

REC NCP 190007 10 74

REQUEST FOR RECORDS DISPOSITION AUTHORITY

(See Instructions on reverse)

| | |
|---|--|
| LEAVE BLANK | |
| JOB NO | |
| NC 1 47 78 20 | |
| DATE RECEIVED | |
| AUG 15 1978 | |
| 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disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10 | |
| 9-21-78 Date | <i>James B. Rhoads</i> Archivist of the United States |

TO GENERAL SERVICES ADMINISTRATION,
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408

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

2. MAJOR SUBDIVISION
Social Security Administration

3. MINOR SUBDIVISION
Office of Family Assistance

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

5. TEL EXT
594-5770

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 8 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 9/4/78 | D. SIGNATURE OF AGENCY REPRESENTATIVE <i>Ernest P. Lardieri</i> | E. TITLE Asst. Dir. for Rec. Mgmt. Oper. |
|-------------------|--|---|

| 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>REGIONAL OFFICE RECORDS</u></p> <p>I. <u>GENERAL PROGRAM ADMINISTRATION RECORDS</u></p> <p>A. <u>Administrative Files</u></p> <p>Files created or maintained by most regional offices in the performance of their assigned functions.</p> <ol style="list-style-type: none"> Official file copies of outgoing correspondence related to office functions. Comments on draft reports, studies, and proposals prepared by other offices. Contributions to and/or comments on proposed legislation. Suggestion evaluations. Program and management reports, such as overtime and staffing reports, workload and production reports, and other reports prepared to submit narrative or statistical data to management offices. | | |

115-107

sent to All FRC's
& Open 9-26-78 MJD

INSTRUCTIONS

General Instructions:

Use Standard Form 115 (obtainable from supply depots of the Federal Supply Service, General Services Administration) and the continuation sheet Standard Form 115a (obtainable from the Records Disposition Division, Office of Federal Records Centers, National Archives and Records Service, Washington, D.C. 20408) to obtain authority to dispose of records or to request permanent retention of records. Detach the fifth copy from the set and keep as your reference copy. Submit the first four copies of the set to the National Archives and Records Service. One copy will be returned to the agency as notification of items that are authorized for disposal. Items withdrawn or not approved for disposal will be so marked. Each SF 115 requiring Comptroller General concurrence must be accompanied by a notification of approval from GAO.

Specific Instructions:

Entries 1, 2, and 3 should show what agency has custody of the records that are identified on the form, and should contain the name of the department or independent agency, and its major and minor subdivisions.

Entries 4 and 5 should help identify and locate the person to whom inquiries regarding the records should be directed.

Entry 6 should be signed and dated on the four copies by the agency representative. The number of pages involved in the request should be inserted.

Box A should be checked if the records may be disposed of immediately. Box B should be checked if continuing disposal authority is requested or if permanent retention is requested. Only one box may be checked.

Entry 7 should contain the numbers of the items of records identified on the form in sequence, i.e., 1, 2, 3, 4, etc.

Entry 8 should show what records are proposed for disposal.

Center headings should indicate what office's records are involved if all records described on the form are not those of the same office or if they are records created by another office or agency.

An identification should be provided of the types of records involved if they are other than textual records, for example, if they are photographic records, sound recordings, or cartographic records.

An itemization and accurate identification should be provided of the series of records that are proposed for disposal or retention. Each series should comprise the largest practical grouping of separately organized and logically related materials that can be treated as a single unit for purposes of disposal. Component parts of a series may be listed separately if numbered consecutively as 1a, 1b, etc., under the general series entry.

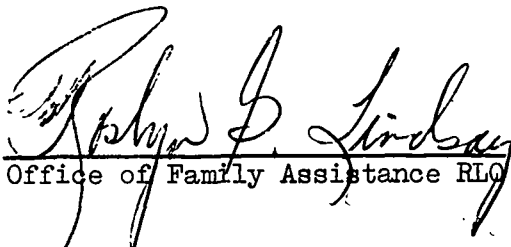
A statement should be provided showing when disposal is to be made of the records, thus:

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

If continuing disposal is requested for records that have accumulated or will continue to accumulate, the retention period may be expressed in terms of years, months, etc., or in terms of future actions or events. A future action or event that is to determine the retention period must be objective and definite. If disposal of the records is contingent upon their being microfilmed, or otherwise reproduced or recorded on machine readable media, the retention period should read: "Until ascertained that reproduced copies or recordings have been made in accordance with GSA regulations and are adequate substitutes for the paper records." Also, the provisions of FPMR § 101-11.5 should be observed.

Entry 9 should be checked if samples are submitted for an item. However, samples of the records are not required unless they are requested by the NARS appraiser. If an item has been previously submitted, the relevant job and item number should be entered.

Entry 10 should be left blank.


Office of Family Assistance RLO


SSA Records Officer

| Request for Records Disposition Authority - Continuation | | JOB NO | PAGE OF 2 |
|--|--|---------------------------|---------------------|
| 7. ITEM NO | 8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods) | 9. SAMPLE OR JOB NO | 10. ACTION TAKEN |
| | <p>Destroy 2 years after the close of the calendar year in which dated.</p> <p><u>B. Working Files</u></p> <p>Nonessential working papers retained for reference purposes by staff members. Included are extra copies of official file material, supporting of background papers used in developing official files but not needed as part of the official file, studies or similar material not acted upon, papers used as administrative aids and papers that do not serve as a basis for official action.</p> <p>Destroy after 2 years or when no longer needed for reference, whichever is earlier.</p> <p><u>C. Controlled Correspondence (Congressional and Public Inquiry)</u></p> <p>Locally-controlled correspondence, relating to SSA programs, for which replies have been prepared. These records are not required for claims or legal purposes. Included are congressional inquiries and replies thereto.</p> <p>Destroy 1 year after date of final reply.</p> <p><u>D. Policy Memorandum Files</u></p> <p>Policy memorandums, interpretations, clarifications, and similar records, used for reference purposes relating to administration of an SSA program within a general region. Also included are copies of legal opinions received from regional attorneys. Record copies of documents which relate to SSA-wide policies are retained by SSA headquarters.</p> <p>Review files on an annual basis, and destroy those records which do not have continuing applicability.</p> <p><u>E. Administrative and Program Circulars</u></p> <p>Administrative and program circulars issued by components in the regional office containing information and instructions relating to the administration of</p> | | |

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|---------------|---|---------------------------|---------------------|
| | <p>SSA programs. Administrative instructions are issued through the Administrative Directives System, and Program instructions are issued as program circulars. Included are related background materials, such as workpapers, clearance comments, draft instructions, and recommendations.</p> <p>Destroy 2 years after supersession or obsolescence.</p> <p>F. <u>Equal Opportunity Files (EEO)</u></p> <p>1. <u>Affirmative Action Plan (AAP)</u></p> <p>This is the document which describes the agency, regional, and/or component work plan, and objectives relating to the EEO program. Included are problem analyses, areas of emphasis, minority and female employment data, action items, and numerical goals and timetables. Record copies of agency, regional, and headquarters AAP's are retained at headquarters. Each plan is developed to cover a specific predetermined period.</p> <p>Destroy 2 years after the expiration date of the period covered by the plan.</p> <p>2. <u>Precomplaint Reports</u></p> <p>The Form SSA-1984, EEO Counselor Report, is used to record precomplaint counseling activities between the agency's EEO counselor and employee(s) or applicant(s) for employment. Records are for official use only. Record copies are retained by SSA headquarters.</p> <p>Destroy 2 years after date of counselor closeout or 2 years after date of employee's formal complaint has been closed, whichever is applicable.</p> <p>3. <u>Correspondence</u></p> <p>This refers to miscellaneous documents which transmit the agency, department, Civil Service Commission, or United States Court decisions regarding formal EEO complaints, also documents relating to the status of such complaints. Record copies are retained by SSA central office.</p> | | |

| Request for Records Disposition Authority - Continuation | | JOB NO | PAGE OF 4 |
|--|--|---------------------------|---------------------|
| 7. ITEM NO | 8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods) | 9. SAMPLE OR JOB NO | 10. ACTION TAKEN |
| | <p>Destroy 2 years after date of final adjudication of complaint.</p> <p>G. <u>Employee Accident, Health, and Loss or Theft of Property</u></p> <p>Documents relating to employee health projects, such as blood donations, prevention shots, and related correspondence. Included is Form HEW-516, Report of Accident, prepared after each occurrence. Also included is General Services Administration Form 182, Report of Loss or Theft, prepared after each occurrence. Record copies are maintained by SSA headquarters.</p> <p>Destroy after 1 year.</p> <p>H. <u>Forms History Folders</u></p> <p>Folders containing documents accumulated in evaluating the requirement for designing and procuring a particular SSA form. Included are justification statements, copies of internal and Office of Management and Budget (OMB) clearances, master or camera copies, memorandums and notes, copies of printing specification and requisitions, procurement documents, delivery instructions, samples, copies of approved suggestions, history sheets, copies of related procedures, and similar documents.</p> <ol style="list-style-type: none"> 1. Remove and destroy printing documents when superseded. 2. Destroy entire file 1 year after obsolescence of the form. <p>I. <u>Reports Management Files</u></p> <p>Records consisting of a working folder on each report and listings of interagency, public-use, and internal reports. The working folder contains copies of the directive requiring the report, clearances, copies of the report itself, cost estimates, and related background documents.</p> <ol style="list-style-type: none"> 1. Listings - destroy upon receipt of update report. 2. Working file - destroy 2 years after required report is terminated. | | |

| Request for Records Disposition Authority - Continuation | | JOB NO | PAGE OF 5 |
|--|---|---------------------------|---------------------|
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| II. | <p><u>PROGRAM RECORDS</u></p> <p>A. <u>Family Assistance Records</u></p> <p>Records pertaining to the financial assistance and incentive aspects of public assistance. They consist of files relating to aid to families with dependent children, AFDC emergency assistance, foster care, unemployed fathers, repatriates and refugees. These files normally include information regarding eligibility requirements and limitations, program review, and consultations, safeguarding the rights of applicants, fraud and recoupment accounting and payments, appeals, cooperation with other agencies, community work, and training, compliance issues, and other such program related files.</p> <p>Close out files at end of each calendar year, or after final resolution on redeterminations or litigations, whichever is later. Transfer 3 years thereafter to the Federal Records Center (FRC). Destroy after a total 6 years' retention.</p> <p>B. <u>Public Service Files</u></p> <p>Records pertaining to assistance provided to States to establish social services programs for the refugee and repatriation programs.</p> <p>Close out file at the end of each calendar year. Transfer to the FRC 3 years thereafter. Destroy after a total of 6 years' retention.</p> <p>C. <u>Grants Records</u></p> <p>1. <u>Discretionary (Project) Grants</u></p> <p>Grants made in support of an individual project in accordance with legislation which permits the grantee agency to administer such grants. Record materials are to be maintained for each grant awarded. These records include official file copies of application evaluation documentation (including documents concerning review of applications and program reports), and correspondence. These records may also include assurances and certifications (for civil rights, protection of human subjects, etc.).</p> | | |

Request for Records Disposition Authority - Continuation

JOB NO

PAGE OF
6

| 7. ITEM NO | 8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods) | 9. SAMPLE OR JOB NO | 10. ACTION TAKEN |
|---------------|--|---------------------------|---------------------|
| | <p>Transfer to FRC 2 years after closeout or upon resolution of any adverse audit findings, whichever is later. Destroy 6 years thereafter.</p> <p>2. <u>Formula Grants</u></p> <p>Grants provided to specified grantees on the basis of specific formula provided in legislation or regulation. These grants are generally mandatory. There is a file maintained for each annual formula grant awarded. These records include the official file copies of application or State plan and certification documents, budget information, State plan checklists, award notices, progress reports, letters of credit, correspondence, cost allocation plans, and other related documents.</p> <p>Transfer to the FRC 2 years after closeout or upon resolution of any adverse audit findings or request for reconsideration, whichever is later. Destroy 6 years thereafter.</p> <p>D. <u>State Plans</u></p> <p>Documents submitted by each State, territory, and possession in connection with social and related services for the major programs. The files pertain to State administration of the various programs. The plans are filed intact with revisions and amendments inserted as necessary.</p> <p>Transfer to the FRC 2 years after closeout or upon final action. Destroy after a total 6 years' retention.</p> <p>E. <u>State Compliance Hearings</u></p> <p>Records consisting of correspondence, briefs, notes and official hearing dockets pertaining to States' plans, practices, and procedures which are not in conformity with Federal provisions.</p> <p>Transfer to the FRC 2 years after closeout. Destroy after a total 7 years' retention.</p> | | |

Request for Records Disposition Authority - Continuation

JOB NO

PAGE OF

7

| 7. ITEM NO | 8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods) | 9. SAMPLE OR JOB NO | 10. ACTION TAKEN |
|---------------|---|---------------------------|---------------------|
| | <p>F. <u>Management Assistance and Reviews</u></p> <p>Records pertaining to stimulation of State action in achieving selected management objectives and the systems to assure followthrough. They may contain such information as financial reviews, monitoring of State compliance with Federal financial report requirements.</p> <p>Close out file at the end of each calendar year, or after final resolution. Transfer to the FRC 3 years thereafter. Destroy after a total 6 years' retention.</p> <p>G. <u>Statistical and Other Operational Reports</u></p> <p>Monthly, quarterly, and other periodic reports from States and possessions pertaining to recipients of financial assistance, including estimated and actual expenditures for programs. These include reports prepared by the regional offices. Also includes information on caseload, standards for eligibility determination, disposition of application, fair hearing activities and fraud.</p> <p>Close out the file at the end of the budget year and hold 3 additional years. Transfer to FRC. Destroy after a total 6 years' retention.</p> <p>H. <u>Audit Reports</u></p> <p>Reports pertaining to the audit of contracts, grants, and internal operating and management procedures relating to programs. The audits are conducted by internal staff, HEW Audit Agency, and by the General Accounting Office. Included in the file are resolutions and supporting documentation.</p> <p>Transfer to the FRC after final resolution. Destroy 4 years thereafter.</p> <p>I. <u>Quality Control Records</u></p> <p>Records document the quality control programs which develop policies, standards, and guidelines for Federal/State Quality Control systems to improve the management of public assistance programs; and reviews,</p> | | |

| Request for Records Disposition Authority - Continuation | | JOB NO | PAGE OF 8 |
|--|--|---------------------------|---------------------|
| 7. ITEM NO | 8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods) | 9. SAMPLE OR JOB NO | 10. ACTION TAKEN |
| | <p>assesses and monitors the effectiveness of State Aid to Families with Dependent Children systems. The records normally consist of copies of eligibility forms, along with various review documents and worksheets. The files include documents relating to corrective action, eligibility, cooperation with other agencies, statistical reports, State assessment reports, management reviews, program reviews, consultants, trip reports, status reports, reports of error rates, work plans and other related documents.</p> <p>Destroy after 3 years or upon conclusion of any audits or pending litigation, whichever is later.</p> | | |