA training courses.</p> <p>Destroy after data have been tabulated.</p> <p>2. Tabulated listings of evaluation data used to analyze the effectiveness of BHA training courses.</p> <p>Destroy after 2 years.</p>		

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	<p>E. <u>Employee Testing Files</u></p> <p>1. Test papers resulting from the administration of an achievement, interest, or other type of test to BHA employees.</p> <p>Destroy 6 months after administration of the test.</p> <p>2. Tabulated listings of test scores, test reports, and similar records.</p> <p>Destroy 2 years after administration of the test.</p>		

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III.	<p>F. <u>Course Offering Card File</u></p> <p>This is a card file identifying specific Government and non-Government training courses available to BHA employees.</p> <p>Destroy when course is no longer offered.</p> <p><u>FIELD OPERATIONS FILES</u></p> <p>A. <u>Field Memorandum Files</u></p> <p>These memorandums are issued by BHA central office to provide overall management direction to the field organization. This organization includes regional representatives, administrative law judges, and supporting staff. Note: Records establishing substantive policy or procedure should be retained in accordance with item XIV.A.</p> <p>Destroy after 5 years.</p> <p>B. <u>Field Survey Files</u></p> <p>1. Reports of surveys and studies conducted of field office operations together with any directly related material documenting the inception, scope, or accomplishments of the survey.</p> <p>Destroy after 5 years.</p> <p>2. Survey working papers accumulated in the preparation, clearance, and issuance of final survey reports.</p> <p>Destroy 1 year after completion of the final survey report.</p> <p>C. <u>Report of Black Lung Hearings Requests</u></p> <p>This is a weekly report on the number of Black Lung benefit cases received, pending, and disposed of in the field hearings offices.</p>		

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XIV.	<p><u>POLICY AND PROCEDURE FILES</u></p> <p>A. <u>Policy and Procedure Files</u></p> <p>These files consist of records which establish policy and/or procedure pertaining to the hearings and appeals process. Included are formal statements of policy and substantive procedure, standards, criteria, interpretations and clarifications, and similar records.</p> <p>1. <u>Office of Record</u></p> <p><u>Permanent</u>. Transfer to the Central Reference Unit when no longer needed in current operations. Offer to the National Archives when no longer needed for reference.</p> <p>2. <u>Other Offices</u></p> <p>Destroy when no longer needed for reference.</p> <p>B. <u>Commissioner's Decision Files</u></p> <p>These files consist of copies of formal policy decisions rendered by the Commissioner of Social Security pertaining to the hearings and appeals process. Included are copies of submittals and associated background papers. Record copies of these decisions are retained by the Office of the Commissioner.</p> <p>1. <u>Office Preparing the Commissioner's Submittal</u></p> <p>Transfer to the Central Reference Unit when no longer needed in current operations. Destroy when no longer needed for reference.</p>		

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XV.	<p>2. <u>Other Offices</u></p> <p>Destroy when no longer needed for reference.</p> <p><u>APPEALS OPERATIONS FILES</u></p> <p>A. <u>Hearings Analyst Case Evaluation Files</u></p> <p>These files contain working copies of written analyses prepared by hearings and appeals analysts in reviewing appealed claims cases and recommending appropriate Appeal's Council action. Record copies of these analyses are retained in the hearing case folders.</p> <p>Destroy after 1 year. Copies of particularly significant analyses may be retained until no longer needed for reference.</p> <p>B. <u>Case Control Cards</u></p> <p>These cards are used by the program branches control cases during the Appeal's Council review process. They record the actions taken by the Appeal's Council on a particular case. Included are Forms HA-584.1, HA-584.2, and HA-584.3, Control Card, or their equivalents.</p> <p>Transfer to an inactive file after final action on the case by the Appeal's Council. Close out inactive file at the end of the fiscal year and destroy 2 years thereafter.</p> <p>C. <u>Diary Cards</u></p> <p>These cards are used to flag cases for action at a future date. Included are Forms HA-543 and HA-543BL, Diary Card, or their equivalents.</p> <p>Destroy when necessary action has been taken.</p> <p>D. <u>Comprehensive Review Logs</u></p> <p>These logs are used to document and control the processing of cases selected for comprehensive review.</p> <p>Destroy after 2 years.</p>		

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	<p>E. <u>HI Project Files</u></p> <p>1. Cards used to control the processing of cases in the Health Insurance Project. Included is Form HA-582, HI Project Control Card, or its equivalent.</p> <p>Transfer to an inactive file after completion of HI Project processing. Close out inactive file at the end of the fiscal year and destroy 2 years thereafter.</p> <p>2. Copies of correspondence prepared by the Health Insurance Project to obtain evidence needed in the development of a particular case.</p> <p>Destroy when necessary evidence has been obtained.</p> <p>F. <u>Federal Court Decision Files</u></p> <p>This file consist of copies of decisions rendered by the Federal courts on litigated claims cases. They are retained primarily for reference purposes.</p> <p>Transfer to the Central Reference Unit after 2 years. Destroy when no longer needed for reference.</p> <p>G. <u>Court Case Record Cards</u></p> <p>These cards are used to record the actions taken by the Federal courts in adjudicating a litigated claims case. Included is Form HA-550, Court Case Record Card, or its equivalent.</p> <p>Retain cards pertaining to leading cases, U.S. Court of Appeals, or U.S. Supreme Court cases until no longer needed for reference. Transfer others to an inactive file after final decision in the Federal courts. Close out inactive file at the end of the fiscal year and destroy 2 years thereafter.</p> <p>H. <u>Litigation Activity Report</u></p> <p>This is a quarterly report containing narrative analysis and statistical data on Title II cases remanded by the Federal courts. The report is submitted to the Bureau of Retirement and Survivors Insurance.</p> <p>Destroy after 2 years.</p>		

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	<p>I. <u>Petition Review Files</u></p> <p>These files contain working copies of written analyses made by members of the Attorney Fee Branch in reviewing attorney fee petitions. Included is Form HA-579, Bureau of Hearings and Appeals Fee Analysis, or its equivalent. Record copies of these analyses are retained in the hearing case folders.</p> <p>Destroy after 1 year. Copies of particularly significant analyses may be retained until no longer needed for reference.</p> <p>J. <u>Quarterly Report of Actions on Attorney Fee Petitions</u></p> <p>This is a report on the number and dollar amounts of attorney fees requested and authorized.</p> <p>1. <u>Office Responsible for Preparation of the Report</u></p> <p>Destroy after 2 years.</p> <p>2. <u>Other Offices</u></p> <p>Destroy after 1 year. Earlier disposal is authorized.</p> <p>K. <u>Attorney Fee Card Files</u></p> <p>1. Cards used to control the assignment and processing of attorney fee petitions.</p> <p>Transfer to an inactive file after attorney fee has been authorized. Close out inactive file at the end of the fiscal year and destroy 2 years thereafter.</p> <p>2. Cards used to record production data for attorney fee analysts. Included is Form HA-575, Attorney Fee Card, or its equivalent.</p> <p>Destroy when data have been posted to the monthly workload report.</p> <p>GAO CONCURRENCE IS BEING SOUGHT.</p>		