

**REQUEST FOR AUTHORITY
 TO DISPOSE OF RECORDS**

(See Instructions on Reverse)

44 items

RE 47

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

LEAVE BLANK	
DATE RECEIVED MAR 26 1975	JOB NO
DATE APPROVED NC -	47-75-16

1 FROM (AGENCY OR ESTABLISHMENT)
 Department of Health, Education, and Welfare

2 MAJOR SUBDIVISION
 Social Security Administration

3 MINOR SUBDIVISION
 Office of Management and Administration

4 NAME OF PERSON WITH WHOM TO CONFER
 George S. Yamamura

5. TEL. EXT
 130 45771

NOTIFICATION TO AGENCY

In accordance with the provisions of 44 U.S.C. 3503a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10

5-13-75
 Date *Janis B. Head*
 Archivist of the United States

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.

3/19/75
 (Date)

George S. Yamamura
 (Signature of Agency Representative)

SSA Records Officer
 (Title)

7. ITEM NO	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
	<p><i>GAO concurrence required.</i></p> <p><u>Records Retention and Disposal Schedule</u></p> <p><u>Financial Management Records</u></p> <p>These records are accumulated by the Office of Financial Management, (OFM), Office of Management and Administration (OMA), and by offices in the various Social Security Administration (SSA) components performing a financial management function. General Accounting Office clearance is being sought.</p> <p>I. <u>BUDGET MANAGEMENT FILES</u></p> <p>A. <u>Budget Estimate and Justification Files</u></p> <p>These files consist of budget estimates and associated justification statements submitted annually to OFM, OMA by each SSA bureau and office. The files are used in the preparation of the annual SSA budget submission to the Department of Health, Education, and Welfare (DHEW) and the Office of Management and Budget (OMB). Included are Forms OAAD-413, Summary of Estimates for Personal 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,</p>		

*Copy to Agency + WNRRC
 5/16/75
 (PL)*

4/16/75 - Changes with approval of Bob Hawley

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	<p>and Utilities Services; SSA-427, Estimates for Rental of Space; and equivalent or related documents.</p> <p>1. <u>Office Responsible for Preparation of the Documents</u></p> <p>Destroy ¹⁰20 years after the close of the budget year.</p> <p>2. <u>Office Having SSA-wide Budget Management Responsibility</u></p> <p><i>Transfer to SSA records holding area 5 years after close of bud. additional 35 years thereafter. Destroy 15 years thereafter. (PL) 4/28/75</i></p> <p>Transfer to a Federal Records Center (FRC) 5-900 year. Hold 5 years after the close of the budget year. Destroy 35 years thereafter. Years, then transfer to FRC.</p> <p>B. <u>SSA Budget Document</u></p> <p>This is the annual budget submission to DHEW and OMB outlining position, manpower, 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) justifications and explanations; (4) other documents required for budget examination and analysis. The submission is microfilmed.</p> <p>1. <u>Hard Copies</u></p> <p>Destroy 5-years after the close of the budget year after microfilming.</p> <p>2. <u>Microfilm Copies</u></p> <p>Permanent. Cut-off file after 10 years and transfer to a FRC. Offer to the National Archives 30 years thereafter.</p>		

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	<p>C. <u>Budget Hearings Documents</u></p> <p>These documents are used by SSA officials in testifying at budget hearings conducted by DHEW, 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. The documents are microfilmed.</p> <p>1. <u>Hard Copies</u> Destroy 5 years after the close of the budget year after microfilming.</p> <p>2. <u>Microfilm Copies</u> Permanent. Cut-off file after 10 years and transfer to a FRC. Offer to the National Archives 30 years thereafter.</p> <p>D. <u>Budget Instructions and Decisions Files</u></p> <p>These files consist of copies of instructions (e.g., manuals, directives, circulars), decisions, analyses, and other official publications of DHEW, OMB, and the Treasury Department relating to budget preparation and execution. They are retained for reference purposes.</p> <p>Destroy when superseded or obsolete.</p> <p>E. <u>Overtime and Staffing Reports</u></p> <p>These reports are submitted to OFM, OMA by each SSA bureau and 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), the Report of Staff on Duty by Location (Form SSA-1699), and the Report of Overtime Hours Worked.</p> <p>1. <u>Office Responsible for Preparation of the Report</u> Destroy after 2 years.</p> <p>2. <u>Office Having SSA-wide Budget Management Responsibility</u> Destroy after 5 years.</p>		

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	<p>F. <u>Schedule of Accrued Obligations</u></p> <p>This report is submitted three times a year to OFM, OMA by each SSA bureau and 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.</p> <p>1. <u>Office Responsible for Preparation of the Report</u></p> <p>Destroy after 1 year.</p> <p>2. <u>Office Having SSA-wide Budget Management Responsibility</u></p> <p>Destroy after 5 years.</p> <p>G. <u>Report of Estimated Obligations and Cost Distribution</u></p> <p>This is a monthly report submitted to OFM, OMA by each SSA bureau and office. It contains an estimate of year-to-date expenditures through the current month by object and subobject class. Included is Form SSA-180, Report of Estimated Obligations and Cost Distribution, or its equivalent.</p> <p>1. <u>Office Responsible for Preparation of the Report</u></p> <p>Destroy after 1 year.</p> <p>2. <u>Office Having SSA-wide Budget Management Responsibility</u></p> <p>Destroy after 5 years.</p> <p>H. <u>SSA Budget System Files</u></p> <p>1. 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;</p>		

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	<p>or their equivalents.</p> <p>Destroy after data have been entered into the system and verified.</p> <p>2. System outputs, including computer tables and listings of budget management data, such as summary tables and tables relating to a particular bureau or office.</p> <p>Destroy 2 years after the fiscal year in which dated.</p>		
II.	<p><u>COST ANALYSIS FILES</u></p> <p>A. <u>Cost Analysis System Files</u></p> <p>1. Source documents for the Cost Analysis System, including reports containing employment, work measurement, financial, and payroll data.</p> <p>Destroy 1 year after data have been entered into the system and verified.</p> <p>2. System outputs, 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 productivity.</p> <p>Destroy after 1 year.</p> <p>B. <u>Work Output and Productivity Report</u></p> <p>This is a monthly report containing data on the summary status of workloads, manpower use, and productivity, the status of SSA program workloads, work output and productivity, individual component productivity, and contractor workloads and productivity.</p> <p>1. <u>Office Responsible for Preparation of the Report</u></p> <p>Destroy after 5 years.</p> <p>2. <u>Other Offices</u></p> <p>Destroy after 2 years.</p>		
III.	<p><u>PAYROLL AND PAY ADMINISTRATION FILES</u></p> <p>A. <u>Pay Data Listings</u></p> <p>These are biweekly listings of pay data (gross and net earnings, deductions, etc.) for SSA central</p>		

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	<p>office and field employees. The listings are prepared by the Department. Included is Form OS-340-T, Pay Data for Personal Services, or its equivalent.</p> <p>Destroy after 1 year.</p> <p>B. <u>Time and Attendance Cards (Microfilm Copy)</u></p> <p>This is a microfilm copy of original employee time and attendance cards (Form HEW-402, Time and Attendance Report) used in resolving pay and leave discrepancies. Original time and attendance cards are forwarded to DHEW.</p> <p>Destroy after 5 years.</p> <p>C. <u>Payroll Error Notices</u></p> <p>These files consist of retained copies of payroll error notices (Forms HEW-411 and HEW-411A, Error Notice). Original error notices are forwarded to DHEW.</p> <p>1. <u>Timekeeper's Copy</u></p> <p>Destroy when error has been corrected.</p> <p>2. <u>Payroll Liaison Copy</u></p> <p>Destroy after 1 year.</p> <p>D. <u>W-2 Listings</u></p> <p>These are listings of SSA employees for whom an Internal Revenue Service Form W-2, Wage and Tax Statement, has been prepared. The listings are prepared annually by DHEW.</p> <p>Destroy upon receipt of subsequent year's listing.</p> <p>E. <u>Undeliverable W-2 Forms</u></p> <p>These files consist of original undeliverable W-2 forms for SSA employees. The W-2's are issued by DHEW.</p> <p>Retain for 6 months and then return to DHEW.</p>		

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IV.	<p>F. <u>Employee Pay Slips (Timekeeper's Copy)</u></p> <p>These files consist of the timekeeper's copy of individual employee pay slips. Included is the green copy of Form OS-340, Earnings and Leave Statement, or its equivalent.</p> <p>Destroy after 2 years.</p> <p>G. <u>Authorized Timekeeper Card File</u></p> <p>This is a card file identifying those SSA employees authorized to act as official timekeepers.</p> <p>Destroy when superseded or obsolete.</p> <p>H. <u>Administrative Time and Leave Record</u></p> <p>This record reflects an employee's usage of annual leave, sick leave, and leave without pay during a given year. Included is Form SSA-2402, Administrative Time and Leave Record, or its equivalent.</p> <p>Destroy after 3 years.</p> <p><u>ACCOUNTING OPERATIONS FILES</u></p> <p>A. <u>Obligation Documents Files</u></p> <p>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 DHEW auditors and for general reference purposes. Excluded are copies of obligation documents retained in paid invoice and voucher files, described below.</p> <p>Destroy after 3 years except that purchase orders issued by the Property Management Branch, OMA, GSA job orders, and GPO print orders will be destroyed after 6 years.</p>		

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	<p>B. <u>Paid Invoice and Voucher Files</u></p> <p>These files consist of original paid invoices, billings, and vouchers and associated supporting documents retained as General Accounting Office (GAO) site audit records. Included are reimbursement and agent cashier vouchers (SF 1129, Reimbursement Voucher), commercial telephone invoices, General Services Administration (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.</p> <p>Transfer to a FRC 3 years after the fiscal year in which paid. Use Record Group 217.</p> <p>C. <u>Contract Files</u></p> <p>These files consist of original contracts, modifications thereof, associated paid invoices and vouchers, and similar papers. Included are college work study contracts and related documents. The files are retained as GAO site audit records.</p> <p>Destroy 6 years after the fiscal year in which the contract is terminated.</p> <p>D. <u>Paid Schedule Files</u></p> <p>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; or their equivalents. Included are central office, regional, and program center schedules. The files are retained as GAO site audit records.</p> <p>Transfer to a FRC 3 years after the fiscal year in which paid. Use Record Group 217.</p>		

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	<p>E. <u>Passenger and Freight Transportation Records</u></p> <p>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 GAO under the centralized audit procedure.</p> <p>Destroy when no longer needed in daily operations.</p> <p>2. Passenger transportation records, consisting of obligation copies of transportation requests (SF 1169a, Transportation Request) and supporting documents. Original transportation requests are forwarded to GAO under the centralized audit procedure.</p> <p>Destroy when no longer needed in daily operations.</p> <p>3. Passenger transportation records relating to reimbursement to individuals, such as copies of travel orders, 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.</p> <p>Transfer to a FRC after 3 years. Use Record Group 217.</p> <p>F. <u>Letter of Credit Files</u></p> <p>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.</p> <p>Destroy 3 years after the fiscal year in which revoked.</p> <p>G. <u>Payment Voucher on Letter of Credit Files</u></p> <p>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</p>		

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	<p>incurred in administering social security programs. These files are retained as GAO site audit records.</p> <p>Transfer to a FRC after 3 years. Use Record Group 217.</p> <p>H. <u>Certificate of Deposit Files</u></p> <p>These files consist of SF 219, Certificate of Deposit, 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.</p> <p>Transfer to a FRC after 3 years. Use Record Group 217.</p> <p>I. <u>Financial Accounting System (FAS) Files</u></p> <p>1. Coding sheets used to enter data into the automated accounting system, including Forms SSA-2136, Document History Record--Single Transactions; SSA-2137, Document History Record--Follow-on Transactions; and master file documents used to update the FAS. Excluded are document history records retained with the source document.</p> <p>Destroy hard copy after microfilm has been proven acceptable. Destroy microfilm after 6 years.</p> <p>2. Monthly accounting reports generated by the automated system. Included are the following: SF 224 Statement of Transactions; General Ledger Summary Report; Report of Cash Disbursements; Report of Premium Collections; Report of Benefit Payments; Third Party Activity Report; 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 Costs (Administrative Recap); Status of Funds Report--Comparison of Actual to Planned Obligations; Status of Funds Report--Comparison of Actual to Planned Costs; Status of Funds Report--Operating and Special Expenses; Status</p>		

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	<p>of Funds Report--Federal Obligations; Microfilm of General Ledger Detail File Report; Property Report; and Regional Monthly Report. Microfilm copies of these reports are retained as GAO site audit records.</p> <p>a. <u>Office Responsible for Preparation of the Report</u></p> <p>Destroy hard copy report after microfilm has been proven acceptable. Destroy microfilm after 6 years.</p> <p>b. <u>Other Offices</u></p> <p>Destroy after 1 year.</p> <p>J. <u>Manually Prepared Accounting Reports</u></p> <p>These files consist of various accounting reports prepared manually by SSA for submission to DHEW, OMB, or the Department of Treasury. Included are the following: Report of Overseas Expenditures and Foreign Currencies Available for Conversion; Report of Accounts Receivable From and Payable To Foreigners; 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); User Charges Report (SF 4); Report of Fidelity Losses Sustained by U.S. (Form BA-6320); and Statement of Unexpended Balances of Appropriations and Funds (form BA-R 2108).</p> <p>1. <u>Office Responsible for Preparation of the Report</u></p> <p>Transfer to a FRC 3 years after the fiscal year in which prepared. Use Record Group 217.</p> <p>2. <u>Other Offices</u></p> <p>Destroy after 1 year.</p> <p>K. <u>Price Listings Files</u></p> <p>These files consist of price listings received from commercial vendors and retained for reference purposes.</p> <p>Destroy when superseded or obsolete.</p>		