

**REQUEST FOR AUTHORITY  
 TO DISPOSE OF RECORDS**

(See Instructions on Reverse)

NC 1 47 77 08

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|--|---|
| LEAVE BLANK  |   |
| DATE RECEIVED<br><b>04 FEB 1977</b>  | JOB NO.<br><b>NC 1 47 77</b>                              |
| DATE APPROVED<br><b>NC 1 47 77</b>   |   |
| 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disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10. |   |
| <b>2-18-77</b><br>Date   | <b>James S. O'Keefe</b><br>Archivist of the United States |
| <i>acting</i>  |   |

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

1. FROM (AGENCY OR ESTABLISHMENT)  
Social Security Administration

2. MAJOR SUBDIVISION  
Office of Management and Administration

3. MINOR SUBDIVISION  
Office of Financial Management

4. NAME OF PERSON WITH WHOM TO CONFER  
Olyn B. Thomas

5. TEL. EXT.  
45771

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.

2/1/77  
(Date)

*Eugene J. Roesch, Jr.*  
 for Russell O. Hess  
 (Signature of Agency Representative)

Dept. Records Mgt. Officer  
 (Title)

| 7. ITEM NO. | 8. DESCRIPTION OF ITEM<br>(WITH INCLUSIVE DATES OR RETENTION PERIODS)  | 9. SAMPLE OR JOB NO. | 10. ACTION TAKEN |
|-------------|--|----------------------|------------------|
|             | <u>Records Retention and Disposal Schedule<br/>                     Office of Management and Administration Financial<br/>                     Management Files</u>  |                      |                  |
| I.          | <u>Payroll and Administrative Files</u>  |                      |                  |
| A.          | <u>Option Form 19 - Request for Disposition of Check/<br/>                     Bond</u><br><br>This form is completed by the timekeeper or employee and sent to the Office of Financial Management (OFM) for the purpose of mailing out the employee's check/bond.<br><br>Destroy after 1 year.              |                      |                  |
| B.          | <u>HEW 497 - Application for Emergency Salary Payment</u><br><br>This form is completed by the timekeeper and signed by the employee requesting a salary advance when the employee has failed to receive a salary check on pay-day.<br><br>Transfer to closed file after 1 year. Destroy 5 years thereafter. |                      |                  |
| C.          | <u>Forms HEW-411, Payroll Notification Form, and HEW<br/>                     411-A, Error Notices</u><br><br>These forms are completed by the timekeepers and sent to OFM to record payroll errors in employee pay  |                      |                  |

*sent to agency & NARS* Copies, including original, to be submitted to the National Archives and Records Service

## INSTRUCTIONS

*General Instructions:* Use Standard Forms 115 and 115a, obtainable from Supply Centers of the Federal Supply Service, General Services Administration, to obtain authority to dispose of records. Submit four copies, all of which should be signed and dated, to the National Archives and Records Service. Indicate the number of pages involved in the disposal request under entry 6. Copy 4 of the standard form will be returned to the agency as notification that Congress has authorized disposal of the items marked "approved."

### *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 show *what kind of authorization* is requested. Only one of two kinds of authorizations may be requested on a particular form.

*Box A* should be marked if immediate disposal is to be made of past accumulations of records, and the completed form thus marked is a list.

*Box B* should be marked if records that have accumulated or will continue to accumulate are to be disposed of at some definite future time or periodically at stated intervals, or if disposal is to be made of microphotographed records after it has been ascertained that the microfilm copies were made in accordance with the standards prescribed in GSA Regulations 3-IV-105; and the completed form thus marked is a schedule.

*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. 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* the records were produced or *when* disposal is to be made of the records, thus:

If *Box A* under entry 6 was marked, the inclusive dates during which the records were produced should be stated.

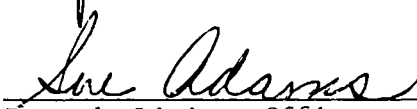
If *Box B* under entry 6 was marked, the period of retention should be stated. The retention period may be expressed in terms of years, months, etc., or in terms of future actions or events. A future action or event that is to determine the retention period must be objective and definite. If disposal of the records is contingent upon their being microfilmed, the retention period should read: "Until ascertained that microphotographic copies have been made in accordance with GSA Regulations 3-IV-105 and are adequate substitutes for the paper records."

*Entry 9* should show *what samples* of records were submitted for each item, or with *what job number* such samples were previously submitted. Samples of types of records other than textual and cartographic records should not be submitted.

*Entry 10* should be left blank.

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\_\_\_\_\_  
SSA Records Officer

  
\_\_\_\_\_  
Records Liaison Officer,  
Office of Financial Management

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

| 7.<br>ITEM NO. | 8. DESCRIPTION OF ITEM<br>(WITH INCLUSIVE DATES OR RETENTION PERIODS)  | 9.<br>SAMPLE OR<br>JOB NO. | 10.<br>ACTION TAKEN |
|----------------|--|----------------------------|---------------------|
|                | <p>checks. Original error notices are forwarded to HEW. They are also used to forward jury duty checks to OFM and as record of employee serving jury duty.</p> <p>1. <u>Forms HEW 411 and HEW 411A Used to Record Jury Duty</u></p> <p>a. <u>Timekeeper's Copy</u></p> <p>Destroy after jury duty check has been forwarded to OFM.</p> <p>b. <u>Payroll Liaison Copy</u></p> <p>Destroy after 3 years.</p> <p>2. <u>Forms HEW 411 and HEW 411A Used for Correction</u></p> <p>a. <u>Timekeeper's Copy</u></p> <p>Destroy after error has been corrected.</p> <p>b. <u>Payroll Liaison Copy</u></p> <p>Destroy after 1 year.</p>  |                            |                     |
| II.            | <p><u>Certificate of Deposit Files</u></p> <p>A. <u>OAR-L 7042 - Special Memorandum for "Fees" Requests, CO-6273 - Monetary Control Record</u></p> <p>Both forms are prepared by the SSA mailroom and are used to transmit monies to OFM. The former is used only for fee requests and the latter for all other receipts. They are detailed listings by name of remitter and amount. These records are retained as GAO site audit records<sup>are</sup> to trace specific receipts.</p> <p>Transfer to the FRC after 3 years, <del>using Record Group 217</del>. For records created on or after July 2, 1975, destroy after a total 6 years, 3 months retention <sup>using R. G. 217</sup>. For records created prior to July 2, 1975, destroy after a total 10 years, 3 months retention, <del>using R. G. 217</del></p> |                            |                     |

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|                | <p>B. <u>Control Register</u></p> <p>This form is prepared in OFM and is used to record the receipt of monies in OFM. It is a detailed listing of each receipt whether cash or checks. The OAR-L 7042 and CO-6273 are listed on this form in total by the control number. These records are retained as GAO site audit records.</p> <p>Transfer to the FRC after 3 years, <del>using Record Group 217</del>. For records created on or after July 2, 1975, destroy after a total 6 years, 3 months retention, <i>using RB 47</i>. For records created prior to July 2, 1975, destroy after a total 10 years, 3 months retention, <i>using RB 217</i></p> <p>C. <u>HEW-81 - Schedule of Collections</u></p> <p>This is a detailed listing of the Certificate of Deposit (SF-219) showing remitter, amount, purpose for which collections were received and appropriation symbol. They are retained as GAO site audit records.</p> <p>Transfer to the FRC after 3 years, <del>using Record Group 217</del>. For records created on or after July 2, 1975, destroy after a total 6 years, 3 months retention, <i>using RB 47</i>. For records created prior to July 2, 1975, destroy after a total 10 years, 3 months retention, <i>using RB 217</i></p> |                            |                     |
| III.           | <p><u>Reimbursable Services Files</u></p> <p>These files consist of Form SSA-1036, Billing Covering Reimbursable Services Performed and Reimbursable 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.</p> <p>Transfer to the FRC, <del>using Record Group 217</del>, 3 years after closed. For records created on or after July 2, 1975, destroy after a total 6 years, 3 months retention, <i>using RB 47</i>. For records created prior to July 10, 1975, destroy after a total 10 years, 3 months retention, <i>using RB 217</i></p>   |                            |                     |

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| IV.            | <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 HEW auditors and for GAO site audit purposes.</p> <p>Transfer to the FRC, <del>using Record Group 217</del>, 3 years after the fiscal year in which paid. For records created on or after July 2, 1975, destroy after a total 6 years, 3 months retention in the FRC <i>using</i> For records created prior to July 2, 1975, destroy after a total 10 years, 3 months retention, <i>using</i></p> <p>B. <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.</p> <p>Transfer to the FRC, <del>using Record Group 217</del>, 3 years after the fiscal year in which the contract is terminated. For records created on or after July 2, 1975, destroy after a total 6 years, 3 months retention <i>using RG 47.</i> For records created prior to July 2, 1975, destroy after a total 10 years, 3 months, <i>using RG 217.</i></p> | <p><i>RG 47.</i></p> <p><i>RG 217.</i></p> |                     |