

RG47 NCD COPY

REQUEST FOR AUTHORITY  
TO DISPOSE OF RECORDS

49 items (See Instructions on Reverse) RG47  
TO: GENERAL SERVICES ADMINISTRATION,  
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, D.C. 20408

LEAVE BLANK	
DATE RECEIVED MAR 21 1974	JOB NO. 174-176
DATE APPROVED NC	
CONGRESSIONAL AUTHORIZATION	
HOUSE REPORT NO.	CONGRESS DATE
	SESSION
NOTIFICATION TO AGENCY	
CONGRESS HAS AUTHORIZED DISPOSAL OF ITEMS MARKED "DISPOSAL APPROVED" IN COLUMN 10.	
4-16-74 (Date) James B. Rhoads (Archivist's Representative)	

- FROM (AGENCY OR ESTABLISHMENT)  
Department of Health, Education, and Welfare
- MAJOR DIVISION  
Social Security Administration
- MINOR DIVISION  
Bureau of District Office Operations
- NAME OF PERSON WITH WHOM TO CONFER  
Arthur J. Berner

5. TEL. EXT.  
594-5771

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 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.

3/12/74  
(Date)

*Russell O. Hess*  
Russell O. Hess  
(Signature of Agency Representative)

Dept. Records Mgt. Officer  
(Title)

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p align="center"><u>RECORDS RETENTION AND DISPOSAL SCHEDULE</u> <u>DISTRICT OFFICE OPERATIONS</u> <u>(District and Branch Offices)</u></p> <p>The records described in this Schedule are accumulated by the Bureau of District Office Operations pursuant to Titles II, XIV, XVI, and XVIII of the Social Security Act. They are filed in district and branch offices, BDOO. Not all of the records are maintained in any single office, however.</p> <p>I. <u>BDOO GENERAL ADMINISTRATION RECORDS</u></p> <p>These records are created as a result of administrative actions that are related to an SSA program, but are only incidental to its performance.</p> <p>A. <u>Public Information Records</u></p> <p>These records consist of correspondence and reports of telephone conversations from the public and from Congressmen, on such matters as the service received in the district or branch office, inquiries pertaining to individual beneficiaries, and related concerns. Included are copies of speeches given by district or branch office personnel, and other public relations information.</p> <p><i>Copy sent to Field 4/18/74</i> <i>Copy sent to agency 4/18/74</i> <i>CAC concurrence pending</i></p>		

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7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>1. <u>Congressional Correspondence</u></p> <p>Destroy after 2 years.</p> <p>2. <u>All Other Material</u></p> <p>Destroy after 1 year.</p> <p>B. <u>BDOO Memos</u></p> <p>These memorandums ("See Belows," numbered and unnumbered, and Identicals), are copies of central office issuances, which state or clarify BDOO organizational policies or issued instructions.</p> <p>Destroy after 2 years.</p> <p>C. <u>General Administration Notes</u></p> <p>These documents from BDOO Central Office ("GANs") highlight new procedures for claims or management of the district or branch office.</p> <p>Destroy after 1 year.</p> <p>D. <u>Program Circulars</u></p> <p>These circulars outline new procedures for SSA programs, such as health insurance, disability insurance, retirement and survivor's insurance, and supplemental security income.</p> <p>Destroy when superseded, obsolete, or when no longer needed for reference.</p> <p>E. <u>District Office Work Report</u></p> <p>This weekly report summarizes the total claims workload for each office.</p> <p>Destroy after 2 years.</p>		

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	<p>F. <u>Precedent File Records</u></p> <p>These records consist of documents related to claims which have become social security precedents. They are the basis for Commissioner's Decisions and Social Security Rulings. These claims were initiated in the district or branch office.</p> <p>Destroy 1 year after precedent has been superseded or is no longer valid.</p> <p>G. <u>State and Local Coverage Records</u></p> <p>These records consist of background documents and copies of the final agreement of negotiations with states for social security coverage of their employees.</p> <p>Destroy 1 year after termination of agreement.</p> <p>H. <u>Employer Reporting Records</u></p> <p>These records consist of copies of correspondence on employer reporting of social security deductions. Included are State enumeration projects, reporting by individual employers of domestics, contacts to dissolve discrepancies in reporting, and similar documents.</p> <p>Destroy after 1 year.</p> <p>I. <u>Survey and Audit Records</u></p> <p>These records consist of copies of audits and reviews performed by the RO or CO in all areas of management and program operations, such as mail, claims, earnings discrepancies, teletype messages, and similar data.</p> <p>Destroy after next comparable audit or after 1 year, whichever is later.</p>		

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	<p>J. <u>Benefits in Force Report</u></p> <p>This report lists the number of beneficiaries in the service area who are receiving benefits.</p> <p>Destroy after 3 years.</p> <p>K. <u>Disability Procedures Records</u></p> <p>These records consist of procedures for the handling of disability cases by veterans hospitals, State agencies, and other organizations, and includes related correspondence.</p> <p>Destroy when superseded, obsolete, or when no longer needed for reference.</p> <p>L. <u>Health Insurance Procedures Records</u></p> <p>These records consist of procedures related to the health insurance program. They pertain to providers of services in the service area of the district or branch office, and include related correspondence. Included are State Buy-In Procedures which consist of background documents related to the review by the RO or CO, HI, of the State buy-in agreement. Also included is related correspondence.</p> <p>Destroy when superseded, obsolete, or when no longer needed for reference.</p> <p>M. <u>Supplemental Security Income (SSI) Procedures Records</u></p> <p>These records consist of procedures related to carrying out the SSI program in the district offices.</p> <p>Destroy when superseded, obsolete, or when no longer needed for reference.</p>		

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	<p>N. <u>Service Area Information and Referral Records.</u></p> <p>These records pertain to background information relating to community involvement, such as beneficiary referrals to other service agencies, community relations, related correspondence and similar documents.</p> <p>Destroy after 2 years.</p> <p>O. <u>Field Facilities Records</u></p> <p>These records consist of background material pertaining to the establishment of new offices, such as office specifications, office grade, service area classifications, area research, service area reviews, and similar documents.</p> <p>Destroy 2 years after relocation or close of the office.</p> <p>P. <u>Check Procedure Records</u></p> <p>These records consist of local procedures established for the processing, auditing, and review of checks. The checks are returned to the district and branch office for social security overpayment, health insurance benefits, supplemental medical insurance benefits, and similar instances. Also included is SSA-1395, Receipt and Transmittal of Refund Payments--Premium Payments and Returned Benefit Checks, and its equivalent.</p> <p>1. <u>Procedures</u></p> <p>Destroy when superseded, obsolete, or when no longer needed for reference.</p> <p>2. <u>Form SSA-1395</u></p> <p>Destroy after 1 year.</p>		

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II.	<p><u>DISTRICT OFFICE RECORDS</u></p> <p>These records accumulate in processing claims for social security beneficiaries. Excluded are post-entitlement source documents which are covered elsewhere.</p> <p>A. <u>Development Records</u></p> <p>These records are used in developing initial claims for social security benefits. Included is Form SSA-250, District Office Development Record and its equivalent.</p> <p>Destroy 6 months after completion of development.</p> <p>B. <u>Direct Input Source Documents</u></p> <p>These documents contain data which is transmitted electronically to BDP. The information is entered onto the Master Beneficiary Record (MBR). Included are Forms SSA-450, Claims Input Data; SSA-450A, Also Input Document; SSA-450B, Subsequent Claims Input Short Form; SSA-1418, Claims Control Data; SSA-1551, Direct Dealing Provider Input Worksheet; SSA-2489, ARS Request for Critical Case Payment, and equivalent forms.</p> <p>Destroy 1 calendar month after receipt of acknowledgement from BDP.</p> <p>C. <u>Disability Determination Records</u></p> <p>These records are prepared in the district office and forwarded either to the State agency or to BDI for a determination of whether the case meets SSA's definition of disability. The district office receives a copy of the determination. Included is Form SSA-831, Disability Determination and Transmittal, and its equivalent.</p> <p><u>District Office Copy</u></p> <p>Destroy after 6 months.</p>		

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III.	<p data-bbox="274 364 605 393"><u>HOUSEKEEPING RECORDS</u></p> <p data-bbox="274 431 620 459">A. <u>Equipment Records</u></p> <p data-bbox="337 497 1176 883">These records consist of background material related to equipment used in the district or branch offices, such as copiers, mimeograph machines, typewriters, microfiche readers, and similar equipment. This material contains the specifications, serial number, brochures, and similar information. Included is Form SSA-1646, Statistical Input Data, sent annually to Property Management Branch, OA. This report summarizes the results of onsite inspections performed by regional office or central office personnel.</p> <p data-bbox="337 921 1057 949">Destroy when no longer needed for reference.</p> <p data-bbox="274 1026 571 1054">B. <u>Safety Records</u></p> <p data-bbox="337 1092 1176 1284">These records pertain to personal safety in the district and branch office buildings. Included are the Facility Disaster Control Plan, safety regulations, equipment safety background material, questionnaires on occupational safety made to the regional office, and similar documents.</p> <p data-bbox="337 1322 1057 1350">Destroy when no longer needed for reference.</p> <p data-bbox="274 1419 717 1447">C. <u>Employee Health Records</u></p> <p data-bbox="337 1485 1176 1576">These documents relate to employee health projects, such as prevention shots, monthly report from the HEW health unit, and similar material.</p> <p data-bbox="337 1614 697 1643">Destroy after 2 years.</p> <p data-bbox="274 1711 620 1739">D. <u>Financial Records</u></p> <p data-bbox="337 1778 1156 1868">These records consist of documents relating to the financial operations of the district or branch office. Included, but not limited to, are:</p>		

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	<p>1. <u>Individual Procurement Transactions</u></p> <p>These records consist of copies of requisitions, purchase orders, invoices, receiving reports, and comparable contractual instruments for local purchases of equipment and services.</p> <p>Destroy after 2 years, except that material for transactions made under the provisions of ADS Guide BD00.f:130-34, Small Purchase Procedures (Local Purchase) must be retained for 3 years following the year in which the transaction is consummated.</p> <p>2. <u>Payroll Authorization Records</u></p> <p>These records authorize persons to pick up payroll checks and bonds for SSA employees from the Regional Disbursing Center. Included is Form SF 1195, Recommendation and Designation of Agent to Receive and Deliver Checks and Savings Bonds, and equivalent documents.</p> <p>Destroy when superseded.</p> <p>3. <u>Employee Payroll Error Records</u></p> <p>These records are used to report payroll errors to HEW. Included is Form HEW-411, Payroll Notification Form, and HEW-411A, Error Notice and equivalent documents.</p> <p>Destroy after 1 year.</p> <p>4. <u>Telephone Bills</u></p> <p>These records are copies of bills, the originals of which are sent to OA Financial Management.</p> <p>Destroy after 6 months.</p> <p>5. <u>Petty Cash Vouchers</u></p> <p>Reimbursement Voucher, SF 1129, or equivalent documents.</p> <p>Destroy after 3 years.</p>		

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	<p>E. <u>District Office Security Records</u></p> <p>These records consist of correspondence relating to the security of the district or branch office, such as arrangements for guards, reports of thefts, issuance of keys to authorized persons, and similar documents.</p> <p>Destroy when no longer needed for reference.</p> <p>F. <u>Travel and Parking Records</u></p> <p>These records consist of documents related to travel of district or branch office personnel. Included are documents related to the use of Government vehicles, such as requests for official parking permits, and similar documents. Also included are Forms HEW-1, Travel Order, SF 1012, Travel Voucher, SSA-2376, Service Area Travel Plan and Budget, and similar documents.</p> <p>Destroy after 3 years.</p> <p>G. <u>Office Service and Supply Records</u></p> <p>These documents relate to ordinary supplies and equipment used by an office; office space and utilities, communications, transportation, custodial, or other services required by an office; and to the general maintenance of an office. These records include, but are not limited to:</p> <ol style="list-style-type: none"><li>1. Requests for supplies, receipts for supplies and equipment, and similar papers pertaining to office supply matters.</li><li>2. Requests for publications and blank forms, and other papers related to the supply and distribution of publications to the office.</li><li>3. Documents related to local transportation and custodial service required by an office.</li></ol>		

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	<p>4. Requests for installation of telephones, telephone extensions, requests for change to telephone directories, and similar papers.</p> <p>Destroy after 2 years.</p> <p>H. <u>Training</u></p> <p>These documents pertain to the training of district and branch office personnel. Included is summer training of students, and other nonagency personnel. Included is background material for training, such as brochures and schedules for courses sponsored by the Civil Service Commission, GETA, SSA Central Office, and related material.</p> <p>Destroy after 1 year or when no longer needed for reference.</p> <p>I. <u>Overtime Report</u></p> <p>This weekly report contains information on overtime worked by district and branch office personnel. The information is consolidated in the RO and forwarded to CO.</p> <p>Destroy after 1 year.</p>		
IV.	<p><u>PERSONNEL RECORDS</u></p> <p>These records cover those maintained by both the district office and by the branch office.</p> <p>A. <u>Operating Officials' Personnel Records</u></p> <p>These records consist of working copies of employees records. The official copies of these records are maintained in the official personnel folders in the DHEW Regional Personnel Office. Included are copies of SF-52, Request for Personnel Action; employee appraisals, employee records cards, within-grade notifications; reports of employee interview concerning rating, appraisal, and job conduct, and similar documents pertaining to individual employees.</p>		

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	<p>Destroy in accordance with Appendix B, Filing Retention Table (Employee Records and Files), Chapter IX, SSA Guide 1-4, Personnel Guide for Supervisors.</p> <p>B. <u>Employee Leave Records</u></p> <p>Destroy in accordance with General Records Schedule No. 2, Exhibit 1, ADS Guide 40-2.</p> <p>C. <u>Employment Records</u></p> <p>These documents pertain to employment in the district or branch office. Included, but not limited to, are:</p> <ol style="list-style-type: none"><li>1. Local vacancy announcements.</li><li>2. Requests for transfer into and out of the district or branch office.</li><li>3. FSEE and college recruitment.</li><li>4. Summer aide employment.</li><li>5. Promotion committee establishment.</li><li>6. Position descriptions.</li></ol> <p>Destroy when superseded, obsolete, or when no longer needed for reference.</p> <p>D. <u>SSA Vacancy Announcements</u></p> <p>These records include central office-originated teletype announcements of SSA vacancies for grades GS-14 and above, vacancy announcements issued in the field by the Regional Personnel Offices, and similar announcements.</p> <p>Destroy after 3 months.</p>		

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V.	<p><u>OFFICE REFERENCE RECORDS</u></p> <p>These records are maintained to provide a source of readily available reference materials for an office.</p> <p>A. <u>Reading Files</u></p> <p>These files consist of extra copies of outgoing communications, arranged chronologically, which are maintained for review by staff members.</p> <p>Destroy after 1 year.</p> <p>B. <u>Technical and Reference Publications</u></p> <p>These records consist of copies of issuances, including reference binders and other publications issued by any element of DHEW, SSA, other Government agencies, and non-Governmental organizations, which are maintained by an office for reference purposes. These files also include memorandums, letters, messages, or other documents used to transmit program instructions in advance of official SSA issuances.</p> <p>Destroy when superseded, obsolete, or when no longer needed for reference.</p>		