

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: NC-047-75-020

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules.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These items, unless subsequently superseded, may be used by the agency to disposition records.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SUPERSEDED AND OBSOLETE ITEMS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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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Item I/A was superseded by NC1-047-80-04

Item I/D was superseded by NC1-047-79-07, item 12

Item XIII/A was superseded by NC1-047-79-07, item 13

Item XIII/C was superseded by NC1-047-79-07, item 8

Item XIV/A was superseded by NC1-047-79-07, items 3a and 3b

Item XIV/B was superseded by NC1-047-79-07, item 5a

Item XIV/C was superseded by NC1-047-79-07, items 6a and 6b

**REQUEST FOR AUTHORITY
 TO DISPOSE OF RECORDS**

(See Instructions on Reverse)

100 items *RE 47*
 TO: GENERAL SERVICES ADMINISTRATION,
 NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, D.C. 20408

| | |
|-------------------------------------|-----------------|
| LEAVE BLANK | |
| DATE RECEIVED APR 30 1975 | JOB NO. |
| DATE APPROVED NC - | 47-75-20 |

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

2 MAJOR SUBDIVISION
 Social Security Administration

3 MINOR SUBDIVISION
 Office of Management and Administration

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

5. TEL. EXT.
 45770

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disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10.

6-23-75
 Date *James E. O'Neil*
 acting 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.

4/10/75 (Date) *George S. Yamamura* (Signature of Agency Representative) SSA Records Officer (Title)

| 7. ITEM NO | 8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS) | 9. SAMPLE OR JOB NO. | 10. ACTION TAKEN |
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| | <p style="text-align: center;"><u>Records Retention and Disposal Schedule</u> <u>Personnel Management Files</u></p> <p>I. <u>Individual Personnel Files</u></p> <p>A. <u>Official Personnel Folders</u></p> <p>Official personnel folders provide the basic source of factual data about a person's Federal employment. Included are records reflecting qualifications, job performance, personnel actions, training, awards, and similar employee data. The records are used primarily by personnel offices in screening qualifications of employees; determining status, eligibility, and employee rights and benefits under pertinent laws and regulations governing Federal employment; computing length of service; and for other information needed in providing personnel services.</p> <p>1. <u>Transfer of Employee</u></p> <p style="padding-left: 40px;">Transfer folder to new employing office.</p> <p>2. <u>Separation of Employee</u></p> <p style="padding-left: 40px;">Retire to National Personnel Records Center (NPRC), 111 Winnebago Street, St. Louis,</p> | | |

*Copies to NPRC,
 NCW & Agency 6/26/75*

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| | <p>Missouri 63118, 30 days after separation. NPRC will destroy 75 years after employee's date of birth or 60 years after date of earliest document in the folder if date of birth cannot be ascertained, provided employee has been separated for at least 5 years.</p> <p>B. <u>Service Digest Files</u></p> <p>These files consist of Forms OAAD-4089, Experience and Appointment Record, or their equivalents. The documents provide an historical record of an employee's service with the Social Security Administration (SSA). They are retained for control and informational purposes after the employee has separated or transferred to another agency.</p> <p>Destroy 3 years after the close of the calendar year in which employee was separated.</p> <p>C. <u>Employee Service Record Files</u></p> <p>These files consist of SF-7B, Employee Record, or its equivalent. The files are retained by operating officials as a source of data for initiating requests for personnel actions, planning and scheduling employee training, proposing commendations or disciplinary actions, and for carrying out their personnel management responsibilities in general.</p> <p>Destroy upon transfer or separation of employee.</p> <p>D. <u>SF-7B Extension Files</u></p> <p>These files contain individual personnel records, such as reports of employee interviews, written comments, tardy reports, retained copies of performance appraisals, and similar documents. The files are retained by operating officials for informational purposes.</p> <p>1. Review files semiannually and destroy records which do not have continuing applicability. No records are to be</p> | | |

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| | <p>retained more than 2 years.</p> <p>2. When employee moves to a position under different line authority within a bureau/office, e.g., from one division to another, the losing supervisor will screen the file to insure it is in a proper state of maintenance before forwarding to the new location.</p> <p>3. When employee moves from one bureau/office to another within SSA, the losing supervisor will destroy the entire file within 5 days after the effective date of the personnel action.</p> <p>4. When employee leaves SSA, the losing supervisor will forward the entire file in a sealed envelope annotated "For Official Use Only" with the Form SSA-2324, Clearance of Employees for Separation or Transfer, through channels to the Employment Branch, DP, OHR, OMA, Room G120 West High Rise Building for appropriate disposition.</p> <p>E. <u>Employability Files</u></p> <p>These files consist of Form SSA-2846, Supervisor's Report on Separating Employee, or its equivalent. The files are retained by the personnel office as a source of information for determining the desirability of reinstating or rehiring former employees seeking employment with SSA.</p> <p>Destroy 3 years after the close of the calendar year in which the employee was separated.</p> <p>II. <u>Promotion and Placement Files</u></p> <p>A. <u>Job Vacancy Announcements</u></p> <p>These are weekly listings of job vacancies under the SSA Merit Promotion Program and related control documents.</p> | | |

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| | <p>1. <u>Office Responsible for Preparation</u> Destroy after 1 year.</p> <p>2. <u>Other Offices</u> Destroy upon receipt of next comparable listing.</p> <p>B. <u>Promotion Packages</u> These files contain applications filed for specific job vacancies under the SSA Merit Promotion Plan. Included is Form SSA-45, Experience and Qualifications Statement for Posted Vacancy, or its equivalent. Transfer to the SSA Records Holding Area 30 days after cancellation of vacancy or selection of candidate. Destroy 2 years thereafter, or upon receipt of Civil Service Commission (CSC) inspection report, whichever is first. <u>Note:</u> if a question is raised regarding a particular promotion action, retain applications having a direct bearing on that action until the question is settled.</p> <p>C. <u>A-Listing Files</u> These files consist of listings of eligibles and applications (form SSA-45) filed under an open-continuous announcement for clerk-typist, clerk-stenographer, secretary, dictating machine transcriber, key-punch operator, and other designated positions. The listings are updated biweekly. Cut-off at the end of the calendar year, hold an additional year, and then transfer to the SSA Records Holding Area. Destroy 2 years thereafter.</p> <p>D. <u>Factors and Weights Files</u> These files consist of documents used in rating applicants for job vacancies under the SSA Merit Promotion Plan. The documents identify the various factors considered in filling the vacancy (performance appraisal,</p> | | |

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| | <p>related experience, training and self-development, awards, outside activities, etc.) and the weight accorded to each.</p> <p>1. <u>Office Responsible for Preparation</u></p> <p>Destroy 2 years after the close of the calendar year in which superseded or obsoleted.</p> <p>2. <u>Other Offices</u></p> <p>Destroy when superseded or obsoleted.</p> <p>E. <u>Civil Service Eligibility Certificate Files</u></p> <p>These files consist of records relating to requests to the CSC for certification of eligibles and reports of actions taken on such certifications. Included are Standard Form (SF-39,) Request for Certification; SF-62, Statement of Reasons for Objecting to an Eligible or Passing Over a Preference; Form CSC-1844, Certificate of Eligibles; or their equivalents.</p> <p>Destroy after 2 years.</p> <p>F. <u>Qualifications Standards Files</u></p> <p>These files consist of standards published by the CSC for use in rating applicants for appointment and in approving noncompetitive actions. The standards describe the knowledge, skills, activities, and other characteristics required to predict potential for successful job performance. Included is CSC Handbook X-118, Qualification Standards for White Collar Positions Under the General Schedule, or equivalent documents.</p> <p>1. <u>Office Having SSA-wide Responsibility for Standards Review and Development</u></p> <p>Destroy 5 years after the close of the calendar year in which superseded or obsoleted.</p> | | |

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| | <p>2. <u>Other Offices</u></p> <p>Destroy when superseded or obsoleted.</p> <p>G. <u>Qualifications Standards Review Files</u></p> <p>These files consist of documents accumulated in reviewing, analyzing, and commenting upon proposed new or revised qualifications standards. Included are copies of the proposed standards, studies, clearance comments, correspondence, and similar papers.</p> <p>Destroy after 2 years.</p> <p>H. <u>Qualifications Standards Development Files</u></p> <p>These files consist of documents created in developing qualifications standards for job series peculiar to SSA. The standards are subsequently transmitted to the CSC for approval and publication. Included are copies of the proposed standards, clearance comments, correspondence, CSC approvals or disapprovals, and related background material.</p> <p>Destroy 5 years after the close of the calendar year in which superseded or obsoleted.</p> <p>I. <u>Training Agreement Files</u></p> <p>These files consist of agreements with the CSC governing the selection, promotion, qualifications, and training requirements for certain SSA positions. The agreements serve as the authority for appointment and promotion actions.</p> <p>1. <u>Office Responsible for Preparation</u></p> <p>Destroy 4 years after the close of the calendar year in which terminated.</p> <p>2. <u>Other Offices</u></p> <p>Destroy when terminated.</p> | | |

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| | <p>J. <u>Crediting Plan Files</u></p> <p>These files consist of plans which are used in evaluating the qualifications of candidates for vacant wage grade positions. The plans identify the elements required for job performance and the point value assigned to each. They are used in lieu of CSC qualifications standards or factors and weights.</p> <p>1. <u>Office Responsible for Preparation</u></p> <p>Destroy 5 years after the close of the calendar year in which superseded or obsoleted.</p> <p>2. <u>Other Offices</u></p> <p>Destroy when superseded or obsoleted.</p> <p>K. <u>Promotion Listings</u></p> <p>These are biweekly listings of employees promoted or reassigned under the SSA Merit Promotion Plan.</p> <p>1. <u>Office Responsible for Preparation</u></p> <p>Destroy after 1 year.</p> <p>2. <u>Other Offices</u></p> <p>Destroy upon receipt of next comparable listing.</p> <p>III. <u>Appointment Processing Files</u></p> <p>A. <u>Chronological Journal Files</u></p> <p>These files contain copies (copy 5) of SF-50, Notification of Personnel Action, and equivalent documents. The documents are used in preparing reports and in reviewing personnel actions processed. They are retained for CSC inspection.</p> <p>Destroy after 2 years.</p> | | |

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| | <p>B. <u>SF-50 Transmittal Records</u></p> <p>These records identify SF-50's which have been transmitted to payroll for processing. They are retained in the event a question arises as to the transmission of the document.</p> <p>Destroy after 1 year.</p> <p>C. <u>EOD Listings</u></p> <p>These are listings of individuals who entered on duty on a given date.</p> <p>Destroy after 1 year.</p> <p>IV. <u>College Relations and Recruitment Files</u></p> <p>A. <u>Recruitment Program Files</u></p> <p>These files consist of documents created in planning, coordinating, and directing SSA's recruitment program. Included are plans for visitations, surveys of labor markets, and similar papers.</p> <p>Destroy 3 years after the close of the calendar year in which dated.</p> <p>B. <u>Report on Use of Paid Recruitment Advertising</u></p> <p>This is an annual report to DHEW on the costs of recruitment advertising placed in newspapers and periodicals, on radio and television, or other media.</p> <p>Destroy after 2 years.</p> <p>C. <u>PACE Files</u></p> <p>These files consist of applications and related documents received from persons who have established eligibility under the Professional and Administrative Career Examination (PACE). The documents are retained for possible future consideration.</p> <p>Destroy after 1 year.</p> | | |

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| | <p>D. <u>Senior and Mid-Level Exam Files</u></p> <p>These files consist of applications and related documents received from persons who have established eligibility under the Senior or Mid-Level Examinations.</p> <p>Destroy after 1 year.</p> <p>E. <u>College Program Files</u></p> <p>These files consist of documents created in planning, coordinating, and directing individual college programs such as the College Work Study Program, Access/Cooperative Education Program, Student Assistant Program, College Faculty Summer Associate Program, and the University of Maryland Graduate School of Social Work Program.</p> <p>Destroy 3 years after the close of the calendar year in which dated.</p> <p>F. <u>College Program Participant Files</u></p> <p>These files contain folders on participants in college programs. Included in a participant's folder are applications, qualifications statements, counseling records, correspondence, and similar papers.</p> <p>Destroy 2 years after the participant completes the program.</p> <p>V. <u>Special Careers Files</u></p> <p>A. <u>Special Careers Program Files</u></p> <p>These files consist of documents created in planning, coordinating, and directing individual special career programs, such as the Summer Aid Program, Stay-in-School Program, Worker Trainee Opportunities Program, President's Executive Interchange Program, Public Administration Fellows Program, Intergovernmental Affairs Fellowship Program, HEW/Foreign Service Executive Exchange Program, and the HEW Fellows Program.</p> | | |

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| | <p>Destroy 3 years after the close of the calendar year in which dated.</p> <p>VI. <u>UPMO, STRIDE, and ACE Program Files</u></p> <p>A. <u>UPMO, STRIDE, and ACE Program Files</u></p> <p>These files consist of documents created in planning, coordinating, and directing the Upward Mobility College Program (UPMO), the STRIDE Program, and the ACE Program. Included are program memorandums and similar papers.</p> <p>Destroy 3 years after the close of the calendar year in which dated.</p> <p>B. <u>Program Applications Files</u></p> <p>These files consist of applications received from candidates for the Upward Mobility College Program, the STRIDE Program, and the ACE Program.</p> <p>1. <u>Unsuccessful Candidates</u></p> <p>Destroy after 3 years.</p> <p>2. <u>Successful Candidates</u></p> <p>Destroy 2 years after the individual completes the program.</p> <p>VII. <u>Classification Files</u></p> <p>A. <u>Position Description Files</u></p> <p>These files consist of documents which describe the duties and responsibilities associated with a given SSA position. Included is Optional Form 8, Position Description, and equivalent or related documents.</p> <p>1. <u>Official Copy</u></p> <p>Destroy 5 years after position is abolished or description is superseded.</p> | | |

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| | <p>2. <u>Other Copies</u></p> <p>Destroy when position is abolished or description is superseded.</p> <p>B. <u>Classification Data Records</u></p> <p>These records contain data gathered for use in classifying district/branch office manager positions. Included is data on the number of employees in the office, businesses in the area, number of branch offices, media available, community population, etc.</p> <p>Destroy when replaced by more current data.</p> <p>C. <u>Classification Survey Reports</u></p> <p>These are reports prepared by classification specialists upon completion of a survey of positions in a particular office. The surveys are conducted periodically to determine whether the positions are described and classified in accordance with CSC standards.</p> <p>1. <u>Office Conducting the Survey</u></p> <p>Destroy 3 years after the close of the calendar year in which dated.</p> <p>2. <u>Other Offices</u></p> <p>Destroy after 1 year.</p> <p>D. <u>Classification Standards Files</u></p> <p>These files consist of standards published by the CSC for use in classifying SSA positions. The standards provide information for distinguishing the duties, responsibilities, and qualification requirements of positions in one class from those of positions in other classes. They thus provide the criteria for placing each position in its proper class. The standards distinguish both in level of difficulty and responsibility and in kind of work.</p> | | |

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| | <p>1. <u>Office Having SSA-wide Responsibility for Standards Review and Development</u></p> <p>Destroy 10 years after the close of the calendar year in which superseded or obsoleted.</p> <p>2. <u>Other Offices</u></p> <p>Destroy 2 years after the close of the calendar year in which superseded or obsoleted.</p> <p>E. <u>Classification Standards Review Files</u></p> <p>These files consist of documents accumulated in reviewing, analyzing, and commenting upon proposed new or revised classification standards. Included are copies of the proposed standards, studies, clearance comments, correspondence, and similar papers.</p> <p>Destroy after 2 years.</p> <p>F. <u>Classification Standards Development Files</u></p> <p>These files consist of documents created in developing classification standards for positions peculiar to SSA. The standards are submitted to the CSC for approval and publication. Included are the original standards, clearance comments, correspondence, CSC approvals or disapprovals, and related background material.</p> <p>Destroy 10 years after the close of the calendar year in which superseded or obsoleted.</p> <p>G. <u>Report on Review of Positions</u></p> <p>This is an annual report submitted to DHEW on the number of general schedule and wage grade positions reviewed, the number of positions considered necessary and unnecessary, and the number of desk audits completed by classification specialists.</p> <p>Destroy after 2 years.</p> | | |

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| | <p>H. <u>Supergrade Position Data Files</u></p> <p>These files contain materials relating to SSA's supergrade positions (GS-16 and above). Included are statements justifying the establishment of the positions, DHEW and CSC approvals, and similar papers. The files are retained for use when establishing a new supergrade position.</p> <p>Destroy when obsolete.</p> <p>VIII. <u>Personnel Policy Files</u></p> <p>A. <u>Personnel Policy Issuance Files</u></p> <p>These files consist of manuals, directives, handbooks, and other formal policy and procedural issuances prepared and published by personnel offices. Included are the <u>Personnel Guide for Supervisors</u>, SSA supplements to the <u>Federal Personnel Manual</u>, Administrative Directives System guides and guide circulars, and similar issuances.</p> <p>1. <u>Office Responsible for Preparation of the Issuance</u></p> <p>Permanent. Transfer to a FRC when superseded or discontinued. Offer to the National Archives 10 years thereafter.</p> <p>2. <u>Other Offices</u></p> <p>Destroy when superseded or discontinued.</p> <p>B. <u>Issuance Background Files</u></p> <p>These files consist of records accumulated in the preparation, clearance, publication, or interpretation, of manuals, directives, handbooks, and other formal policy and procedural issuances. Included are drafts, clearance comments, studies, recommendations, and similar records that provide a basis for publication or contribute to the content of the issuance.</p> | | |

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| | <p>1. <u>Office Responsible for Preparation of the Issuance</u></p> <p>Transfer to a FRC when superseded or discontinued. Destroy 10 years thereafter.</p> <p>2. <u>Other Offices</u></p> <p>Destroy after 2 years.</p> <p>C. <u>Precedent Files</u></p> <p>These files consist of policy memorandums, interpretations, clarifications, and similar records which serve as precedent for future policy determinations. The files are used in the development of formal policy issuances, in responding to inquiries, and in commenting upon proposed laws, regulations, standards, and similar documents.</p> <p>Review files at the close of each calendar year and destroy those documents which do not have continuing applicability.</p> <p>IX. <u>Personnel Management Evaluation Files</u></p> <p>A. <u>Personnel Management Evaluation Survey Files</u></p> <p>These files document the inception, scope, findings, and accomplishments of personnel management evaluation surveys. These surveys are conducted to determine whether particular SSA offices are complying with personnel regulations and policies. Included are records reflecting the request and authorization to undertake the survey, survey plans, the final survey report, and any follow-up reports.</p> <p>1. <u>Office Conducting the Survey</u></p> <p>Destroy 10 years after completion of the final report.</p> <p>2. <u>Other Offices</u></p> <p>Destroy after 2 years.</p> | | |

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| | <p>X. <u>Employee Awards and Activities Files</u></p> <p>A. <u>Organization Recognition Files</u></p> <p>These files contain documents created in receiving requests for, granting, or denying recognition of employee organizations or groups. Included are copies of requests for recognition, approvals, or disapprovals, lists of organization officials, and records reflecting information about the organization.</p> <p>1. <u>Recognized Organization</u></p> <p>Retain for duration of recognition and then destroy.</p> <p>2. <u>Recognition Denied or Withdrawn</u></p> <p>Destroy after 2 years.</p> <p>B. <u>Suggestion Awards Case Files</u></p> <p>These files consist of records documenting the disposition of individual employee suggestions. Included are Forms HEW-170, Employee Suggestion Form; HEW-462, Employee Suggestion Transmittal and Evaluation; SSA-171, Recommendation for Award; SSA-1792, Suggestion Cost Study; SSA-1647, and SSA-1647A, Suggestion Control Record; or their equivalents.</p> <p>Destroy 2 years after final action is taken on suggestion.</p> <p>C. <u>Performance Awards Files</u></p> <p>These files consist of records relating to special achievement awards (individual or group), high quality increase awards, and other SSA performance awards. Included are recommendations (form SSA-171), performance statements, and other supporting documentation.</p> <p>Destroy 2 years after approval or disapproval of award.</p> | | |

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| | <p>D. <u>Honorary Awards Files</u></p> <p>These files consist of records relating to Commissioner's Citations, Supervisory Excellence Awards, SSA Public Service Awards, Equal Opportunity Awards, and other SSA and DHEW honorary awards. Included are announcements, nominations, justification statements, evaluations, approvals or disapprovals and similar papers.</p> <p>1. <u>Award Approved</u></p> <p>Destroy 2 years after final action.</p> <p>2. <u>Award Disapproved</u></p> <p>Destroy after 1 year.</p> <p>E. <u>Length of Service Awards Files</u></p> <p>These files consist of records relating to length of service awards. Included are computations of length of service, lists of awardees, and similar records.</p> <p>Destroy after 1 year.</p> <p>F. <u>Awards Ceremonies Files</u></p> <p>These files consist of documents created in arranging for <u>and</u> publicizing ceremonies for the presentation of awards. Included are lists of speakers and attendees, programs, pictures, newspaper accounts, and other records.</p> <p>Destroy after 2 years.</p> <p>G. <u>Incentive Awards Program Report</u></p> <p>This is an annual report to DHEW on the number of awards and dollar amounts awarded and the number of suggestions received and adopted. The report also contains a narrative evaluation of the incentive awards program. Included is Standard Form 69, Incentive Awards Annual Report, or its equivalent.</p> | | |

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| | <p>1. <u>Office Responsible for Preparation of the Report</u></p> <p>Destroy after 3 years.</p> <p>2. <u>Other Offices</u></p> <p>Destroy after 1 year.</p> <p>XI. <u>Personnel Data System Files</u></p> <p>A. <u>Personnel Data System Files</u></p> <p>1. Input documents, including utility copies of SF 50 (copy 6), payroll change slips, employee appraisal forms, award forms, Forms SSA-2105 and SSA-2105A, Input Correction Document, and similar papers.</p> <p>Destroy after data have been entered into the system and verified.</p> <p>2. Periodic systems outputs, consisting of approximately 160 tables, listings, and reports of personnel data. Included are the following:</p> <p>a. SSA Grade Statistics by Bureau/Office, SSA Grade Change Statistics by Bureau/Office, Tabulation of SSA Total Staff on Duty in Full-Time Permanent Positions by Component, Tabulation of Number of Filled Full-Time Positions by Occupational Series;</p> <p>(1) <u>Office Responsible for Preparation</u></p> <p>Destroy after 5 years.</p> <p>(2) <u>Other Offices</u></p> <p>Destroy upon receipt of next comparable output.</p> <p>b. Tabulation of Voluntary Separations by Organizational Segment, Tabulation of Accessions, Separations, Promotions, and Demotions, Report for Maryland Department of Employment Security,</p> | | |

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| | <p>Bureau/Office Tabulation of Incumbents by Grade, Supervisory Statistics, Salary Within Grade Tabulation, Report on Women in Higher Level Positions, SSA Inter-component Movement, SSA Turnover Information by Grade and Organization, Alphabetical List of Employees Entering or Leaving Supervisory Positions, Employees Entering Supervision, SSA Personnel Statistical Report by Organization Segment;</p> <p>(1) <u>Office Responsible for Preparation</u> Destroy after 1 year.</p> <p>(2) <u>Other Offices</u> Destroy upon receipt of next comparable output.</p> <p>c. SSA Personnel (All Grades), Field Alphabetical Locator, Field Numeric Locator, GS-7 and Above General Reference List, Occupation Series Tabulation, Alphabetical List of Headquarters Supervisors, Retirement Information for Executive Handbook, Headquarters Classification List, Headquarters Classification Tabulation, Program Center Classification Listing, Program Center Classification Tabulation, Regional Office Classification Listing, Regional Office Classification Tabulation, Program Center Grade Tabulation, List of Incumbents in Obsolete Jobs, Special Employment Programs, Claims Representative Turnover Data, Field Representative and Operations Supervisor Promotion Data; Selected Separation Actions Report for Field Organization, Selected Bureau of Field Operations Positions, Biweekly Report of Accessions, Listing of Active SSA Positions, all other periodic outputs of the Personnel Data System.</p> | | |

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| | <p style="text-align: center;"><u>All Offices</u></p> <p style="text-align: center;">Destroy upon receipt of next comparable output.</p> <p>XII. <u>Employee Counseling Files</u></p> <p>A. <u>Employee Counseling Case Files</u></p> <p>These files are accumulated in the course of providing counseling services to individual SSA employees. Included in an individual's file are reports of interviews and contacts, analyses, and similar records.</p> <p>Destroy 3 years after termination of counseling.</p> <p>B. <u>Disability Retirement Files</u></p> <p>These files contain documents relating to individual disability retirees. Included in an individual's file is a copy of the application for disability retirement, physician's statements and medical reports, statements by supervisors, and similar documents.</p> <p>Destroy 5 years after separation of employee.</p> <p>C. <u>Alcohol and Drug Abuse Program Files</u></p> <p>These files consist of documents created in planning, coordinating, and directing SSA's alcohol and drug abuse program. Included is the annual report to DHEW on the status of the program.</p> <p>Destroy 3 years after the close of the calendar year in which dated.</p> <p>D. <u>Community Resources File</u></p> <p>This is a reference file on organizations located in the community to which an SSA employee may be referred.</p> <p>Destroy when obsolete.</p> | | |

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| | <p>XIII. <u>Employee Services Files</u></p> <p>A. <u>Mutual Aid Fund Files</u></p> <p>These files consist of records documenting emergency loans made to employees from the SSA Employees Activities Association Mutual Aid Fund. Included is Form CO-0558, Mutual Aid Fund, or its equivalent. The forms provide personal information about the borrower, and information on the amount loaned, repayments, and loan balances.</p> <p>Destroy 2 years after loan has been repaid.</p> <p>B. <u>Consumer Protection and Credit Counseling Files</u></p> <p>These files consist of records accumulated in counseling employees on consumer or credit problems. Included are reports of interview and contacts and similar records.</p> <p>Destroy 1 year after counseling is terminated.</p> <p>C. <u>Levy and Garnishment Files</u></p> <p>These files consist of levy and garnishment records, including official notices of levy or garnishment (Treasury Form D669-A, Notice of Levy), change slips, release forms (Treasury Form 668-D, Release of Levy), workpapers, counseling records, and correspondence relating to the attachment of salary for payment of delinquent income taxes or for other debts of SSA employees.</p> <p>Destroy after 5 years.</p> <p>D. <u>Employee Compensation Case Files</u></p> <p>These files consist of retained copies of reporting forms and other documents relating to occupation injuries or illnesses incurred by SSA employees and claims for compensation under the Federal Employees Compensation Act. Included are copies (other than those retained in Official Personnel folders or forwarded to the Office of Federal Employees' Compensation)</p> | | |

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| | <p>of Forms CA-1 and 2, Federal Employee's Notice of Injury or Occupational Disease; CA-2a, Notice of Recurrence of Disability; CA-3, Report of Termination of Total or Partial Disability; CA-4, Claim for Compensation on Account of Injury or Occupational Disease; CA-5, Claim for Compensation on Account of Death; CA-8, Claim for Continuance of Compensation on Account of Disability; CA-16, Request for Examination and/or Treatment; CA-20, Attending Physician's Report; or their equivalents.</p> <p>1. <u>Claim for Compensation Filed</u></p> <p>Destroy 5 years after final resolution of the claim.</p> <p>2. <u>No Claim Filed</u></p> <p>Destroy 5 years after the year in which injury or illness occurred.</p> <p>E. <u>Preretirement Program Files</u></p> <p>These files consist of documents created in planning, coordinating, and directing SSA's preretirement program. Included are seminar materials, questionnaires, correspondence, and similar papers.</p> <p>Destroy 3 years after the close of the calendar year in which dated or when superseded or obsolete, as applicable.</p> <p>XIV. <u>Employee Grievance and Appeals Files</u></p> <p>A. <u>Grievance Files</u></p> <p>The grievance file contains records accumulated in the administrative review of a grievance raised by an SSA employee. The file includes statements of witnesses, reports of personal interviews, hearing records, the examiner's report of findings and recommendations, a copy of the original grievance decision, and any documents relating to a reconsideration request.</p> | | |

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| | <p>Destroy 2 years after the date of the final decision on the case.</p> <p>B. <u>Adverse Action Files</u></p> <p>The adverse action file contains records accumulated in the administrative review of a proposed adverse action (disciplinary or nondisciplinary removal, suspension, furlough without pay, or reduction in rank or pay) against an SSA employee. The file includes a copy of the notice of proposed adverse action, documentation supporting the notice, the employee's reply, the notice of hearing and the report thereof, a copy of the decision and documentation of the dates of delivery of notices and the sequence of events. If the employee appeals the decision (either to an appellate level within SSA or to the CSC), the file will also contain documents relating to the appeal.</p> <p>Transfer to a FRC 2 years after the date of the final decision on the case. Destroy 5 years thereafter.</p> <p>C. <u>Within-Grade Increase Denial Reconsideration Files</u></p> <p>The reconsideration file contains records accumulated in the administrative review of a decision to withhold an employee's within-grade increase. Included in the file is a copy of the notice of denial of increase, documentation supporting the notice, the employee's request for reconsideration, investigative reports, transcripts or summaries of personal presentations, and a copy of the reconsideration decision. If the employee appeals the decision, the file will also contain documents relating to the appeal.</p> <p>Destroy 2 years after the date of the final decision on the case.</p> | | |

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| | <p>XV. <u>Personnel Measurement and Research Files</u></p> <p>A. <u>Employee Survey Files</u></p> <p>These files consist of records accumulated in conducting attitude and other kinds of surveys of SSA employees. Included are the following records:</p> <ol style="list-style-type: none"> 1. Completed questionnaires and answer sheets (usually digitek forms) <p>Destroy after data have been extracted and verified.</p> <ol style="list-style-type: none"> 2. Computer print-outs of survey data used in the preparation of the survey report. <p>Destroy after 1 year.</p> <ol style="list-style-type: none"> 3. Survey reports and related supporting documentation. <ol style="list-style-type: none"> a. <u>Office Responsible for Preparation</u> <p>Destroy 5 years after the close of the calendar year in which dated.</p> <ol style="list-style-type: none"> b. <u>Other Offices</u> <p>Destroy after 2 years.</p> <p>B. <u>Employee Testing Files</u></p> <p>These files consist of records relating to aptitude and other types of tests administered to SSA employees. Included are the following records:</p> <ol style="list-style-type: none"> 1. Test materials, such as test booklets (and printing negatives thereof), blank answer sheets, scoring keys, and similar documents. <p>Destroy when superseded or obsolete.</p> <ol style="list-style-type: none"> 2. Completed test papers and answer sheets (usually digitek forms). | | |

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| | <p>Destroy 6 months after administration of the test.</p> <p>3. Tabulated listings of employee scores for a particular test.</p> <p>Destroy 2 years after administration of the test.</p> <p>4. Cumulative quarterly listings of employee test scores.</p> <p>Destroy upon receipt of updated listing.</p> <p>C. <u>Minority Group Employment Reports</u></p> <p>These are quarterly and annual reports containing tables of employment data by grade, sex, selected occupations, organizational components, and selected geographical locations for all SSA employees and SSA minority employees. The data relate to promotions, time in grade, supervisory employment, education levels, new hires, length of service, and similar areas.</p> <p>1. <u>Office Responsible for Preparation</u></p> <p>Destroy quarterly reports 5 years after the close of the fiscal year in which dated. Destroy annual reports after 10 years.</p> <p>2. <u>Other Offices</u></p> <p>Destroy quarterly reports 1 year after the close of the fiscal year in which dated. Destroy annual reports after 2 years.</p> <p>D. <u>Report on Changes to the Minority Data File</u></p> <p>This is a biweekly report listing the social security number and minority code of new SSA hires.</p> <p>1. <u>Office Requiring the Report</u></p> <p>Destroy after 1 year.</p> | | |

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| | <p>2. <u>Office Preparing the Report</u></p> <p>Destroy after 3 months.</p> <p>E. <u>SSA Personnel Data Booklet</u></p> <p>This booklet is published annually by SSA. It contains charts and tables on employment by organizational location, grade, selected occupations, supervisory positions, educational level, age, length of service, and time in grade; new hires; separations; sick leave; race and national origin; sex; labor organizations; performance awards; and adopted suggestions. Organizational coverage includes the offices in headquarters, the bureaus in headquarters and field, and the SSA regions, separately and combined.</p> <p>1. <u>Office Responsible for Preparation</u></p> <p>Permanent. Cut-off file after 10 years and transfer to a FRC. Offer to the National Archives 10 years thereafter.</p> <p>2. <u>Other Offices</u></p> <p>Destroy after 2 years.</p> | | |