

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS

(See Instructions on Reverse)

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

1. FROM (AGENCY OR ESTABLISHMENT)

Department of Health, Education, and Welfare

2. MAJOR SUBDIVISION

Social Security Administration

3. MINOR SUBDIVISION

Bureau of Retirement and Survivors Insurance

4. NAME OF PERSON WITH WHOM TO CONFER

Arthur J. Benner

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.

3/13/74

Russell O. Hess

(Date)

(Signature of Agency Representative)

Dept. Records Mgt Officer

(Title)

LEAVE BLANK	
DATE RECEIVED MAR 21 1974	JOB NO.
DATE APPROVED NC	174-174
CONGRESSIONAL AUTHORIZATION	
HOUSE REPORT NO.	CONGRESS SESSION
DATE	
NOTIFICATION TO AGENCY	
CONGRESS HAS AUTHORIZED DISPOSAL OF ITEMS MARKED "DISPOSAL-APPROVED" IN COLUMN 12.	
(Date)	Archivist's Representative.

7. ITEM NO.

8. DESCRIPTION OF ITEM
(WITH INCLUSIVE DATES OR RETENTION PERIODS)

9. SAMPLE OR
JOB NO.

10. ACTION TAKEN

RECORDS RETENTION AND DISPOSAL SCHEDULE
RETIREMENT AND SURVIVORS INSURANCE
(Central Office)

The files described in this Schedule are created in the administration of the Retirement and Survivors Insurance programs pursuant to Title II of the Social Security Act. They are filed in Central Office, BRSI. However, all of the files are not maintained in any single office.

I.

MANAGEMENT RESOURCES RECORDS

A. Financial Management Records

These records consist of information pertaining to each object and subobject classification of expenditures, such as travel, equipment, printing, rentals, supplies, and similar expenditures. Included are annual budgets, the Monthly Transaction Report listing prepared by Financial Management, OA, which contains expenditures for the month and year-to-date by object and subobject class. Also included are travel records for BRSI personnel, such as Form GSA-2575, Travel Report, travel orders, and similar information.

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>a. <u>Listing</u></p> <p>Destroy 2 years after close of the fiscal year.</p> <p>b. <u>Other Material</u></p> <p>Destroy 3 years after close of the fiscal year.</p> <p>1. <u>Personal Services and Benefits Expenditures Listing</u></p> <p>This biweekly report, prepared by Financial Management, OA, contains classes of pay, hours worked, the amount contributed to employee benefits by BRSI. It is used to estimate salaries and benefits for budget preparation, and similar purposes.</p> <p>Destroy after the close of the fiscal year.</p> <p>2. <u>Data Flow Back CAN and Object Class Summary</u></p> <p>This biweekly listing, prepared by Financial Management, OA, contains payroll data by CAN (Common Accounting Number) and is used to determine the amount of money spent by each individual BRSI office.</p> <p>Destroy after close of the fiscal year.</p> <p>3. <u>Schedule of Accrued Obligations</u></p> <p>This report consists of Form CO-0773A, Schedule of Accrued Obligations, which is submitted three times a year to Financial Management, OA. It lists actual expenditures year-to-date by object and subobject class, and contains projections for use of resources available for the rest of the year.</p> <p>Destroy 4 months after close of the fiscal year.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

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	<p>4. <u>Report of Estimated Obligations and Cost Distribution</u></p> <p>This report consists of Form SSA-180, Report of Estimated Obligations and Cost Distribution, which is submitted monthly to Financial Management, OA. It contains an estimate of year-to-date expenditures through the current month, by object and subobject class.</p> <p>Destroy 1 year after close of the fiscal year.</p>		
	<p>5. <u>Payroll Transaction Totals Listing</u></p> <p>This biweekly listing, prepared by Financial Management, OA, summarizes employee payroll data and contributions to personnel benefits. It contains timekeeper number of each BRSI employee, and is used to verify that those individuals who transferred from one office to another are charged to the correct CAN.</p> <p>Destroy after receipt of next listing.</p>		
	<p>6. <u>Report of Net Reimbursements to the RSI Trust Fund</u></p> <p>This report is prepared monthly from feeder reports from the program centers, and is submitted to the Office of the Actuary. Included is Form SSA-2049, Daily Report of Benefit Activity, which lists certifications with schedule payments, transcript payments, and certifications not paid, which are made by the Treasury Department to the SSA Trust Fund.</p> <p>Destroy 2 years after the close of the fiscal year.</p>		
	<p>7. <u>Reimbursement from the Veterans Administration to SSA</u></p> <p>This quarterly report, submitted to Financial Management, OA, is prepared from reports received from the program centers. Included are Forms SSA-1036, Cost Statement Covering Reimbursable Services Performed, and equivalents.</p>		

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	<p>Destroy 2 years after close of the fiscal year.</p> <p>8. <u>Cash Transaction Abroad</u></p> <p>This quarterly report, submitted to Financial Management, OA, is forwarded to the Department of Commerce. It contains estimates of dollars paid in each foreign country for net benefit payments, repayments, and SMI deductions to the RSI and DI trust funds.</p> <p>Destroy 3 years after close of the fiscal year.</p> <p>9. <u>Report of Benefit Certifications</u></p> <p>This monthly report, prepared from feeder reports from each program center, is submitted to Financial Management, OA, for incorporation into a consolidated SSA report to the Department of the Treasury.</p> <p>Destroy after 2 fiscal years.</p> <p>B. <u>Manpower and Staff Reports</u></p> <p>These reports are prepared from input from the program centers, DIO, and BRSI Central Office, which are consolidated into a report to Financial Management, OA. The report is used to evaluate workload and staffing requirements. Included are SSA-1906, BRSI Weekly Staffing Report, which lists the gains, losses, and total staff on duty in the program centers. Also included are quarterly staffing reports prepared in the program centers, which list the number of employees in each grade working in the program center; Form SSA-2032, Weekly Report of Overtime, which lists the amount of overtime worked by program center employees; and equivalent documents.</p> <p>Destroy 2 years after close of the fiscal year.</p>		

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	<p>C. <u>Facilities Management Records</u></p> <p>1. <u>Requests for Supplies and Equipment</u></p> <p>These records consist of copies of Form HEW-393, Purchase/Service/Stock Requisition, for BRSI office supplies and equipment.</p> <p>Transfer to the SSA Holding Area 1 year after close of the fiscal year. Destroy after 2 years retention in the Holding Area.</p> <p>2. <u>Forms History Folders</u></p> <p>These records consist of original and microfilm copies of information pertaining to BRSI forms and form letters, and include a copy of the form or form letter, updating and reordering information, suggestions which resulted in changes to the form, and similar information.</p> <p>Transfer original documents to Forms and Publications Section, PRMB, OA, after microfilm has been proven acceptable. Retain microfilm indefinitely.</p> <p>3. <u>Manual Transmittals</u></p> <p>These records consist of master copies and negatives of transmittals of BRSI manuals, such as Post Entitlement, Health Insurance Benefits, and similar publications.</p> <p>Destroy master copies and negatives as the pertinent pages become obsolete.</p> <p>D. <u>Instructions Records</u></p> <p>1. <u>RSI Program Circulars Records</u></p> <p>These records consist of circulars which contain information pertaining to new developments in the RSI program, alerts of cyclical occurrences, reminders of reports due, and similar data. Also included are related correspondence and background material.</p>		

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	<p>Transfer to the SSA Holding Area 1 year after obsolescence. Destroy after 5 years' retention in the Holding Area.</p> <p>2. <u>Regional Issuances Records</u></p> <p>These records consist of a record set of all regional issuances and program circulars published by the six program centers. These records contain the post review performed in BRSI Central Office of the issuances and circulars.</p> <p>Transfer to the SSA Holding Area when no longer needed in current operations. Destroy after 5 years' retention in the Holding Area.</p> <p>3. <u>Claims Manual History Records</u></p> <p>These records consist of the intercomponent review and coordination of changes to each page of the claims manual, copies of the published pages, and related background material.</p> <p>Transfer to the SSA Holding Area when no longer needed in current operations. Retain permanently in the Holding Area.</p> <p>4. <u>BRSI ADS Issuances</u></p> <p>These records consist of history folders of BRSI Administrative Directives System Guides, Circulars, and Handbooks pertaining to such administrative areas as directives, realty and space, safety, and similar areas.</p> <p>Transfer to the SSA Holding Area 1 year after obsolescence. Destroy after 7 years' retention in the Holding Area.</p>		

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	<p>E. <u>Management Information Records</u></p> <p>1. <u>1A Table and Register Listings</u></p> <p>These listings which are prepared by BDP contain the number of RSI beneficiaries, number of beneficiaries in benefit status, money amounts paid by each program center, and a national total. The registers contain selected items from the listings, and are used to compare the amounts from one year to the previous two years.</p> <p>a. <u>Listings</u></p> <p>Transfer to the FRC after 7 years. Destroy after 3 years' retention in the FRC.</p> <p>b. <u>Registers</u></p> <p>Destroy after 3 years.</p> <p>2. <u>Workload Listings</u></p> <p>These records consist of listings, prepared weekly, monthly, and quarterly by each program center, and a national total. The listings show program center receipts and dispatches of cases, number of pending cases, type, age of pending cases, and a final summary total of the program center workload. The monthly and quarterly reports are microfilmed.</p> <p>a. <u>Weekly</u></p> <p>Destroy after receipt of the monthly listing.</p> <p>b. <u>Monthly</u></p> <p>Destroy 6 months after microfilming.</p> <p>c. <u>Quarterly</u></p> <p>Destroy 6 months after microfilming.</p> <p>d. <u>Microfilm Copies</u></p> <p>Retain permanently.</p>		

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	<p>3. <u>Weekly Workload Report</u></p> <p>These records consist of feeder reports which show the workload in the program centers where no folder action is required, e.g., change of address, death notices, SMI premium collection, and similar information.</p> <p>Destroy after 3 years.</p> <p>4. <u>PACER Reports</u></p> <p>These records consist of summaries of total BRSI workloads, program center workloads, and related source data.</p> <p>Destroy after 2 years.</p> <p>5. <u>Program Center Manpower Listings</u></p> <p>These records show the workload and distribution of manpower usage in the program centers.</p> <p>Destroy after 3 years.</p>		
<p>III.</p>	<p><u>MANPOWER RECORDS</u></p> <p>A. <u>Organization Development Record</u></p> <p>1. <u>Position Description Records</u></p> <p>These records consist of Optional Form 8, Position Description, for each position in BRSI.</p> <p>Destroy obsolete position descriptions after 10 years.</p> <p>2. <u>Personnel Staffing Records</u></p> <p>These records consist of copies of SF-52D, Request for Personnel Action, copies of Report 50-K, Total Manpower, prepared quarterly by the Division of Personnel, OA, and lists BRSI staffing by grade level. Included are equivalent documents.</p>		

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	<p>Transfer to the SSA Holding Area after 5 years. Destroy after 2 years' retention in the Holding Area.</p> <p>3. <u>Classification Survey List</u></p> <p>This record consists of Form OAAD-227, Classification Survey List, which lists by name the incumbents in program center positions.</p> <p>Destroy after 2 years.</p> <p>4. <u>Summary Report of the Annual Review of Jobs</u></p> <p>This report consists of Form HEW-395, Summary Report of the Annual Review of Jobs, which is submitted through the Division of Personnel, OA, for consolidation into SSA's report to the Civil Service Commission.</p> <p>Destroy after 3 years.</p> <p>B. <u>Personnel Management Records</u></p> <p>1. <u>Weekly Personnel Reports</u></p> <p>These records consist of Form SSA-1985, BRSI Weekly Staffing Report, which lists the number of employees in each component, and the expected gains and losses in BRSI. These are listed by name and grade.</p> <p>Destroy after 2 years.</p> <p>2. <u>Quarterly Report on BRSI Components</u></p> <p>These records list the number of persons at each grade level working in each section of BRSI.</p> <p>Destroy after 18 months.</p>		

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	<p>3. <u>BRSI Incentive Awards Records</u></p> <p>These records consist of annual reports which list by employee grade the number of special achievement awards and high quality increases which are received in each program center. Included are the Statistical Summary of Suggestion Activity which is prepared annually, related correspondence and background material.</p> <p>Transfer to the SSA Holding Area after 5 years. Destroy after 5 years' retention in the Holding Area.</p> <p>4. <u>Employee Appraisal Data Records</u></p> <p>These records consist of Employee Appraisal and Performance Rating Report, Forms SSA-199, (GS-7 through 13), and SSA-1326, (GS-1 through 6 and all WG employees) which contain each appraisal rating by grade of employee. Included are listings which summarize each appraisal item by grade and by branch.</p> <p>a. <u>Listings</u></p> <p>Destroy after receipt of next listing.</p> <p>b. <u>All Other Material</u></p> <p>Destroy after 3 years.</p> <p>5. <u>Personnel Reports</u></p> <p>a. These records are informational copies of reports prepared in the program centers. The original copies are forwarded to the Civil Service Commission, DHEW, OA's Division of Personnel, and other components. Included but not limited to, are:</p> <p>(1) Form HEW-113, Displaced Employee Program, prepared monthly.</p> <p>(2) Form CSC-113-F, Monthly Report on Veterans, which contains the total</p>		

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	<p>number of Vietnam veterans employed in the program centers.</p> <p>(3) Form SF-113-E, Quarterly Report of Federal Participation in Enrollee Programs. These reports contain the total number of persons working in the program centers from programs such as Neighborhood Youth Corps and the College Work Study Program.</p> <p>(4) Form HEW-415A, Summary Reports of Placements of the Handicapped.</p> <p>(5) Form CSC-113-D, Monthly Report of Temporary Summer Employment, which contains the number of summer aides employed in the program centers.</p> <p>Destroy after 6 months.</p> <p>b. These reports are prepared in the Personnel Management Branch and forwarded to OA Personnel for inclusion in SSA's consolidated report to DHEW. Included, but not limited to, are:</p> <p>(1) Summer Aide End of the Year Report, which contains a compilation of data on the summer aide program.</p> <p>(2) Federal Employment of Vietnam Era Veterans is a quarterly narrative report.</p> <p>Destroy after 3 years.</p> <p>6. <u>Personnel Management Evaluation Survey Records</u></p> <p>These records consist of surveys conducted by the Civil Service Commission, HES, OA, or other offices, on administrative management and personnel practices in the program centers.</p> <p>Destroy after completion of the third visit.</p>		

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	<p>7. <u>Employee Misconduct Report Records</u></p> <p>These records consist of correspondence from the program centers which contains irregularities in employee conduct, such as vandalism, theft, gambling on the job, and similar actions, which lead to reprimand or dismissal.</p> <p>Destroy after 2 years.</p> <p>8. <u>Program Center Personnel Listings</u></p> <p>This monthly listing pertains to employees in grades GS-7 and above. It contains employee's name, position, occupational series, last promotion date, and similar information.</p> <p>Destroy after receipt of next listing.</p> <p>9. <u>Report SOC Listing</u></p> <p>This bimonthly listing contains information on program center positions, such as job title, number of job, and name of person filling the job.</p> <p>Destroy after receipt of next listing.</p>		
III.	<p><u>PROGRAM POLICY RECORDS</u></p> <p>A. <u>Benefit Continuity Records</u></p> <p>These records consist of documents outlining SSA's policies published in the Claims Manual on application of the retirement test, general suspension from benefits, expediting payments, methods of payments of benefits; selection, availability and need for a representative payee for a child, incapable adult, and marginally-incapacitated adults; post-adjudicative aspects regarding school attendance provisions, overpayments and underpayments, and related cases. Background information includes enacting laws, coordinating regulations, interpretations of procedures, inquiries from the public and Congress which led to the decision, and related correspondence.</p>		

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	<p>Retire to the FRC when no longer needed in current operations. Retain permanently in the FRC.</p> <p>1. <u>Representative Payee Records</u></p> <p>These documents consist of reviews for each State of its representative payee program. Included are Forms SSA-9585, Beneficiary Information Report, SSA-9584, State Mental Institution Policy Review, tabulations and the resulting report of the program in each State.</p> <p>a. <u>Reports</u></p> <p>Transfer record set to the FRC after 10 years. Retain permanently in the FRC.</p> <p>b. <u>All Other Material</u></p> <p>Destroy after completion of next review.</p> <p>B. <u>Contract Coverage Records</u></p> <p>1. <u>State Agreements, Modifications and Related Background Material</u></p> <p>These files consist of original and duplicate copies of legal agreements on social security coverage of employees made between SSA and a State, or its political subdivision, modifications to the agreements, and interpretations of the agreements. Background material includes correspondence which led to the agreement, copies of enacting State legislation, and other policy and precedent material.</p> <p>Retain permanently.</p> <p>2. <u>State Coverage Background Records</u></p> <p>These records consist of documents on social security coverage of State employees (or employees of a political subdivision), used as background to formulate policy, as precedent</p>		

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	<p>material, or to explain existing SSA-State policy. Included are transfer requests, OAR-S4, State's Report of Adjustments, conference reports, and similar information.</p> <p>Retain permanently.</p> <p>3. <u>Voluntary Terminations</u></p> <p>These documents consist of original copies of legal terminations of social security coverage of State employees or employees of a political subdivision.</p> <p>Transfer to the FRC after termination is effective. Retain permanently in the FRC.</p> <p>4. <u>Partial Terminations</u></p> <p>These documents consist of requests from a State or a political subdivision thereof, that the social security coverage of its employees be terminated because the entity no longer exists.</p> <p>Transfer to the FRC after 2 years. Retain permanently in the FRC.</p> <p>5. <u>Employment Coverage Records</u></p> <p>These documents consist of original and microfilm copies of policies, related instructions and interpretive materials on employer-employee relationships, wages, wage exceptions, wage proofs, statute of limitations on corrections of earnings records, and similar material, which may form the basis of Commissioner's Decisions, Social Security Rulings, or General Counsel Opinions. Included are studies, correspondence, Form SSA-7160, Employment Relationship Questionnaire, and related background material.</p> <p>Destroy original documents after microfilm has been proven acceptable. Retain microfilm indefinitely.</p>		

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	<p data-bbox="326 338 746 374">6. <u>Tax-Related Issuances</u></p> <p data-bbox="390 411 1177 671">These documents consist of original and microfilm copies of comments made by SSA on Internal Revenue Tax forms and tax related issuances, such as IRS Form 941, Employers Quarterly Tax Return, IRS Form 942, Employers Quarterly Tax Return for Household Employees, IRS Form W-2, Withholding Tax Statement, and similar records.</p> <p data-bbox="390 707 1144 804">Destroy original documents after microfilm has been proven acceptable. Retain microfilm indefinitely.</p> <p data-bbox="326 840 1025 876">7. <u>Contract Evaluation and Review Records</u></p> <p data-bbox="390 907 1124 1003">These files consist of records of the social security coverage of employees working for a State or a political subdivision thereof.</p> <p data-bbox="390 1040 973 1076">a. <u>Review Cases for State Coverage</u></p> <p data-bbox="453 1112 1154 1272">These files consist of cases submitted for a Commissioner's Decision on State earnings discrepancies, assessment of a State for late submission of social security contributions, and similar cases.</p> <p data-bbox="453 1308 1103 1405">Transfer to the FRC 2 years after close of the case. Retain permanently in the FRC.</p> <p data-bbox="390 1441 1122 1477">b. <u>Audit Files of State Coverage Agreements</u></p> <p data-bbox="453 1501 1201 1852">These files consist of comprehensive onsite reviews of state payroll records units to ensure proper computation of the required employee-employer social security contributions, that the payments are deposited, and that the reports are filed timely. Included are questionnaires, SSA audit reports of a State or its political subdivision, IEN audit reports of interstate instrumentalities (where more than one State is involved), and related correspondence.</p>		

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	<p>Transfer to the FRC after 4 years. Retain permanently in the FRC.</p> <p>c. <u>State Extension Agreements</u></p> <p>These files consist of original documents which extend the time limitation for a State instrumentality in which to comply with the wages, earnings records for its employees, or similar cases. Extension agreements may form the basis of a court case.</p> <p>Transfer to the FRC 2 years after court action is completed, or when no longer needed for reference. Retain permanently in the FRC.</p> <p>8. <u>Sect Folder Determination</u></p> <p>These records consist of findings made by the Bureau of Retirement and Survivors Insurance regarding whether a religious sect or division thereof meets the requirements of the Internal Revenue Code for an exemption from social security contributions. Included are Form SSA-1458, Certification by a Religious Group, related correspondence, and background material.</p> <p>Retain permanently.</p> <p>9. <u>Self-Employment Records</u></p> <p>These records consist of original and microfilm copies of correspondence and related material on individual cases which form the background for substantive and procedural policies regarding social security coverage and exemption from coverage of self-employed individuals.</p> <p>Destroy original documents after microfilm has been proven acceptable. Retain microfilm indefinitely.</p>		

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	<p data-bbox="304 344 863 379">10. <u>Religious Affiliation Records</u></p> <p data-bbox="381 411 1233 741">These files consist of copies of original documents maintained permanently elsewhere which are microfilmed, and are filed by individuals for exemption from social security contributions. Included are Internal Revenue Service Form 2031, Minister's Waiver Certification, IRS Form 4361, Application for Exemption from Self-Employment Tax by Ministers, Members of Religious Orders, and Christian Science Practitioners, related correspondence, and similar material.</p> <p data-bbox="381 778 1087 883">Destroy paper documents after microfilm has been proven acceptable. Retain microfilm indefinitely.</p> <p data-bbox="304 919 794 953">11. <u>Verification Test Records</u></p> <p data-bbox="381 989 1156 1191">These records consist of original and microfilm copies of documents prepared by a wage earner which are checked against BDP records to see if an accurate report was submitted. Included are IRS Schedule SC, Form SSA-1205, SEI Verification Coding Sheet, and similar records.</p> <p data-bbox="381 1221 1133 1316">Destroy original documents after microfilm has been proven acceptable. Retain microfilm indefinitely.</p> <p data-bbox="247 1378 625 1413">C. <u>Entitlement Records</u></p> <p data-bbox="317 1443 810 1477">1. <u>Entitlement Policy Records</u></p> <p data-bbox="381 1509 1164 1897">These records consist of original and microfilm copies of documents which form the background of SSA's policies relating to taking, developing and adjudicating claims; proof of age and death; reconsiderations and appeal rights, finality of determination; veterans provisions; conditions for entitlement to retirement, dependents and survivors benefits, family relationships; school attendance, lump-sum death payments; termination of benefits based on marriage, divorce, annulment and adoption. The resultant policies are published in the Claims</p>		

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	<p>Manual, in Social Security Rulings, General Counsel Opinions, Commissioner's Decisions, and their equivalents. Included are ad hoc studies, related correspondence and similar information.</p> <p>Destroy original documents after microfilm has been proven acceptable. Retain microfilm indefinitely.</p> <p>2. <u>Policy Coordination Records</u></p> <p>These records consist of original and microfilm copies of documents which outline BRSI policy for coordination with other bureaus and offices of SSA, as well as with the Census Bureau, Department of Defense, GSA, Railroad Retirement Board, and similar agencies.</p> <p>Destroy original documents after microfilm has been proven acceptable. Retain microfilm indefinitely.</p> <p>D. <u>Technical Services Records</u></p> <p>1. <u>Regulations and Rulings Records</u></p> <p>a. <u>SSA Regulations Records</u></p> <p>These records consist of original and microfilm copies of regulations published in the Federal Register by the Secretary of HEW. The regulations interpret and supplement the social security law. Included are the notice of the proposed regulation, the preliminary draft, the intercomponent review, and the final version.</p> <p>Destroy original documents 1 year after microfilm has been proven acceptable. Retain microfilm indefinitely.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

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	<p data-bbox="388 358 969 389">b. <u>Social Security Rulings Records</u></p> <p data-bbox="451 425 1185 747">These records consist of original and microfilm copies of history folders pertaining to technical and legal issuances on survivors, health, and disability issuances. These issuances are published bimonthly as Social Security Rulings. The bimonthly bulletins are republished annually in the Cumulative Bulletin. Included are related background material, clearances, and published copies of the Rulings.</p> <p data-bbox="451 788 1099 878">Destroy original documents 1 year after microfilm has been proven acceptable. Retain microfilm indefinitely.</p> <p data-bbox="388 919 981 949">c. <u>Social Security Handbook Records</u></p> <p data-bbox="451 985 1182 1237">These records consist of original and microfilm copies of additions and changes to each chapter of the Social Security Handbook which are prepared for new Handbook editions. Included are intercomponent comments and reviews, preliminary and inter-component drafts, and final copies sent to be printed.</p> <p data-bbox="451 1278 1099 1368">Destroy original documents 1 year after microfilm has been proven acceptable. Retain microfilm indefinitely.</p> <p data-bbox="318 1409 1012 1439">2. <u>Confidentiality and Compliance Records</u></p> <p data-bbox="388 1479 667 1509">a. <u>Fraud Records</u></p> <p data-bbox="451 1540 1197 1915">These records consist of documents pertaining to entitlement fraud, conspiracy to avoid social security deductions, failure to report terminations, misuse of benefits, false return filed by employers, SSA employee fraud, and similar cases which are sent to the U.S. Attorney for prosecution. Included are SSA-1496, Transmittal Letter - Regional Attorney, Fraud Case Referrals; Form SSA-2030, Synopsis of Violation, Form SSA-2379, Violations Case Closed by the Social Security</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>Administration, Statement of Facts and Statement of Violation, related correspondence and similar material.</p> <p>Transfer to the FRC 2 years after completion of U.S. Attorney's action. Destroy after 5 years' retention in the FRC.</p> <p>b. <u>Fraud Deterrance Report</u></p> <p>This report contains information on fraud deterrance of retirement, survivors, and disability insurance and is microfilmed. It includes program accomplishments, program policy and philosophy, and a compilation of statistical information on the types of violations sent to the U.S. Attorney's Office for prosecution.</p> <p>Destroy original documents after microfilm has been proven acceptable. Retain microfilm indefinitely.</p> <p>c. <u>Attorneys' Fees Records</u></p> <p>These files consist of copies of documents pertaining to the fees for an attorney who represented a claimant after a case has been completed and an award is to be made. Included are Form SSA-1560, Petition to Obtain Approval of a Fee for Representing a Social Security Claimant, SSA-1560A, Authorization to Charge and Receive a Fee, SSA-1178, Evaluation of Fee Petition for Representation, and related correspondence. Also included are original and microfilm copies of SSA-1224, Fee Ledger, used to record fees for all attorneys who petitioned for them.</p> <p>(1) <u>Fee Ledger</u></p> <p>Destroy original documents after microfilm has been proven acceptable. Retain microfilm indefinitely.</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) <u>All Other Material</u></p> <p>Destroy inactive records after 2 years.</p> <p>d. <u>Freedom of Information Records</u></p> <p>These records consist of original and microfilm copies of documents related to carrying out the provisions of the Freedom of Information Act. Included are requests for Commissioner's Decisions on proposed SSA regulations regarding the Act, instructional procedures to SSA components interpreting the Act, policy statements on what material in SSA offices is available to the public, and similar material. Also included are requests from the public for copies of material pursuant to the Freedom of Information Act. These requests are analyzed to see if new publications should be issued to better inform the public on the social security program, and other purposes.</p> <p>Destroy original documents 1 year after microfilm has been proven acceptable. Retain microfilm indefinitely.</p> <p>e. <u>Misleading Advertising Records</u></p> <p>These records consist of original and microfilm copies of a history of SSA actions against private companies who advertise materials on SSA programs, which lead the public to believe the information is issued by SSA. Included are correspondence from the public with copies of the offending advertisement, correspondence attempting to remedy the source of the complaint with State insurance departments, the U.S. Postal Service, Federal Trade Commission, and similar agencies. Also included is a card index listing the companies with dates of the offense.</p> <p>Destroy original documents 1 year after microfilm has been proven acceptable. Retain microfilm indefinitely.</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 data-bbox="375 344 1105 411">f. <u>Disclosure of Information to Immigration and Naturalization Service (INS) Records</u></p> <p data-bbox="438 445 1151 772">These records consist of original and microfilm copies of precedent material outlining SSA's policy on disclosing to INS the identification and location of aliens working in the U.S. Included are records of discussions with INS, General Counsel opinions, materials prepared for Congressional committees, testimony before Congressional committees, interpretations of the law, and related correspondence.</p> <p data-bbox="438 812 1136 909">Destroy original documents after microfilm has been proven acceptable. Retain microfilm indefinitely.</p> <p data-bbox="371 943 1133 975">g. <u>Issuance and Use of Account Number Records</u></p> <p data-bbox="432 1010 1167 1362">These records consist of original and microfilm copies of documents outlining SSA's policy pertaining to requests to use the social security number for purposes not related to the social security program. Included are study material, submittals to the Commissioner, reports of intercomponent work groups, and similar records. Also included is correspondence from the public and the Congress requesting information on SSA's policy.</p> <p data-bbox="438 1397 951 1429">(1) <u>Policy Background Material</u></p> <p data-bbox="517 1463 833 1495">Retain permanently.</p> <p data-bbox="438 1526 736 1558">(2) <u>Other Records</u></p> <p data-bbox="517 1592 879 1624">Destroy after 5 years.</p>		
IV.	<p data-bbox="235 1689 685 1721"><u>SYSTEMS AND METHODS RECORDS</u></p> <p data-bbox="235 1755 733 1788">A. <u>Systems Procedural Records</u></p> <p data-bbox="298 1822 1048 1886">These records consist of correspondence and suggestions which form the background for RSI</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>procedures, such as flow of work, filing of folders, and similar information.</p> <p>Maintain record set of procedures permanently. Transfer background material to the FRC when no longer needed in current operations. Destroy after 10 years' retention in the FRC.</p> <p><u>B. Systems Proposals and Projects</u></p> <p>These records consist of proposals and projects pertaining to the relationship between RSI and other SSA programs which modify the RSI program. Included are BDP Form 2004, Minor Program Modifications, statistical summaries, computer runs from the MBR update, and related correspondence.</p> <p>1. <u>Final Proposal and Final Modification</u></p> <p>Retain permanently.</p> <p>2. <u>Related Background Material</u></p> <p>Transfer to the FRC 1 year after program is adopted. Destroy after 10 years' retention in the FRC.</p> <p><u>C. Benefit and Certification Reports</u></p> <p>These records consist of copies of documents which are used to locate problems and to correct procedures when an out-of-balance condition exists between the records of the program center and those of the Treasury Department. Included are Treasury Form BA-6552, Statement of Differences, SSA-398, Report of Benefit Certifications to the U.S. Treasury Department, and similar documents.</p> <p>Destroy after 2 years.</p> <p><u>D. Schedule of FDP Modifications</u></p> <p>These records consist of information copies of material received from EDP which state what EDP</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>changes will be made to the MBR.</p> <p>Destroy after 1 year.</p> <p>E. <u>Report of Payment Process Audit</u></p> <p>These records consist of Forms SSA-2040, Report of Payment Process Audit, SSA-2040C, Payment Process Audit Explanation of Errors and Remarks, and similar documents, which are used to detect fraud.</p> <p>Destroy after 1 year.</p> <p>F. <u>Manual Chapters Records</u></p> <p>These records consist of background material which pertains to changes in the Special Projects Manual 100 and Fiscal Control and Audit Manual 107.</p> <p>1. <u>Record Set</u></p> <p>Maintain permanently.</p> <p>2. <u>Background Material</u></p> <p>Transfer to the FRC when no longer needed in current operations. Destroy after 10 years' retention in the FRC.</p> <p>G. <u>Fiscal Projects Records</u></p> <p>These records contain the historical background for various completed fiscal projects on RSI processes, such as payment process audit and other similar processes. Included are data on why the process is performed a certain way, background material pertaining to changing the manuals on program center payroll processing system, e.g., control procedures and hold check control operations. Also included are RSI systems audits, related correspondence, and similar data.</p> <p>Transfer to the FRC when no longer needed in current operations. Destroy after 10 years' retention in the FRC.</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>H. <u>Validation Records</u></p> <p>These records consist of material relating to tests of computer operations performed after a change is made in computer processing of the payment process. Some programs are validated monthly, at which time some programs are eliminated, and others are instituted. Included are listings of totals of checks, names and addresses, and related correspondence.</p> <p>1. <u>Correspondence</u></p> <p>Destroy after receipt of third memo.</p> <p>2. <u>Listings</u></p> <p>Destroy after next validation.</p> <p>I. <u>Travel Reports</u></p> <p>These records consist of reports of visits to program centers made by Systems Development and Accounting staff members which describe where changes are necessary to existing operations.</p> <p>Destroy after next comparable report.</p>		
V.	<p><u>CLAIMS OPERATIONS RECORDS</u></p> <p>A. <u>RSI Case Control System Reports</u></p> <p>These weekly worksheets, prepared by each program center, are used to analyze production of SSACCS (SSA Claims Control System) in the program centers, i.e., the number of hold case records pending, volume of temporary folders in operations, SSACCS alerts produced, and similar data.</p> <p>Destroy after 2 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>SSACCS Processing Reports</u></p> <p>These records consist of weekly listings prepared by BDP and related correspondence which are used to analyze trends of workflow in the program center. The listings show each program center's volume of initial and subsequent claims received, clearances processed (disallowances, lump-sum cases, etc.), the number of SSACCS-generated alerts (60 day, 90 day, or 120 day), case folders in operation and similar data.</p> <p>Destroy after 2 years.</p>		
	<p>C. <u>Claims Operations Instructions</u></p> <p>These records consist of instructions, procedures, and related correspondence pertaining to SOBER and the medical insurance program of BRSI, which are published in the manuals for Premium Collection, Health Insurance Benefits, Supplemental Medical Insurance Benefits, and Post-Entitlement.</p> <p>1. <u>Record Set of Manuals</u></p> <p>Maintain permanently.</p> <p>2. <u>Other Copies</u></p> <p>Transfer to the FRC when no longer needed in current operations. Destroy after 10 years' retention in the FRC.</p>		
VI.	<p><u>PAYMENT OPERATIONS RECORDS</u></p> <p>A. <u>Payment Operations Records</u></p> <p>These records consist of correspondence, minutes of meetings, and other material which form the background for initiating changes to procedural manuals, such as Post-Entitlement, Direct Input Preparation, Exception Processing, Recovery, Case Control, and other manuals.</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>Record Set of Manuals</u></p> <p>Retain permanently.</p> <p>2. <u>Background Material</u></p> <p>Transfer to the FRC when no longer needed in current operations. Destroy after 10 years' retention in the FRC.</p> <p>B. <u>Validation Records</u></p> <p>These records consist of documents pertaining to validating computer programs. Included are requests for new computer programs, computer test runs, Form SSA-107a, Determination of Benefits, and similar material.</p> <p>Destroy after program is validated.</p>		
VII.	<p><u>CRITICAL CASE STAFF RECORDS</u></p> <p>A. <u>Critical Case Records</u></p> <p>These records consist of correspondence from the public on RSI problems, which is addressed to other than the Commissioner of SSA, and congressional correspondence forwarded for reply by other SSA entities (e.g., OC, DPI). Included are inquiry sheets, which record incoming correspondence, telephone inquiries of cases deemed critical (beneficiary is in dire need, a public relations problem has arisen, case meets the requirement of Section 205(q) of the SS Act, or similar instances.) Included are MER printouts attached to many of the inquiry sheets, which are used to ascertain if the beneficiary is in payment status.</p> <p>1. <u>Correspondence</u></p> <p>Destroy 2 years after final reply is made.</p> <p>2. <u>Inquiry Sheets</u></p> <p>Destroy 1 year after final reply is made.</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>Expediting Staff Instructions</u></p> <p>These records consist of instructions, procedures, and related correspondence pertaining to the processing of critical/sensitive cases in district offices and program centers, and guidelines for processing critical/sensitive cases received in the BRSI Critical Case Staff.</p> <p>1. <u>Record Set of Manuals</u></p> <p>Retain permanently.</p> <p>2. <u>Background Material</u></p> <p>Transfer to the FRC when no longer needed in current operations. Destroy after 10 years' retention in the FRC.</p> <p>C. <u>Critical Case and Expedited Payments Reports</u></p> <p>These weekly reports from the program centers are used as an indicator to show how well the program centers are performing in expediting payments to critical cases.</p> <p>Destroy after 5 years.</p> <p>D. <u>Monthly Analysis Report of Critical Cases</u></p> <p>These reports from the program centers analyze the causes of critical cases. The analysis is used to correct program center and central office procedures.</p> <p>Destroy after 3 years.</p>		
	<p><u>QUALITY APPRAISAL RECORDS</u></p> <p>A. <u>Program Review Records</u></p> <p>These records consist of studies conducted to determine the state of quality of the RSI process, objective analysis and recommendations based on study data and other information, identification of</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>extent of problems and causes, and recommendations showing where improvements can be made. Included are comprehensive written study reports, summary reports, and other papers directly related to the studies.</p> <p>1. <u>End-of-Line (EOL) Data Reports</u></p> <p>These records consist of original copies of weekly statistical reports of quality sampling of RSI awards and disallowances and post-adjudicative actions, performed by the QA staff in each program center.</p> <p>Destroy after 1 year.</p> <p>2. <u>End-of-Line Statistical Data Tabulations and Reports</u></p> <p>These tabulations consist of listings of awards and disallowances, change of address, post-adjudicative actions, district office development requests, and quality sample group data. The tabulations are published monthly as the EOL Statistical Data Report.</p> <p>a. <u>Tabulations</u></p> <p>Transfer to the SSA Holding Area after 1 year. Destroy after 2 years' retention in the Holding Area.</p> <p>b. <u>Reports</u></p> <p>Maintain record set permanently.</p> <p>c. <u>Other Copies</u></p> <p>Destroy when no longer needed for reference.</p> <p>3. <u>Regional Monthly Quality Appraisal Reports</u></p> <p>These reports contain narrative data by RSI Quality Appraisal field staffs on RSI program, studies, and Quality Appraisal activities in the RSI regions.</p> <p>Destroy after 2 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 data-bbox="310 368 741 405">4. <u>Reports of RSI Quality</u></p> <p data-bbox="373 439 1168 661">These narrative reports are prepared monthly by central office. They contain analyses of RSI program areas, ongoing and special studies and other matters relating to RSI quality. The monthly reports are consolidated into a quarterly report.</p> <p data-bbox="373 701 603 737">a. <u>Record Set</u></p> <p data-bbox="435 768 749 804">Retain permanently.</p> <p data-bbox="373 834 736 870">b. <u>All Other Material</u></p> <p data-bbox="435 901 1163 937">Destroy when no longer needed for reference.</p> <p data-bbox="310 967 655 1003">5. <u>Regional Feedback</u></p> <p data-bbox="373 1034 1176 1195">This monthly informal staff-to-staff communication from headquarters QA staff to the field QA staffs provides analysis and information pertaining to the monthly QA reports submitted by the field staffs.</p> <p data-bbox="373 1225 729 1262">Destroy after 3 years.</p> <p data-bbox="235 1322 834 1358">B. <u>Quality Appraisal System Records</u></p> <p data-bbox="297 1389 1241 1836">These records are completed by the Quality Appraisal staffs in the RSI program centers in the review of sample numbers of cases prepared by the DO as nonreview claims. Included are the quality review data forms for the EOL QA studies, Forms SSA-1849, RSI Awards and Disallowances Quality Review Input Data, SSA-1849(P), RSI Post-adjudicative Quality Review Input Data Form, SSA-1710, Change of Address Quality Review Input Data Form, and equivalent documents. Also included are study forms completed in the Quality Sample Group in the program centers for DO final authorized awards, such as Forms SSA-2504, Quality Sample - Monthly Benefit Cases, SSA-2443, Quality Sample - Lump-Sum Only Cases, and equivalent forms.</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>Forms SSA-1849, SSA-1849(P), and SSA-1710</u></p> <p>Transfer to the SSA Holding Area after 3 months. Destroy after 9 months' retention in the Holding Area.</p> <p>2. <u>Forms SSA-2504 and SSA-2448</u></p> <p>Transfer to the SSA Holding Area after 1 month. Destroy after 9 months' retention in the Holding Area.</p> <p>C. <u>Special Studies Records</u></p> <p>These studies, conducted on a periodic or cyclical basis, evaluate the effectiveness of aspects of the RSI process that are not covered in the major end-of-line systems, such as annual reports, AERO, PC correspondence. In addition, these studies are designed to cover identified problem areas in more detail than in the end-of-line studies or are conducted at the specific request of other interested SSA components, such as change of payee cases, work notices, and similar cases. The results are published as a Report of Special Studies. Included are study data forms and background material for various QA studies.</p> <p>1. <u>Reports</u></p> <p>Maintain record set permanently.</p> <p>2. <u>All Other Material</u></p> <p>Transfer to the SSA Holding Area when no longer needed in current operations.</p>		
IX.	<p><u>LIAISON AND COORDINATION RECORDS</u></p> <p>A. <u>Regional Representatives Meetings, Programs, and Conferences Records</u></p> <p>These records consist of documents pertaining to meetings of regional representatives which are held</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>to discuss management issues, such as promotions, appraisals, staffing plans, budget, and similar matters; program matters such as handling of critical cases; and process-oriented matters, such as representative payee, state and local coverage; and similar matters. Included are site announcements, agenda, approvals, participate lists, speakers, travel arrangements, and final report of the meeting.</p> <p>Transfer to the FRC 2 years after the meeting. Destroy after 5 years' retention in the FRC.</p> <p><u>B. Audit Reports</u></p> <p>These records consist of audits performed by GAO, HEW, SSA or other agencies on personnel utilization, fraud detection, overtime, representative payees, employee activities associations, and similar cases. Included are BRSI policy regarding audits, draft audit reports with pertinent comments, final reports, and quarterly follow-up to ensure that the final recommendations are implemented.</p> <p>Transfer to the FRC 2 years after final report is issued. Retain permanently in the FRC.</p> <p><u>C. District Office Visit Reports</u></p> <p>These are copies of reports of visits made by the program centers to district offices which are used to evaluate the overall effectiveness of the DO visit program. The original report is maintained by Liaison and Coordination Staff in the program center.</p> <p>Destroy after 1 year.</p> <p><u>D. Program Evaluation Records</u></p> <p>These records consist of studies pertaining to the RSI process to ensure that the policy is the same throughout all SSA offices. Included are inter- and intra-bureau program studies on overpayments, and similar cases.</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>Transfer to the FRC when no longer needed in current operations. Destroy after 4 years in the FRC.</p> <p>E. <u>Program Center Visit Records</u></p> <p>These records consist of documents accumulated in inspecting program center operations. Included are correspondence pertaining to various aspects of the RSI program, such as claims folders, clarity of letters, expedited payments, expediting staff procedures, follow-up reports, and similar material.</p> <p>Transfer to the FRC after 2 years. Destroy after 4 years' retention in the FRC.</p>		
X.	<p><u>LABOR MANAGEMENT RELATIONS AND EQUAL EMPLOYMENT OPPORTUNITY RECORDS</u></p> <p>A. <u>Labor Management Relations Records</u></p> <p>1. <u>Labor Management Relations Cases</u></p> <p>These records consist of cases in which the Labor Management Relations Staff acts as the mediator, such as in instances of mismanagement of funds, trusteeship cases, employee demonstrations, unfair labor practice charges filed by the union, and similar instances. The cases are used as precedents for future actions. Included are congressional inquiries, report of findings, and related correspondence.</p> <p>Retire to the FRC when no longer needed in current operations. Retain permanently in the FRC.</p> <p>2. <u>Employee Unions Records</u></p> <p>These records consist of documents pertaining to the unions which represent social security employees in the program centers. Included are the union recognition documents, the union constitution, locally-negotiated union agreements, and related correspondence.</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>a. <u>Union Recognition and Union Constitution Documents</u></p> <p>Retain permanently.</p> <p>b. <u>Local Agreements and Related Correspondence</u></p> <p>Transfer to the FRC 1 year after the union agreement has expired. Destroy after 5 years' retention in the FRC.</p> <p>3. <u>Union-Management Meetings Notes and Publications</u></p> <p>These records consist of minutes of meetings held between the union and management, copies of union newsletters, other publications, and related correspondence.</p> <p>Destroy after 2 years.</p> <p>4. <u>Special Projects Records</u></p> <p>These records consist of background data pertaining to special projects, such as establishing the program for eating facilities in the program centers.</p> <p>Transfer to the FRC 1 year after program is established. Destroy after 5 years' retention in the FRC.</p> <p>5. <u>Grievance Records</u></p> <p>These records consist of policy background material for the handling of grievances in the program centers, as well as the grievances filed by the union under the negotiated agreement.</p> <p>a. <u>Policy Material and Precedent Cases</u></p> <p>Retain permanently.</p> <p>b. <u>Other Cases</u></p> <p>Destroy 5 years after the case is closed.</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 data-bbox="321 342 870 379">6. <u>Unfair Labor Practice Records</u></p> <p data-bbox="384 413 1121 604">These records are precedent cases of charges filed by the union against management in the program centers on such matters as union observers on promotion panels, deduction of multilevel dues from employees salaries, and similar cases.</p> <p data-bbox="384 641 1152 735">Transfer to the FRC when no longer needed in current operations. Retain permanently in the FRC.</p> <p data-bbox="250 802 1019 838">B. <u>Equal Employment Opportunity (EEO) Records</u></p> <p data-bbox="321 872 901 909">1. <u>Precomplaint Counseling Records</u></p> <p data-bbox="384 937 1136 1032">These records consist of reports completed by EEO counselors in the program centers on potential discrimination complaints.</p> <p data-bbox="384 1064 729 1100">Destroy after 1 year.</p> <p data-bbox="321 1132 831 1169">2. <u>Discrimination Case Records</u></p> <p data-bbox="384 1197 1152 1292">These records consist of cases filed by individual program center employees on alleged discrimination.</p> <p data-bbox="384 1324 1183 1391">Transfer inactive cases to the FRC after 1 year. Destroy after 3 years in the FRC.</p> <p data-bbox="321 1423 1136 1459">3. <u>Affirmative Action Plans and Progress Reports</u></p> <p data-bbox="384 1487 1168 1649">These records consist of plans for equal employment opportunity in the program centers, the semiannual progress reports on how well the affirmative action plans are accomplished, and related correspondence.</p> <p data-bbox="384 1681 744 1717">Destroy after 3 years.</p> <p data-bbox="321 1749 1183 1786">4. <u>Summary Reports of Allegations of Discrimination</u></p> <p data-bbox="384 1814 1168 1880">These records consist of Form SSA-1358; Monthly Report of Formal Complaints of Discrimination,</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 lists the number of complaints of discrimination filed by employees in each program center.</p> <p>Destroy after 5 years.</p> <p>5. <u>EEO Counselor Program Records</u></p> <p>These records consist of data pertaining to the operation of the EEO program in the program centers, such as selection and replacement of counselors, and related correspondence.</p> <p>Destroy 1 year after expiration of union contract.</p> <p>This certifies that the records described on this form shall be microfilmed in accordance with the standards set forth in 41 CFR 101-11.504 and that the silver original microfilm, plus one positive copy of each microfilm shall be offered to the Federal Records Center, Suitland, Maryland.</p>		