

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: NC-047-75-001

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 12/28/2021

ACTIVE ITEMS

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

All items not listed below remain active.

SUPERSEDED AND OBSOLETE ITEMS

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

Item V.E.2 was superseded by NC1-047-82-10, item A

**REQUEST FOR AUTHORITY
 TO DISPOSE OF RECORDS**

(See Instructions on Reverse)

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

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

2 MAJOR SUBDIVISION
 Social Security Administration

3. MINOR SUBDIVISION
 Bureau of Retirement and Survivors Insurance

4. NAME OF PERSON WITH WHOM TO CONFER
 Charles D. Smith

5. TEL. EXT.
 594-5772

LEAVE BLANK	
DATE RECEIVED AUG 22 1974	JOB NO.
DATE APPROVED NC - 47-75-1	
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disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10	
10-29-74 Date	James B. Rhoads 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.

8-16-74 (Date) Charles D. Smith (Signature of Agency Representative) Acting 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
I.	<p><u>10/10/74 - Approved changes</u> <u>RECORDS RETENTION AND DISPOSAL SCHEDULE</u> <u>RETIREMENT AND SURVIVORS INSURANCE</u> <u>(Central Office)</u></p> <p>The files described in this Schedule are created in the administration of the Retirement and Survivors Insurance (RSI) programs pursuant to title II of the Social Security Act. They are filed in Central Office, Bureau of Retirement and Survivors Insurance (BRSI). However, all of the files are not maintained in any single office.</p> <p><u>RSI ISSUANCE FILES</u></p> <p>These files consist of manuals, directives, and other formal policy and procedural issuances prepared and published by BRSI relating to the social security program. These records include, but are not limited to: Claims Manual, Special Projects Manual, Fiscal Control and Audit Manual, Premium Collection Manual, Health Insurance Benefits Manual, Supplemental Medical Insurance Benefits Manual and Post-Entitlement Manual, Direct Input Preparation Manual, Exception Processing Manual, Recovery Manual, Case Control Manual, and their equivalents.</p> <p>A. <u>Office Responsible for Issuance</u></p> <p><u>Permanent</u> Transfer to a Federal Records Center (FRC) when issuance is superseded or discontinued. Offer to National Archives 10 years thereafter.</p>	<u>Mary Frances Shora (SSA)</u>	

10/10/74 - GAO concurrence has been requested.

Copy to WNRC 11/1/74

Copy to Agency 10/31/74

Four copies including original to be submitted to the National Archives and Records Service

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7 ITEM NO	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
II.	<p>B. <u>Other Offices</u></p> <p>Destroy when superseded, obsolete, or no longer needed for reference.</p> <p><u>RETIREMENT AND SURVIVORS ISSUANCES BACKGROUND FILES</u></p> <p>These files consist of records accumulated in the preparation, clearance, issuance, or interpretation of directives and comparable instructional materials. Included are studies, clearance comments, concurrences, recommendations, and similar records that provide a basis for issuance or contribute to the content of the instructional material.</p> <p>A. <u>Office Responsible for the Preparation and Issuance of the Instructional Material</u></p> <p>Transfer to the FRC when no longer needed for reference. Destroy 10 years thereafter.</p> <p>B. <u>Other Offices</u></p> <p>Destroy after 2 years. Earlier disposal is authorized.</p>		
III.	<p><u>MANAGEMENT RESOURCES RECORDS</u></p> <p>A. <u>Financial Management Records</u></p> <p>These records consist of information pertaining to each object and subobject classification of expenditures, such as travel, equipment, printing, rentals, supplies, and similar expenditures. Included are control ledgers, the Monthly Transaction Report Listing prepared by Financial Management, Office of Administration (OA), which contains expenditures for the month and year-to-date by object and subobject class. Also included are travel records for BRSI personnel, such as Form SSA-2575, Travel Report, travel orders, and similar information.</p> <p>a. <u>Listing</u></p> <p>Destroy 2 years after close of the fiscal year.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

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	<p>b. <u>Other Material</u></p> <p>Destroy 3 years after close of the fiscal year.</p> <p>1. <u>Personal Services and Benefits Expenditures Listing</u></p> <p>This biweekly report, prepared by Financial Management, OA, contains classes of pay, hours worked, the amount contributed to employee benefits by BRSI. It is used to estimate salaries and benefits for budget preparation, and similar purposes.</p> <p>Destroy after the close of the fiscal year.</p> <p>2. <u>Data Flow Back CAN and Object Class Summary</u></p> <p>This biweekly listing, prepared by Financial Management, OA, contains payroll data by CAN (Common Accounting Number) and is used to determine the amount of money spent by each individual BRSI office.</p> <p>Destroy after close of the fiscal year.</p> <p>3. <u>Schedule of Accrued Obligations</u></p> <p>This report consists of Form CO-0773A, Schedule of Accrued Obligations, which is submitted three times a year to Financial Management, OA. It lists actual expenditures year-to-date by object and subobject class, and contains projections for use of resources available for the rest of the year.</p> <p>Destroy 4 months after close of the fiscal year.</p> <p>4. <u>Report of Estimated Obligations and Cost Distribution</u></p> <p>This report consists of Form SSA-180, Report of Estimated Obligations and Cost Distribution, which is submitted monthly to Financial Management, OA. It contains an estimate of year-to-date expenditures through the current month, by object and subobject class.</p> <p>Destroy 1 year after close of the fiscal year.</p>		

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	<p>5. <u>Payroll Transaction Totals Listing</u></p> <p>This biweekly listing, prepared by Financial Management, OA, summarizes employee payroll data and contributions to personnel benefits. It contains timekeeper number of each BRSI employee, and is used to verify that those individuals who transferred from one office to another are charged to the correct CAN.</p> <p>Destroy after receipt of next listing.</p> <p>6. <u>Report of Net Reimbursements to the RSI Trust Fund</u></p> <p>This report is prepared monthly from feeder reports from the program centers, and is submitted to the Office of the Actuary. Included is Form SSA-2049, Daily Report of Benefit Activity, which lists certifications with schedule payments, transcript payments, and certifications not paid, which are made by the Treasury Department to the SSA Trust Fund.</p> <p>Destroy 2 years after the close of the fiscal year.</p> <p>7. <u>Reimbursements from the Veterans Administration to SSA</u></p> <p>This quarterly report, submitted to Financial Management, OA, is prepared from reports received from the program centers. Included are Forms SSA-1036, Cost Statement Covering Reimbursable Services Performed, and equivalents.</p> <p>Destroy 2 years after close of the fiscal year.</p> <p>8. <u>Cash Transaction Abroad</u></p> <p>This quarterly report, submitted to Financial Management, OA, is forwarded to the Department of Commerce. It contains estimates of dollars paid in each foreign country for net benefit payments, repayments, and SMI deductions to the RSI and DI trust funds.</p> <p>Destroy 3 years after close of the fiscal year.</p>		

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	<p>9. <u>Report of Benefit Certifications</u></p> <p>This monthly report, prepared from feeder reports from each program center, is submitted to Financial Management, OA, for incorporation into a consolidated SSA report to the Department of the Treasury.</p> <p>Destroy after 2 fiscal years.</p> <p>B. <u>Manpower and Staff Reports</u></p> <p>These reports are prepared from input from the program centers, DIO, and BRSI Central Office, which are consolidated into a report to Financial Management, OA. The report is used to evaluate work-load and staffing requirements. Included are SSA-1906, BRSI Weekly Staffing Report, which lists the gains, losses, and total staff on duty in the program centers. Also included are quarterly staffing reports prepared in the program centers, which list the number of employees in each grade working in the program center; Form SSA-2032, Weekly Report of Overtime, which lists the amount of overtime worked by program center employees; and equivalent documents.</p> <p>Destroy 2 years after close of the fiscal year.</p> <p>C. <u>Facilities Management Records</u></p> <p>1. <u>Requests for Supplies and Equipment</u></p> <p>These records consist of copies of Form HEW-393, Purchase/Service/Stock Requisition, for BRSI office supplies and equipment.</p> <p>Transfer to the SSA Holding Area 1 year after close of the fiscal year. Destroy after 2 years' retention in the Holding Area.</p> <p>2. <u>Forms History Folders</u></p> <p>These records consist of original and microfilm copies of information pertaining to BRSI forms and form letters, and include a copy of the form or form letter, updating and reordering information, suggestions which resulted in changes to the form, and similar information.</p>		

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	<p>Transfer original documents to Forms and Publications Section, <u>Printing and Records Management Branch, OA</u>, after microfilm has been proven acceptable. Retain microfilm in agency space until administrative use is satisfied; destroy when no longer needed for reference.</p> <p>3. <u>Manual Transmittals</u></p> <p>These records consist of master copies and negatives of transmittals of BRSI manuals, such as Post Entitlement, Health Insurance Benefits, and similar publications.</p> <p>Destroy master copies and negatives as the pertinent pages become obsolete.</p> <p>D. <u>Instructions Records</u></p> <p>1. <u>RSI Program Circulars Records</u></p> <p>These records consist of circulars which contain information pertaining to new developments in the RSI program, alerts of cyclical occurrences, reminders of reports due, and similar data. Also included are related correspondence and background material.</p> <p>Transfer to the SSA Holding Area 1 year after obsolescence. Destroy after 5 years' retention in the Holding Area.</p> <p>2. <u>Regional Issuances Records</u></p> <p>These records consist of a record set of all regional issuances and program circulars published by the six program centers. These records contain the post review performed in BRSI Central Office of the issuances and circulars.</p> <p>Transfer to the SSA Holding Area when no longer needed in current operations. Destroy after 5 years' retention in the Holding Area.</p>		

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	<p>3. <u>BRSI ADS Issuances</u></p> <p>These records consist of history folders of BRSI Administrative Directives System Guides, Circulars, and Handbooks pertaining to such administrative areas as directives, realty and space, safety, and similar areas.</p> <p>Transfer to the SSA Holding Area 1 year after obsolescence. Destroy after 7 years' retention in the Holding Area.</p> <p>E. <u>Management Information Records</u></p> <p>1. <u>1A Table and Register Listings</u></p> <p>These listings which are prepared by the Bureau of Data Processing (BDP) contain the number of RSI beneficiaries, number of beneficiaries in benefit status, money amounts paid by each program center, and a national total. The registers contain selected items from the listings, and are used to compare the amounts from one year to the previous 2 years.</p> <p>a. <u>Listings</u></p> <p>Transfer to the FRC after 7 years. Destroy after 3 years' retention in the FRC.</p> <p>b. <u>Registers</u></p> <p>Destroy after 3 years.</p> <p>2. <u>Workload Listings</u></p> <p>These records consist of listings, prepared weekly, monthly, and quarterly by each program center, and a national total. The listings show program center receipts and dispatches of cases, number of pending cases, type, age of pending cases, and a final summary total of the program center workload. The monthly and quarterly reports are microfilmed.</p> <p>a. <u>Weekly</u></p> <p>Destroy after receipt of the monthly listing.</p>		

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	<p>b. <u>Monthly</u> Destroy 6 months after microfilming.</p> <p>c. <u>Quarterly</u> Destroy 6 months after microfilming.</p> <p>d. <u>Microfilm Copies</u> Retain in agency space until administrative use is satisfied; destroy when no longer needed for reference.</p> <p>3. <u>Weekly Workload Report</u> These records consist of feeder reports which show the workload in the program centers where no folder action is required, e.g., change of address, death notices, SMI premium collection, and similar information. Destroy after 3 years.</p> <p>4. <u>PACER Reports</u> These records consist of summaries of total BRSI workloads, program center workloads, and related source data. Destroy after 2 years.</p> <p>5. <u>Program Center Manpower Listings</u> These records show the workload and distribution of manpower usage in the program centers. Destroy after 3 years.</p>		

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IV.	<p><u>MANPOWER RECORDS</u></p> <p>A. <u>Organization Development Record</u></p> <p>1. <u>Position Description Records</u></p> <p>These records consist of Optional Form 8, Position Description, for each position in BRSI.</p> <p>Destroy obsolete position descriptions after 10 years.</p> <p>2. <u>Personnel Staffing Records</u></p> <p>These records consist of copies of SF-52D, Request for Personnel Action, copies of Report 50-K, Total Incumbered, prepared quarterly by the Division of Personnel, OA, and lists BRSI staffing by grade level. Included are equivalent documents.</p> <p>Transfer to the SSA Holding Area after 5 years. Destroy after 2 years' retention in the Holding Area.</p> <p>3. <u>Classification Survey List</u></p> <p>This record consists of Form OAAD-227, Classification Survey List, which lists by name the incumbents in program center positions.</p> <p>Destroy after 2 years.</p> <p>4. <u>Summary Report of the Annual Review of Jobs</u></p> <p>This report consists of Form HEW-395, Summary Report of the Annual Review of Jobs, which is submitted through the Division of Personnel, OA, for consolidation into SSA's report to the Civil Service Commission (CSC).</p> <p>Destroy after 3 years.</p>		

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	<p>B. <u>Personnel Management Records</u></p> <p>1. <u>Weekly Personnel Reports</u></p> <p>These records consist of Form SSA-1985, BRSI Weekly Staffing Report, which lists the number of employees in each component, and the expected gains and losses in BRSI. These are listed by name and grade.</p> <p>Destroy after 2 years.</p> <p>2. <u>Quarterly Report on BRSI Components</u></p> <p>These records list the number of persons at each grade level working in each section of BRSI.</p> <p>Destroy after 18 months.</p> <p>3. <u>BRSI Incentive Awards Records</u></p> <p>These records consist of annual reports which list by employee grade the number of special achievement awards and high quality increases which are received in each program center. Included are the Statistical Summary of Suggestion Activity which is prepared annually, related correspondence and background material.</p> <p>Transfer to the SSA Holding Area after 5 years. Destroy after 5 years' retention in the Holding Area.</p> <p>4. <u>Employee Appraisal Data Records</u></p> <p>These records consist of Employee Appraisal and Performance Rating Report, Forms SSA-199, (GS-7 through 13), and SSA-1326, (GS-1 through 6 and all WG employees) which contain each appraisal rating by grade of employee. Included are listings which summarize each appraisal item by grade and by branch.</p> <p>a. <u>Listings</u></p> <p>Destroy after receipt of next listing.</p>		

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	<p>b. <u>All Other Material</u></p> <p>Destroy after 3 years.</p> <p>5. <u>Personnel Reports</u></p> <p>a. These records are informational copies of reports prepared in the program centers. The original copies are forwarded to the CSC, DHEW, OA's Division of Personnel, and other components. Included but not limited to, are:</p> <p>(1) Form HEW-113, Displaced Employee Program, prepared monthly.</p> <p>(2) Form CSC-113-F, Monthly Report on Veterans, which contains the total number of Vietnam veterans employed in the program centers.</p> <p>(3) Form SF-113-E, Quarterly Report of Federal Participation in Enrollee Programs. These reports contain the total number of persons working in the program centers from programs such as Neighborhood Youth Corps and the College Work Study Programs.</p> <p>(4) Form HEW-415A, Summary Reports of Placements of the Handicapped.</p> <p>(5) Form CSC-113-D, Monthly Report of Temporary Summer Employment, which contains the number of summer aides employed in the program centers.</p> <p>Destroy after 6 months.</p> <p>b. These reports are prepared in the Personnel Management Branch and forwarded to OA Personnel for inclusion in SSA's consolidated report to DHEW. Included, but not limited to, are:</p> <p>(1) Summer Aide End of the Year Report, which contains a compilation of data on the summer aide program.</p>		

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	<p>(2) Federal Employment of Vietnam Era Veterans is a quarterly narrative report.</p> <p>Destroy after 3 years.</p> <p>6. <u>Personnel Management Evaluation Survey Records</u></p> <p>These records consist of surveys conducted by the CSC, HEW, OA, or other offices, on administrative management and personnel practices in the program centers.</p> <p>Destroy after completion of the third visit.</p> <p>7. <u>Employee Misconduct Report Records</u></p> <p>These records consist of correspondence from the program centers which contains irregularities in employee conduct, such as vandalism, theft, gambling on the job, and similar actions, which lead to reprimand or dismissal.</p> <p>Destroy after 2 years.</p> <p>8. <u>Program Center Personnel Listings</u></p> <p>This monthly listing pertains to employees in grades GS-7 and above. It contains employee's name, position, occupational series, last promotion date, and similar information.</p> <p>Destroy after receipt of next listing.</p> <p>9. <u>Report 50C Listing</u></p> <p>This bimonthly listing contains information on program center positions, such as job title, number of job, and name of person filling the job.</p> <p>Destroy after receipt of next listing.</p>		

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V.	<p><u>PROGRAM POLICY RECORDS</u></p> <p>A. <u>Policy and Precedent Files</u></p> <p>These files consist of documents that establish policy and/or precedent for the Retirement and Survivors Insurance Program. Included are formal statements of policy and substantive procedure, standards, criteria, interpretations and clarifications, administrative determinations, and similar records that provide a basis for program action.</p> <p>1. <u>Office of Record</u></p> <p><u>Permanent</u>. Transfer to the FRC when no longer needed for reference. Offer to the National Archives 10 years thereafter.</p> <p>2. <u>Other Offices</u></p> <p>Destroy when no longer needed for reference.</p> <p>B. <u>Policy and Precedent Background Files</u></p> <p>These documents contain background data, such as enacting laws, coordinating regulations, <u>interpretations of procedures</u>, inquiries from the public and Congress which led to the decision, and similar related correspondence.</p> <p>1. <u>Office of Record</u></p> <p>Transfer to a FRC when no longer needed for reference. Destroy 10 years thereafter.</p> <p>2. <u>Other Offices</u></p> <p>Destroy after 2 years. Earlier disposal is authorized.</p> <p>C. <u>Policy Coordination Records</u></p> <p>These records consist of original and microfilm copies of documents which outline BRSI policy for coordination with other bureaus and offices of SSA, as well as with the Census Bureau, Department of Defense, General Services Administration (GSA), Railroad Retirement Board, and similar agencies.</p>		

*Volume
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 significantly
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	<p>Destroy original documents after microfilm has been proven acceptable. Retain microfilm in agency space until administrative use is satisfied; destroy when no longer needed for reference.</p> <p>D. <u>Representative Payee Records</u></p> <p>These documents consist of reviews for each State of its representative payee program. Included are Forms SSA-9585, Beneficiary Information Report, SSA-9584, State Mental Institution Policy Review, tabulations and the resulting report of the program in each State.</p> <p>1. <u>Reports</u></p> <p>Transfer record set to a FRC after 10 years. Destroy 50 years thereafter.</p> <p>2. <u>All Other Material</u></p> <p>Destroy after completion of next review.</p> <p>E. <u>Contract Coverage Records</u></p> <p>1. <u>State Agreements, Modifications and Related Background Material</u></p> <p>These files consist of original and duplicate copies of legal agreements on social security coverage of employees made between SSA and a State, or its political subdivision, modifications and interpretations of the agreements.</p> <p>Permanent. Open to National Archives retain in agency space until administrative use is satisfied; destroy when no longer needed for reference. <i>value expires.</i></p> <p>2. <u>Voluntary Terminations</u></p> <p>These documents consist of original copies of legal terminations of social security coverage of State employees or employees of a political subdivision.</p> <p>Transfer to a FRC after 2 years. Retain until long term administrative value expires; <i>review for disposal within 15 years.</i></p>		

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	<p>3. <u>Partial Terminations</u></p> <p>These documents consist of requests from a State or a political subdivision thereof, that the social security coverage of its employees be terminated because the entity no longer exists.</p> <p>Transfer to a FRC after termination is effective. Retain until long term administrative value expires; <i>review for disposal within 15 years.</i></p> <p>4. <u>Tax-Related Files</u></p> <p>These documents consist of original and microfilm copies of comments made by SSA on Internal Revenue Tax forms and tax-related issuances, such as the Internal Revenue Service (IRS) Form 941, Employers Quarterly Tax Return, IRS Form 942, Employers Quarterly Tax Return for Household Employees, IRS Form W-2, Withholding Tax Statement, and similar records.</p> <p>Destroy original documents after microfilm has been proven acceptable. Retain microfilm in agency space until administrative use is satisfied; destroy when no longer needed for reference.</p> <p>5. <u>Contract Evaluation and Review Records</u></p> <p>These files consist of records of the social security coverage of employees working for a State or a political subdivision thereof.</p> <p>a. <u>Review Case for State Coverage</u></p> <p>These files consist of cases submitted for a Commissioner's Decision on State earnings discrepancies, assessment of a State for late submission of social security contributions, and similar cases.</p> <p>Transfer to a FRC 2 years after close of the case. Retain until long term administrative value expires; <i>review for disposal within 15 years.</i></p>		

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	<p>b. <u>Audit Files of State Coverage Agreements</u></p> <p>These files consist of comprehensive onsite reviews of state payroll records units to ensure proper computation of the required employee-employer social security contributions, that the payments are deposited, and that the reports are filed timely. Included are questionnaires, SSA audit reports of a State or its political subdivision, HEW audit reports of interstate instrumentalities (where more than one State is involved), and related correspondence.</p> <p>(1) <u>SSA Audit Reports</u></p> <p>Permanent. Transfer to a FRC after 4 years. Offer to the National Archives 10 years thereafter. <i>Destroy 10 years thereafter.</i></p> <p>(2) <u>HEW Audit Reports</u></p> <p>Transfer to a FRC after 4 years. Destroy 10 years thereafter.</p> <p>c. <u>State Extension Agreements</u></p> <p>These files consist of original documents which extend the time limitation for a State instrumentality in which to comply with the wages, earnings records for its employees, or similar cases. Extension agreements may form the basis of a court case.</p> <p>Transfer to the FRC 2 years after court action is completed, or when no longer needed for reference. Retain until long term administrative value expires; <i>submit for disposal within 15 years.</i></p> <p>6. <u>Sect Folder Determination</u></p> <p>These records consist of findings made by BRSI regarding whether a religious sect or division thereof meets the requirements of the Internal Revenue Code for an exemption from social security contributions. Included are Form SSA-1458, Certification by a Religious Group, related correspondence, and background material.</p>		

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	<p>Retain in agency space until administrative use is satisfied; destroy when no longer needed for reference.</p> <p>7. <u>Religious Affiliation Records</u></p> <p>These files consist of copies of original documents maintained permanently in BDP which are microfilmed, and are filed by individuals for exemption from social security contributions. Included are IRS Form 2031, Minister's Waiver Certification, IRS Form 4361, Application for Exemption from Self-Employment Tax by Ministers, Members of Religious Orders, and Christian Science Practitioners, related correspondence, and similar material.</p> <p>Destroy paper documents after microfilm has been proven acceptable. Retain microfilm in agency space until administrative use is satisfied; destroy when no longer needed for reference.</p> <p>8. <u>Verification Test Records</u></p> <p>These records consist of original and microfilm copies of documents prepared by a wage earner which are checked against BDP records to see if an accurate report was submitted. Included are IRS Schedule SC, Form SSA-1805, SEI Verification Coding Sheet, and similar records.</p> <p>Destroy original documents after microfilm has been proven acceptable. Retain microfilm in agency space until administrative use is satisfied; destroy when no longer needed for reference.</p> <p>F. <u>Technical Services Records</u></p> <p>1. <u>Regulations and Rulings Records</u></p> <p>a. <u>SSA Regulations Records</u></p> <p>These records consist of original and microfilm copies of regulations <u>published in the Federal Register by the Secretary of HEW</u>. The regulations interpret and supplement the social security law. Included are the notice of the proposed regulation,</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

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	<p>the preliminary draft, the intercomponent review, and the final version.</p> <p>1. Destroy original documents 1 year after microfilm has been proven acceptable. Retain microfilm in agency space until administrative use is satisfied; destroy when no longer needed for reference.</p> <p>2. <u>Permanent.</u> <i>Offer microfilm to National Archives when administrative value expires.</i></p> <p>b. <u>Social Security Rulings Records</u> <i>five value expires.</i></p> <p>These records consist of original and microfilm copies of history folders pertaining to technical and legal issuances on survivors, health, and disability issuances. These issuances are published bimonthly as Social Security Rulings. The bimonthly bulletins are republished annually in the Cumulative Bulletin. Included are related background material, clearances, and published copies of the Rulings.</p> <p>1. Destroy original documents 1 year after microfilm has been proven acceptable. Retain microfilm in agency space until administrative use is satisfied; destroy when no longer needed for reference.</p> <p>2. <u>Permanent.</u> <i>Offer microfilm to National Archives when administrative value expires.</i></p> <p>c. <u>Social Security Handbook Records</u> <i>two value expires.</i></p> <p>These records consist of original and microfilm copies of additions and changes to each chapter of the Social Security Handbook which are prepared for new Handbook editions. Included are intercomponent comments and reviews, preliminary and intercomponent drafts, and final copies sent to be printed.</p> <p>1. Destroy original documents 1 year after microfilm has been proven acceptable. Retain microfilm in agency space until administrative use is satisfied; destroy when no longer needed for reference.</p> <p>2. <u>Permanent.</u> <i>Offer microfilm to National Archives when administrative value expires.</i></p>		

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	<p>2. <u>Confidentiality and Compliance Records</u></p> <p>a. <u>Fraud Records</u></p> <p>These records consist of documents pertaining to entitlement fraud, conspiracy to avoid social security deductions, failure to report terminations, misuse of benefits, false return filed by employers, SSA employee fraud, and similar cases which are sent to the U.S. Attorney for prosecution. Included are SSA-1496, Transmittal Letter - Regional Attorney, Fraud Case Referrals; Form SSA-2030, Synopsis of Violation, Form SSA-2379, Violations Case Closed by the Social Security Administration, Statement of Facts and Statement of Violation, related correspondence and similar material.</p> <p>Transfer to the FRC 2 years after completion of U.S. Attorney's action. Destroy 5 years thereafter.</p> <p>b. <u>Fraud Deterrence Report</u></p> <p>This report contains information on fraud deterrence of retirement, survivors, and disability insurance and is microfilmed. It includes program accomplishments, program policy and philosophy, and a compilation of statistical information on the types of violations sent to the U.S. Attorney's Office for prosecution.</p> <p><u>Office of Record</u></p> <p>Retain microfilm in agency space until administrative use is satisfied; destroy when no longer needed for reference.</p> <p>c. <u>Attorney's Fees Records</u></p> <p>These files consist of copies of documents pertaining to the fees for an attorney who represented a claimant after a case has been completed and an award is to be made. Included are Form SSA-1560, Petition to Obtain Approval of a Fee for Representing a Social Security</p>		

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	<p>Claimant, SSA-1560A, Authorization to Charge and Receive a Fee, SSA-1178, Evaluation of Fee Petition for Representation, and related correspondence. Also included are original and microfilm copies of SSA-1224, Fee Ledger, used to record fees for all attorneys who petitioned for them.</p> <p>(1) <u>Fee Ledger</u></p> <p>Destroy original documents after microfilm has been proven acceptable. Retain microfilm in agency space until administrative use is satisfied; destroy when no longer needed for reference.</p> <p>(2) <u>All Other Material</u></p> <p>Destroy inactive records after 2 years.</p> <p>d. <u>Freedom of Information Records</u></p> <p>These records consist of original and microfilm copies of documents related to carrying out the provisions of the Freedom of Information Act. Included are requests for Commissioner's Decisions on proposed SSA regulations regarding the Act, instructional procedures to SSA components interpreting the Act, policy statements on what material in SSA offices is available to the public, and similar material. Also included are requests from the public for copies of material pursuant to the Freedom of Information Act. These requests are analyzed to see if new publications should be issued to better inform the public on the social security program, and other purposes.</p> <p>Destroy original documents 1 year after microfilm has been proven acceptable. Retain microfilm in agency space until administrative use is satisfied; destroy when no longer needed for reference.</p>		

*d, e, and f
are not pri-
mary records
to BRSI.*

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

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	<p>e. <u>Misleading Advertising Records</u></p> <p>These records consist of original and microfilm copies of a history of SSA actions against private companies who advertise materials on SSA programs, which lead the public to believe the information is issued by SSA. Included are correspondence from the public with copies of the offending advertisement, correspondence attempting to remedy the source of the complaint with State insurance departments, the U.S. Postal Service, Federal Trade Commission, and similar agencies. Also included is a card index listing the companies with dates of the offense.</p> <p>Destroy original documents 1 year after microfilm has been proven acceptable. Retain microfilm in agency space until administrative use is satisfied; destroy when no longer needed for reference.</p> <p>f. <u>Disclosure of Information to Immigration and Naturalization Service (INS) Records</u></p> <p>These records consist of original and microfilm copies of precedent material outlining SSA's policy on disclosing to INS the identification and location of aliens working in the U.S. Included are records of discussions with INS, General Counsel opinions, materials prepared for Congressional committees, testimony before Congressional committees, interpretations of the law, and related correspondence.</p> <p>Destroy original documents after microfilm has been proven acceptable. Retain microfilm in agency space until administrative use is satisfied; destroy when no longer needed for reference.</p>		

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	<p>g. <u>Issuance and Use of Account Number Records</u></p> <p>These records consist of original and micro-film copies of documents outlining SSA's policy pertaining to requests to use the social security number for purposes not related to the social security program. Included are study material, submittals to the Commissioner, reports of intercomponent work groups, and similar records. Also included is correspondence from the public and the Congress requesting information on SSA's policy.</p> <p>(1) <u>Policy Background Documents</u></p> <p>Retain in agency space until administrative use is satisfied; destroy when no longer needed for reference.</p> <p>(2) <u>Other Records</u></p> <p>Destroy after 5 years.</p>		
VI.	<p><u>SYSTEMS AND METHODS RECORDS</u></p> <p>A. <u>Systems Procedural Records</u></p> <p>These records consist of correspondence and suggestions which form the background for RSI procedures, such as flow of work, filing of folders, and similar information.</p> <p>1. <u>Record Set of Procedures</u></p> <p>Retain in agency space until administrative use is satisfied; destroy when no longer needed for reference.</p> <p>2. <u>Other Documents</u></p> <p>Transfer to an FRC when no longer needed in current operations. Destroy 10 years thereafter.</p> <p>B. <u>Systems Proposals and Projects</u></p> <p>These records consist of proposals and projects pertaining to the relationship between RSI and</p>		

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	<p>other SSA programs which modify the RSI program. Included are BDP Form 2004, Minor Program Modifications, statistical summaries, computer runs from the Master Beneficiary Record (MBR) update, and related correspondence.</p> <p>1. <u>Final Proposal and Final Modification</u></p> <p>Transfer to a FRC after 10 years. Destroy 50 years thereafter.</p> <p>2. <u>Related Background Material</u></p> <p>Transfer to a FRC 1 year after program is adopted. Destroy 10 years thereafter.</p> <p>C. <u>Benefit and Certification Reports</u></p> <p>These records consist of copies of documents which are used to locate problems and to correct procedures when an out-of-balance condition exists between the records of the program center and those of the Treasury Department. Included are Treasury Form BA-6652, Statement of Differences, SSA-398, Report of Benefit Certifications to the U.S. Treasury Department, and similar documents.</p> <p>Destroy after 2 years.</p> <p>D. <u>Schedule of EDP Modifications</u></p> <p>These records consist of information copies of material received from BDP which state what the Electronic Data Processing (EDP) changes will be made to the MBR.</p> <p>Destroy after 1 year.</p> <p>E. <u>Report of Payment Process Audit</u></p> <p>These records consist of Forms SSA-2040, Report of Payment Process Audit, SSA-2040C, Payment Process Audit Explanation of Errors and Remarks, and similar documents, which are used to detect fraud.</p> <p>Destroy after 1 year.</p>		

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	<p>F. <u>Fiscal Projects Records</u></p> <p>These records contain the historical background for various completed fiscal projects on RSI processes, such as payment process audit and other similar processes. Included are data on why the process is performed a certain way, background material pertaining to changing the manuals on program center payroll processing system, e.g., control procedures and hold check control operations. Also included are HEW systems audits, related correspondence, and similar data.</p> <p>Transfer to a FRC when no longer needed in current operations. Destroy 10 years thereafter.</p> <p>G. <u>Validation Records</u></p> <p>These records consist of material relating to tests of computer operations performed after a change is made in computer processing of the payment process. Some programs are validated monthly, at which time some programs are eliminated, and others are instituted. Included are listings of totals of checks, names and addresses, and related correspondence.</p> <p>1. <u>Correspondence</u></p> <p>Destroy after receipt of third memo.</p> <p>2. <u>Listings</u></p> <p>Destroy after next validation.</p> <p>H. <u>Travel Reports</u></p> <p>These records consist of reports of visits to program centers made by Systems Development and Accounting staff members which describe where changes are necessary to existing operations.</p> <p>Destroy after next comparable report.</p>		

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VII.	<p><u>CLAIMS OPERATIONS RECORDS</u></p> <p>A. <u>RSI Case Control System Reports</u></p> <p>These weekly worksheets, prepared by each program center, are used to analyze production of SSACCS (SSA Claims Control System) in the program centers, i.e., the number of hold case records pending, volume of temporary folders in operations, SSACCS alerts produced, and similar data.</p> <p>Destroy after 2 years.</p> <p>B. <u>SSACCS Processing Reports</u></p> <p>These records consist of weekly listings prepared by BDP and related correspondence which are used to analyze trends of workflow in the program center. The listings show each program center's volume of initial and subsequent claims received, clearances processed (disallowances, lump-sum cases, etc.), the number of SSACCS-generated alerts (60 day, 90 day, or 120 day), case folders in operation and similar data.</p> <p>Destroy after 2 years.</p>		
VIII.	<p><u>PAYMENT OPERATIONS RECORDS</u></p> <p>A. <u>Validation Records</u></p> <p>These records consist of documents pertaining to validating computer programs. Included are requests for new computer programs, computer test runs, Form SSA-107a, Determination of Benefits, and similar material.</p> <p>Destroy after program is validated.</p>		

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IX.	<p><u>CRITICAL CASE STAFF RECORDS</u></p> <p>A. <u>Critical Case Records</u></p> <p>These records consist of correspondence from the public on RSI problems, which is addressed to other than the Commissioner of SSA, and Congressional correspondence forwarded for reply by other SSA entities (e.g., Office of the Commissioner, Division of Public Inquiries). Included are inquiry sheets, which record incoming correspondence, telephone inquiries of cases deemed critical (beneficiary is in dire need, a public relations problem has arisen, case meets the requirement of Section 205(q) of the SS Act, or similar instances.) Included are MBR printouts attached to many of the inquiry sheets, which are used to ascertain if the beneficiary is in payment status.</p> <p>1. <u>Correspondence</u></p> <p>Destroy 2 years after final reply is made.</p> <p>2. <u>Inquiry Sheets</u></p> <p>Destroy 1 year after final reply is made.</p> <p>B. <u>Critical Case and Expedited Payments Reports</u></p> <p>These weekly reports from the program centers are used as an indicator to show how well the program centers are performing in expediting payments to critical cases.</p> <p>Destroy after 5 years.</p> <p>C. <u>Monthly Analysis Report of Critical Cases</u></p> <p>These reports from the program centers analyze the causes of critical cases. The analysis is used to correct program center and central office procedures.</p> <p>Destroy after 3 years.</p>		

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X.	<p><u>QUALITY APPRAISAL RECORDS</u></p> <p>A. <u>Program Review Records</u></p> <p>These records consist of studies conducted to determine the state of quality of the RSI process, objective analysis and recommendations based on study data and other information, identification of extent of problems and causes, and recommendations showing where improvements can be made. Included are comprehensive written study reports, summary reports, and other papers directly related to the studies.</p> <p>1. <u>End-of-Line (EOL) Data Reports</u></p> <p>These records consist of original copies of weekly statistical reports of quality sampling of RSI awards and disallowances and post-adjudicative actions, performed by the Quality Appraisal (QA) staff in each program center.</p> <p>Destroy after 1 year.</p> <p>2. <u>End-of-Line Statistical Data Tabulations and Reports</u></p> <p>These tabulations consist of listings of awards and disallowances, change of address, post-adjudicative actions, district office development requests, and quality sample group data. The tabulations are published monthly as the EOL Statistical Data Report.</p> <p>a. <u>Tabulations</u></p> <p>Transfer to the SSA Holding Area after 1 year. Destroy after 2 years' retention in the Holding Area.</p> <p>b. <u>Office Responsible for Preparation of the Report</u></p> <p><i>1. Permanent? A sample not to exceed 3% Transfer to a FRC when no longer needed for reference. Offer to the National Archives 10 years thereafter.</i></p> <p><i>2. Others. Destroy 10 years after transfer to FRC.</i></p>		

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	<p>c. <u>Other Offices</u></p> <p>Destroy when no longer needed for reference.</p> <p>3. <u>Regional Monthly Quality Appraisal Reports</u></p> <p>These reports contain narrative data by RSI QA field staffs on RSI program, studies, and QA activities in the RSI regions.</p> <p>Destroy after 2 years.</p> <p>4. <u>Reports of RSI Quality</u></p> <p>These narrative reports are prepared monthly by central office. They contain analyses of RSI program areas, ongoing and special studies and other matters relating to RSI quality. The monthly reports are consolidated into a quarterly report.</p> <p>a. <u>Office Responsible for Preparation of the Report</u></p> <p><u>Permanent</u>. Transfer to a FRC when no longer needed for reference. Offer to the National Archives 10 years thereafter.</p> <p>b. <u>Other Offices</u></p> <p>Destroy when no longer needed for reference.</p> <p>5. <u>Regional Feedback</u></p> <p>This monthly informal staff-to-staff communication from headquarters QA staff to the field QA staffs provides analysis and information pertaining to the monthly QA reports submitted by the field staffs.</p> <p>Destroy after 3 years.</p>		

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	<p>B. <u>Quality Appraisal System Records</u></p> <p>These records are completed by the QA staffs in the RSI program centers in the review of sample numbers of cases prepared by the district office as nonreview claims. Included are the quality review data forms for the EOL QA studies, Forms SSA-1849, RSI Awards and Disallowances Quality Review Input Data, SSA-1849(P), RSI Post-adjudicative Quality Review Input Data Form, SSA-1710, Change of Address Quality Review Input Data Form, and equivalent documents. Also included are study forms completed in the Quality Sample Group in the program centers for district office final authorized awards, such as Forms SSA-2504, Quality Sample - Monthly Benefit Cases, SSA-2448, Quality Sample - Lump-Sum Only Cases, and equivalent forms.</p> <p>1. <u>Forms SSA-1849, SSA-1849(P), and SSA-1710</u></p> <p>Transfer to the SSA Holding Area after 3 months. Destroy after 9 months' retention in the Holding Area.</p> <p>2. <u>Forms SSA-2504 and SSA-2448</u></p> <p>Transfer to the SSA Holding Area after 1 month. Destroy after 9 months' retention in the Holding Area.</p> <p>C. <u>Special Studies Reports</u></p> <p>These studies, conducted on a periodic or cyclical basis, evaluate the effectiveness of aspects of the RSI process that are not covered in the major EOL systems, such as annual reports, Automatic Earnings Reappraisal Operation (AERO), program center correspondence. In addition, these studies are designed to cover identified problem areas in more detail than in the EOL studies or are conducted at the specific request of other interested SSA components, such as change of payee cases, work notices, and similar cases. The results are published as a Report of Special Studies. Included are study data forms and background material for various QA studies.</p>		

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XI.	<p>1. <u>Office Responsible for Preparation of Report</u></p> <p><u>Permanent</u>. Transfer to a FRC when no longer needed for reference. Offer to the National Archives 10 years thereafter.</p> <p>2. <u>Other Offices</u></p> <p>Destroy when no longer needed for reference.</p> <p><u>LIAISON AND COORDINATION RECORDS</u></p> <p>A. <u>Regional Representatives Meetings, Programs, and Conferences Records</u></p> <p>These records consist of documents pertaining to meetings of regional representatives which are held to discuss management issues, such as promotions, appraisals, staffing plans, budget, and similar matters; program matters such as handling of critical cases; and process-oriented matters, such as representative payee, state and local coverage; and similar matters. Included are site announcements, agenda, approvals, participant lists, speakers, travel arrangements, and final report of the meeting.</p> <p>Transfer to a FRC 2 years after the meeting. Destroy 5 years thereafter.</p> <p>B. <u>Audit Reports</u></p> <p>These records consist of audits performed by the Government Accounting Office (GAO), HEW, SSA or other agencies on personnel utilization, fraud detection, overtime, representative payees, employee activities associations, and similar cases. Included are BRSI policy regarding audits, draft audit reports with pertinent comments, final reports, and quarterly follow-up to ensure that the final recommendations are implemented.</p> <p>Transfer to a FRC 2 years after final report is issued. Destroy 10 years thereafter.</p>		

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	<p>C. <u>District Office Visit Reports</u></p> <p>These are copies of reports of visits made by the program centers to district offices which are used to evaluate the overall effectiveness of the district office visit program. The original report is maintained by Liaison and Coordination Staff in the program center.</p> <p>Destroy after 1 year.</p> <p>D. <u>Program Evaluation Records</u></p> <p>These records consist of studies pertaining to the RSI process to ensure that the policy is the same throughout all SSA offices. Included are inter- and intra-bureau program studies on overpayments, and similar cases.</p> <p>Transfer to a FRC when no longer needed in current operations. Destroy 4 years thereafter.</p> <p>E. <u>Program Center Visit Records</u></p> <p>These records consist of documents accumulated in inspecting program center operations. Included are correspondence pertaining to various aspects of the RSI program, such as claims folders, clarity of letters, expedited payments, expediting staff procedures, follow-up reports, and similar material.</p> <p>Transfer to a FRC after 2 years. Destroy 4 years thereafter.</p>		
XII.	<p><u>LABOR MANAGEMENT RELATIONS AND EQUAL EMPLOYMENT OPPORTUNITY RECORDS</u></p> <p>A. <u>Labor Management Relations Records</u></p> <p>1. <u>Labor Management Relations Cases</u></p> <p>These records consist of cases in which the Labor Management Relations Staff represents management, such as in instances of employee demonstrations, unfair labor practice charges filed by the union, used as precedents for future actions. Included are Congressional inquiries, report of findings, and related correspondence.</p>		

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	<p>Transfer to a FRC when no longer needed for reference. Destroy 5 years thereafter.</p> <p>2. <u>Employee Unions Records</u></p> <p>These records consist of documents pertaining to the unions which represent social security employees in the program centers. Included are the union recognition documents, the union constitution, locally-negotiated union agreements, and related correspondence.</p> <p>a. <u>Union Recognition and Union Constitution Documents</u></p> <p>Retain in agency space until administrative use is satisfied; destroy when no longer needed for reference.</p> <p>b. <u>Local Agreements and Related Correspondence</u></p> <p>Transfer to a FRC 1 year after the union agreement has expired. Destroy 5 years thereafter.</p> <p>3. <u>Union-Management Meetings Notes and Publications</u></p> <p>These records consist of minutes of meetings held between the union and management, copies of union newsletter, other publications, and related correspondence.</p> <p>Destroy after 2 years.</p> <p>4. <u>Special Projects Records</u></p> <p>These records consist of background data pertaining to special projects, such as establishing the program for eating facilities in the program centers.</p> <p>Transfer to a FRC 1 year after program is established. Destroy 5 years thereafter.</p>		

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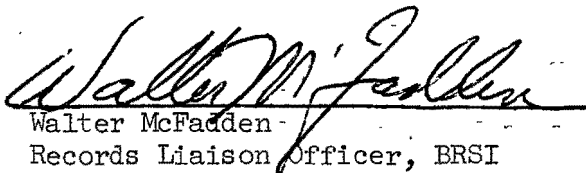
7 ITEM NO	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
	<p>5. <u>Grievance Records</u></p> <p>These records consist of policy background material for the handling of grievances in the program centers, as well as the grievances filed by the union under the negotiated agreement.</p> <p>a. <u>Policy Material and Precedent Cases</u></p> <p>Transfer to a FRC when no longer needed for reference. Destroy 5 years thereafter.</p> <p>b. <u>Other Cases</u></p> <p>Destroy 2 years after the case is closed.</p> <p>6. <u>Unfair Labor Practice Records</u></p> <p>These records are precedent cases of charges filed by the union against management in the program centers on such matters as union observers on promotion panels, deduction of multilevel dues from employees salaries, and similar cases.</p> <p>Transfer to a FRC when no longer needed in current operations. Destroy 3 years thereafter.</p> <p>B. <u>Equal Employment Opportunity (EEO) Records</u></p> <p>1. <u>Precomplaint Counseling Records</u></p> <p>These records consist of reports completed by EEO counselors in the program centers on potential discrimination complaints.</p> <p>Destroy after 1 year.</p> <p>2. <u>Discrimination Case Records</u></p> <p>These records consist of cases filed by individual program center employees on alleged discrimination.</p> <p>Transfer inactive cases to the FRC after 1 year. Destroy 3 years thereafter.</p>		

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	<p>3. <u>Affirmative Action Plans and Progress Reports</u></p> <p>These records consist of plans for equal employment opportunity <u>in the program centers</u>, the semiannual progress reports on how well the affirmative action plans are accomplished, and related correspondence.</p> <p>Destroy after 3 years.</p> <p>4. <u>Summary Reports of Allegations of Discrimination</u></p> <p>These records consist of Form SSA-1358, Monthly Report of Formal Complaints of Discrimination, which lists the number of complaints of discrimination filed by employees in each program center.</p> <p>Destroy after 5 years.</p> <p>5. <u>EEO Counselor Program Records</u></p> <p>These records consist of data pertaining to the operation of the EEO program in the program centers, such as selection and replacement of counselors, and related correspondence.</p> <p>Destroy 1 year after expiration of union contract.</p> <p>This certifies that the records described on this form shall be microfilmed in accordance with the standards set forth in 41 CFR 101-11.504 and that the silver original microfilm, plus one positive copy of each microfilm shall be offered to the Federal Records Center, Suitland, Maryland.</p>		



Charles D. Smith
Acting SSA Records Officer



Walter McFadden
Records Liaison Officer, BRSI