

**ACTIVE ITEMS.** These items, unless subsequently superseded, may be used by the agency to disposition records.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 They are superseded, obsolete, filing instructions, describe non-records, or were lined off and not approved at the time of scheduling.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

| ITEM      | STATUS       | WHY INACTIVE  |
|-----------|--------------|---|
| 1         | (T)          |   |
| 2 / A     | (T)          |   |
| 2 / B     | (T)          |   |
| 2 / c     | (T)          |   |
| 2 / C / 1 | (T)          |   |
| 2 / C / 2 | (T)          |   |
| 2 / D     | Active (T)   |   |
| 2 / E     | Active (T)   |   |
| 2 / F     | Active (T)   |   |
| 3 / A / 1 | Inactive (T) | superseded by DAA-GRS-2014-0002-0014 (GRS 2.1 item 100) |
| 3 / A / 2 | Inactive (T) | superseded by DAA-GRS-2014-0002-0014 (GRS 2.1 item 100) |
| 3 / B     | Active (T)   |   |
| 3 / C     | Inactive (T) | superseded by DAA-GRS-2020-0001-0002 (GRS 5.7 item 040) |
| 3 / D     | Active (T)   |   |
| 3 / E     | Active (T)   |   |
| 3 / F     | Active (T)   |   |
| 3 / G     | Inactive (T) | superseded by DAA-GRS-2020-0001-0002 (GRS 5.7 item 040) |
| 3 / H     | Active (T)   |   |
| 3 / I     | Active (T)   |   |
| 4 / A / 1 | Active (T)   |   |
| 4 / A / 2 | Active (T)   |   |
| 4 / A / 3 | Active (T)   |   |
| 4 / A / 4 | Active (T)   |   |
| 4 / A / 5 | Active (T)   |   |
| 4 / A / 6 | Active (T)   |   |
| 4 / B / 1 | Active (T)   |   |
| 4 / B / 2 | Active (T)   |   |
| 4 / C 1   | Active (T)   |   |
| 5 / A     | Active (T)   |   |



|               |            |  |
|---------------|------------|--|
| 5 / B / 1     | Active (T) |  |
| 5 / B / 2 / a | Active (T) |  |
| 5 / B / 2 / b | Active (T) |  |
| 5 / 2         | Active (T) |  |
| 5 / 3         | Active (T) |  |
|               |            |  |
|               |            |  |
|               |            |  |
|               |            |  |
|               |            |  |



**REQUEST FOR RECORDS DISPOSITION AUTHORITY**  
(See Instructions on reverse)

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

1 FROM (AGENCY OR ESTABLISHMENT)

Health and Human Services

2 MAJOR SUBDIVISION

Social Security Administration

3 MINOR SUBDIVISION

Office of Field Operations

4 NAME OF PERSON WITH WHOM TO CONFER

Ernest P. Lardieri

5. TEL EXT

934-5770

6 CERTIFICATE OF AGENCY REPRESENTATIVE

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of 11 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

☐ A Request for immediate disposal.

☒ B Request for disposal after a specified period of time or request for permanent retention.

|                   |   |  |
|-------------------|---|--|
| C DATE<br>2/14/83 | D SIGNATURE OF AGENCY REPRESENTATIVE<br>Dr. George Deal | E TITLE<br>Department Records Management Officer |
|-------------------|---|--|

| 7.<br>ITEM NO | 8. DESCRIPTION OF ITEM<br>(With Inclusive Dates or Retention Periods)   | 9.<br>SAMPLE OR<br>JOB NO | 10<br>ACTION TAKEN |
|---------------|---|---------------------------|--------------------|
| I. - V.       | Comprehensive Records Retention and Disposition Schedule for the Office of Field Operations (attached):<br><br>I. Office of the Associate Commissioner Files<br><br>II. Office of Field Support Files<br><br>III. Performance Management and Analysis Files<br><br>IV. Resource Management Files<br><br>V. Program and Systems Management Files |                           |                    |

35 items

*No Class Data Change Sheet Required*  
*Copy to agency, 3-31-83, 88.*

*NW*  
*NF*

|   |   |
|---|---|
| LEAVE BLANK   |   |
| JOB NO  |   |
| <i>NW 1-47-83-6</i>   |   |
| DATE RECEIVED   |   |
| <i>2-22-83</i>  |   |
| NOTIFICATION TO AGENCY  |   |
| <small>If disagreement with the provisions of 14 U.S.C. 3333a the disposal request including grounds is approved except for items that may be withheld disposal not approved "withdrawn" in column 10</small> |   |
| <i>Mar 21, 83</i><br><small>Date</small>  | <i>[Signature]</i><br><small>Archivist of the United States</small> |



# INSTRUCTIONS

## General Instructions

Use Standard Form 115 (obtainable from supply depots of the Federal Supply Service General Services Administration) and the continuation sheet Standard Form 115a (obtainable from the Records Disposition Division Office of Federal Records Centers National Archives and Records Service Washington D.C. 20408) to obtain authority to dispose of records or to request permanent retention of records. Detach the fifth copy from the set and keep as your reference copy. Submit the first four copies of the set to the National Archives and Records Service. One copy will be returned to the agency as notification of items that are authorized for disposal. Items withdrawn for disposal approved for disposal will be so marked. Each SF 115 requires completion. General concurrence must be accompanied by a notification of approval from GAO.

## Specific Instructions

Entries 1, 2, and 3 should show what agency has custody of the records that are identified on the form and should contain the name of the department or independent agency and its major and minor divisions.

Entries 4 and 5 should help identify and locate the person to whom inquiries regarding the records should be directed.

Entry 6 should be signed and dated on the four copies by the agency representative. The number of pages involved in the request should be inserted.

Box A should be checked if the records may be disposed of immediately. Box B should be checked if continuing disposal authority is requested or if permanent retention is requested. Only one box may be checked.

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

Entry 8 should show what records are proposed for disposal.

Center headings should indicate what office's records are involved if all records described on the form are not those of the same office or if they are records created by another office or agency.

An identification should be provided of the types of records involved if they are other than textual records, for example, if they are photographic records, sound recordings, or cartographic records.

An itemization and accurate identification should be provided of the series of records that are proposed for disposal or retention. Each series should comprise the largest practical grouping of separately organized and logically related material that can be treated as a single unit for purposes of disposal. Component parts of a series may be listed separately and numbered consecutively as 1a, 1b, etc., under the general series entry.

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

If immediate disposal is requested of past accumulations of records, the inclusive dates during which the records were produced should be stated.

If continuing disposal is requested for records that have accumulated or will continue to accumulate, the retention period may be expressed in terms of years, months, etc., or in terms of future actions or events. A future action or event that is to determine the retention period must be objective and definite. If disposal of the records is contingent upon their being microfilmed or otherwise introduced or recorded on machine-readable media, the retention period should read: "Until ascertained that reproduced copies or recordings have been made in accordance with GSA regulations and are adequate substitutes for the paper records." Also, the provisions of FPMR § 101-11.5 should be observed.

Entry 9 should be checked if samples are submitted for appraisal. However, samples of the records are not required unless they are requested by the NARS appraiser. If an item has been previously submitted, the relevant job and item number should be entered.

Entry 10 should be left blank.

*Ernest P. Luchini*  
SSA Records Officer

*2/9/83*  
Date

*Roger G. Pata*  
OFO Representative

*2/3/83*  
Date



OFFICE OF FIELD OPERATIONS  
I. OFFICE OF THE ASSOCIATE COMMISSIONER FILES

Description of Records

Authorized Disposition

Senior Executive Service (SES) Performance  
Plans and Appraisals

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

Destroy 3 years after close of fiscal year covered by appraisal.



## II. OFFICE OF FIELD SUPPORT FILES

### Description of Records

### Authorized Disposition

#### A. Conference and Meeting Files

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

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

#### B. Regional Issues Files

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

Destroy when 2 years old.



Description of RecordsAuthorized Disposition(c) Action Plan Update and Workload Analysis

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

Destroy when 2 years old.

C. Federal-State Relations Files

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

1. Case Files

Destroy 2 years after resolution of problem.

2. Subject Files

Destroy when 2 years old.

D. Program Security Files

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

Destroy when 3 years old.

E. Systems Security Files

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

Destroy 2 years after final report.



Description of RecordsAuthorized DispositionF. Management Studies and Reports

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

Destroy 3 years after release of report.



#### IV. RESOURCE MANAGEMENT FILES

##### Description of Records

##### Authorized Disposition

#### A. Budget Files

##### 1. Regional Monthly Expenditure Reports

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

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

##### 2. Monthly Transaction Report

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

Destroy 1 year after close of FY in which dated.

##### 3. Payroll Analysis Recap Report

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

Destroy 2 years after close of FY in which dated.

##### 4. OFO Yearly Operating Budget Plans

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

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

##### 5. Allowance Advice

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

Destroy 3 years after close of FY in which dated.



Description of RecordsAuthorized Disposition6. Cost Analysis Report

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

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

B. Staffing Reports

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

Destroy 2 years after close of FY.

2. Quarterly Staffing Report

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

Destroy 2 years after close of FY in which dated.

C. Personnel Management Files1. Classification Standards Development Files

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

Destroy after standard has been superseded or obsoleted. *GRS1/7a(1)*



### III. PERFORMANCE MANAGEMENT AND ANALYSIS FILES

| <u>Description of Records</u>  | <u>Authorized Disposition</u>   |
|--|---|
| <u>A. Senior Executive Service (SES) and Merit Pay Performance Planning and Review Files</u> | (1) Merit Pay Files, GRS 1/23a(5).<br><br>Destroy 3 years after close of fiscal year (FY) covered by appraisal.<br><br>(2) SES Files, GRS 1/23b(4).<br><br>Destroy 5 years after date of appraisal, exclusive of any interim service as a Presidential appointee. |
| <u>B. OFO Field Goal-Setting Files</u>   | Destroy 3 years after close of FY in which dated.   |
| <u>C. Management Information Files</u>   | Destroy when 2 years old.   |
| <u>D. Operational Review Files</u>   | Destroy when 3 years old.   |
| <u>E. Audit Staff Liaison Files</u>  | Destroy 3 years after release of report.  |



| <u>Description of Records</u>   | <u>Authorized Disposition</u>  |
|---|--|
| F. <u>Systems Planning Support Files</u>  |  |
| Correspondence concerning systems planning, including regional office and other central office components.  | Destroy 3 years after implementation or abandonment of proposed system.  |
| G. <u>Case Control Systems Support Files</u>  |  |
| Correspondence and reports concerning the Case Control System received from the Office of Management, Budget, and Personnel and the ROs.  | Destroy when 2 years old.  |
| H. <u>Telecommunications Support Files</u>  |  |
| General correspondence and related records pertaining to the internal administration and operation of OFO telecommunications. Included are staff briefing files covering current fraud issues involving communications equipment. These noninvestigatory files are to keep top OFO staff advised on matters which may come under public scrutiny. | <p>1. <u>General Files</u></p> <p>Destroy when 2 years old. <i>GRS 12/2a</i></p> <p>2. <u>Fraud Briefing Files</u></p> <p>Destroy 6 months after close of investigation.</p> |
| I. <u>Risk Analysis Files</u>   |  |
| Reports and other correspondence relating to OFO conducted risk analyses of field office operations. Included is all correspondence relating to the implementation of the final OFO recommendation for corrective action.   | Destroy when 3 years old.  |



V. PROGRAM AND SYSTEMS MANAGEMENT FILES

Description of Records

Authorized Disposition

A. Legislation Planning and Implementation Files

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

Destroy 2 years after legislation is passed or withdrawn.

B. Debt Management

1. Correspondence Files

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

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

2. Report Files

(a) Debt Collection Narrative Report

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

Destroy when 1 year old.

(b) Debt Management Update Report

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

Destroy when 1 year old.



Description of RecordsAuthorized Disposition2. Supplemental Union Agreements

Agreements between SSA and the American Federation of Government Employees (AFGE) Field Office Council which supplement the national contract with AFGE. Background material is included in the files.

Destroy when supplemental agreements have been superseded or terminated.

3. Affirmative Action Plans

Coordination copies of affirmative action plans and related correspondence from each RO.

Destroy when plans have been revised or superseded.