

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)

Department of Health, Education, and Welfare

2. MAJOR SUBDIVISION

Social Security Administration

3. MINOR SUBDIVISION

Office of Advanced Systems

4. NAME OF PERSON WITH WHOM TO CONFER

Ernest P. Lardieri

5. TEL. EXT.

594-5770

LEAVE BLANK

JOB NO.

NC 1-47-79-2

DATE RECEIVED **9 JAN 1979**

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disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10.

Jan 25 1979
Date

Robert M. Warr
Archivist of the United States

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 6 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

12/19/78

D. SIGNATURE OF AGENCY REPRESENTATIVE

Ernest P. Lardieri

E. TITLE

Deputy Asst. Dir. for Mgmt. & Eval.

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
OFFICE OF ADVANCED SYSTEMS

Office of Advanced Systems (OAS), created in 1975, directs and conducts long-range process and systems planning efforts within SSA. It develops goals, objectives, policies, standards, practices, and timetables for the SSA process and related systems of the future. OAS performs research studies and analyses concerning future programs and operational status and requirements for 5-20 year periods. The files described in the schedule are created by components of OAS in performance of these assigned functions.

I. GENERAL ADMINISTRATIVE FILES

A. Administrative Files

1. Official file copies of outgoing correspondence relating to office functions.

2. Comments on draft reports, studies, and proposals prepared by other offices.

18 items

Copies to NNB, NFE agency mail

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 or not approved for disposal will be so marked. Each SF 115 requiring Comptroller 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 subdivisions.

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 materials that can be treated as a single unit for purposes of disposal. Component parts of a series may be listed separately if 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:

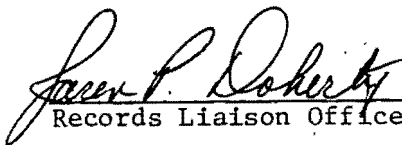
If immediate disposal is requested of past accumulations of records, the inclusive dates during which the records were produced should be stated.

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 reproduced 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 an item. 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.


SSA Records Officer

 12/5/78
Records Liaison Officer, OAS

Request for Records Disposition Authority - Continuation

JOB NO.

PAGE OF 6
2

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>3. Contributions to and/or comments on proposed legislation.</p> <p>4. Suggestion evaluations.</p> <p>5. Management and activity reports, such as overtime and staffing reports, workload and production reports, highlights, and other reports prepared to submit narrative and/or statistical data to other offices.</p> <p>Destroy 2 years after the close of the calendar year in which dated.</p> <p>B. <u>Working Files</u></p> <p>Nonessential working papers retained for reference purposes by staff members. Included are extra copies of official file material, supporting or background papers used in developing official files but not needed as part of the official file, studies, or similar material not acted upon, papers used as administrative aids, and papers that do not serve as a basis for official action.</p> <p>Destroy after 2 years or when no longer needed for reference, whichever is earlier.</p> <p>II. <u>PROGRAM FILES</u></p> <p>A. <u>Future Process Records</u></p> <p>1. <u>Decision Memorandums File</u></p> <p>A file consisting of Future Process Decision Memorandums, a series of numbered memorandums dating from 1975 to 1977, dealing with the Future Process for SSA programs. These decision memorandums, which deal with all aspects of SSA programs, were used as a vehicle to secure approval and concurrence of the SSA Commissioner and organizational components for proposed goals and directions of SSA program. Examples of memorandums include Assignment and Maintenance of Social Security Number; Retirement Test Maintenance; Earnings Records Maintenance; Replace Lost or Stolen Checks; and Process SSI Claims. Each memorandum discusses the current operations, recommends future actions, and includes supporting information (e.g., charts) for recommended actions. Documents in the file consist of a copy of decision memorandum, SSA component comments, and Commissioner's approval. Published copies of the</p>		

Request for Records Disposition Authority - Continuation

JOB NO.

PAGE OF 6
3

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>memorandum were distributed SSA-wide.</p> <p>a. <u>Record Set of Decision Memorandums</u> PERMANENT. Transfer to the SSA Records Holding Area after completion of the OAS project. Destroy 5 years thereafter. <i>offer to NARS 5 years thereafter.</i></p> <p>b. <u>Other Copies</u> Destroy after 2 years.</p> <p>2. <u>Recommended Design Concept Publication</u> A publication, Toward a Design Concept for the Future SSA Process, which presents a suggested new concept to be used in administering SSA program. This new process relates to all programs and is designed for improving efficiency and service to the public. The publication includes discussions and comparisons of present and future SSA processes, cost benefit information, and discussion of client and legislative and policy impact. This publication was developed from decision memorandums and studies conducted by OAS, and is a synthesis of all decisions and recommendations regarding directions and implementation of SSA Future Processes.</p> <p>a. <u>Record Copy</u> PERMANENT. Offer to the National Archives 10 years after publication date (1977).</p> <p>b. <u>Other Copies</u> Destroy when administrative value ceases.</p> <p>B. <u>Historical Product File</u> A central file of all OAS products or work projects designed to implement the SSA Future Process. Products may be filed by assigned control number or by year in subject sequence and relate to such topics as analysis of present process; technical assessments of the market place (machinery and software); data management, data communication; systems engineering; security and privacy considerations; and human factor involvement (man and machine interface). Information in these files include copies of final work products (study, activity, etc.) with the necessary approval or acceptances of product results; Form SSA-3414, Activity/Product Descriptions, or</p>		

Request for Records Disposition Authority - Continuation

JOB NO.

PAGE OF 6

4

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>its equivalent; supporting documentation (charts, narratives, data sheets); comments for other SSA components; and other related background documents. Selected studies may be published for SSA-wide distribution (a record copy of the published report will be maintained in the product file). Working file which duplicates the official product file may be retained by staff members assigned to the project.</p> <p>1. <u>Official Product File</u></p> <p>Transfer to the SSA Holding Area after completion of the OAS project. Destroy 5 years thereafter.</p> <p>2. <u>Working Files</u></p> <p>Destroy 2 years after completion of the project.</p> <p>C. <u>Contract Files</u></p> <p>Working copies of contract files relating to the procurement of studies or services necessary to OAS's function of the development and implementation of SSA Future Processes. Official contract files are maintained by the Office of Materiel Management, Office of Management and Administration. Documents in these working files consist of copies of requests for proposals, purchase orders or letter of agreements, contracts, contracted reporting requirements, contractor reports, correspondence, and other related documents. These files are maintained by assigned project member.</p> <p>Upon completion or termination of the contract, remove any documents which should be retained to document the project and file in the product file. Destroy remainder of the contract file after 5 years. <i>Transfer remainder of file to FRCC. Destroy 5 years thereafter.</i></p> <p>D. <u>Systems Modification Record</u></p> <p>1. <u>Systems Change Control Committee Files</u></p> <p>Files documenting the activities of the Systems Change Control Committee (SCCC), an intercomponent group, chaired by the Director, OAS. SCCC reviews proposals for new systems or major changes to existing systems with SSA-wide implications to ensure that these proposals are in accord with the future directions of SSA. Records in the file consist of minutes of SCCC meetings; meeting agendas; component's presentation of proposals (papers,</p>		

Request for Records Disposition Authority - Continuation

JOB NO.

PAGE OF 6
5

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>cost benefit analyses and supporting documentation); and other related documents. Documentation relating to these new systems or changes in present systems will also be retained by components involved in designing and maintaining the system.</p> <p>Destroy after 5 years.</p> <p>2. <u>Quarterly Report and Catalogue of SSA Systems Changes</u></p> <p>A quarterly report, submitted to OAS by all SSA components, listing proposed systems changes known to be under consideration. Reporting information is compiled by OAS and published quarterly as the catalogue, <u>Proposed Changes to the Current System as Reported to OAS by SSA Components</u>. The report and catalogue are used for study by OAS to ensure that proposals are in accord with planned SSA Future Processes. The catalogue is also a method to keep all SSA components notified of changes proposed by others. The catalogue, which includes projections of systems changes for the next 5 years, list project title, SSA program, system name, systems changes proposed, reason for development, scope of development, anticipated effect on existing system, target date for implementation, source of information, and related projects.</p> <p>Also included are associated background documents, such as draft copies of the catalogue, components' comments and related correspondence.</p> <p>a. <u>Published Catalogue</u></p> <p>Close out file every 5 years. Transfer to the SSA Holding Area and destroy 5 years thereafter.</p> <p>b. <u>Quarterly Reports and Related Background Documents</u></p> <p>Destroy 6 months ^{3 years} after publication of the catalogue.</p> <p>3. <u>ADP Special Expense Review Files</u></p> <p>Files documenting OAS review of ADP special expense budget items, defined by HEW as ADP items in money amounts of \$100,000 or more. The purpose of the review is to ensure that any proposed ADP equipment or service purchase, which cannot be cost justified in the next 5 years, is in accord with future SSA systems plans. Documents in these</p>		

Request for Records Disposition Authority - Continuation

JOB NO.

PAGE OF 6
6

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>files consist of proposals and related correspondence from the component wishing to procure the equipment or service. Proposed information includes problem definition, resource requirements, solutions, cost benefit analyses, and discussions of existing and proposed equipment or service. Record copies of budget documents are retained by the Office of Financial Management, Office of Management and Administration.</p> <p>Close out file at the end of the budget year. Destroy 1 year thereafter. <i>Hold one additional year and transfer to FRC. Destroy when 5 years old.</i></p>		