

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)
HHS

2. MAJOR SUBDIVISION
SSA

3. MINOR SUBDIVISION
Office of Management, Budget, and Personnel

4. NAME OF PERSON WITH WHOM TO CONFER
Ernest P. Lardieri

5. TEL. EXT.
594-5770

LEAVE BLANK	
JOB NO	
NC1-47-81-13	
DATE RECEIVED	
April 16, 1981	
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disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10.	
7-12-82	<i>[Signature]</i>
Date	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 _____ 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	D. SIGNATURE OF AGENCY REPRESENTATIVE	E. TITLE
4-7-81	<i>George E. Deal</i>	Department Records Management Officer

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<u>Records Retention and Disposal Schedule</u> <u>Financial Resources Files</u> Attached is an Administrative Directives System Guide concerning records retention and disposal schedules for financial resources files, maintained by Office of Financial Resources, OMBP All pen in ink changes to this schedule have been made with agency concurrence. <i>7/7/82</i> <i>113 items</i>	NC-47-75-16 NC47-75-19 NC1-47-78-25	

MASS DATA CHANGE SHEET NOT REQUIRED
Closed out: 7-19-82:cm

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 Items withdrawn or not approved for disposal will be so marked.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.

are photographic records, sound recordings, or cartographic records.

An itemized 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 in 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 provision 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.

Ernest L. Ladd
SSA Records Officer

March 27, 1981
Date

FINANCIAL MANAGEMENT FILES

<u>Description of Records</u>	<u>Authorized Disposition</u>
<u>1. BUDGET MANAGEMENT FILES</u>	
<u>a. Budget Estimate and Justification Files</u>	<u>1a</u>
These files consist of budget estimates and associated justification statements submitted annually to the Office of Financial Resources (OFR), Office of Management, Budget, and Personnel (OMB), by each SSA office. The files are used in the preparation of the annual SSA budget submission to the Department of Health and Human Services (HHS) and the Office of Management and Budget (OMB). Included are Forms OAAD-413, Summary of Estimates for Personnel Services and Other Objects of Expenditure; OAAD-417, Worksheet for Detail of Personal Services by Position; OAAD-419, Worksheet for Detail of Personal Services by Subclass; SSA-421, Summary of Estimates for Travel and Transportation of Persons; SSA-422, Conferences and Meetings; SSA-425, Summary of Estimates for Transportation of Things; SSA-426, Summary of Estimates for Rent, Communications, and Utilities Services; SSA-427, Estimates for Rental of Space; and equivalent or related documents.	(1) <u>Office Responsible for Preparation of the Documents</u> Destroy 10 years after the close of the budget year. (2) <u>Office Having SSA-wide Budget Management Responsibility</u> Transfer to the Federal Records Center (FRC) 5 years after close of budget year. Destroy when 15 years old.
<u>b. SSA Budget Document</u>	<u>1b</u>
This is the annual budget submission to HHS and OMB outlining position, staff power, and funding requirements for all programs administered by SSA. The submission is composed of: (1) summary statements (i.e., statements of appropriations and expenditures, statements of receipts, statements of numbers of personnel, schedules of accrued assets and liabilities, and narrative statements summarizing the principal features of the budget request); (2) detailed material on appropriations and funds (i.e., appropriation language sheets, schedules of amounts available for appropriation, program and financing schedules, narrative statements on program and performance, and schedules of object classification and personnel summary); (3) justification and explanations; (4) other documents required for budget examination and analysis.	Permanent. Cut off file after 10 years and transfer to a FRC. Offer to the National Archives when 30 years old. <i>Destroy</i>

Description of Records

Authorized Disposition

c. Budget Hearing Documents

These documents are used by SSA officials in testifying at budget hearings conducted by HHS, OMB, and the Congress. They provide background information on the SSA budget submission in general, as well as detailed explanations and justifications of specific sections thereof.

~~Permanent.~~ Cut off file after 10 years and transfer to a FRC. ~~Offer to the National Archives~~ when 30 years old.

Destroy

1c

d. Budget Instructions and Decisions Files

These files consist of copies of instructions (e.g., manuals, directives, circulars), decisions, analyses, and other official publications of HHS, OMB, and the Treasury Department relating to budget preparation and execution. They are retained for reference purposes.

Destroy when superseded or obsolete.

1d

e. Outlay Plan Files

Documentation concerning SSA's outlay plans, which are estimates/plans of SSA's cash flow for the current fiscal year (FY). These are prepared and updated quarterly by SSA and submitted to HHS for submission to OMB, as required by OMB Circular A-112. Included in the file are the computer generated reports which are initially received from HHS; supporting documentation worksheets; and related correspondence. The report contains information on initial cumulative and monthly outlays; impact of congressional action; impact of OMB adjustments; impact of HHS adjustments; and revised total cumulative and monthly outlays.

Transfer to the FRC 5 years **after** the close of the Fiscal Year (FY). Destroy when 15 years old.

f. Mission Budget Submissions

A budget document submitted to Congress annually which contains a budgetary submission by mission or achievement (i.e. welfare), rather than by program. It provides information which is submitted to HHS to be incorporated into the HHS combined report. The submission contains projections and policy statements concerning SSA's position and outlays for a particular mission for current and 5-year time periods. Included in the submission files are tables, narratives, correspondence and related background records.

Transfer to the FRC 5 years after the close of the FY. Destroy when 15 years old.

Description of RecordsAuthorized Dispositiong. Fifty-State Table Report

An annual report required by Congress which details State by State the amounts of monies expended in all of SSA benefit programs in each State. The report is submitted to HHS for incorporation into a combined HHS report. The report includes information for three FYs (actual, continuing resolution and budget request) for program categories such as insurance programs; direct payment programs; formula grants-State Agencies; project grants/contract programs; and refugee assistance programs. Information in the report files consists of tables, worksheets, computer printouts, HHS instructions, and related documentation.

Transfer to the FRC 5 years after the close of the FY. Destroy when 15 years old.

h. Allotment Allowance Files

Files documenting the preparation and issuance of allotment allowances to SSA and Office of Child Support Enforcement. Documents are maintained by FY for administrative and program budgets and consist of correspondence and associated allotment charts and related records. These files provide associate commissioners with the authority to obligate funds and are issued by the Budget Officer, OFR, on a quarterly basis. Record copies are maintained by Division of Administrative Budget.

(1) OFR Record Copies

Close out file at the end of each FY. Destroy 3 years ~~thereafter~~ ^{when} old.

(2) Other Copies

Destroy when administrative value ceases.

i. Apportionment Files

Files documenting requests that SSA submits to HHS and OMB for the authority to allot funds. Records are maintained by FY for each administrative and program budget area, and consist of SF-132. Apportionment and Reapportionment Schedule, showing SSA's requests and HHS' and OMB's justifications and approvals; and related correspondence. Record copies are maintained by Division of Administrative Budget, OFR.

(1) Record Copies

Close out file at the end of each FY. Destroy 3 years ~~thereafter~~ ^{when} old.

(2) Other Copies

Destroy when administrative value ceases.

j. Staffing Reports

These reports are submitted to OFR, OMBP, by each SSA office and used in monitoring budget execution. Included is the Report of Accessions and Separations (Full-time and Permanent Positions), the Report of Staff on Duty (Headcount), and the Report of Staff on Duty by Location (Form SSA-1699).

(1) Office Responsible for Preparation of the Report

Destroy ~~after~~ ^{when} 2 years old.

<u>Description of Records</u>	<u>Authorized Disposition</u>
	<u>(2) Office Having SSA-wide Budget Management Responsibility</u>
	Destroy after ^{when} 5 years old .
k. <u>Summary of Accrued Commitments and Obligations</u>	
This report is submitted three times a year to OFR by each SSA office. It lists actual expenditures year-to-date by object and subobject class and contains projections for the use of resources for the remainder of the year. Included are Forms CO-0773 and CO-0773A, Schedule of Accrued Obligations, or their equivalents. The report is used in monitoring budget execution.	<u>(1) Office Responsible for Preparation of the Report</u>
	Destroy after ^{when} 1 year old .
	<u>(2) Office Having SSA-wide Budget Management Responsibility</u>
	Destroy after ^{when} 3 years old .
1. <u>Legislative and Regulation Reference Files</u>	
Files documenting the costing of legislative proposals or regulations to determine if a particular piece of legislation or a regulation will result in significant savings or costs to SSA. This is done at the request of the Office of Policy. Included are proposed legislation or regulation; cost estimate worksheets; memorandums; questionnaire for additional information and related records.	Destroy when 7 years old.
m. <u>SSA Budget Mechanization System Files</u>	
(1) <u>Coding Sheets</u>	
Coding sheets used to enter data into the SSA budget system including Form 01, Detail of Personnel Services, Inventory at Beginning of Current Year; Form 1A, Detail of Personnel Services, Position Changes, Current Year, Budget Year; Form 02, Personnel Services, Man Years, Prior-Current Budget; Form 2A, Special Projects; Form 2B, Personnel Services, Other Payroll Items; Form 2C, Other Objects; or their equivalents.	Destroy after data have been entered into the system and verified.
(2) <u>Machine Readable Records</u>	
Machine readable records on disc and tape containing information by FY for a particular office or component within an	Retain on disc for current budget year and then transfer to tape. Erase and return to blank stock 6 months thereafter.

Description of RecordsAuthorized Disposition

office, concerning personnel in job series by grade and within position titles. The records are updated as needed during the budget year and contain statistical information on number of personnel; number of within-grade promotions projected or given; number of personnel by type of employment (part-time, permanent, etc.); and overtime payments. These records are used for budget planning purposes.

(3) System Output

System outputs, including computer tables and listings of budget management data, such as summary tables and tables relating to a particular office.

Destroy 2 years after the FY in which dated.

n. SSA Budget Analysis System

(1) Input Documents

Source documents and input sheets such as, worksheets (Budget Analysis System Input, Annual Budget Estimates), Form SSA-3195, Cost Analysis System Input Formula Update, and initialization sheets by organization and/or program showing workload and work years.

Close out file at the end of each FY.

~~Maintain one additional FY, and then destroy.~~

Destroy when 1 year old.

(2) Machine Readable Records

Machine readable records on disc (with tape back-ups) that are established annually with periodic updates on an "as needed" basis during the budget year. Information consists of workload information used for budget estimate and analysis purposes and to project workload unit costs. Specific categories of workload information include direct workload, indirect workload, leave, staff, payroll, and other object estimates.

Erase and return to stock when 3 years old.

(3) Systems Output

Systems output including computer-generated reports and listings. The output documents, containing future projections of workload and work years, are used for planning and budgeting purposes. Reports include summary tables by office and for SSA in total; summary and detail reports of program costs; workload reports and staffing reports.

Close out file at the end of each FY.
~~Maintain current and prior FY's reports and then destroy.~~

Destroy when 1 year old.

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o. Workload and Work Year Module System

A system which projects workload estimates and work year requirements for the future. These estimates are used to develop budget needs by projecting the number of work years and salaries of those positions needed to process the workloads. The system consists of the following types of records:

(1) Input documents such as worksheets and working copies of budget reports.

Destroy when input has been keyed and verified as correct.

(2) Machine readable records, on disc, updated on an "as needed" basis. Information in the record consists of 4 budget years' data (2 past and 2 projected) on workload estimates for open pending items, receipts, processed items, closed pending items, and number of weeks of work on hand for past FY, current FY, next calendar year, and budget year for various SSA programs and work processing operations (earnings records requests, supplemental security income (SSI) redeterminations, social security number maintenance, annual reporting, SS-5 coding and keying, and reconsiderations and hearings). Also in the records are workload estimates and the number of work years to process specific workloads, such as initial claims, reconsiderations, hearings and appeals, postentitlement changes, overpayments, etc. At the end of each budget year, the oldest budget year's data is dropped and a new budget year added.

Remove earliest budget year's data when a new budget year's data is added to the file.

(3) Output documents consisting of computer reports such as workload estimates, analysis of workload and productivity changes or equivalent reports which detail workload estimates by program for past FY, current FY, next calendar year and budget year, and work year requirements for specific workloads including factors of change (legislation, system changes, productivity factors, etc.) and indirect costs (training, travel, special non-recurring programs, etc.).

Destroy when 1 year old.

Description of RecordsAuthorized Disposition2. COST ANALYSIS FILESa. Cost Analysis System Files(1) Source and Input Documents

Source documents for the cost analysis system, including reports containing employment, work measurement, financial and payroll data. Included are Forms SSA-3792, SSA-3793, SSA-3794, SSA-3795, and SSA-3796, Cost Analysis System Input; Financial Analysis System input documents; and override sheets, or equivalent documents.

(a) Form SSA-3795

Cut off file at the end of each FY.

~~Maintain 3 additional years and then destroy.~~ Destroy when 3 years old.

(b) Other Documents

Cut off file at the end of each FY.

Maintain 1 additional year and then destroy.

(2) Machine Readable Records.

A machine readable system on disc (with magnetic tape back-up) updated monthly. The records contain information on actual workload costs (as opposed to projections or estimates). Specific information categories include direct workload costs, indirect workload costs, leave costs, staff costs, payroll costs and other object costs by program activity.

Erase and return to stock when 3 years old.

(3) Systems Output

Systems output, including listings and tables of data by workload, budget activity, function, and source of funds. The outputs are used in developing and managing the budget, in accounting for administrative costs, and in measuring work output. Examples include budget progress reports, workload registers and listings of actual costs by program.

Destroy when 2 years old.

b. Workload Analysis Report

This is a printed monthly report containing data on the summary status of workloads, human resources used and work output, the status of SSA and component program workloads. The reports contain cumulative data to date with the last month's report containing the FY's data. Also included are worksheets used in the preparation of the report. Record copies of the report are maintained by the Division of Budget Systems, OFR.

(1) Printed Report(a) Last Month's Report for the FY

Destroy when 10 years old.

(b) Other Months' Reports

close out file at the end of each FY.
~~Maintain for current FY and prior FY and then destroy.~~
Destroy when 1 year old.

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(2) Worksheets

Close out file at the end of each FY.
Maintain 1 additional FY and then destroy.

Destroy when 2 years old.

c. Supplemental Analysis Report

A monthly report which is a byproduct of the Workload Analysis Report and which illustrates by individual component, workloads in graph format. It contains information on workload (received, pending and processed); work years; and realization to the annual budget showing SSA-wide trends, component-wide trends and component-individual workload trends.

3. PAYROLL AND PAY ADMINISTRATION FILES

a. Pay Data Listings

These are biweekly listings of pay data (gross and net earnings, deductions, etc.) for SSA central office and field employees. The listings are prepared by HHS. Included is Form OS-340-T, Pay Data for Personal Services, or its equivalent.

Destroy ^{when} after 1 year old.

b. Authorized Timekeeper Card File

This is a card file identifying those SSA employees authorized to act as official timekeepers.

Destroy when superseded or obsolete.

c. Certifying Officer Files

SF-210, Certifying Officer Signature Card, or its equivalent, used as a signature card for those SSA employees authorized to certify schedules of payment to Treasury Department.

Transfer to an inactive file when certification authority is revoked.
Destroy ~~2~~ years ^{when 3} thereafter. old.

d. Optional Form 19 - Request for Disposition of Check/Bond

This form is completed by the timekeeper or employee and sent to OFR for the purpose of mailing out the employee's check/bond.

~~Destroy after 1 year.~~ Destroy 3 years after supersession or 3 years after separation of employee.

e. HEW-497 - Application for Emergency Salary Payment

This form is completed by the timekeeper and signed by the employee requesting a salary

Transfer file to the SSA holding area.
Destroy when 6 years old.

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advance when the employee has failed to receive a salary check on payday. Since February 1978, SSA no longer makes emergency salary payments to employees.

4. ACCOUNTING OPERATIONS FILESa. Obligation Documents Files

These files consist of fiscal copies of obligation documents, such as central office, field, and regional office purchase orders, print orders, tuition authorizations (forms HEW-350 and SSA-737), telephone change orders (SF-145, Order for Telephone Service), and similar papers. The documents are retained for review by SSA and HHS auditors and for General Accounting Office (GAO) site audit purposes.

Transfer to the FRC 2 years after the fiscal year in which paid. Destroy when 6 years and 3 months old.

b. Paid Invoice and Voucher Files

These files consist of original paid invoices, billings, and vouchers and associated supporting documents or any other types of payment authorization documents retained as GAO site audit records. Included are reimbursement and agent cashier vouchers (SF-1129, Reimbursement Voucher), commercial telephone invoices, GSA telephone vouchers (Form GSA-789, Statement, Voucher, and Schedule of Withdrawals and Credits), GSA rent invoices (Form GSA-743, Invoice for Rent), GPO invoices Form GPO-400, Invoice), foreign payment documents (Form FS-455, Purchase Order, Receiving Report, and Voucher), contractor invoices (Form HA-590b, Contractor Invoice), miscellaneous Government agency vouchers, passenger transportation vouchers (SF-1171, Public Voucher for Transportation of Passengers), and similar papers.

Transfer to the FRC 2 years after the fiscal year in which paid. Destroy when 6 years and 3 months old.

c. Treasury Inquiry Files

Files of inquiries received from the vendors alleging nonreceipt of payments by the Treasury Department for goods or services purchased by SSA. Included are copies of vendor inquiries; SSA's inquiry to Treasury Department; SF-1180B, Advice of Request for Stop Payment; and photocopies of canceled checks. These files are maintained alphabetically by name of vendor.

Close off file at the end of each FY.
~~Maintain 1 additional FY and then destroy~~
Destroy when 1 year old.

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d. Contract Files

These files consist of copies of formal contracts, modifications thereof, associated paid invoices and vouchers, and similar papers. Original copies of contracts are maintained by the Division of Contracts and Grants Management (DCGM), Office of Material Resources (OMR), OMBP, for 6 years.

Destroy 1 year after final settlement and completion of any required administrative review.

e. Grant Files

(1) State Grant Files

Copies of grants to States to administer the Aid to Families With Dependent Children (AFDC) Program, or programs in such areas as emergency assistance, State and local administration and State and local training. Documentation is maintained by State and includes the grant award notice, obligation control documentation and associated correspondence. Also related are quarterly expenditure report files (Form OA-41, Quarterly Expenditure or its equivalent), which is a quarterly report submitted by the State on expenditure of grant monies. Grants are awarded for a 1-year period. Record copies of State grants files are maintained by DCGM, OMR, OMBP.

Destroy 3 years after expiration or termination of the grant.

(2) Research and Demonstration Grant Files

Case files by grant number for research and demonstration grants (research projects, studies, etc.) awarded to private organizations. Documentation in the files consists of Form SSA-3965, Notice of Grant Award (with an attached description of the project); obligation control documentation; financial expenditure reports submitted by grantee and associated correspondence. Grants are usually for a 1-year period.

Destroy 3 years after expiration or termination of the grant.

f. Paid Schedule Files

These files consist of certified schedules of payment, such as SF-1081, Voucher and Schedule of Withdrawals and Credits; SF-1166, Voucher and Schedule of Payments; Form SSA-110, Voucher and Schedule of Payment;

Transfer to the FRC 2 years after the fiscal year in which paid. Destroy when 6 years and 3 months old.

Description of Records

or their equivalents. Included are central and regional offices' and program service centers' schedules. The files are retained as GAO site audit records.

g. Passenger and Freight Transportation Records

(1) Freight transportation records, consisting of obligation copies of Government or commercial bills of lading and related documents. Original bills of lading are forwarded to GSA under the centralized audit procedure. Agency copies are retained should any questions arise during GSA audit.

(2) Passenger transportation records, consisting of obligation copies of transportation requests (SF-1169a, Transportation Request) and supporting documents. Also included is Form HEW-190, Accountability Record for Accountable Forms, or its equivalent, used to control the issuance of books of Government travel requests (SF-1169a, Transportation Request). Original transportation requests are forwarded to GSA under the centralized audit procedure. Agency copies are retained should any questions arise during GSA audit.

(3) Passenger transportation records relating to reimbursement to individuals, such as copies of travel orders, (SF-1012, Travel Voucher) per diem vouchers, advance of funds documents (SF-1038, Application and Accounting for Advance of Funds), hotel reservations, and similar documents. These records are retained in folders arranged alphabetically by employee name.

h. Letter of Credit Files

These files consist of records authorizing Federal Reserve Banks to disburse funds to designated State agencies, intermediaries, and carriers. The funds are used in administering social security programs. Included is SF-1193, Letter of Credit, or its equivalent.

Authorized Disposition

~~to July 2, 1975, destroy after a total 10 years', 3 months' retention using RG 217.~~

Destroy when ³/₂ years old.

(a) SF-1169a

Close out file at the end of the calendar year. ~~Maintain 2 additional years and then destroy.~~ Destroy when 3 years old.

(b) Form HEW-190

Destroy 1 year after all Government transportation requests have been accounted for and reconciled.

~~Transfer to the FRC 3 years after the FY in which paid. For records created on or after July 2, 1975, destroy after a total 6 years', 3 months' retention, using RG 47. For records created prior to July 2, 1975, destroy after a total 10 years', 6 months' retention, using RG 217.~~

Destroy when 3 years old.

6 years and 3 months

Destroy ~~2 years~~ after the FY in which revoked.

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i. Payment Voucher on Letter of Credit Files

These files consist of Form TUS-5401, Payment Voucher on Letter of Credit, and similar records. The records are prepared by the State agencies and the intermediaries and carriers to obtain Federal funds from selected commercial banks to cover expenses incurred in administering social security programs. These files are retained as GAO site audit records.

Transfer to the FRC 2 years after the fiscal year in which paid. Destroy when 6 years and 3 months old.

j. Departmental Federal Assistance Financing System (DFAFS) Computer Reports

Computer reports received through DFAFS, a centralized system for all HHS components which tracks payments (grants, awards, etc.) to States for expenses incurred in administering social security programs. Computer reports, received monthly, may include DFAFS-62A and 62B, Recipient Expenditure Greater than Award Authority; DFAFS-63A, Pending Agency Final Reports of Expenditures; DFAFS-63B, Pending Recipients Final Report of Expenditure Reports; DFAFS-79A, Closed Award Documents Purged from DFAFS; DFAFS-81, List of Award Documents Used But Not Purged; DFAFS-92, DFAFS, Synchronization Report; and similar reports. This system is an HHS run system and record copies of these reports are maintained by HHS.

Destroy when 3 years old.

k. Certificate of Deposit Files

(1) SF-215, Deposit Ticket

These files consist of SF-215, Deposit Ticket, or its equivalent. The certificates document the collection and deposit of amounts due the United States from individuals, organizations, and other Government agencies. They are retained as GAO site audit records.

Transfer to the FRC 2 years after the fiscal year in which paid. Destroy when 6 years and 3 months old.

<u>Description of Records</u>	<u>Authorized Disposition</u>
(2) <u>Form SSA-3495, Remittance Control Register</u> This form is prepared in OFR and is used to record the receipt of monies in OFR. It is a detailed listing of each receipt, whether cash or check. These records are retained as GAO site audit records.	Transfer to the FRC 2 years after the fiscal year in which paid. Destroy when 6 years and 3 months old.
(3) <u>HEW-81 - Schedule of Collections</u> This is a detailed listing of the Deposit Ticket (SF-215) showing remitter, amount, purpose for which collections were received and appropriation symbol. They are retained as GAO site audit records.	Transfer to the FRC 2 years after the fiscal year in which paid. Destroy when 6 years and 3 months old.
1. <u>Imprest Fund Records</u> (1) <u>Cashier Account Files</u> Files by cashier identification number (component common accounting number) containing documentation relating to the establishment, liquidation or operation of imprest funds. Funds are maintained for any office that has procurement authority (i.e., district offices (DOs), branch offices (BOs) and selected central office components). Documentation in the file includes requests for increase or decrease in fund amounts, requests for cashier changes (SF-1191, Request for Change in Imprest Funds, or similar documents), reports of losses, quarterly audit reports (Form SSA-3788, Quarterly Report Audit of Imprest Fund), Treasury Department audits, and similar documentation.	(a) <u>Treasury Department Audit:</u> Remove and destroy upon receipt of updated Treasury audit. (b) <u>Quarterly Audit Reports</u> Destroy when 2 years old. (c) <u>Other Documentation</u> Destroy 2 years after imprest fund liquidation.
(2) <u>Imprest Automated Control System</u> An automated master file used to oversee the operations of all SSA imprest funds (approximately 1500). Copies of master file tapes are supplied to Treasury Department as vehicle for the updating of Treasury's master records and disbursement of reimbursement checks for imprest funds.	

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(a) Input Form

Input information is obtained from SF-1129, Reimbursement Voucher, for reimbursement action, or memorandum requesting maintenance transactions such as cashier name change, increase or decrease in fund amount, or liquidation of fund. These are keyed directly to machine readable equipment via four phase keying equipment.

1. SF-1129

Retain in Paid Invoice and Voucher Files (item 4b above) and dispose in accordance with disposition instructions for those files.

2. Memorandum

Retain in Cashier Account Files (item 41(1) above) and dispose in accordance with instructions for those files.

(b) Magnetic Tape Records

Master file records on magnetic tape containing such information as cashier identification number; fund location; amount of monies authorized for and currently in the particular fund; names of principal and alternate cashiers; date of last maintenance transaction; and validation code. Tapes are updated as requested.

Maintain at least three generations of tapes. Erase and return to blank stock three generations after update or when administrative value ceases, whichever is later.

(c) Computer Reports

Output consists of computer listings and reports such as Cashier Fund Report, Listing of Transaction Items to Treasury, Listing of Payments, Schedules of Outstanding Advances to Cashiers, and equivalent reports.

1. Exception Listings

Destroy after resolution of all exception situations.

2. Other Listings and Reports

Transfer to the SSA holding area when 1 year old. Destroy 1 year thereafter.

These reports contain information on maintenance transactions, reimbursements to individual imprest funds, outstanding advances and summary status of individual funds. Also included are console reports and exception listings.

(3) Treasury Nonreceipt Reports

Manual listings or computer prepared punch cards (Treasury Department Form RO-88) forwarded to SSA for resolution of nonreceipt by Treasury Department or improper completion of the required monthly accountability report (SF-1129) prepared by the cashier of each SSA imprest fund. OFR also receives a copy of each report and must furnish or contact the cashier for a copy of the report in accordance with the listings or cards. (OFR received reports are filed in the Paid Invoice and Voucher Files.

Destroy listing and/or punch cards after all questions of nonreceipt or improper completion have been resolved.

Description of Records	Authorized Disposition
m. <u>Financial Accounting System (FAS) Files</u>	41
(1) <u>System Specifications</u>	
Documentation containing definitions and specifications for the FAS consisting of a series of numbered memorandums and addendums to the memorandums. The specifications explain systems function and requirements, output computer report requirements and contain flow charts of the system functioning. The addendums contain modifications to the original systems requirements as specified in the numbered memorandums.	(a) <u>Record Set</u>
	Destroy 1 year after discontinuance of the system.
	(b) <u>Other Copies</u>
	Destroy when system is discontinued.
(2) <u>Coding Sheets</u>	
Coding sheets used to enter data into the automated accounting system, including Forms SSA-2147, Transmittal; master file documentation used to update the FAS; and related print-outs. Excluded are document history records retained with the source document.	Destroy 90 days following validation.
(3) <u>Automated Records</u>	
Magnetic tape records of FAS maintained at SSA headquarters and updated daily. The purpose of the automated accounting system is to keep track of all monies dealing with SSA, including payroll, for both central office and field components. The major file is the status of funds file which includes information such as fiscal year; common accounting number; appropriations, allotment, allowance; organization, workload/staff, subobject class, and regional codes; and spending plans, obligations, costs, allotment and allowances by date and amount. Other files may be updated on a monthly, quarterly, or annual basis.	(a) <u>Status of Funds Files</u>
	Erase and return to blank stock 60 days after update.
	(b) <u>Other Files</u>
	Maintain at least three generations of tapes. Erase and return to blank stock three generations after update or when administrative value ceases, whichever is later.
(4) <u>Monthly Accounting Report</u>	
Monthly accounting reports generated by the automated system. Included are the following: General Ledger Summary Report; Report of Cash Disbursements; Report of Premium Collections; Report of Benefit Payments; Third Party Activity Report;	(a) <u>Office Responsible for Preparation of the Report</u>
	(1) Destroy hard copy report after microfilm has been proven acceptable (2) Destroy microfilm after 6 years ^{when} old.

Description of Records

Authorized Disposition

Advances and Receivables Report; Paid Bill of Lading Report; Open Obligations Report; Open Commitment Report; Report of Records Purged from the Open Document File; Report of Reimbursements Earned; Transaction Report; Status of Funds Report--CAN Within Subobject Class; Status of Funds Report--SOC Within CAN; Status of Funds Report--Comparison of Actual to Planned Obligations (Administrative Recap); Status of Funds Report--Comparison of Actual to Planned Obligations; Status of Funds Report--Operating and Special Expenses; Status of Funds Report--Federal Obligations; Property Report; and Regional Monthly Report. Microfilm copies of these reports are retained as GAO site audit records.

(b) Other Offices

Destroy ~~after~~ ^{when} 1 year old.

(5) Accounting Policy and Procedure Manual

A manual containing policy and procedures for users of the FAS. It contains a description of the FAS including explanation of the fiscal and system code structure, and financial reporting and voucher examination. It assists users in the preparation of input for the system and in the use of the computer reports produced by the system and is updated periodically when system changes occur.

(a) Record Copy

Transfer to the SSA holding area upon discontinuance of the FAS. Destroy ~~when 5 years thereafter~~ ^{when 5} years old.

(b) Other Copies

Destroy when administrative value ceases or upon discontinuance of the FAS, whichever is earlier.

n. Manually Prepared Accounting Reports

These files consist of various accounting reports prepared manually by SSA for submission to HHS, OMB, or the Department of Treasury. Included are the following: Report of Overseas Expenditures and Foreign Currencies Available for Conversion; Statement of Expenditures, Receipts, Deductions, and Financial Transactions in Puerto Rico (Form BP-8); Statement of Financial Condition--Trust Fund and General Fund (SF-220); Statement of Unexpended Balances of Appropriations and Funds (Form GFO-2108); SF-133, Report of Budget Execution; SF-224, Statement of Transactions; SF-225, Report of Obligations; Report on Contracts and Consultant Services; Motor Vehicle Data Report; and Financial Accountability Statement for the State Supplementary Payments Program (SSA-8700).

(1) Office Responsible for Preparation of the Report

Transfer to a FRC 3 years after the fiscal year in which prepared. Destroy ~~3 years thereafter~~ ^{when 6 years old} when 6 years old.

(2) Other Offices

Destroy ~~after~~ ^{when} 1 year old.

Description of Records

Authorized Disposition

o. Health Insurance State Agency
Payment Records

Files by State documenting advanced funds paid to State agencies for health insurance benefits. (The health insurance function is now a responsibility of Health Care Financing Administration but was administered by SSA.) Records in the State files date from 1969 - 1977. Documentation in the file consists of Forms SSA-1468, Notice to State Agency, Payment for Health Insurance Program; SSA-1469A, Quarterly Expenditure Report, Health Insurance Benefit Program; correspondence; and related records.

SSA holding area.
Transfer immediately to the ~~FRC~~. Destroy when 6 years old.

p. Repatriate Files

Case files in alphabetical order by surname of United States (US) citizens who receive public assistance while returning from abroad because of destitution, illness or a crisis, such as war, threat of war or invasion. The case files contain correspondence; Forms APA-177, Approval of Payment of Funds for Assistance to US Citizens Returned From Foreign Countries, and APA-2048, Assistance for US Citizens Returned From Foreign Countries--Reports on Referral; and obligation history documentation. Documentation relating to collection efforts is maintained by the Office of Refugee Resettlement.

Transfer to the FRC when 2 years old.
Destroy when 6 years old.

q. Social Security Number (SSN)
Issuance Files

Folders by State documenting payments to States for their issuance of SSNs to SSI recipients (a special program initiated in 1976 and discontinued in 1978). Documentation in the folder consists of the agreement with the State; paid bills; Form CO-5057, Record of Voucher Payments; correspondence; and related records.

SSA holding area.
Transfer immediately to the ~~FRC~~. Destroy 6 years after discontinuance of program (1984).

r. Price Listings Files

These files consist of price listings received from commercial vendors and retained for reference purposes.

Destroy when superseded or obsolete.

Description of RecordsAuthorized Dispositions. Special Energy Allowance Folders

Case files by State which document a special energy allowance grant to States or special groups to be redistributed to AFDC recipients. Included in the files are award notices, obligation control records, quarterly expenditure reports and associated correspondence.

Destroy when 3 years old.

t. SSI Emergency Advance Payment System

An automated system to record the payment of emergency advances to SSI recipients from imprest funds by DOs and BOs. Forms SSA-8102, Emergency Advance Receipt, with an attached SF-1129, are received by OFR from the DOs and BOs. (A copy is retained in the claims folder). Master file tapes include information, such as DO code, SSN, name of payee, amount of payment and date paid. Output consists of computer listings by payee name, SSN or issuing office.

(1) Form SSA-8102

Retain in Paid Invoice and Voucher Files (item 4b above) and dispose in accordance with disposition instructions for those files.

(2) Master Tape Files

Erase and return to blank stock after completion of all reconciliation operations.

(3) Computer Listings

Transfer to the SSA holding area after 1 year. Destroy ~~1 year thereafter~~ *2 years*

5. REIMBURSABLE SERVICES FILES

These files consist of Form SSA-1036, Billing Covering Reimbursable Services Performed and Reimbursable Agreements; SF-1081, Voucher and Schedule of Withdrawals and Credits; and related authorization documents such as interagency agreements. They are used to record and transmit remittances for services performed by SSA for other Government agencies or organizations, and are retained as GAO site audit records.

Transfer to the FRC 2 years after the fiscal year in which paid. Destroy when 6 years and 3 months old.

6. ADMINISTRATIVE CLAIMS CASE FILES

These files contain records relating to claims or potential claims for damages or injury under the Federal Tort Claims Act or the Federal Military Personnel and Civilian Employees Claims Act. Included are SF-95, Claim for Damage or Injury; SF-91, Operator's Report of Motor Vehicle Accident; SF-91A, Investigation Report of Motor Vehicle Accident; SF-92, Supervisor's Report

a. Retained Copies of Official Case Files

Destroy when case file is returned from HHS.

Description of Records

of Accident; SF-92A, Report of Accident Other than Motor Vehicle; SF-94, Statement of Witness; Optional Form OF 26, Data Bearing on Scope of Employment of Motor Vehicle Operator; Forms HEW-66, Preliminary Notice of Occurrence of Accident; HEW-462, Report of Damage or Loss; HEW-481, Employee Claim for Loss or Damage to Personal Property; HEW-516, Accident Report; or their equivalents. Also included is supporting documentation, such as itemized statements of property damage, medical reports, bills for expenses incurred, and similar papers. Claims involving less than \$1,000 are resolved initially by the SSA Tort Claims Officer. Claims involving a greater amount are initially resolved by MHS. A claimant may request reconsideration of the initial determination. If dissatisfied with the reconsideration decision, the claimant may file a civil action.

7. SSI FISCAL CONTROL AND AUDIT FILESa. SSI Disbursement Records

Forms SSA-8703, Control Ledger-Supplemental Security Record; SSA-8705, Control Ledger-General; SSA-8706, Control Ledger-Certification; and equivalent documents used to account for and certify the disbursement of funds for SSI payments. The documents also serve as a source of information for the preparation of periodic financial reports. Included are control vouchers, such as Forms SSA-8704, Voucher-Control Ledger Certification; SSA-8707, Voucher-Control Ledger Supplementary Record; and SSA-8708, Voucher-General Ledger. Also included are computer run sheets when used in lieu of vouchers and related supporting documentation (punchcards and worksheets).

Authorized Dispositionb. Official Case Files(1) No Claim Filed

Transfer to the SSA holding area at the close of the calendar year in which the material is accumulated. Destroy *when 2* years ~~thereafter~~ *old*.

(2) Claim Filed

Transfer to the SSA Records Holding Area at the close of the calendar year in which claim is paid or disallowed. Destroy 6 years thereafter. Note: Case Files relating to claims under litigation will be retained until final adjudication by the courts.

(1) Punchcards and Worksheets

Destroy after 90 days or when they have served their purpose.

(2) Vouchers and Computer Runs

Transfer to the FRC 2 years after the fiscal year in which paid. Destroy when 6 years and 3 months old.

(3) Ledgers

Transfer to the FRC 2 years after the fiscal year in which paid. Destroy when 6 years and 3 months old.

Description of Records

Authorized Disposition

b. Statements of Transactions and Supporting Records

Form SF-224, Statement of Transactions, and related supporting documents, such as SF-219, Certificate of Deposit; SF-1081, Voucher and Schedule of Withdrawals and Credits; SF-1098, Schedule of Canceled Checks; SF-1184E, Unavailable Check Cancellation; SF-1017G, Journal Voucher; SF-1166, Voucher and Schedule of Payments; Treasury Form TUS-5504; SSA-8715, SSI Daily Report of Benefit Activity; and SSA-8716, Breakdown of Benefit Activity by the State. The records are used to account for and certify the disbursement of funds for SSI payments.

Transfer to the FRC 2 years after the fiscal year in which paid. Destroy when 6 years and 3 months old.

c. Daily Cancellation Listings

Daily listings received from the Department of Treasury identifying all checks canceled by the Treasury for a particular day. They are used as an aid in identifying out-of-balance conditions.

Destroy on balancing of the monthly totals.

d. Monthly Cancellation Listings

Monthly listings received from the Department of Treasury identifying all checks canceled by the Treasury for a given month. The listings are used to verify the total of the SF-1098, Schedule of Canceled Checks, received for the month.

Destroy after balancing operation has been completed.

e. Remittance Records

Records documenting the division, by State and Federal Government, of monies received by SSI beneficiaries as overpayments and refunded to SSA. Included are Forms SSA-124, Remittance Register, computer printouts (SS06), and Treasury Form GFO-5504, Debit Voucher, with attached photocopies of canceled checks. One copy (white copy) of Form SSA-124 is retained for administrative purposes, and one copy (yellow copy) forwarded for keypunch input into the Supplemental Security Record. One copy (pink copy) with the supporting documentation for SS06 and Form GFO-5504 is retained for HHS audit. Information from the daily Form SSA-124 is compiled in a monthly report and submitted to OMBP. The monthly report lists total amount of funds due to States from the Federal Government.

(1) Audit Copy of Form SSA-124 and Supporting Documentation

Transfer to the SSA holding area at the close of the fiscal year in which dated. Destroy after 3 years or completion of HHS audit, whichever is earlier.

(2) Input Copy

Destroy input copy (yellow copy) of Form SSA-124 and related documents once input is accomplished and edits resolved.

(3) Administrative Copy

Destroy additional copy (white copy) of Form SSA-124 when administrative value ceases.

Description of RecordsAuthorized Dispositionf. SSI Manual One-Time Payment Files

These files consist of forms used by the district offices to manually compute and authorize one-time benefit payments to SSI recipients who fail to receive their regular monthly checks. Included is Form SSA-8110, SSI Manual One-Time Payment, or its equivalent. The forms contain the payee's name, address, and social security number; the signatures of the preparing and approving officials; the computations upon which payment is based; and the amount of payment authorized. They are retained as potential evidence of employee fraud in the authorization of payments.

(4) Monthly Report

Destroy after 3 years.

(1) Original Copy

Transfer to a FRC 90 days after receipt.
Destroy ~~6 years thereafter~~ when 6 years and 3 months old.

(2) District Office Copy

Destroy 6 months after the close of the month in which dated.

(3) Other Copies

Destroy upon completion of reconciliation operations or when no longer needed for reference, whichever is later.