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Railroad Retirement Board
Office of General Counsel
844 North Rush Street
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Toll Free: 1-877-772-5772
www.rrb.gov

August 13, 2024

Delivered electronically

Re: Freedom of Information Act
Request dated August 8, 2024

C. 2024-1410

This is the final response to your Freedom of Information Act (FOIA) request, dated August 8, 2024, to the U.S. Railroad Retirement Board (RRB), for a copy of the most recent edition of the RRB Records Disposition Handbook.

A copy of the most recent edition of the RRB Records Disposition Handbook is enclosed.

If you need further assistance or would like to discuss any aspect of your request, please do not hesitate to contact our FOIA Public Liaison, Annie C. Mentkowski, Assistant General Counsel, at EFOIA@rrb.gov.

Sincerely,
/s/ The Office of General Counsel

Enclosures: RRB Records Disposition Handbook

RRB RECORDS DISPOSITION HANDBOOK



RRB RECORDS DISPOSITION HANDBOOK

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RRB RECORDS DISPOSITION HANDBOOK

Introduction

The Railroad Retirement Board's (RRB) Bureau of Information Services-Policy and Compliance (formally Information Resources Management Center) supports the information and data collection activities of all bureau/offices within the RRB. Part of this responsibility includes coordinating the RRB's Records Management Program activities with the National Archives and Records Administration (NARA) and General Accounting Office (GAO), as needed.

The RRB Records Disposition Handbook contains a comprehensive listing of RRB unique and General Records Schedule disposition authorities approved by the Archivist of the United States that meet NARA and GAO's regulations and site audit requirements. In addition, the Records Disposition Schedules provide mandatory disposition instructions to bureau/office staff regarding how long to retain records and legal authority on when to dispose of records no longer needed for current business.

Records Schedule 20, Records Common to Most Offices, supplements the bureau/office's disposition schedule and provides dispose instructions for records common to most offices at the RRB.

Additional Information

See Administrative Circular [IRM-4](#), Records Dispositions for more information on the RRB's records disposition program. For procedures and methods used to dispose of media containing sensitive information, see Administrative Circular [IRM-5](#), Media Sanitization.

Contact Information

Contact the RRB Records Officer at (312) 751-4826 or at RecordsManagement@rrb.gov if you have a question about how to apply a disposition authority or to update the bureau/office disposition schedule.

Contact the Privacy Officer at (312) 751-4869 if you have a question about media sanitation procedures.

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Summary of Changes

Revision Date	Summary of Changes	Review/Approved By	Office
12-21-2017	Added Summary of Changes Table.	Brian Foster	BIS-P&C (Records Management)
12-21-2017	Schedule 4, Item 4-1(A), replaced superseded RRB authority with updated GRS authority.	Stephanie Hillyard Galen Wilson (NARA)	BIS-P&C (Records Management)
12-21-2017	Schedule 4, Item 4-14(A), replaced superseded RRB authority with updated GRS authority.	Stephanie Hillyard Galen Wilson (NARA)	BIS-P&C (Records Management)
12-21-2017	Schedule 4, Item 4-15(A)(1), Removed RRB authority.	Stephanie Hillyard James Cassedy (NARA)	BIS-P&C (Records Management)
12-21-2017	Schedule 5, Item 5-23(A), replaced superseded RRB authority with updated GRS authority.	Stephanie Hillyard Galen Wilson (NARA)	BIS-P&C (Records Management)
12-21-2017	Schedule 9, Item 9-27, replaced superseded RRB authority with updated GRS authority.	Stephanie Hillyard Galen Wilson (NARA)	BIS-P&C (Records Management)
12-21-2017	Schedule 16, Item 16-4, replaced superseded RRB authority with updated GRS authority.	Stephanie Hillyard Galen Wilson (NARA)	BIS-P&C (Records Management)
10-18-2022	Schedule 4, Item 14-8b, changed retention and disposition instructions to 7 years per Chief Security Officer.	Brian Foster	BIS-P&C (Records Management)
10-18-2022	Schedule 13, Item 13-9, changed retention and disposition instructions to 5 years to match RRB Form G-499 retention footnote per Field Office.	Brian Foster	BIS-P&C (Records Management)
10-18-2022	Schedule 20, Item 20-33, replaced tentative retention and disposition instructions in item's 20-33a and 20-33b with GRS approved guidance.	Brian Foster	BIS-P&C (Records Management)
10-18-2022	Schedule 16, Item 16-1, replaced superseded RRB authority with updated NARA authority.	Brian Foster	BIS-P&C (Records Management)
10-18-2022	Schedule 16, Item 16-2, replaced superseded RRB authority with updated NARA authority.	Brian Foster	BIS-P&C (Records Management)
10-18-2022	Schedule 16, Item 16-3, replaced superseded RRB authority with updated NARA authority and old GRS authority with updated GRS authority.	Brian Foster	BIS-P&C (Records Management)
10-18-2022	Schedule 16, Item 16-4, replaced superseded RRB authority with updated GRS authority.	Brian Foster	BIS-P&C (Records Management)

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Revision Date	Summary of Changes	Review/Approved By	Office
10-18-2022	Schedule 16, Item 16-5, replaced superseded RRB authority with updated GRS authority.	Brian Foster	BIS-P&C (Records Management)
10-18-2022	Schedule 16, Item 16-6, replaced superseded RRB authority with updated GRS authority.	Brian Foster	BIS-P&C (Records Management)

RRB RECORDS DISPOSITION HANDBOOK

Records Schedule 1 - Records of the Board and Director of Administration

The Railroad Retirement Board (RRB) is an independent agency in the executive branch of the Federal government and is administered by three Board Members appointed by the President, with the advice and consent of the Senate. By law, one member is appointed from recommendations made by railroad carriers, one from recommendations made by railroad labor organizations, and the Chairman who is appointed without recommendation by either party, is appointed to represent the public interest.

The RRB's primary function is to administer comprehensive retirement-survivor and unemployment-sickness benefit programs for the nation's railroad workers and their families, under the Railroad Retirement Act and Railroad Unemployment Insurance Act. As part of the retirement program, the RRB also has administrative responsibilities under the Social Security Act for certain benefit payments and railroad workers' Medicare coverage.

The Director of Administration reports directly to the three Board Members and oversees and coordinates those units that provide management and administrative support services for the agency except for the Board Member's offices, the Office of Inspector General, the Office of General Counsel, the Washington Legislative/Liaison Office, and the office of the Secretary to the Board.

Note: [See Records Schedule 20](#), Records Common to Most Offices for disposition authority of records related to routine internal, house-keeping activities, and extra copies of documents maintained solely for convenience of reference and the official record copy is listed in a bureau/office schedule.

1-1 **Board Orders**

Orders constituting the official record of formal actions of the RRB pertaining to regulations, administration, program direction and general policy.

A. Copies filed in the office of the Secretary to the Board.

AUTHORIZED DISPOSITION: PERMANENT. Cutoff after end of the fiscal year. Transfer to FRC when 10 years old. Transfer to National Archives with related index when 15 years old in 10-year blocks.

B. All other copies.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when no longer needed for administrative use.

NARA Authority: NC1-184-89-1, Item 1-1

RRB RECORDS DISPOSITION HANDBOOK

1-2 Index to Board Orders

Name and subject index to records described in Item 1-1(a) above, filed in the office of the Secretary to the Board.

AUTHORIZED DISPOSITION: PERMANENT. Cutoff after end of the fiscal year. Transfer to FRC with related Board Orders. Transfer to National Archives when 15 years old in 10-year blocks.

NARA Authority: NC1-184-89-1, Item 1-2

1-3 Record of Proceedings

Published minutes of Board meetings and/or conferences. Records include actions taken between meetings and only part of the Board Orders.

A. Copy filed in the office of the Secretary to the Board.

AUTHORIZED DISPOSITION: PERMANENT. Cutoff after end of the fiscal year. Transfer to FRC when 10 years old. Transfer to National Archives when 15 years old in 10-year blocks.

B. All other copies.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when no longer needed for administrative use.

NARA Authority: NC1-184-89-1, Item 1-3

1-4 Correspondence Files

General administrative, correspondence, and subject files of the Board Members, the Secretary to the Board, and the Director of Administration relating to organization, functional programs, policy and procedural directives, regulations, and special projects.

AUTHORIZED DISPOSITION: PERMANENT. Cutoff after end of the fiscal year. Accumulate into 10-year blocks. Hold block in office an additional 5 years. Transfer to NARA.

NARA Authority: NC1-184-89-1, Item 1-4

1-5 Index to Correspondence Files

Subject card index to records described in Item 1-4, filed in the office of the Secretary to the Board.

A. Originals cards. Microfilm at intervals to correspond with closure of 10-year correspondence file blocks.

AUTHORIZED DISPOSITION: PERMANENT. Transfer to NARA with correspondence files.

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B. Microfilm copy.

AUTHORIZED DISPOSITION: TEMPORARY. Retain in the office of the Secretary to the Board. This copy may be destroyed when no longer needed for administrative use.

NARA Authority: NC1-184-89-1, Item 1-5

1-6 Tape Records of Appeals Hearings

Transcribed tape records of appeals which are denied by the Bureau of Hearings and Appeals and a further appeal is made to the Board Members.

A. Transcripts of proceedings.

1. Copy filed in the office of the Secretary to the Board.

AUTHORIZED DISPOSITION: File with Board Order adjudicating the appeal.

2. All other copies.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when no longer needed for reference.

B. Audio cassettes stored by the Secretary to the Board.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after appeal process is complete. Destroy 1 year after cutoff.

NARA Authority: NC1-184-89-1, Item 1-9

1-7 Appeals Decision Correspondence (Administrative Records)

Copies of correspondence, reports, forms, memoranda, and other background materials related to Bureau of Hearings and Appeals Referee decisions appealed to the Board. (Originals are maintained in appellant's claim folder for life of file.)

- #### A. Correspondence received and maintained by the office of the Secretary to the Board relating to Board decisions not appealed further.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy 15 months after the Board's decision.

- #### B. Correspondence received and maintained by the office of the Secretary to the Board concerning decisions appealed to Federal courts.

AUTHORIZED DISPOSITION: TEMPORARY. Transfer to Bureau of Law for inclusion in litigation file.

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C. Correspondence maintained in offices other than the Secretary to the Board.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy after the Board's decision or when no longer needed for reference.

NARA Authority: NC1-184-89-1, Item 1-10

1-8 **FOIA Appeals Files**

Files created in responding to administrative appeals under the Freedom of Information Act (FOIA) and **excludes** the official record copy of the records if filed herein.

- A. Final adjudication on appeal to any of the above original settlements
- B. Final agency action in response to court remand on appeal to includes:
 - 1. requests (either first-party or third-party)
 - 2. Replies
 - 3. copies of requested records
 - 4. administrative appeals
 - 5. supporting documents

Note: Agencies may wish to retain redacted copies of requested records for business use after the rest of the associated request case file is destroyed.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy 6 years after final agency action or 3 years after final adjudication by the courts, whichever is later.

NARA Authority: GRS 4.2, Item 020 (DAA-GRS-2016-0002-0001)

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Records Schedule 2 - Bureau of the Actuary

The Bureau of the Actuary is responsible for periodically determining the actuarial soundness of the benefit systems and recommending changes in tax rates as needed, calculating the amount of the financial interchange with the social security system, and compiling reports, articles and other tabular material for RRB publications.

Note: [See Records Schedule 20](#), Records Common to Most Offices for disposition authority of records related to routine internal, house-keeping activities, and extra copies of documents maintained solely for convenience of reference and the official record copy is listed in a bureau/office schedule.

2-1 Chief Actuary Program and Policy Files

Correspondence, memoranda, reports, email messages, and other documents maintained by the Chief Actuary related to policy-making decisions, significant program management functions, procedures, initiatives, and other mission and policy-related issues.

AUTHORIZED DISPOSITION: PERMANENT. Cutoff at the end of the fiscal year. Transfer to NARA in 10-year blocks when 15 years old.

NARA Authority: N1-184-09-3, Item 2-1

2-2 Chief Actuary Working Files

Nonessential working documents retained for reference purposes by the Chief Actuary. Included are extra copies of official file material, supporting or background documents used in developing official files, but not needed as part of the official file, material not acted upon, documents used as administrative aids, and documents that do not serve as a basis for official action.

AUTHORIZED DISPOSITION: TEMPORARY. Review annually. Destroy when 2 years old or no longer needed for reference, whichever is later.

NARA Authority: N1-184-09-3, Item 2-2

2-3 Actuarial Valuations

Actuarial valuations of RRB assets and liabilities under the Railroad Retirement Act (RRA). Includes required Section 22 (RRA)/Section 502 (Railroad Retirement Solvency Act of 1983) annual report to Congress of the actuarial status of the railroad retirement system as well as triennial valuation in accordance with Section 15 of the RRA.

A. Record copy.

AUTHORIZED DISPOSITION: PERMANENT. Transfer to NARA when 25 years old in 10-year blocks.

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B. All other copies.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when no longer needed for administrative use.

NARA Authority: N1-184-09-3, Item 2-3

2-4 Actuarial Advisory Committee Records

A. Series consists of the record copy of formal statements, approved meeting minutes, communications and miscellaneous records related to the RRB's Actuarial Advisory Committee.

AUTHORIZED DISPOSITION: PERMANENT. Cutoff at the end of the calendar year. Transfer to National Archives when accumulation reaches at least one cubic foot.

B. All other copies.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when no longer needed for administrative use.

NARA Authority: N1-184-09-3, Item 2-4

2-5 Actuarial Publications and Reports Working Files and Documentation

Series consists of working files and documentation used to generate Actuarial publications and reports. Records include Valuation Data Summaries, computer-generated printouts, back-up worksheets, sign-off sheets, PC files of projection results and miscellaneous other documentation.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when no longer needed for administrative use.

NARA Authority: N1-184-09-3, Item 2-5

2-6 Actuarial Notes

Statistical and narrative informational response by the Bureau of Actuary on a wide variety of topics related to RRB operations.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when no longer needed for administrative use.

NARA Authority: N1-184-09-3, Item 2-6

2-7 Gross Earnings Original Sample Employer Reports

Records include original reports submitted by employers on paper or by electronic media.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy or return to employers 2½ years after receipt.

NARA Authority: N1-184-09-3, Item 2-7

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2-8 Gross Earnings Work Files

Contains gross earnings amounts after editing which are used in creating the summarized file. Records include summarized listings of employer reports, skeleton file, edit listings and magnetic tape files created in editing.

A. Magnetic tape file.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 1 year old.

B. All other related records (paper and PC).

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 3 years old.

NARA Authority: N1-184-09-3, Item 2-8

2-9 Summarized Gross Earnings Master File

One record for each sample account number, which includes monthly, quarterly, and annual gross earnings amounts; service and compensation data and age and service codes as of the year of the file.

A. Mainframe disk and PC files.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy 5 years after creation.

B. Magnetic tape files.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy 2 years after creation.

NARA Authority: N1-184-09-3, Item 2-9

2-10 Annual Sorted SSA Replies File

Contains social security earnings data used to produce self-employment income and dual coverage information for the Financial Interchange.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 1 year old.

NARA Authority: N1-184-09-3, Item 2-10

2-11 Gross Earnings Sample Tabulations

Records include individual gross earnings and summaries of earnings under selected monthly and annual limits at current wage rates and assuming various wage increases. Other tables show dual coverage amounts, self-employment income, and multiple employment earnings used for Financial Interchange adjustments.

A. Tabulations used in the Financial Interchange.

AUTHORIZED DISPOSITION: TEMPORARY. Transfer to FRC not authorized.
Destroy when no longer needed for administrative use.

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B. Tabulations not used in the Financial Interchange.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 2 years old.

NARA Authority: N1-184-09-3, Item 2-11

2-12 Cumulative 1-Percent Gross Earnings Sample File

Contains record of gross earnings (taxable and non-taxable) by year for 1-percent sample of employees who worked at any time after 1950.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when no longer needed for administrative use.

NARA Authority: N1-184-09-3, Item 2-12

2-13 Annual Wage Study Computer Files (Mainframe and PC)

Extracted from EDMA for statistical analysis. File contains service and compensation data of current and preceding year for all railroad employees active in calendar year. Data also includes age, sex, and total-to-date service and compensation.

A. Mainframe file

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after completion. Destroy 3 years after cutoff.

B. PC version of final extract and file

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after completion. Destroy 10 years after cutoff.

C. Intermediate PC files

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after completion. Destroy 1 year after cutoff.

NARA Authority: N1-184-09-3, Item 2-13

2-14 Annual Wage Study Tabulations

Records include summaries of occupation, age, sex, employer and compensation intervals. Totals include benefit eligibility, earnings intervals, status, service months, age and sex. Tabulations of employee addresses by employer and state, state and county, and by District Office territories.

A. Paper tables

AUTHORIZED DISPOSITION: TEMPORARY. Transfer to FRC when 15 years old. Destroy when 25 years old.

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B. PC version of tables

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 25 years old.

NARA Authority: N1-184-09-3, Item 2-14

2-15 Unemployment and Sickness Monthly, Quarterly, and Yearly Tabulations

Statistical tables containing the unemployment and sickness benefits paid each month, quarter, benefit year or fiscal year. Data tabulated includes total benefits paid in a period, types of benefits (normal, extended, etc.), benefit exhaustions, registration periods and compensable days. Summary information by age group, sex, years of service, daily benefit rate, state, types of sickness, and types of benefits paid.

A. Monthly and quarterly tabulation

1. Paper tables

AUTHORIZED DISPOSITION: TEMPORARY. Transfer to FRC when 3 years old. Destroy when 8 years old.

2. PC version of tables

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 8 years old.

B. Yearly tabulations

1. Paper tables

AUTHORIZED DISPOSITION: TEMPORARY. Transfer to FRC when 10 years old. Destroy when 20 years old.

2. PC version of tables

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 20 years old.

NARA Authority: N1-184-09-3, Item 2-15

2-16 Unemployment and Sickness Monthly, Quarterly, and Yearly Magnetic Files

Extracted from USI files and edited for statistical purposes. Records include details of payments made during the period and cumulative data for the benefit years.

A. Monthly and quarterly files

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 15 months old.

B. Yearly files

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 3 years old.

NARA Authority: N1-184-09-3, Item 2-16

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2-17 **Financial Interchange Case Files**

Individual case files used to calculate individual financial interchange benefits amounts. These are amounts that the person would receive if railroad earnings were covered under the Social Security Act. The file represents a 1-percent sample of all cases paid under the RRA.

AUTHORIZED DISPOSITION: TEMPORARY. Transfer to FRC 2 years after annuitant's benefits terminate. Destroy when 20 years old.

NARA Authority: N1-184-09-3, Item 2-17

2-18 **Financial Interchange Magnetic Tape Case File**

Magnetic tape file containing information for about 11,000 beneficiaries in the financial interchange 1-percent sample. Used to determine transfers between railroad retirement and social security trust funds.

A. Magnetic tape file. DSN: P.RES. #9411DD4

AUTHORIZED DISPOSITION: TEMPORARY. Destroy 3 years from date of creation.

B. Tape file printouts (paper and microfiche) of all records, cost and zero cost, for the current determination.

AUTHORIZED DISPOSITION: TEMPORARY. Transfer to FRC not authorized. Destroy when no longer needed for administrative use.

C. FI Historical Master File Access database containing information on all FI sample beneficiaries from 1990 to the last completed determination.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when no longer needed for administrative use.

NARA Authority: N1-184-09-3, Item 2-18

2-19 **Financial Interchange Worksheets**

Benefit, tax, and other worksheets for all financial interchange determinations. Results are used to obtain the dollar amounts of transfers from and to the Social Security Administration and Centers for Medicare & Medicaid Services.

AUTHORIZED DISPOSITION: TEMPORARY. Transfer to FRC not authorized. Destroy when no longer needed for administrative use.

NARA Authority: N1-184-09-3, Item 2-19

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2-20 Financial Interchange (FI) Data Processing Material

- A. Master copy of program requests, FI Help File, and FI mini-master record outline.

AUTHORIZED DISPOSITION: TEMPORARY. Transfer to FRC not authorized.
Destroy when no longer needed for administrative use.

- B. FI tabulation

AUTHORIZED DISPOSITION: TEMPORARY. Transfer to FRC not authorized.
Destroy when no longer needed for administrative use.

- C. Working copies of FI program requests, 1-percent quarterly listings, status listings.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 5 years old.

- D. Program syslists, reject listings, and other miscellaneous listings.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 2 years old.

NARA Authority: N1-184-09-3, Item 2-20

2-21 Retirement and Survivor Program Tabulations

Periodic tabulations of retirement and survivor benefit data.

- A. Annual tabulations

1. Paper tables

AUTHORIZED DISPOSITION: TEMPORARY. Transfer to FRC when 5 years old. Destroy when 15 years old.

2. PC version of table

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 15 years old.

- B. Quarterly and fiscal year tabulations

1. Paper tables

AUTHORIZED DISPOSITION: TEMPORARY. Transfer to FRC when 20 years old. Destroy when 30 years old.

2. PC version of tables

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 30 years old.

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C. Monthly M tables

AUTHORIZED DISPOSITION: TEMPORARY. Transfer to FRC when 10 years old. Destroy when 20 years old.

D. Monthly state tables

AUTHORIZED DISPOSITION: TEMPORARY. Transfer paper tables to FRC when 5 years old. Destroy when 15 years old. Destroy PC version of tables when 2 years old.

E. Annual Beneficiary Data Report (Includes counts by District Office and county)

AUTHORIZED DISPOSITION: TEMPORARY. Transfer paper tables to FRC when 5 years old. Destroy when 15 years old. Destroy PC version of tables when 15 years old.

F. Annual Congressional District tables

AUTHORIZED DISPOSITION: TEMPORARY. Destroy paper and PC files when 3 years old.

NARA Authority: N1-184-09-3, Item 2-21(a)-(e) and
GRS 4.3, Item 031 (DAA-GRS-2013-0001-0006)

2-22 Annual Retirement and Survivor Family Magnetic Tape Files

Extracted from the Retirement and Survivor Master Benefit Files and used to produce annual program tabulations for reference and publication. Files contain a wide range of data for each beneficiary in current-payment status at the end of each year and awarded during the year.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy 500 days after completion.

NARA Authority: N1-184-09-3, Item 2-22

2-23 Quarterly FAADS Files

Magnetic tape files, PC files, and listings created monthly and quarterly during the FAADS development cycle. Includes quarterly PC downloads emailed to the Bureau of the Census.

A. Mainframe files

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 1 year old.

B. Listings and PC files

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 2 years old.

NARA Authority: N1-184-09-3, Item 2-23

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2-24 **Budget Projections**

Account balance sheets, cost estimates, worksheets and background materials for projections.

A. Final account balance sheets

AUTHORIZED DISPOSITION: TEMPORARY. Transfer to FRC not authorized.

Destroy when no longer needed for administrative use.

B. Working papers and PC files

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 5 years old.

NARA Authority: N1-184-09-3, Item 2-24

2-25 **Special Request and Recurring Project File**

Personal computer files, work papers, memoranda, and other correspondence relating to requests for information and regularly recurring projects.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 10 years old or when no longer needed for administrative use, whichever is sooner.

NARA Authority: N1-184-09-3, Item 2-25

2-26 **Publications**

Includes record copy of items published on the RRB website such as Statistical Tables and Statistical Notes.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when no longer needed for administrative use.

NARA Authority: N1-184-09-3, Item 2-26

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Records Schedule 3 - Bureau of Hearings and Appeals

The Bureau of Hearings and Appeals provides a forum for hearings and its Hearings Officers render decisions on appeals from determinations of the Reconsideration Section, the Office of Programs, and the Debt Recovery Division of the Bureau of Fiscal Operations, on allowance or disallowance in full or in part of claims for benefits under the Railroad Retirement Act and Railroad Unemployment Insurance Act or on requests for waiver of overpayments under these statutes.

Note: [See Records Schedule 20](#), Records Common to Most Offices for disposition authority of records related to routine internal, house-keeping activities, and extra copies of documents maintained solely for convenience of reference and the official record copy is listed in a bureau/office schedule.

3-1 Director Correspondence and Administrative Files

- A. Program correspondence files of the Director of Hearings and Appeals related to bureau, policies, procedures, operations and special projects.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff annually at end of fiscal year.
Destroy 7 years after cutoff.

- B. General administrative files related to the internal administration or house-keeping activities of the bureau.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff annually at end of fiscal year.
Destroy 2 years after cutoff.

NARA Authority: N1-184-06-02, Item 17

3-2 Hearings Officer Decisions

These decisions pertain to appeals from findings of the Office of Programs and the Bureau of Fiscal Operations. Records include cases on disability, computations, relationship of appellant, creditability of service, compensation, unemployment and sickness insurance and related matters.

- A. Record copy of appeals decision maintained in Bureau of Hearings and Appeals

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 1 year old.

- B. Copy of appeals decision maintained in appellant's claim folder

AUTHORIZED DISPOSITION: TEMPORARY. Retain according to the disposition for the related claim folder.

- C. Copy of appeal maintained by RRA Imaging System

AUTHORIZED DISPOSITION: TEMPORARY. Retain according to the disposition for the RRA Imaging System.

NARA Authority: N1-184-06-02, Item's 18-20

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3-3 Appeals Decision Correspondence (Administrative Records)

Correspondence, reports, forms, memoranda, and other background materials relating to claimant's appeal before the Bureau of Hearings and Appeals. **(Originals are maintained in appellant's claim folder or RRA Imaging System).**

- A. Correspondence related to Hearings Officer decisions not appealed further

AUTHORIZED DISPOSITION: TEMPORARY. Destroy 6 months after Hearings Officer's decision.

- B. Correspondence related to Hearings Officer decisions appealed to Board Members

1. Paper records

AUTHORIZED DISPOSITION: Transfer with claim folder to Board Members. Retain according to the disposition of the related claim folder.

2. Imaged records

AUTHORIZED DISPOSITION: TEMPORARY. Retain according to the disposition of the RRA Imaging System.

NARA Authority: NCI 184-88-1, Item 3-2

3-4 Appeals Decision Database and Listings

Tracking tools used to track appeals for benefits filed with the bureau. Information maintained includes name of appellant, claim number, type of appeal, appeals referee assigned, disposition of case and whether claim or waiver was allowed or denied.

- A. Electronic database

AUTHORIZED DISPOSITION: TEMPORARY. Review system annually. Destroy/Delete system data when no longer needed for administrative use.

- B. Reference listing of Hearings Officer decisions made each fiscal year

AUTHORIZED DISPOSITION: TEMPORARY. Review annually. Destroy listing when no longer needed for reference.

NARA Authority: N1-184-06-02, Item's 21 and 22

3-5 Tape Recordings of Appeal Hearings

Tape recordings of appeal hearings brought before the Bureau of Hearings and Appeals from other bureaus.

- A. Tape recordings of appeal hearings in which claims for benefits are denied and no further appeal is made to the Board Members

AUTHORIZED DISPOSITION: TEMPORARY. Destroy 1 year after Hearings Officer's decision.

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- B. Tape recording of appeals which are denied and further appeal is made to the Board Members

AUTHORIZED DISPOSITION: TEMPORARY. Transcribe tape recording. Transfer tape and transcript to Secretary to the Board for final disposition. Destroy tape 6 months after transcription.

NARA Authority: N1-184-06-02, Item's 23 and 24

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Records Schedule 4 - Bureau of Information Services Information Resources Management

The Bureau of Information Services Resources Management Center (BIS-IRMC) supports the information and data collection activities of all operating units within the agency. The key elements of the office mission are to ensure that the RRB complies with the public information collection and accountability requirements of the Paperwork Reduction Act and related OMB directives; to coordinate and control management of the RRB's forms, records, and administrative circulars; to administer and coordinate the actions required by the Privacy Act; to coordinate the safeguarding of IRS information and the exchange of information with outside organizations; to maintain system security and disaster recovery files; to maintain a secure electronic environment at the headquarters and field locations in compliance with Federal laws, regulations, and agency directives; to perform security assessments and reviews of major, support application systems, and coordinate actions required by the Federal Information Security Management Act of 2002.

Note: [See Records Schedule 20](#), Records Common to Most Offices for disposition authority of records related to routine internal, house-keeping activities, and extra copies of documents maintained solely for convenience of reference and the official record copy is listed in a bureau/office schedule.

Privacy

4-1 Privacy Act Report Files

- A. Recurring and one-time reports relating to RRB implementation, including biennial reports to Congress, OMB, reports on new/altered systems, FISMA Privacy Management, Computer Matching, and other related reports.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after submission of the final report. Delete 2 years after cutoff.

- B. All other copies

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when no longer needed for administrative use.

NARA Authority: GRS 4.2, Item 070 (DAA-GRS-2013-0007-0006)

4-2 Privacy Act Awareness Training

Records documenting notification and completion of agency mandatory training completed by employee and contractors to include sign-in sheets, and G-511, Information Privacy Certification by Contractor.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff at the end of the fiscal year. Delete/destroy 3 years after cutoff.

NARA Authority: DAA-0184-2013-0004-0001

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4-3 Privacy Act Guidance Files

Administrative circulars, pamphlets, and forms used by the Chief Privacy Officer to support regulatory requirements, OMB directives, and related functions.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff at the end of the fiscal year. Delete/destroy 5 years after cutoff or when no longer needed, whichever is later.

NARA Authority: DAA-0184-2013-0004-0002

4-4 Privacy Act IRS Safeguarding

Records consisting of procedures, reports, and working files relating to the planning and executing of safeguard reviews as required by Internal Revenue Code 6103 for Federal Tax Information.

A. Administrative Records.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff at the end of the calendar year. Delete/destroy 5 years after cutoff.

B. Safeguard Activity Reports/Corrective Action Plans

Annual reports advising IRS of minor changes specified in the Safeguard Procedures Report, actions on review recommendations, current activities, and planned actions affecting procedures.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff at the end of the calendar year. Delete/destroy 5 years after cutoff.

C. Safeguard Procedure Reports

Information on how the agency process and protect federal tax information from unauthorized disclosure.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff at end of calendar year the report is received. Delete/destroy 5 years after cutoff.

D. Safeguard Review Reports of IRS On-site Evaluations

Information on how the agency handles federal tax information.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff at end of the calendar year the review is completed. Delete/destroy 5 years after cutoff.

NARA Authority: DAA-0184-2013-0004-0003

4-5 Legal and Regulatory Compliance Files

Records documenting agency compliance with Federal laws and regulations, such as the E-Government Act (Public Law 107-347), Title III (Federal Information Security Management Act), and Title V (Confidential Information Protection and Statistical Efficiency Act), to include annual reports by agency officials, Chief Information Officer,

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Inspector General or Senior Agency official for Privacy to support compliance with the mandates of OMB, GAO, and other Federal IRM and IT oversight agencies to include:

- A. G-512, RRB Privacy Act System of Record Certification, System of Records Notice (SORN), and documentation used to produce the SORN for publication in the Federal Register.

Note: The Office of the Federal Register maintains the record copy.

- B. G-513, Privacy Threshold Analysis questionnaire and supporting documentation used to capture Personally Identifiable Information (PII) on new and modified agency IT and on-line systems to determine if a Privacy Impact Assessment needs to be completed.
- C. G-514, Privacy Impact Assessment and supporting documentation representing the final analysis on how PII is collected, stored, protected, shared on new or modified agency IT, and on-line systems.
- D. G-517, Privacy Breach Incident Report forwarded to Agency Core Response Group.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after submission of report. Delete/destroy 5 years after cutoff.

NARA Authority: GRS 4.2, item 080 (DAA-GRS-2013-0007-0022)

4-6 Computer Matching Agreements Files

- A. Scanned approved agreements between the RRB and other Federal, State, and local agencies, Data Integrity Board votes approving or disapproving agreements, Memorandum of Understanding (MOU) or Memorandum of Agreement (MOA), and related records.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff at end of fiscal year the agreement is terminated or superseded. Delete/destroy 7 years after cutoff.

- B. All other copies.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff at the end of the fiscal year. Destroy/delete 2 years after cutoff.

Note: The Office of Programs maintains hard copy computer matching agreements, matching records, and cost benefit analysis documentation. Retain scanned agreements for the same duration as the hard copy records.

NARA Authority: DAA-0184-2013-0004-0007 and DAA-0184-2013-0004-0008

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4-7 **Computer Matching Agreements Database**

Standalone Microsoft Access Database owned and maintained by the Chief Privacy Officer used to capture, track, and reference agency Computer Matching Agreements.

A. Master File.

The CMA database contains tables and multiple forms for capturing and tracking information about computer matching agreements.

AUTHORIZED DISPOSITION: TEMPORARY. Delete when agreement is terminated or information is no longer needed for administrative purposes.

B. Inputs.

Data manually entered into the database to include but not limited to point of contact information, type of match, number of records, frequency, matching organization, and link to view associated federal register notice stored on network server and **excludes:**

- Original electronic records maintained in the master files,
- Electronic input reports required for audit or legal purposes, and
- Electronic input records produced by another agency under the terms of an interagency agreement or records created by another agency in response to the specific information needs of the receiving agency.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy immediately after data have been incorporated into the master file and verified and is no longer needed to support the reconstruction of master file. Not media neutral. Applies to electronic records only.

C. Outputs/Ad-hoc Reports.

Reports created on an ad hoc or one-time basis for reference purpose only or that have no business use beyond the immediate need. Records include ad hoc reports created from or queries conducted across multiple linked databases or systems and **excludes:**

- Reports created to satisfy established reporting requirements (e.g. statistical reports produced quarterly in accordance with an agency directive or other regular reports to management officials, and
- Records containing substantive information, such as annotations, that is not included in the electronic records. Such reports should be disposed of in accordance with a NARA-approved disposition authority of the records series where the report is filed.

AUTHORIZED DISPOSITION: TEMPORARY. Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational

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purposes. Not media neutral. Applies to electronic records only.

D. System Documentation.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff when superseded or no longer needed for reference. Destroy 5 year after cutoff.

E. Backup Files.

AUTHORIZED DISPOSITION: TEMPORARY. Delete/destroy immediately after the identical records have been deleted or replaced by a subsequent backup file.

NARA Authority: DAA-0184-2013-0004-0009
GRS 4.3, Item 020 (DAA-GRS-2013-0001-0004)
GRS 4.3, Item 030 (DAA-GRS-2013-0001-0005)
GRS 3.1, Item 051 (DAA-GRS-2013-0005-0003)
GRS 3.2, Item 051 (DAA-GRS-2013-0006-0008)

Records Management

4-8 Form Management Files

Case files of records involved with the use of RRB forms to include:

- Master sets of each form created along with instructions and other related information showing the scope, purpose, and approval.
- Background materials and specifications, processing data, and control records.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff when related form is discontinued, superseded or canceled. Delete/destroy 3 years after cutoff.

NARA Authority: GRS 4.1, Item 040 (DAA-GRS-2013-0002-0009)

4-9 Reports Control Files

Case files maintained for each agency report created or proposed including public-use reports, clearance forms; copies of pertinent forms or descriptions of format; copies of authorizing directives; preparation instructions; and documents relating to the evaluation, continuation, revision and discontinuance of reporting requirements.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after report is discontinued. Delete/destroy 2 years after cutoff.

NARA Authority: GRS 16-6

4-10 Records Management Files

Reports, policies, procedures, authorizations and other correspondence documenting activities related to the management of the RRB Records Management Program to include:

- Records providing oversight of the program

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- Transferring, destroying, and retrieving records
- Inventorying records and conducting records surveys
- Scheduling records
- Records management services (e.g., responding to bureaus/offices requests for records management assistance)
- Records clean-up days
- Special projects
- Reports of corrective action taken in response to agency program surveys or evaluations
- Reports of surveys or evaluations
- Records covering all other aspects of records management not covered elsewhere in this schedule

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff at the end of the calendar year after the project, activity, or transaction is completed or superseded. Delete/destroy 6 years after cutoff.

NARA Authority: GRS 4.1, Item 020 (DAA-GRS-2013-0002-0007)

4-11 Vital/Essential Records Program Records

Records involved in planning, operating, and managing the agency's vital or essential records program to include:

- Vital records inventories
- Vital records cycling plans
- Results of tests, surveys, or evaluations
- Reports of corrective action taken in response to agency vital records tests

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff at the end of the calendar year after the project, activity, or transaction is completed or superseded. Delete/destroy 3 years after cutoff.

NARA Authority: GRS 4.1, Item 030 (DAA-GRS-2013-0002-0008)

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4-12 Administrative Manual

- A. Record copy of administrative manuals filed in BIS-IRMC.

AUTHORIZED DISPOSITION: PERMANENT. Cutoff at the end of the calendar year. Transfer to NARA 15 years after cutoff.

- B. Case files, background records including memoranda, correspondence, studies, and related papers.

AUTHORIZED DISPOSITION: TEMPORARY. Delete/destroy when related instructions are superseded or canceled.

- C. All other copies.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when superseded.

NARA Authority: NCI-184-88-1, Item 4-8

4-13 Information Resource Management Center Database

Standalone Microsoft Access Database owned and maintained by Records Management Group and Chief Privacy Officer personnel used to capture, track, and reference data about initial and secondary Federal notices for coordination to internal staff and OMB; new, revised, and obsolete agency forms; and privacy threshold and impact assessments information on new and existing major and supporting electronic systems for Privacy Act Systems of Notice approvals, and various ad-hoc reports.

- A. Master Files.

The IRMC database contains tables and multiple forms for capturing information about privacy, forms, and information collection activities.

AUTHORIZED DISPOSITION: TEMPORARY. Delete when information is no longer needed for administrative purposes.

- B. Inputs.

Data entered manually into the database to include but not limited to information from G-415, Clearance of New or Revised Form; privacy threshold and impact assessments; and public information collections and used to reference IRMC activities and **excludes:**

- Original electronic records maintained in the master files.
- Electronic input reports required for audit or legal purposes, and
- Electronic input records produced by another agency under the terms of an interagency agreement or records created by another agency in response to the specific information needs of the receiving agency.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy immediately after data have been incorporated into the master file and verified and is no longer needed to

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support the reconstruction of master file. Not media neutral. Applies to electronic records only.

C. Outputs/Ad-hoc Reports.

Reports created on an ad hoc or one-time basis for reference purpose only or that have no business use beyond the immediate need. Records include ad hoc reports created from the database and **excludes**:

- Reports created to satisfy established reporting requirements produced in accordance with an agency directive or other regular reports to management officials, and
- Records containing substantive information, such as annotations, that is not included in the electronic records. Such reports should be disposed of in accordance with a NARA-approved disposition authority of the records series where the report is filed.

AUTHORIZED DISPOSITION: TEMPORARY. Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

D. System Documentation.

AUTHORIZED DISPOSITION: TEMPORARY. Delete/destroy when superseded or no longer needed for reference.

E. Backup Files.

AUTHORIZED DISPOSITION: TEMPORARY. Delete when the identical records have been deleted, or when replaced by a subsequent backup file.

NARA Authority: DAA-0184-2013-0004-0010
GRS 4.3, Item 020 (DAA-GRS-2013-0001-0004)
GRS 4.3, Item 030 (DAA-GRS-2013-0001-0005)
GRS 3.1, Item 051 (DAA-GRS-2013-0005-0003)
GRS 3.2, Item 051 (DAA-GRS-2013-0006-0008)

Risk Management

4-14 **Information Systems Security Plan**

Records documenting RRB compliance with the Federal Information Security Management Act of 2002 and includes a comprehensive list of major applications, general support systems, and related material used to prepare and update plans for systems processing sensitive information.

- A. Record copy of annual consolidated Information System Security Plan and all related bureau/office updates and certification statements.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy 1 year after system is superseded by a new iteration or when no longer needed for agency/IT

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administrative purposes to ensure a continuity of security controls throughout the life of the system.

B. All other copies.

AUTHORIZED DISPOSITION: TEMPORARY. Delete/destroy when superseded by subsequent update.

NARA Authority: GRS 3.2, Item 010 (DAA-GRS-2013-0006-0001)

4-15 Computer Security Training

A. Record and Administrative Copies of Training Booklets.

1. Record Copy of Computer Security Training Pamphlets. Includes Computer Security Training Program, Information Systems Security Awareness Training, Security Training for Users of SSA databases, and other role-based training.

AUTHORIZED DISPOSITION: TEMPORARY. Delete when information is no longer needed for administrative or audit purposes.

2. Administrative copies of booklets.

AUTHORIZED DISPOSITION: TEMPORARY. Delete/destroy when superseded or obsolete.

B. On-line course for annual certification of Security Awareness Training for RRB employees and contractors with network access. The system tracks training by individual, office, date of completion, and certificate of completion as required by Federal Information Security Management Act of 2002.

1. Master Files.

Information pertaining to name, office, email address and other related information used to document and track security training.

Note: Data in on-line system is purged by SANS administrator.

AUTHORIZED DISPOSITION: TEMPORARY. Delete when information is no longer needed for administrative or audit purposes.

2. Inputs.

Manual entered data from Position Index by Risk Management Group Personnel to include, but not limited to, name, office, and email address to update the master files and **excludes:**

- Original electronic records maintained in the master files,
- Electronic input reports required for audit or legal purposes, and
- Electronic input records produced by another agency under the terms of an interagency agreement or records created by another agency in

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response to the specific information needs of the receiving agency.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy immediately after data have been incorporated into the master file and verified and is no longer needed to support the reconstruction of master file. Not media neutral. Applies to electronic records only.

3. Outputs, Ad-hoc Reports, and System-Generated Emails.

Reports created on an ad hoc or one-time basis for reference purpose only or that have no business use beyond the immediate need. This item ad hoc report created from the SANS and **excludes**:

- Reports created to satisfy established reporting requirements produced in accordance with an agency directive or other regular reports to management officials, and
- Records containing substantive information, such as annotations, that is not included in the electronic records. Such reports should be disposed of in accordance with a NARA-approved disposition authority of the records series where the report is filed.

AUTHORIZED DISPOSITION: TEMPORARY. Delete/destroy when no longer needed for administrative or audit purposes.

4. System Documentation.

AUTHORIZED DISPOSITION: TEMPORARY. Delete/destroy when superseded or no longer needed for reference.

5. Backup Files.

AUTHORIZED DISPOSITION: TEMPORARY. Delete when the identical records have been deleted, or when replaced by a subsequent backup file.

C. Signed RRB Form G-15s, Security Awareness Training Employees without Network Access documenting completion of security training.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff at the end of the calendar year. Destroy 2 years after cutoff.

NARA Authority: DAA-0184-2013-0004-0011

GRS 4.3, Item 020 (DAA-GRS-2013-0001-0004)

GRS 4.3, Item 030 (DAA-GRS-2013-0001-0005)

GRS 3.1, Item 051 (DAA-GRS-2013-0005-0003)

GRS 3.2, Item 051 (DAA-GRS-2013-0006-0008)

DAA-0184-2013-0004-0012

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4-16 **Systems and Data Security Records**

Records related to documenting and maintaining the security systems and data to include System Security Plans with a comprehensive list of major applications, general support systems and related material used to prepare and update plans for systems processing sensitive information; Disaster Recovery Plans; risk analyses used in identifying IT risks and analyzing their impact; risk measurements and assessments, implementation of risk action plans, continuous monitoring files; service test plans, and test files and data.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after system is superseded. Delete/destroy 1 year after cutoff.

NARA Authority: GRS 3.2, Item 010 (DAA-GRS-2013-0006-0001)

4-17 **Computer Security Incident Handling, Reporting, Follow-up Records, and Investigation Documents**

Records documenting attempted or actual system security breaches, including system hacks and virus attacks; improper staff usage; failure of security provisions or procedures and potentially compromised information assets; agency reporting of incidents both internally and externally; narrative reports; background documentation; G-517, Privacy Breach Incident Report; Master Evidence Case Log; and Malware Responses.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after follow-up actions have been completed. Destroy/delete 3 years after cutoff.

NARA Authority: GRS 3.2, Item 020 (DAA-GRS-2013-0006-0002)

4-18 **System Access and Monitoring Records**

Records created as part of the user identification and authorization process to gain access to systems or monitor inappropriate systems access. Records include user profiles; log-in files; password files; audit trail files and extracts; system usage files; and cost-back files used to assess charges for system use and **excludes** records relating to:

- Electronic signatures,
- Monitoring for agency mission activities such as law enforcement, and
- Logging or journaling user email and/or any activities related to insider threat protection

Note: The National Archives and Records Administration plans to address insider threat protection records in a new General Records Schedule for security records.

A. Systems Not Requiring Special Accountability for Access

AUTHORIZED DISPOSITION: TEMPORARY. Destroy/destroy when no longer needed for agency business.

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B. Systems Requiring Special Accountability for Access

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff when user account is terminated or password is altered. Delete/destroy 7 years after cutoff or when no longer needed for agency business.

NARA Authority: GRS 3.2, Item 030 (DAA-GRS-2013-0006-0003)
GRS 3.2, Item 031 (DAA-GRS-2013-0006-0004)

4-19 Security Policy Files

Records pertaining to implementation of the agency's security program.

PROPOSED DISPOSITION: Pending Further Review. Not Authorized for Disposal.

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Records Schedule 5 - Office of Administration

The Office of Administration provides support and services to all agency bureaus and offices. Specific responsibilities include providing for efficient mail processing and claim folder handling as well as coordinating all agency procurement, duplicating, supply, space management and telecommunications activities. The bureau also acts as agency representative on various matters involving outside concerns and other federal agencies such as the General Services Administration, Department of Energy, Federal Emergency Management Agency and Department of Labor (OSHA).

Notes: See the following records schedules for other records related to the Office of Administration.

1. [See Records Schedule 1](#), Records of the Board and Director of Administration for retention and disposal authority for records relating to organization, functional programs, policy, and procedures.
2. [See Records Schedule 20](#), Records Common to Most Offices for disposition authority of records related to routine internal, house-keeping activities, and extra copies of documents maintained solely for convenience of reference and the official record copy is listed in a bureau/office schedule.

5-1 General Procurement Case Files

Contract, requisition, purchase order, lease and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt inspection and payment, and other records described in the Federal Acquisition Regulation; 48 CFR 4.805.

A. Procurement or purchase organization copy and related papers.

1. Transactions dated on or after July 3, 1995 (the effective date of the Federal Acquisition Regulations (FAR) rule defining "simplified acquisition threshold").
 - a) Transactions that exceed the simplified acquisition threshold and all construction contracts exceeding 2,000.
 - b) Transactions at or below the simplified acquisition threshold and all construction contracts at or below \$2,000.

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2. Transactions dated earlier than July 3, 1995.

- a) Transaction that utilizes other than small purchase procedures and all construction contracts exceeding \$2,000.
- b) Transactions that utilize small purchase procedures and all construction contracts under \$2,000.

Note: Given the complexities of the rules on procurement, agencies should involve procurement officials when deciding which of the sub items to apply to a particular series of records.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff at the end of the fiscal year. Delete/destroy 6 years after cutoff.

- B. Data submitted to the Federal Procurement Data System (FPDS). Electronic data file maintained by fiscal year containing unclassified records of all procurements, other than small purchases, and consisting of information required under 48 CFR 4.601 for transfer to the FPDS.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff at the end of the fiscal year. Delete/destroy 6 years after cutoff.

- C. All other copies.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when no longer needed for administrative use.

NARA Authority: GRS 1.1, Item 010 (DAA-GRS-2013-0003-0001)
GRS 1.1, Item 011 (DAA-GRS-2013-0003-0002)

5-2 Solicited and Unsolicited Bids and Proposals

- A. Successful bids and proposals.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after successful bid or proposal. Destroy 6 years after final payment or cancellation along with related contract case files after cutoff. See item 5-1 in this schedule.

- B. Unsuccessful bids and proposals.

1. Relating to small purchases as defined in the Federal Acquisition Regulations; 48 CFR, Part 13.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after unsuccessful bid or proposal. Destroy 6 years after cutoff.

2. Relating to transactions above the small purchase limitations in 48 CFR, Part 13.

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- a) When filed separately from the contract file.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after contract is completed. Destroy 6 years after cutoff.

- b) When filed with related contract case file.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy 6 years with related contract case file.

- c) Canceled solicitation files.

1. Formal solicitations or offers to provide products or services (e.g., Invitations for Bids, Request for Proposals, Request for Quotations) which were canceled prior to award of a contract. Files include presolicitation documentation on the requirement, any offers that were opened prior to the cancellation, documentation on any Government action up to the time of cancellation, and evidence to the cancellation.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after cancellation. Destroy 6 years after cutoff.

2. Unopened bids.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after unopened bid is returned to bidder. Destroy 6 years after cutoff.

- d) Lists or card files of acceptable bidders.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when superseded or obsolete.

NARA Authority: GRS 1.1, Item 010 (DAA-GRS-2013-0003-0001) and GRS 3-5(d)

5-3 Contract Appeals Case Files

Contract appeals case files arising under the Contracts Dispute Act, consisting of notices of appeal and acknowledgments thereof; correspondence between parties, copies of contracts, plans, specifications, exhibits, change orders and amendments; transcripts of hearings; documents received from parties concerned; final decisions; and all other related papers created after September 30, 1979.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy 1 year after final action on decision.

NARA Authority: GRS 3-15(b)

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5-4 Surplus Property Case Files

Case files on sales of surplus personal property comprising invitations, bids, acceptances, lists of materials, evidence of sales, and related correspondence of transactions less or more than \$25,000.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after final payment. Destroy 6 years after cutoff.

NARA Authority: GRS 1.1, Item 010 (DAA-GRS-2013-0003-0001)

5-5 Excess Personal Property Reports

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 3 years old.

NARA Authority: GRS 4-2

5-6 Space Files

Records relating to the acquisition, allocation, utilization, release and maintenance of space under RRB control.

- A. Building plan files, surveys and related agency records utilized in space planning, assignment and adjustment.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy 2 years after termination of assignment, when lease is canceled, or when plans are superseded or obsolete.

- B. Correspondence with and reports to staff agencies relating to agency space holdings and requirements.

- 1. Agency reports to GSA including Standard Form (SF) 81, Request for Space, regarding space occupied and related documents. Includes the networks and Washington Liaison Office.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 2 years old.

- 2. Copies in subordinate reporting units and related work papers.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 1 year old.

NARA Authority: GRS 11-2 (a) and (b)

5-7 Space and Maintenance General Correspondence Files

Space and maintenance correspondence files of the Division of Real Property Management.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 2 years old.

NARA Authority: GRS 11-1

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5-8 **Building and Equipment Service Files**

Requests for building and equipment maintenance services and **exclude** fiscal copies.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy 3 months after work is performed or requisition is canceled.

NARA Authority: GRS 11-5

5-9 **Contractor's Payroll Files**

Contractor's payroll (construction contracts) submitted in accordance with Department of Labor regulations, with related certifications, anti-kickback affidavits, and other related papers.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after completion date of contract or conclusion of contract being unless contract performance is subject to an of enforcement action. Destroy 3 years after cutoff.

NARA Authority: GRS 1.1, Item 050 (DAA-GRS-2013-0003-0003)

5-10 **Survey and Inspection Files**

Reports of surveys and inspections conducted to ensure adequacy of protective and preventative measures taken against hazards of fire, explosion, and accidents, and to safeguard information and facilities against sabotage and unauthorized entry.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 3 years old or upon discontinuance of facility whichever is sooner.

NARA Authority: GRS 18-9

5-11 **Investigative Files**

Files accumulating from investigations of fires explosion, and accidents, consisting of retained copies of reports and related papers when the original reports are submitted for review and filing in other agencies or organizational elements, and reports and related papers concerning occurrences of such a minor nature that they are settled locally without referral to other organizational elements.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 2 years old.

NARA Authority: GRS 18-11

5-12 **Personal Property Accountability Files**

Files relating to accountability for personal property lost or stolen.

A. Ledger files.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after final entry. Destroy 3 years after cutoff.

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- B. Reports, loss statements, receipts and other papers relating to lost and found articles.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 1 year old.

NARA Authority: GRS 18-15 (a) and (b)

5-13 Key Accountability Files

Files relating to accountability for keys issued.

- A. For areas under maximum security.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after turn-in of key. Destroy 3 years after cutoff.

- B. For other areas.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after turn-in of key. Destroy 6 months after turn-in of key.

NARA Authority: GRS 18-16 (a) and (b)

5-14 Visitor Control Files

Registers or logs used to record names of outside contractors, service personnel and employees admitted to restricted areas.

- A. For areas under maximum security.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after final entry or after date of document as appropriate. Destroy 5 years after cutoff.

- B. For other areas.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after final entry or after date of document as appropriate. Destroy 2 years after cutoff.

NARA Authority: GRS 18-17 (a) and (b)

5-15 Facilities Checks Files

Files relating to periodic guard force facility checks.

- A. Data sheets, door slip summaries, check sheets and guard reports on security violations.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 1 year old.

- B. Reports of routine after hours security checks which do not reflect security violations.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 1 month old.

NARA Authority: GRS 18-18 (a) and (b)

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5-16 Guard Service Control Files

Control center key or code records and building records.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when superseded or obsolete.

NARA Authority: GRS 18-19 (a)

5-17 Guard Assignment Files

Requests, analyzes, reports, change notices and other papers relating to post assignments and strength requirements.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 2 years old.

NARA Authority: GRS 18-13 (b)

5-18 Guard Logs and Registers

Guard logs and registers not covered elsewhere in this schedule.

A. Central guard office master logs.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after final entry. Destroy 2 years after cutoff.

B. Individual guard post logs of occurrences entered in master log.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after final entry. Destroy 1 year after cutoff.

NARA Authority: GRS 18-20 (a) and (b)

5-19 Security and Protective Services Administrative Correspondence

Correspondence files relating to administration and operation of the facilities security and protective services program not covered elsewhere in this schedule.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 2 years old.

NARA Authority: GRS 18-8

5-20 Emergency Planning Administrative Correspondence

Correspondence files relating to administration and operation of the emergency planning program, not covered elsewhere in this schedule, not covered elsewhere in this schedule and **excludes** records documenting policies and procedures accumulated in offices having agency wide responsibilities for emergency programs. See item 5-23.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 2 years old.

NARA Authority: GRS 18-26

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5-21 Emergency Planning Case Files

Files accumulated by offices responsible for the preparation and issuance of plans and directives consisting of a copy of each plan or directive issued with related background documents and **excludes** the record copy of initial and updated emergency plans or directives, or comprehensive emergency planning reports documenting results of agency wide operations tests. See item 5-23.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy 3 years after issuance of a new plan or directive.

NARA Authority: GRS 18-27

5-22 Emergency Operations Tests Files

Files accumulating from tests conducted under agency emergency plans, such as instructions to members participating in test, staffing assignments, messages, tests of communications and facilities, and reports and **excludes** consolidated and comprehensive operational reports. See item 5-23.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 3 years old.

NARA Authority: GRS 18-28

5-23 Business Continuity/Contingency Planning

Records documenting the RRB's business continuity and contingency planning activities.

A. Record copy of initial plan and all updates.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 3 years old or 3 years after superseded or obsolete.

B. All other Copies.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when, obsolete, or when no longer needed for administrator use.

NARA Authority: GRS 5.3, Item 010 (DAA-GRS-2016-0004-0001)

5-24 Communication Correspondence, Reports, and Reference Files

A. Correspondence and related records pertaining to internal administration and operation.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 2 years old.

B. Telecommunications general files including plans, reports, and other records pertaining to equipment requests, telephone service, and like matters.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 3 years old.

C. Telecommunications statistical reports including cost and volume data.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 1 year old.

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- D. Copies of agreements with background data and other records relating to agreements for telecommunication services.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after expiration or cancellation of agreement. Destroy 2 years after cutoff.

- E. Reference copies of telecommunications vouchers, bills invoice a related records.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff at the end of the fiscal year. Destroy 1 year after cutoff.

NARA Authority: GRS 12-2 (a), (b), (c), and (e)
GRS 1.1, Item 011 (DAA-GRS-2013-0003-0002)

5-25 Telecommunications Operational Files

- A. Message registers, logs, performance reports, daily load reports and related and similar records.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 6 months old.

- B. Copies of incoming and original copies of outgoing messages.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 2 years old.

NARA Authority: GRS 12-3 (a) and (b)

5-26 Telephone Records

Telephone statements and toll slips.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after final payment or cancellation period covered by statement. Destroy 6 years after cutoff.

NARA Authority: GRS 1.1, Item 010 (DAA-GRS-2013-0003-0001)

5-27 Requisition for Stocked Supplies and Forms

Stockroom copy of requisitions for stocked supplies and forms in current inventory. (FFS Pick and Issue document, equivalent forms or RRB Form G-615.)

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after completion or cancellation of requisition. Destroy 2 years after cutoff.

NARA Authority: GRS 3-8 (a)

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5-28 Requisition for Unstocked Items and Special Services

Record copy of requisitions for equipment and supplies not in current inventory and special services.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after final payment or cancellation of requisition. Destroy 6 years after cutoff.

NARA Authority: GRS 1.1, Item 010 (DAA-GRS-2013-0003-0001)

5-29 Inventory Files

A. Inventory lists.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy 2 years from date of list.

B. Inventory cards, stock ledger cards, or equivalent

AUTHORIZED DISPOSITION: TEMPORARY. Destroy 2 years after discontinuance of item, or 2 years after stock balance is transferred to new card and reconciled with annual inventory, or 2 years after equipment is removed from agency control.

NARA Authority: GRS 3-9 (a) and (b)

5-30 Public Printer Files

Records relating to printing requisitions submitted to the Government Printing Office, and all supporting papers.

A. Printing procurement unit copy of requisition, invoice, specifications and related papers.

B. Accounting copy of requisition.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after final payment or cancellation of requisition. Destroy 6 years after cutoff.

C. Printing and Binder Requisition to the Public Binder (Standard Form 1).

Note: Record copy is filed in General Procurement Transaction Case File. See item 5-1 of this schedule.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when no longer needed for reference.

NARA Authority: GRS 1.1, Item 010 (DAA-GRS-2013-0003-0001)
GRS 1.1, Item 011 (DAA-GRS-2013-0003-0002)

5-31 JCP Reports Files

A. Agency report to Joint Committee on Printing regarding operation of Class A and B Plants and inventories of printing, binding and related equipment in Class A and B Plants or in storage.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 3 years old.

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B. Copies in subordinate reporting units and related work papers.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy 1 year after date of report.

NARA Authority: GRS 13-5 (a) and (b)

5-32 Printing Control Records

Control registers pertaining to requisitions and work orders.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff at the end of the fiscal year compiled or after filing of register. Destroy 1 year after cutoff.

NARA Authority: GRS 13-3

5-33 Requisitions for Duplicating

Print shop copy of requisitions for duplicating and binding (RRB Form G-48).

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 6-year-old.

NARA Authority: GRS 1.1, Item 010 (DAA-GRS-2013-0003-0001)

5-34 Mail Control Files

A. Records of receipt and routing of incoming and outgoing mail.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 1 year old.

B. Statistical reports of postage used on outgoing mail (airmail, special delivery, registered, foreign, and parcel post over 4 pounds included.)

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 6 months old.

C. Other mail control records including statistical reports and data relating to handling of mail and volume of work performed.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 1 year old.

NARA Authority: GRS 12-6 (a), (b) and (d)

5-35 Health Unit Control Files

Logs or registers reflecting daily number of visits to dispensaries, first aid rooms and health units. Information is summarized on a statistical report.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy 3 months after last entry.

NARA Authority: GRS 1-20 (a)

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5-36 Individual Health Record

Cards which document an individual employee's medical history, physical condition, and visits to health facilities for non-work-related purposes, contain such information as date of employee's visit, diagnosis and treatment and **exclude** records covered by item 5-37 of this schedule.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after date of last entry. Destroy 6 years after cutoff.

NARA Authority: GRS 1-19

5-37 Employee Medical Folder

A. Long-term medical records as defined in the 5 CFR part 293, subpart E.

1. Transferred employees.

AUTHORIZED DISPOSITION: TEMPORARY. See 5 CFR part 293 for instructions.

2. Separated employees

AUTHORIZED DISPOSITION: TEMPORARY. Transfer to the National Personnel Records Center (NPRC), St. Louis, MO, 30 days after separation. NPRC will destroy 75 years after birth date of employee, 60 years after date of the earliest document in the folder if the date of birth cannot be ascertained, or 30 years after latest separation, whichever is later.

B. Temporary or short-term records as defined in *The Guide to Personnel Recordkeeping*.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after separation or transfer of employee. Destroy 1 year after cutoff.

C. Individual Employee Health Case Files created prior to establishment of the EMF system that has been retired to a NARA records storage facility.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy 60 years after retirement to the NARA storage facility.

NARA Authority: GRS 1-21

5-38 Government Travel Card (GTC)

Various forms used to document issuance, employee authorization to obtain credit report, and other administrative files used to manage the GTC program.

A. Employee Acknowledgment and Approving Official's Certification Statement for Government Travel Card (RRB Form G-571).

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff at the end of the fiscal year. Destroy/delete 3 years after employee ended participation in the program.

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B. Employee Authorization to Obtain Consumer Credit Information.

AUTHORIZED DISPOSITION: TEMPORARY. Delete/destroy when no longer needed.

NARA Authority: DAA-0184-2013-0003-0001
DAA-0184-2013-0003-0002

5-39 **Automated Folder Control System (AFCS)**

The AFCS is a mainframe-based application which keeps track of current and past locations of each physical claim folder established under the Railroad Retirement Act, accepts requests to retrieve claim folders, and daily listing that are used by the National Archives and Records Administration Federal Records Center to retrieve claim folders from the central file bank and route claim folders to the proper requestor.

A. Master File.

AUTHORIZED DISPOSITION: TEMPORARY. Keep final claim folder entries for the life of the AFCS system.

B. Inputs.

Updates to new and existing claim folder requests to include claim number, group locations, function/person and extension, permanent storage locations; and denial folder request information that is used to update the master file and **excludes:**

- Original electronic records maintained in the master files,
- Electronic input reports required for audit or legal purposes, and
- Electronic input records produced by another agency under the terms of an interagency agreement or records created by another agency in response to the specific information needs of the receiving agency.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy immediately after data have been incorporated into the master file and verified and is no longer needed to support the reconstruction of master file. Not media neutral. Applies to electronic records only.

C. Reports/Outputs.

Reports created on an ad hoc or one-time basis for reference purpose only or that have no business use beyond the immediate need. Records include ad hoc reports created from the AFCS system used to document claim folder requests and corrective actions and **excludes:**

- Reports created to satisfy established reporting requirements reports produced in accordance with an agency directive or other regular reports to management officials, and

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- Records containing substantive information, such as annotations, that is **not** included in the electronic records. Such reports should be disposed of in accordance with a NARA-approved disposition authority of the records series in which the report is filed.

1. Daily Request Report

AUTHORIZED DISPOSITION: TEMPORARY. Destroy/delete after subsequent report is generated on the next business day and verified.

2. Monthly Activity Report

AUTHORIZED DISPOSITION: TEMPORARY. Destroy/delete after 3 years.

3. Ad-hoc Reports Daily, inventory, delayed folder, and other reports used to validate corrective actions.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy/delete when no further corrective action is necessary to AFCS database or when no longer needed, whichever is later.

D. System Documentation.

File specifications, record layouts, user guides, output specifications, and final reports (regardless of medium), relating to a master file, database or other electronic records.

AUTHORIZED DISPOSITION: TEMPORARY. Delete 5 years upon authorized deletion of the related electronic records or upon the destruction of the output of the system if the output is needed to protect legal rights, whichever is later.

E. Backup Files

AUTHORIZED DISPOSITION: TEMPORARY. Overwrite 1 month after subsequent backup file or when no longer needed to support reconstruction of, or serve as backup to, the master file, whichever is later.

NARA Authority: DAA-0184-2013-0003-0003

GRS 4.3, Item 020 (DAA-GRS-2013-0001-0004)

GRS 4.3, Item 030 (DAA-GRS-2013-0001-0005)

GRS 3.1, Item 051 (DAA-GRS-2013-0005-0003)

GRS 3.2, Item 051 (DAA-GRS-2013-0006-0008)

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Records Schedule 6 - Bureau of Fiscal Operations

The Bureau of Fiscal Operations is primarily responsible for all fiscal matters in accordance with the policies of the Railroad Retirement Board (RRB). Responsibilities include providing, maintaining, and operating approved budget and accounting systems in conformity with principles and standards prescribed by the Comptroller General, the Office of Management and Budget, and the Department of the Treasury; maintaining a unified system of financial administration; directing the RRB's financial integrity initiatives.

Note: [See Records Schedule 20](#), Records Common to Most Offices for disposition authority of records related to routine internal, house-keeping activities, and extra copies of documents maintained solely for convenience of reference and the official record copy is listed in a bureau/office schedule.

6-1 Accountable Officers Files

- A. Official record copy of accountable officer's accounts maintained in the agency for site audit by GAO auditors consisting of statements of accountability, collection schedules, collection vouchers, disbursement schedules, disbursement vouchers, and all other schedules and vouchers or documents used as schedules or vouchers, exclusive of freight records and payroll records. These records document only the basic financial transaction, money received, and money paid out or deposited in the course of operation of the agency.

Site audit records include but are not limited to the Standard and Optional Forms listed below. Also included are equivalent agency forms and Federal Financial System (FFS) Microfiche which document the basic financial transaction as described above. (FFS is a GAO approved system.)

SF 215	Deposit Ticket
SF 224	Statement of Transactions
SF 1034	Public Voucher for Purchases and Services Other Than Personal
SF 1036	Statement of Certificate and Award
SF-1038	Advance of Funds Application and Account
SF 1047	Public Voucher for Refunds
SF 1080	Voucher for Transfer between Appropriations and/or Funds
SF 1081	Voucher and Schedule of Withdrawals and Credits
SF 1096	Schedule of Voucher Deductions
SF 1097	Voucher and Schedule to Effect Correction of Errors
SF 1098	Schedule of Canceled Checks
SF 1113	Public Voucher for Transportation Charges
SF 1129	Reimbursement Voucher
SF 1143	Advertising Order
SF 1145	Voucher for Payment under Federal Tort Claims Act
SF 1154	Public Voucher for Unpaid Compensation due a Deceased Civilian Employee
SF 1156	Public Voucher for Fees and Mileage
SF 1166	Voucher and Schedule of Payments
SF 1185	Schedule of Undeliverable Checks for Credit to Government Agencies
SF 1219	Statement of Accountability

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SF 1220 Statement of Transactions According to Appropriation,
Funds, and Receipt Accounts
OF 1114 Bill of Collection
OF 1114A Official Receipt
OF 1114B Collection Voucher

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff account after final payment or cancellation. Destroy 6 years after cutoff.

- B. Memorandum or extra copies of accountable officers' returns including statement of transactions and accountability, all supporting vouchers, schedules and related papers and **excludes** freight and payroll records.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 1 year old

Note 1: Procurement and other financial files that stand out because of high dollar value, media attention, historical value, research value, or other extenuating circumstances may have permanent value.

Note 2: The Comptroller General has the right to require an agency to retain any portion of these records for a period of up to 10 years.

NARA Authority: GRS 1.1, Item 010 (DAA-GRS-2013-0003-0001)
GRS 1.1, Item 011 (DAA-GRS-2013-0003-0002)

6-2 **Federal Financial System (FFS) Tape File**

Magnetic tape file that contains information regarding purchase requisitions, purchase orders, payment vouchers, journal voucher entries and related budget data.

DSN: P.DPA. #1004AM2

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after final payment or cancellation. Destroy 6 years after cutoff.

NARA Authority: GRS 1.1, Item 010 (DAA-GRS-2013-0003-0001)

6-3 **Certificates of Settlement of Accounts**

Record copies of certificates of settlement of accounts of accountable officers, statement of differences, and related records.

- A. Certificates covering closed account settlements, supplemental settlements and final balance settlements.

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B. Certificates covering periodic settlements.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after final payment or cancellation. Destroy 6 years after cutoff.

Note 1: Procurement and other financial files that stand out because of high dollar value, media attention, historical value, research value, or other extenuating circumstances may have permanent value. Agencies that believe they hold such files should submit a records schedule to NARA.

Note 2: The Comptroller General has the right to require an agency to retain any portion of these records for a period of up to 10 years.

NARA Authority: GRS 1.1, Item 010 (DAA-GRS-2013-0003-0001)

6-4 General Accounting Ledgers

General account ledgers showing debit and credit entries and reflecting expenditures in summary.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after final payment or cancellation at the end of the fiscal year. Destroy 6 years after cutoff.

NARA Authority: GRS 1.1, Item 010 (DAA-GRS-2013-0003-0001)

6-5 Appropriation Allotment Files

Allotment records showing status of obligations and allotments under each authorized appropriation.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after final payment or cancellation at the end of the fiscal year. Destroy 6 years after cutoff.

NARA Authority: GRS 1.1, Item 010 (DAA-GRS-2013-0003-0001)

6-6 Expenditure Account Posting and Control Files

A. Records used as posting and control media, subsidiary to the general and allotment ledgers not a part of the accountable officer's returns and not otherwise provided in this schedule. These include general and allotment ledger trial balances, copies of schedules and vouchers, encumbrances, notices, requisitions and related papers used for posting.

AUTHORIZED DISPOSITION: TEMPORARY: Cutoff after final payment or cancellation. Destroy 6 years after cutoff.

B. All other copies.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when business use ceases.

NARA Authority: GRS 1.1, Item 010 (DAA-GRS-2013-0003-0001)
GRS 1.1, Item 011 (DAA-GRS-2013-0003-0002)

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6-7 Budget Files

- A. Administrative files documenting Railroad Retirement Board policy and procedure governing decisions affecting expenditures for Railroad Retirement Board programs.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when no longer needed for reference.

- B. One copy of the formal agency budget together with justification statements containing summaries of financial data, full-time equivalent staffing and workload data.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff at the end of the budget fiscal year. Transfer to the FRC after 5 years. Destroy 10 years after cutoff.

- C. All other copies of formal budget.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when no longer needed for reference.

- D. Working papers, cost statements, and rough data accumulated in preparation of annual budget estimates and in administering approved budgets.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff at the end of the budget fiscal year or when longer needed for reference. Destroy 1 year after cutoff.

- E. Periodic reports on status of appropriation accounts, apportionments, and reapportionments.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff at the end of the report fiscal year. Destroy 5 years after cutoff.

NARA Authority: NCI-184-89-2, Item 6-7

6-8 Tesseract Payroll System Records

Computer records (outputs and reports) produced by the agency automated payroll system.

- A. Magnetic tape files.

DSN: TESS.PROD.BIWKY.MICRO.PMP.AUDITTESS.PROD.BIWKY.MICRO.
#4704DD4

TESS.PROD.BIWKLY.PMP.AUDIT P. BFO.BIWEEKLY.PP. (INSERT PAY
PERIOD #)

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 1 year old or no longer needed for administrative use, whichever is sooner.

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- B. Microfiche outputs that include payroll cycle detail reports of leave usage, individual earnings and leave records, bond purchases, check payments, electronic funds transfer payments, thrift savings plan deductions, combined Federal campaign deductions, and other related records.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy after GAO audit or when 6 years old, whichever is sooner.

- C. Hardcopy (paper) payroll outputs of records identified in (b) above.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when System Administrator determines that microfiche records are acceptable.

- D. All other payroll reports.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 3 years old.

NARA Authority: NCI-184-89-2, Item 6-8

6-9 Passenger Transportation Files

Memorandum copy of vouchers (SF 1113A), memorandum copies of transportation requests (SF 1169), travel authorizations, transportation requests, registers, and all supporting papers.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after final payment or cancellation. Destroy 6 years after cutoff.

Note: The Comptroller General has the right to require an agency to retain any portion of these records for a period of up to 10 years.

NARA Authority: GRS 1.1, Item 010 (DAA-GRS-2013-0003-0001)

6-10 Passenger Reimbursement Files

Records relating to reimbursing individuals such as travel orders, per diem vouchers, transportation requests, hotel reservations, and all supporting papers documenting official travel by Board employees.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after final payment or cancellation. Destroy 6 years after cutoff.

NARA Authority: GRS 1.1, Item 010 (DAA-GRS-2013-0003-0001)

6-11 Freight Files

Memorandum copies of vouchers covering freight transportation charges, copies of government or commercial bills of lading, shortage and demurrage reports and all supporting documents and related correspondence.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after final payment or cancellation. Destroy 6 years after cutoff.

NARA Authority: GRS 1.1, Item 010 (DAA-GRS-2013-0003-0001)

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6-12 Employee Termination Files

Official copy of payroll records documenting the close out of an employees pay and leave record after an employee leaves agency employment.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after separation or transfer of the employee. If employee transfers between agencies, allotment authorizations must also transfer. Destroy 3 years after cutoff.

NARA Authority: NCI-184-89-2, Item 6-12

6-13 Employer Contributions Files

Records filed with the RRB by railroad employers containing reports of wages paid to employees and taxes withheld for payment of RRA and RUIA benefits. Includes - contributions paid to the RRB for payment of unemployment and sickness benefits.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after period covered by account. Destroy 6 years and 3 months after cutoff

NARA Authority: NCI-184-89-2, Item 6-13

6-14 State Distribution Tables

Quarterly reports broken down to reflect benefits paid by the agency to beneficiaries by state and foreign country. Report includes both dollar amounts paid and number of beneficiaries.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 2 years old.

NARA Authority: NCI-184-89-2, Item 6-14

6-15 Financial Management Improvement Initiatives

A. Reports to OMB and/or other government agencies concerning the RRB's implementation of financial management improvement initiatives such as debt collection, financial management, cash management and prompt payment.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff at the end of the fiscal year. Destroy 10 years after cutoff.

B. Reference copies of (a).

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when no longer needed for reference.

C. Documentation collected and used in preparation of the reports including items such as studies, drafts, statistics, recommendations, and correspondence. Included are items such as vulnerability assessments, internal control reviews, management studies, alternative internal control reviews, and audit reports, etc.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after completion of report. Destroy 1 year after cutoff.

NARA Authority: NCI-184-89-2, Item 6-17

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6-16 Cost Accounting/Employee Work Measurement Records

Reports of work and cost output by bureaus. Records include RRB Forms G-387E (input forms, originals corrections), output forms (reject listings); periodic reports; tape runs by data processing, and the system lists (hard copy of the program runs).

A. Cumulative fiscal year report (produced every September).

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 3 years old.

B. All other periodic reports.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after end of the fiscal year. Destroy 6 months after cutoff.

C. Input forms, output forms, and systems lists used to generate periodic reports.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after end of the fiscal year. Destroy 6 months after cutoff.

D. Magnetic Tape.

1. Master copy.

AUTHORIZED DISPOSITION: TEMPORARY. Instruct BDP to destroy when 1 year old.

2. Security copy.

DSN: P. BFO. #4260DD2

AUTHORIZED DISPOSITION: TEMPORARY. Instruct BDP to send to security storage, retrieve, and destroy when 1 year old.

NARA Authority: NCI-184-88-1 Item 18-3

6-17 Railroad Employer Compliance Audit Case Files

A. Case files of external financial audits of railroad employers, and of coverage audits. Series consists of audit reports, correspondence, memoranda, and supporting working papers.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff close case file at the end of the fiscal year Destroy 8 years after cutoff.

B. Electronic copies of records related to Railroad Employer Audit Case Files (Item 6-19a) that are created on electronic mail and word processing systems and used solely to generate a record keeping copy. Also includes electronic copies of such records created and maintained on electronic mail and word processing systems that are maintained for updating, revision and or/dissemination.

1. Copies that have no further administrative value after the record keeping copy is made. Includes copies maintained by individuals in personal files, personal

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electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the record keeping copy.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after the official record copy has been produced. Destroy/delete 180 days after cutoff.

2. Copies used for dissemination, revision, or updating that are maintained in addition to the record keeping copy.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy/delete when dissemination, revision, or updating is completed.

NARA Authority: NI 184-00-0001, Item 6-19

6-18 Index to Railroad Employer Compliance Audit Case Files

Control logs maintained in both paper and electronic format.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy/delete when no longer needed for administrative use.

NARA Authority: NI 184-00-0001, Item 6-20

6-19 Railroad Employer Coverage Files

Records include correspondences, memoranda, requests for coverage ruling, copy of the authority of the Interstate Commerce Commission, legal opinions, Requests for Employer Status, Form G-215, and related materials concerning railroads or other companies on which a legal determination has been made on coverage under the RRA and/or the RUIA.

AUTHORIZED DISPOSITION: TEMPORARY. Review files every 3 years and Cutoffs after termination of coverage. Destroy 10 years after cutoff.

NARA Authority: NC1-184-89-1, Item 9-3

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Records Schedule 7 - Bureau of Human Resources

The mission of the Bureau of Human Resources (HR) is to plan and carry out the Railroad Retirement Board's (RRB) responsibilities in HR administration; to advise and assist managers and supervisors in the exercise of their HR management responsibilities; to develop policy, programs and procedures in management and administration for the RRB to assure that all HR matters are carried out in accordance with applicable laws, regulations and RRB policies; and to deal and work with the Office of Personnel Management on related management matters.

Note: See Records Schedule 20, Records Common to Most Offices for disposition authority of records related to routine internal, house-keeping activities, and extra copies of documents maintained solely for convenience of reference and the official record copy is listed in a bureau/office schedule.

7-1 Official Personnel Folders (OPF)

Records documenting each employee's federal service employment maintained according to *The Guide to Personnel Recordkeeping*. See item 7-1(c) for handling temporary individual employee records.

A. Transferred Employees.

AUTHORIZED DISPOSITION: TEMPORARY. See Chapter 7 of *The Guide to Personnel Recordkeeping* for instructions relating to folders of employees transferred to another agency.

B. Separated Employees.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when survivor or retirement claims are adjudicated or when records are 129 years old, whichever is sooner, but longer retention is authorized if required for business use.

C. Temporary Individual Employee Records.

All copies of correspondence and forms maintained on the left side of the Official Personnel Folder in accordance with Chapter 3 of *The Guide to Personnel Recordkeeping*, **excluding** the Immigration and Naturalization Service Form I-9 and performance-related records. See item 7-19 for handling employee performance file system records.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff upon separation or transfer of employee unless specifically required to be transferred with the OPF. Destroy when superseded or obsolete.

D. Immigration and Naturalization Service Form I-9.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after employee separates from service or transfers to another agency. Destroy 3 years after cutoff.

NARA Authority: DAA-GRS-2017-0007-0004
GRS 1-10

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7-2 **Request for Change in Consolidated List of Permanent Positions**

Record copies of RRB Form HR-189 which outline bureau request for changes in their organizational structure.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff at the end of the fiscal year. Destroy original 6 months after cutoff.

NARA Authority: NCI-184-88-1, Item 7-5

7-3 **Personnel Correspondence Files**

Correspondence, reports, and other records relating to the general administration and operation of personnel functions and **excludes** records specifically described elsewhere in this schedule and records maintained at agency staff planning levels.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 3 years old.

NARA Authority: GRS 1-3

7-4 **Position Classification Files**

A. Position Classification Standards Files.

1. Standards and guidelines issued or reviewed by OPM and used to classify and evaluate positions within the agency.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when superseded or obsolete.

2. Correspondence and other records relating to the development of standards for classification of positions peculiar to the agency and OPM approval or disapproval.

a) Case File.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after position is abolished or description is superseded. Destroy 5 years after cutoff.

b) Review File.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 2 years old.

B. Position Descriptions.

Record copy of position descriptions that include information on title, series, grade, duties, responsibilities and related documents.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after position is abolished or description is superseded. Destroy 2 years after cutoff.

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C. Survey Files.

1. Classification survey reports on various positions prepared by classification specialists, including periodic reports.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after regular inspection. Destroy when 3 years old or 2 years old, whichever is sooner.

2. Inspection, audit and survey files including correspondence, reports and other records relating to inspections, surveys, desk audits and evaluations.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when superseded or obsolete.

D. Appeals Files.

1. Case files relating to classification appeals and **exclude** the OPM classification certificate.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after case is closed. Destroy 3 years after cutoff.

2. Certificates of classification issued by OPM.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy after affected position is abolished or superseded.

NARA Authority: GRS 1-7(a), (b), (c) and (d)

7-5 **Training Records**

- A. General file of agency-sponsored training and **excludes** the record copy of manuals, syllabuses, textbooks, and other training aids developed by the agency.

1. Correspondence, memoranda, agreements, authorizations, reports, requirement reviews, plans, and objectives relating to the establishment and operation of training, courses and conferences. Records include annual and quarterly reports of training submitted by the bureaus that contain information pertaining to the cost type and hours spent training.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after completion of a specific training program. Destroy when 5 years old or 5 years after cutoff.

2. Background and Work Papers.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 3 years old.

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B. Employee Training.

Correspondence memoranda, reports and other records relating to the availability of training, and employee participation in training programs sponsored by other government agencies or non-government institutions.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 5 years old or when superseded or obsolete, whichever is sooner.

NARA Authority: GRS 1-29(a) and (b)

7-6 Certificates of Eligibles

Copies obtained from OPM of certificates of eligibles with related requests, forms, correspondence, and statement of reasons for passing over a preference eligible and selecting a non-preference eligible.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 2 years old.

NARA Authority: GRS 1-5

7-7 Offers of Employment Files

Correspondence, letters and telegrams offering appointments to potential employees.

A. Accepted Offers.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when appointment is effective.

B. Declined Offers.

1. When name is received from certificate of eligibles.

AUTHORIZED DISPOSITION: TEMPORARY. Return to OPM with reply and application.

2. Temporary or excepted appointment.

AUTHORIZED DISPOSITION: TEMPORARY. File with application. See item 7-10 for handling merit promotion panel work papers.

3. All other copies.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy immediately.

NARA Authority: GRS 1-4(a) and (b)

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7-8 **Exit Interview**

Correspondence, reports, and other records relating to interviews with employees, including summary comments of employees resigning, separating or transferring from RRB.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after employee transfers or separates. Destroy 6 months after cutoff.

NARA Authority: GRS 1-8

7-9 **Administrative Grievance, Disciplinary and Adverse Action Files**

A. Administrative Grievance Files.

Records relating to grievances raised by agency employees, except EEO complaints. These case files include statements of witnesses, reports of interviews and hearings, examiner's findings and recommendations, a copy of the original decision, related correspondence and exhibits, and records relating to a reconsideration request.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after case is closed. Destroy 4 years after cutoff.

B. Adverse Action Files and Performance-Based Actions.

Case files and records related to adverse actions and performance-based actions (removal, suspension, reduction-in-grade, furlough) against employees. The file includes a copy of the AUTHORIZED adverse action with supporting documents, statements of witnesses, employees reply, hearing notices, reports and decisions, reversal of action, and appeal records and **exclude** letters of reprimand which are filed in the OPF.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after case is closed. Destroy 4 years after cutoff.

NARA Authority: GRS 1-30(a) and (b)

7-10 **Merit Promotion Panel Work Papers**

Records relating to the promotion of an individual that document qualification standards, evaluation methods, selection procedures, and evaluations of candidates.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy after OPM audit or 2 years after the personnel action is completed, whichever is sooner.

NARA Authority: GRS 1-32

7-11 **Personnel Security Clearance Files**

Personnel security clearance case files created under Office of Personnel Management procedures and regulations and related indexes maintained by the personnel security office of the employing agency.

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- A. Case files documenting the processing of investigations on Federal employees or applicants for Federal employment, whether or not a security clearance is granted, and other persons, such as those working for a federal agency under contract, who require an approval before having access to government facilities or to sensitive data. These files include questionnaires, summaries of reports prepared by the investigating agency, and other records reflecting the processing of the investigation and the status of the clearance, exclusive of copies of investigative reports furnished by the investigating agency.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy upon notification of death or not later than 5 years after separation or transfer of employees or no later than 5 years after contract relationship expires, whichever is applicable.

- B. Investigative reports and related papers furnished to agencies by investigative organizations for use in making security/suitability determinations.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy in accordance with the investigative agency instructions.

- C. Index to the Personnel Security Case Files.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy with related case files.

NARA Authority: GRS 18-22(a), (b) and (c)

7-12 Incentive Awards Program Files

- A. Case files including recommendations, approved nominations, memoranda, correspondence, reports, and related handbooks pertaining to agency-sponsored cash and non-cash awards such as incentive awards, within-grade merit increases, suggestion awards and outstanding performance awards.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after approval or disapproval. Destroy 2 years after cutoff.

- B. Length of Service Awards.

Records including correspondence, memoranda, reports, computation of service and lists of awardees.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 1 year old.

- C. Incentive Award Program Reports.

Reports pertaining to the incentive awards program.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 3 years old.

NARA Authority: GRS 1-12(a), (b), and GRS 1-13

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7-13 **Tuition Assistance**

Initial request for assistance, course evaluation and reimbursement receipts. Filed alphabetically by employee.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 5 years old or when superseded or obsolete.

NARA Authority: GRS 1-29(b)

7-14 **Labor Management Relation Records**

A. Labor Management Relations General and Case Files.

Correspondence, memoranda, reports and other records relating to the relationship between management and employee unions or other groups including negotiated agreements.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after expiration or agreement. Destroy 5 years after cutoff.

B. Labor Arbitration General and Case Files.

Correspondence, forms, and background papers relating to labor arbitration cases.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after final resolution of case. Destroy 5 years after cutoff.

NARA Authority: GRS 1-28(a)(1) and (b)

7-15 **Notice of Vacancies and Selections**

Notice of Vacancies include period of filing, description of duties, minimum qualifications, evaluation and ranking criteria, selective placement factors and statement of equal employment opportunity. Notices of selection identify positions, selectee and former organizational unit.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy after OPM audit or 2 years after the personnel action is completed, whichever is sooner.

NARA Authority: GRS 1-32

7-16 **Retention Registers and Related Papers**

Records documenting the general work process to release career, temporary, and political-appointment employees from employment status. Records include:

- registers of separation or transfers or similar records,
- retention registers and related records,
- reports, correspondence, and control documents, and
- exit interview compilations identifying and tracking trends.

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- A. Registers and related records specific to an agency separation initiative and documents reduction-in-force actions, voluntary early retirements, voluntary separations, and similar programs.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after date of program closure. Destroy when 2 years old after cutoff.

- B. Registers and related records not specific to an agency separation initiative where no reduction-in-force actions, voluntary early retirements, voluntary separations have been taken.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when no longer required for business use.

NARA Authority: GRS 2.5, Item 011 (DAA-GRS-2014-0004-0002)
GRS 2.5, Item 010 (DAA-GRS-2014-0004-0001)

7-17 Personal Injury Files

Forms, reports, correspondence and related medical and investigatory records relating to on-the-job injuries, whether or not a claim for compensation was made and **excludes** copies filed in the Official Personnel Folder and copies submitted to the Department of Labor.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff on termination of compensation or when deadline for filing a claim has passed. Destroy 3 years after cutoff.

NARA Authority: GRS 1-31

7-18 Statistical Summaries

Copies of statistical summaries and reports with related papers pertaining to employee health, retained by the reporting unit.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after close of summary or report. Destroy 2 years after cutoff.

NARA Authority: GRS 1-22

7-19 Employee Performance File System Records

Performance records of non-SES appointees (as defined in 5 U.S.C. 4301(2)).

- A. Appraisals of unacceptable performance, where a notice of AUTHORIZED demotion or removal is issued, but not affected, and all related documents.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy after the employee completes 1 year of acceptable performance from the date of the written advance notice of AUTHORIZED removal or reduction in grade notice.

- B. All other summary performance appraisals records, including performance appraisals and job elements and standards upon which they are based.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after close of the appraisal.

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Destroy 4 years after cutoff.

C. Supporting Documents.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after close of the appraisal.
Destroy 4 years after cutoff.

NARA Authority: GRS 1-23(a)(1), (4) and (5)

7-20 Unemployment Compensation Files

Notices, forms correspondence and other records relating to separated employee claims to state agencies for unemployment benefits.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after separation of employee.
Destroy 3 years after cutoff.

NARA Authority: NCI-184-88-1, Item 7-28

7-21 Organizational Charts

Official organizational charts, narrative history and related records which document the organization and functions of the agency.

A. Record Copy.

AUTHORIZED DISPOSITION: PERMANENT. Cutoff in 10-year blocks. Transfer to FRC when 5 years old and offer to National Archives when 10 years old.

B. All other copies.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when superseded or obsolete.

NARA Authority: NCI-184-88-1, Item 7-29

7-22 Examining and Certification Records

Delegated agreements and related records created under the authority of 5 U.S.C. 1104 between the Office of Personnel Management and agencies allowing for the examination and certification of applicants for employment.

A. Delegated Agreements.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after termination of agreement. Destroy 3 years after cutoff.

B. Correspondence concerning applications, eligible certification, and all other examining and recruiting operations including but not limited to correspondence from the Congress, White House, and general public; and correspondence regarding accommodations for holding examinations and shipment of test materials.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff at end of calendar year. Destroy 1 year after cutoff.

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- C. Correspondence or notices received from eligibles indicating a change in name, address, or availability.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after updating the appropriate record in the registry or inventory. Destroy 90 days after cutoff.

- D. Test Material Stock Control.

Stock control records of examination test material including running inventory of test material in stock.

AUTHORIZED DISPOSITION: TEMPORARY Cutoff when test is superseded or obsolete. Destroy after cutoff.

- E. Application Record Card (OPM Form 5000A, or equivalent).

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after examination. Destroy no later than 90 days after cutoff.

- F. Examination Announcement Case Files.

Correspondence regarding examination requirements, final version of announcement(s) issued, subsequent amendments to announcement(s), public notice documentation, rating schedule, job analysis documentation, record of selective and quality rating factors, rating procedures, transmutation tables, and other documents associated with the job announcement(s) and the development of the register/inventory or case examination.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after termination of related register or after final action is taken on the certificate generated by case examining procedures. Destroy 2 years after cutoff.

- G. Register of inventory eligibles (OPM Form 5001-C or equivalent, documenting eligibility of an individual for Federal jobs).

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff records on individuals with terminated eligibility annually. Destroy 2 years after cutoff.

- H. Letters to applicants denying transfer of eligibility (OPM Form 4896 or equivalent).

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff at the end of the calendar year. Destroy 1 year after cutoff.

- I. Test Answer Sheets.

Written test answer sheets for both eligibles and ineligibles. Filed by date of processing.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 6 months old.

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J. Lost or Exposed Test Material Case Files.

Records showing the circumstances of loss, nature of the recovery action and corrective action required.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff at the end of the calendar year. Destroy 5 years after cutoff.

K. Canceled and ineligible applications for positions filled from a register or inventory.

Such documents include Optional Form (OF) 612, resumes, supplemental forms, and attachments, whether in hard copy or electronic format.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff at the end of the calendar year. Destroy 1 year after cutoff.

L. Eligible applications for positions filled from a register or inventory, including OF 612, resumes, supplemental forms, and attachments, whether in hard copy or electronic format.

1. On Active Register or Inventory.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after termination of the register, except for those applications that may be brought forward to a new register. Destroy 90 days after cutoff.

2. On Inactive Register or Inventory.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff at the end of the calendar year. Destroy 1 year after cutoff.

M. Ineligible or incomplete applications for positions filled by case examining. Such documents include OF 612, resumes, supplemental forms, whether in hard copy or electronic format.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff at the end of the calendar year. Destroy 2 years after cutoff.

N. Eligible applications for positions filled by case examining that either are not referred to the hiring official or are returned to the examining office by the hiring official. Such documents include OF 612, resumes, supplemental forms, and attachments, whether in hard copy or electronic format.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff at the end of the calendar year. Destroy 2 years after cutoff.

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- O. Request for prior approval of personnel actions taken by agencies on such matters as promotion, transfer, reinstatement, or change in status, submitted by SF 59, OPM 648, or equivalent form.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff at the end of the calendar year. Destroy 1 year after cutoff.

- P. Certificate Files.

Request for Referral of Eligibles (SF 39) and Request and Justification for Selective Factors and Quality Ranking Factors (SF 39A), or equivalent, and all papers upon which the certification was based: the list of eligibles screened for the vacancies, rating assigned, availability statements, the certificate of eligibles that was issued to the selecting official, the annotated certificate of eligibles that was returned from the selecting official, and other documentation material designated by the examiner of retention.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff at the end of the calendar year. Destroy 2 years after cutoff.

- Q. Certification Request Control Index.

Certificate control log system. Records of information (e.g. receipt date, series, and grade of position, duty station, etc.) pertaining to requests for lists of eligibles from a register or inventory.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff at the end of the calendar year. Destroy 2 year after cutoff.

- R. Interagency Placement Program (IPP) Application and Registration Sheet.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy upon expiration of employee's DEP eligibility.

- S. DEP Control Cards, if maintained.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff at the end of the calendar year. Destroy 2 years after cutoff.

- T. Reports of audits of delegated examining operations.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after date of the report. Destroy 3 years after cutoff.

NARA Authority: GRS 1-33

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7-23 **Donated Leave Program Case Files**

Case files documenting the receipt and donation of leave for medical emergencies, including recipient applications, agency approvals or denials, medical or physician certifications, leave donation records or Request to Donate Annual Leave to Leave Recipient Under the Voluntary Leave Transfer Program within agency (OF 630-A), supervisor/timekeeper approvals, leave transfer records, payroll notification records, and leave program termination records.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy 1 year after the end of the year in which the file is closed.

NARA Authority: GRS 1-37

7-24 **Federal Workplace Drug Testing Program Files [See notes after item 7-24e(2).]**

Drug testing program records created under Executive Order 12564 and Public Law 100-71, Section 503 (101 Stat. 468) and **excludes** consolidated statistical and narrative reports concerning the operation of agency programs, including annual reports to Congress, as required by Public Law 100-71, 503(f).

- A. Drug test plans and procedures and **excludes** documents that are filed in record sets of formal issuances (directives, procedures, handbooks, operating manuals, and the like).

Agency copies of plans and procedures, with related drafts, correspondence, memoranda, and other records pertaining to the development of procedures for drug testing programs, including the determination of testing incumbents in designated positions.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 3 years old or when superseded, obsolete, or no longer needed, whichever is later. **[See note (2).]**

- B. Employee Acknowledgment of Notice Forms.

Forms completed by employees whose positions are designated sensitive for drug testing purposes acknowledging that they have received notice that they may be tested.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when employee separates from testing designated position. **[See note (2).]**

- C. Selection/Scheduling Records.

Records relating to the selection of specific employees/applicants for testing and the scheduling of tests. Included are lists of selectees, notification letters, and testing schedules.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 3 years old **[See note (2).]**

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D. Records relating to the collection and handling of specimens.

Chain of Custody Records.

Employer copies of forms and other records used to maintain control and accountability of specimens.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 3 years old. [See note (2).]

E. Test Results.

Records documenting individual test results, including reports of testing, notifications of employees/applicants and employing offices, and documents relating to follow-up testing.

1. Positive results.

a) Employees.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when employee leaves the agency or when 3 years old, whichever is later.

b) Applicants not accepted for employment.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 3 years old. [See note (2).]

2. Negative results.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 3 years old.

NARA Authority: GRS 1-36

Notes:

1. Disciplinary action case files pertaining to actions taken against employees for drug use, drug possession, failure to comply with drug testing procedures, and similar matters are covered by RRB 7, item 9, which authorizes destruction of records 4 years after the case is closed.
2. Any records covered by item's 7-24 a-e that are relevant to litigation or disciplinary actions should be disposed of no earlier than the related litigation or adverse action case file(s).

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7-25 Alternate (Telework) Worksite Records

- A. Approved requests, correspondence or applications to participate in the program; agreements between employer and employee; records relating to the safety of the worksite; the installation and/or use of equipment, hardware, and software; and the use of secure or Privacy Act data. Employee-specific documentation is included in RRB Schedule 20.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after employee terminates the program. Destroy 1 year after cutoff.

- B. Unapproved Requests.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after employee request is rejected. Destroy 1 year after cutoff.

- C. Forms completed by employee or supervisor evaluating the alternate worksite program, maintained in the office/bureau.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after evaluation or when no longer needed, whichever is later. Destroy 1 year after cutoff.

NARA Authority: GRS 1-42(a), (b), and (c)

7-26 Comprehensive Human Resources Integrated System (CHRIS)

GSA on-line system used by HR to document personnel actions and maintain an employment history for or about RRB employees to include position, salary, benefit, promotion, separations, training, and retirement information. Also included are automated updates from Employee Express and hard-copy outputs used to verify Payroll Accounting and Reporting (PAR) System updates.

- A. Master File.

AUTHORIZED DISPOSITION: TEMPORARY. Delete when employee terminates employment, transfers to another federal agency, loses employment, or dies.

- B. Inputs.

Electronic files from Employee Express, hard-copy reports, and other records used to update the master file and **excludes:**

- Original electronic records maintained in the master files,
- Electronic input reports required for audit or legal purposes, and

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- Electronic input records produced by another agency under the terms of an interagency agreement or records created by another agency in response to the specific information needs of the receiving agency.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy immediately after data have been incorporated into the master file and verified and is no longer needed to support the reconstruction of master file. Not media neutral. Applies to electronic records only.

C. Outputs/Reports. [See note after this item.]

Reports created on an ad hoc or one-time basis for reference purpose only or that have no business use beyond the immediate need. Records include ad hoc reports created from Business Objects and **excludes**:

- Reports created to satisfy established reporting requirements produced in accordance with an agency directive or other regular reports to management officials, and
- Records containing substantive information, such as annotations, that is not included in the electronic records. Such reports should be disposed of in accordance with a NARA-approved disposition authority of the records series where the report is filed.

1. Notifications of Personnel Actions (SF 50).

- a) Individual personnel actions documenting employment, promotions, transfers, separations, other employee personnel actions.

AUTHORIZED DISPOSITION: TEMPORARY. Delete when 2 years old.

- b) Email system notifications sent to an employee when a personnel action has been processed.

AUTHORIZED DISPOSITION: TEMPORARY. Delete when no longer needed for reference.

2. PAR Validation Report.

Daily report documenting previous day's transactions.

AUTHORIZED DISPOSITION: TEMPORARY. Delete from internal file server when no longer needed for reference.

3. PAR Error Report.

Daily report documenting previous day's transaction errors.

AUTHORIZED DISPOSITION: TEMPORARY. Delete from internal file server when no longer needed for reference.

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4. Thrift Savings Plan (TSP)/Main Reconciliation Report.

Bi-monthly transaction documenting TSP discrepancies between CHRIS and PAR.

AUTHORIZED DISPOSITION: TEMPORARY. Delete from internal file server when no longer needed for reference.

5. Retirement Projection.

Bi-annual list of retirees and projected retirement dates for succession planning.

AUTHORIZED DISPOSITION: TEMPORARY. Delete from internal file server when no longer needed for reference.

6. Bureau of Fiscal Operations (BFO) Retirement Report.

Annual report of employees and their retirement date.

AUTHORIZED DISPOSITION: TEMPORARY. Send original to BFO. Destroy/delete when no longer needed for reference.

7. Advanced Level of Competence (ALOC) Report.

Eligible employees qualified for within grade promotion sent bi-monthly to supervisor 3 months prior to within grade effective date for approval, denial, or postponement.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy/delete when no longer needed for reference, or upon separation, or transfer of employee unless specifically required to be transferred with the OPF.

8. Standard Form 75, Request for Preliminary Employment Data.

Record used to capture and summarize employment information and serves as the official record copy for federal employees transferring to another federal agency or office when the employee's personnel records are not available.

a) Incoming Employees.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy/delete when no longer needed for reference, or upon separation, or transfer of employee

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unless specifically required to be transferred with the OPF.

b) Outgoing Employees.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy/delete when no longer needed upon separation or transfer of employee unless specifically required to be forwarded to the gaining agency.

9. Accession/Separation Report.

Monthly list of new hires and separations forwarded to executive committee members.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy/delete from internal server after 2 years or when no longer needed for reference, whichever is later.

10. Standard Form 113A, Monthly Report of Federal Civilian Employment.

Record submitted quarterly to OPM documenting employment, payroll, and turnover rates of full-time employee.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy/delete from internal file when no longer needed for reference.

11. EEO Hire/Promotions Report.

Monthly list of employee accessions, separations and promotions sorted by race, ethnicity and gender for reporting purposes.

AUTHORIZED DISPOSITION: TEMPORARY. Send original to EEO. Destroy/delete all other copies when no longer needed for reference.

12. Office of Administration Seniority/Employee Reports.

Ad-hoc seniority reports of employee's seniority date and total federal service.

a) Board Seniority Date.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy/delete from internal file server 2 years after subsequent list is posted or when no longer needed for reference.

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- b) Total Government Service.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy/delete from internal file server 2 years after subsequent list is posted or when no longer needed for reference.

13. Security/BIS Employment Report.

Monthly list of employee separations, accessions, and promotions for security purposes and updating the employee directory.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy/delete after subsequent report is published or when no longer needed for reference.

14. Position Index.

Recurring listings produced monthly containing RRB employee position data to include employee's name, position number, supervisory status, pay plan, series and grade, employee number, and title.

Monthly listing of employee to include position number, supervisory status, pay plan, series and grade, target grade, title, employee number, and supervisor.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy/delete from internal file server 2 years after subsequent index is posted or when no longer needed for reference, whichever is later.

Note: Business Objects extracts information from CHRIS to create the following reports: Position Index, Accession/Separation Report, Retirement Projection, EEO Hire/Promotion Report, Office of Administration Seniority/Employee Reports, Bureau of Fiscal Operations Retirement Report, and Security/BIS Employment Report. All other reports are generated within CHRIS.

D. System Documentation.

AUTHORIZED DISPOSITION: TEMPORARY. Delete/destroy upon authorized deletion of the related electronic records or upon the destruction of the output of the system if the output is needed to protect legal rights, whichever is later.

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E. Backup Files.

AUTHORIZED DISPOSITION: TEMPORARY. Delete when the identical records have been deleted, or when replaced by a subsequent backup file.

NARA Authority: DAA-0184-2013-0002-0001
GRS 4.3, Item 020 (DAA-GRS-2013-0001-0004)
GRS 1-14(a)
GRS 4.3, Item 030 (DAA-GRS-2013-0001-0005)
DAA-0184-2013-0002-0002
DAA-0184-2013-0002-0003
DAA-0184-2013-0002-0004
DAA-0184-2013-0002-0005
DAA-0184-2013-0002-0007
DAA-0184-2013-0002-0008
DAA-0184-2013-0002-0009
DAA-0184-2013-0002-0011
DAA-0184-2013-0002-0012
GRS 3.1, Item 051 (DAA-GRS-2013-0005-0003)
GRS 3.2, Item 051 (DAA-GRS-2013-0006-0008)

7-27 **Government Retirement & Benefits (GRB) Assist**

Web-based application used to calculate employment and pay history used to produce employee estimated annuity and Social Security benefit payments.

A. Master File.

AUTHORIZED DISPOSITION: TEMPORARY. Delete when employee terminates employment, transfers to another federal agency, loses employment, or dies.

B. Inputs of hard-copy reports and forms used to update the master file and **excludes:**

- Original electronic records maintained in the master files,
- Electronic input reports required for audit or legal purposes, and
- Electronic input records produced by another agency under the terms of an interagency agreement or records created by another agency in response to the specific information needs of the receiving agency.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy immediately after data have been incorporated into the master file and verified and is no longer needed to support the reconstruction of master file.

C. Reports/Outputs. **[See note after this item.]**

Reports created on an ad hoc or one-time basis for reference purpose only or that have no business use beyond the immediate need. Records include ad hoc reports created from the GRB system and **excludes:**

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- Reports created to satisfy established reporting requirements produced in accordance with an agency directive or other regular reports to management officials, and
- Records containing substantive information, such as annotations, that is not included in the electronic records. Such reports should be disposed of in accordance with a NARA-approved disposition authority of the records series where the report is filed.

1. Retirement Estimate Report.

Computed benefits based on employee's projected retirement date.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy/delete when no longer needed for reference unless specifically required to be forwarded with retirement package to GSA.

2. Service Computation Date (SCD) Report.

Records documenting new hire Total Federal Service to calculate retirement and other benefits.

a) New Hire.

AUTHORIZED DISPOSITION: TEMPORARY. File in employee's OPF. See item 7-1 for handling records filed in Official Personnel Folders.

b) Copies used to verify service computation dates.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy/delete when no longer needed for reference.

3. Average Salary Report.

Estimated annuity payment based on the employee's "high-3" salary earned during Federal service for retirement purposes.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy/delete when no longer needed for reference.

4. Deposit/Redeposit Report.

Estimated payments to and deductions from an employee's salary for credible Civil Service Retirement System or Federal Employees Retirement System service during a specified time period and is used to compute retirement benefits.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy/delete when no longer needed for reference

Note: RRB does not maintain a hard copy of the Retirement Estimate Report, Average Salary Report, and Deposit/Redeposit Report in employee's OPF.

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D. System Documentation.

AUTHORIZED DISPOSITION: TEMPORARY. Delete/destroy upon authorized deletion of the related electronic records or upon the destruction of the output of the system if the output is needed to protect legal rights, whichever is later.

F. Backup Files.

AUTHORIZED DISPOSITION: TEMPORARY. Delete when the identical records have been deleted, or when replaced by a subsequent backup file.

NARA Authority: DAA-0184-2013-0002-0001,
GRS 4.3, Item 020 (DAA-GRS-2013-0001-0004)
GRS 4.3, Item 030 (DAA-GRS-2013-0001-0005)
GRS 3.1, Item 051 (DAA-GRS-2013-0005-0003)
GRS 3.2, Item 051 (DAA-GRS-2013-0006-0008)

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Records Schedule 8 - Reserved

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Records Schedule 9 - Office of General Counsel

The Office of General Counsel (OGC) serves as in-house counsel to the Railroad Retirement Board. In this capacity, the OGC performs a variety of legal services for the agency, including: (1) interpretation of law and issuance of legal opinions with respect to the administration of the Railroad Retirement Act (RRA) and the Railroad Unemployment Insurance Act (RUIA); (2) preparation of draft legislation and reports of the agency's views on bills and legislative proposals; (3) representation of the Railroad Retirement Board in matters of litigation or administrative actions such as EEO hearings; (4) issuance of the rulings with respect to coverage of employers and employees under the RRA and RUIA; (5) preparation of draft regulations for approval by the Board; and (6) issuance of legal opinions and advice to the Board and other agency officials regarding any matters in which legal questions might be raised. In addition, the OGC has responsibility for the Office of Legislative Affairs, the Bureau of Hearings and Appeals and the operation of the library.

Note: [See Records Schedule 20](#), Records Common to Most Offices for disposition authority of records related to routine internal, house-keeping activities, and extra copies of documents maintained solely for convenience of reference and the official record copy is listed in a bureau/office schedule.

9-1 General Counsel Program, Policy, and Legal Files

Correspondence, memoranda, reports, e-mail messages, and other documents maintained by the General Counsel or Assistant General Counsel and related to legal advice, policy-making decisions, significant program management functions, procedures, initiatives, and other mission and policy-related issues.

AUTHORIZED DISPOSITION: PERMANENT. Cutoff at the end of the calendar year. Transfer to NARA in 10-year blocks when 15 years old.

NARA Authority: N1-184-06-2, Item 1

9-2 General Counsel Working Files

Nonessential working documents retained for reference purposes by either the General Counsel or Assistant General Counsel. Included are extra copies of official file material, supporting or background documents used in developing official files, but not needed as part of the official file, material not acted upon, documents used as administrative aids, and documents that do not serve as a basis for official action.

AUTHORIZED DISPOSITION: TEMPORARY. Review annually. Destroy when two (2) years old or no longer needed for reference, whichever is later.

NARA Authority: N1-184-06-2, Item 2

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Office of Legislative Affairs (OLA)

9-3 Legislative Affairs Office Correspondence File

Memoranda and correspondence received from Congress, the White House, and the general public related to questions of RRB program eligibility and other routine questions about RRB programs.

The correspondence includes the original letter and memoranda of actions taken by the White House and the RRB.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff at the end of the calendar year. Destroy 1 year after cutoff.

NARA Authority: N1-184-06-2, Item 3

9-4 Legislative Affairs Office General Records and Reference Files

Records include copies of legislative appropriation bills, records from various Congressional committees, Congressional district profiles, copies of draft legislation, plus general program, administrative, policy, and reading files.

A. Legislation Appropriation Bills

These include copies of House and Senate Bills, arranged by bill number or chronologically related to the RRB's annual appropriation.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff at end of each Congress. Destroy 1 year after cutoff.

B. Congressional Committee Jurisdiction Files

Records from various Congressional committees that have jurisdiction over issues concerning or related to the RRB.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff at end of each Congress. Destroy 3 years after cutoff.

C. Congressional District Files

Information file on individual Congressman and/or Congressional district.

AUTHORIZED DISPOSITION: TEMPORARY. Review file at the end of each Congress. Destroy files belonging to retired Congressman or districts that have changed boundaries.

D. Draft Legislation Files

This series consist of proposed legislation drafted by the RRB.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff at end of each Congress. Destroy 3 years after cutoff.

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E. OLA Reading Files

Extra, convenience copies of outgoing OLA correspondence.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff at the end of the calendar year. Destroy 2 years after cutoff or when no longer needed for reference, whichever is sooner.

F. Program Reference Files

This series contains a variety of reference materials, including statistical data, information on railroads, Medicare, medical disability, etc. related to the Railroad Retirement Act and the Railroad Unemployment Insurance Act. Also included are copies of annual reports to Congress, legal case files, inspector general reports, and copies of legislation which directly affect RRB operations.

AUTHORIZED DISPOSITION: TEMPORARY. Review annually. Destroy when superseded, obsolete, or no longer needed for reference.

NARA Authority: N1-184-06-2, Item's 3-10

9-5 Digest of Legal Opinions

Records of all legal opinions which have been written by the Bureau of Law and have been assigned an L number.

A. Record Copy.

AUTHORIZED DISPOSITION: PERMANENT. Cutoff at the end of the calendar year. Transfer to NARA in 5-year blocks when 15 years old.

B. Reference copies. Include microfilm of all opinions plus copies distributed to other bureau or offices.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when no longer needed for administrative use.

NARA Authority: NC1-184-89-1, Item 9-1

9-6 Litigation Files

Records of actions against the Railroad Retirement Board brought in a U.S. District Court, U.S. Court of Appeals, or the U.S. Supreme Court. Included are copies of letters from the petitioner, his/her attorney, and the court; copies of outgoing correspondence; and the case and the court's opinion.

A. Petition for review, Railroad Retirement Board's Brief, Petitioner's Brief, and Court's Opinion.

AUTHORIZED DISPOSITION: TEMPORARY. Review every 5 years and cutoff close case files at the end of the calendar year. Destroy when no longer needed for reference.

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- B. Administrative Record, including Railroad Retirement Board's copy of documents filed with the court in each case and in some instances, the court's copy of the records which is returned by the court to the Bureau of Law after litigation.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff close case files at the end of the calendar year. Destroy 5 years after cutoff.

NARA Authority: NC1-184-89-1, Item 9-2

9-7 Railroad Employer Coverage Files

Records include correspondences, memoranda, requests for coverage ruling, copy of the authority of the Interstate Commerce Commission, legal opinions, Requests for Employer Status, Form G-215, and related materials concerning railroads or other companies on which a legal determination has been made on coverage under the RRA and/or the RUIA.

AUTHORIZED DISPOSITION: TEMPORARY. Review every 3 years and cutoff after termination of coverage. Destroy 10 years after cutoff.

NARA Authority: NC1-184-89-1, Item 9-3

9-8 Railroad Legislation

Records contain bills and proposed legislation to amend Acts administered by the Railroad Retirement Board, as well as Acts administered by other agencies with which the Railroad Retirement Board coordinates information. Included are draft reports and correspondence between the Railroad Retirement Board, Congress, and the Office of Management and Budget.

- A. Record file in Bureau of Law and **excludes** copies of bills and acts.

AUTHORIZED DISPOSITION: PERMANENT. Cutoff at the end of the congressional session in which originated and hold for 15 years. Transfer directly to National Archives in five 5-year blocks when 15 years old.

- B. All other copies.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when no longer needed for administrative use.

NARA Authority: NC1-184-89-1, Item 9-4

9-9 Merit Systems Protection Board Appeal Case Files

Official record copy of case files of appeals to the Merit Systems Protection Board including witness statements, briefs, notices, the appeal file, a copy of the MSPB Decision and all other related correspondence.

- A. Cases not appealed to full MSPB.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after issuance of initial MSPB decision (5 CFR 1201.113). Destroy 6 months after cutoff.

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- B. Cases appealed to the full MSPB, with no following petition for judicial review.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after issuance of initial MSPB decision (5 CFR 1201.113). Destroy 6 months after cutoff.

- C. Cases appealed to U.S. Court of Appeals or appropriate U.S. district court.

AUTHORIZED DISPOSITION: TEMPORARY. Dispose of in accordance with the appropriate disposition instructions in Item 9-6.

NARA Authority: NC1-184-89-1, Item 9-5

9-10 Information Requests Files

Requests for general information, arranged chronologically, concerning RRB benefit claimants. Includes incoming correspondence and bureau response where no RRB claim exists. Includes bureau response only, if claim file does exist (incoming correspondence and copy of bureau response are filed with benefits claim file).

AUTHORIZED DISPOSITION: TEMPORARY. Destroy 2 years from date of latest correspondence related to the request.

NARA Authority: NC1-184-89-1, Item 9-7

9-11 Reading File

Records include copies of all outgoing memoranda and correspondence (other than informal notes) sent from the Office of General Counsel to other offices in the RRB and individual correspondents.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff at the end of the calendar year. Destroy 5 years after cutoff.

NARA Authority: N1-184-06-2, Item 11

9-12 Subject Matter Files

Reference copies of legal opinions and other legal advice, statutes, and other background materials accumulated for staff use. Files organized alphabetically by subject.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when superseded, obsolete, or no longer needed for reference.

NARA Authority: N1-184-06-2, Item 12

9-13 Index Card Files to Legal Opinions

These are four subseries.

- A. Records include summaries of and citations to legal opinions dated 1982 and later, which have been assigned an L number. Files organized alphabetically by subject.

AUTHORIZED DISPOSITION: PERMANENT. Transfer along with Digest of Legal Opinions, Item 9-5.

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- B. Records include summaries of and citations to legal opinions prior to 1982, which have been assigned and L number. Files organized alphabetically by subject.

AUTHORIZED DISPOSITION: PERMANENT. Transfer along with Digest of Legal Opinions, Item 9-5

- C. Records include citations to subject matter files by subject and/or correspondent and date. Files organized alphabetically by name or subject.

AUTHORIZED DISPOSITION: PERMANENT. Transfer along with Digest of Legal Opinions, Item 9-5

- D. Records include summaries of and citations to legal opinions to 1997. Files organized by legal opinion number.

AUTHORIZED DISPOSITION: PERMANENT. Transfer with Digest of Legal Opinions, Item 9-5

NARA Authority: N1-184-06-2, Item's 13, 14, 15 and 16

9-14 Ethics Program Implementation, Interpretation, Counseling, and Development Files

Records maintained by ethics program offices relating to the development, review, implementation, and interpretation of proposed or established executive branch standards of ethical conduct and other ethics regulations, conflict of interest and other ethics related statutes and Executive Orders; and any agency supplemental standard of ethical conduct and other agency ethics-related regulations and directives, including the following:

- Records documenting the review of proposed or established ethics-related statutes and regulations by ethics program officials, including copies of proposed legislation, comments, and all related records,
 - Determinations, including advice and counseling to individual employees, and supporting records, and
 - Records relating to requests under agency supplemental standards of ethical conduct for prior approval of outside employment and activities.
- A. Records such as determinations regarding attendance at widely attended gatherings, which appropriate agency ethics officials determine are related to the routine, non-precedential application of settled legal standards to common factual situations and are not interpretations of the conflict-of-interest statutes, 18 U.S.C. "202-209", and other ethics statutes the violation of which may result in criminal penalties or civil fines.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 3 years old or when superseded or obsolete, whichever is later.

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- B. All other copies.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 6 years old or when superseded or obsolete, whichever is later.

NARA Authority: GRS 2.8, Item 10 (DAA-GRS-2014-0005-00011)

9-15 **Financial Disclosure Reporting Files**

Executive Branch Personnel Public Financial Disclosure Report, OGE 278e (formally SF 278 and OGE 278) submitted by individuals as required or authorized under the Ethics in Government Act of 1978 (Pub. L. 95-521), as amended, and related records, including records of late filing fee payments or requests for OGE public reporting waivers of late filing fees and responses; comment sheets by report reviewers and filer responses; filing extension requests and determination; and copies of applications for public release of financial disclosure report.

- A. Executive Branch Personnel Public Financial Disclosure Report (OGE 278e) and related records.

1. OGE 278e reports for individuals filing in accordance with section 101(b) or (c) of the Act, and not subsequently confirmed by the U.S. Senate or elected.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy 1 year after nominee or candidate ceases to be under consideration for the position; EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation.

2. All other OGE 278e

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 6 years old; EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation. This disposition instruction is mandatory; deviations are not allowed.

- B. Executive Branch Confidential Financial Disclosure Reports (OGE Form 450) and Confidential Certificates of No New Interests (OGE Optional Form 450-A) and related records.

1. OGE Form 450s for individuals not subsequently confirmed by the U.S. Senate.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy 1 year after nominee ceases to be under consideration for the position; EXCEPT that documents in for an ongoing investigation will be retained until no longer needed in the investigation. This disposition instruction is mandatory; deviations are not allowed.

2. All other OGE Form 450s.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 6 years old; EXCEPT when the OGE Form 450 supports one or more subsequent Optional OGE Form 450-A's then destroy 6 years after receipt of the last related OGE

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Form 450-A by the agency or documents are needed in an ongoing investigation will be retained until no longer needed in the investigation. This disposition instruction is mandatory; deviations are not allowed.

3. OGE Optional Form 450 A reports.

Note: The OGE Form 450-A, filed for up to 3 consecutive years following the filing of an OGE Form 450, is an alternative disclosure report to the OGE Form 450 when there are no new interests to be reported by the filer.

The “supporting OGE Form 450” cannot be destroyed until the last OGE Form 450-A report is ready for destruction.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy OGE Form 450-A and associated OGE Form 450 when 6 years old; EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation. This disposition instruction is mandatory; deviations are not allowed.

C. Alternative or additional financial disclosure reports and related records.

1. Reports for individuals not subsequently confirmed by the U.S. Senate.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy 1 year after nominee ceases to be under consideration for the position; EXCEPT that documents in for an ongoing investigation will be retained until no longer needed in the investigation. This disposition instruction is mandatory; deviations are not allowed.

2. All other alternative or additional financial disclosure reports.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 6 years old; EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation. This disposition instruction is mandatory; deviations are not allowed.

NARA Authority: GRS 2.8, Item 060 (DAA-GRS-2014-0005-0007)
GRS 2.8, Item 061 (DAA-GRS-2014-0005-0008)
GRS 2.8, Item 070 (DAA-GRS-2014-0005-0011)
GRS 2.8, Item 071 (DAA-GRS-2014-0005-0012)
GRS 2.8, Item 072 (DAA-GRS-2014-0005-0013)
GRS 2.8, Item 080 (DAA-GRS-2014-0005-0014)
GRS 2.8, Item 081 (DAA-GRS-2014-0005-0015)

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9-16 **Ethics Agreement Records**

Records documenting the review and issuance of ethics agreements used to remedy the appearance of potential or actual financial conflicts of interest, including the following:

- review of recusals, resignations, reassignments, and divestitures,
- determinations,
- authorizations,
- waivers, and
- waivers of disqualifications.

A. Agreements for employees who do not file financial disclosure reports.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after the waiver or other agreed-upon determination or action has been issued or undertaken; after it is no longer in effect; or when no longer needed for an ongoing investigation. Destroy 6 years after cutoff.

B. Agreements for employees who file financial disclosure reports.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy at the same time as the employee's last related financial report is destroyed or when no longer needed for active investigation, whichever is later.

Note: Ethics Pledges and associated waiver certifications are filed in the political appointee's Official Personnel Folder or equivalent folder under the authority of Executive Order 13490 (Jan. 21, 2009): *Prescribing Standards of Ethical Conduct for Government Officers and Employees*.

NARA Authority: GRS 2.8, Item 100 (DAA-GRS-2014-0005-0017)
GRS 2.8, Item 101 (DAA-GRS-2014-0005-0018)

9-17 **Referrals and Notifications of Violations of Criminal Conflict of Interest Statutes and Other Potential Violations Files**

Referrals made to Inspectors General or the Department of Justice and notifications to OGE concerning ethics violations or suspected violations. This item also covers related background materials, including copies of disciplinary and corrective actions and disposition documents such as declinations of prosecution, and copies of OGE Form 202, Notification of Conflict-of-Interest Referral.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 6 years old.

NARA Authority: GRS 2.8, Item 020 (DAA-GRS-2014-0005-0002)

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9-18 Non-Federally Funded Travel Files

- A. **Agency copies of Semiannual Expense Reports** for Non-Federally Funded Travel submitted by all Executive Branch agencies to the Office of Government Ethics (OGE) in accordance with guidance given at 31 U.S.C. § 1353, as implemented by 41 C.F.R. part 304-1, or through the use of standard Form (SF) 326 and 326A. Reports summarize payments made to the agency from non-Federal sources for travel, subsistence, and related expenses of an employee who attends a meeting or similar function relating to official duties.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after report is submitted to OGE. Destroy 3 year after the cutoff.

- B. Statements, forms, and other records used to compile Semiannual Expense Reports for Non-Federally Funded Travel.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after report is submitted to OGE. Destroy 1 year after the cutoff.

NARA Authority: GRS 2.8, Item 030 (DAA-GRS-2014-0005-0003)
GRS 2.8, Item 031 (DAA-GRS-2014-0005-0004)

9-19 Ethics Program Review Files

Records relating to OGE reviews of agency compliance with executive branch ethics laws and regulations in such areas as financial disclosure; education and training; advice; counseling. This includes:

- OGE program review reports,
- agency 60-day response letters, and other follow-up records sent to OGE on the resolution of program deficiencies,
- other follow-up records sent to OGE on the resolution of program deficiencies, and
- all other records produced during OGE program reviews, including notes and background materials produced during OGE program reviews

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after all outstanding ethics program review deficiencies have been resolved or when the documentation for the next program review is on file, whichever is later. Destroy when 6 years after cutoff.

NARA Authority: GRS 2.8 Item 50 (DAA-GRS-2014-0005-0006)

9-20 Annual Agency Ethics Program Questionnaire Files

- A. Questionnaire completed by ethics officials on an annual basis in compliance with Section 402(e)(1) of the Ethics in Government Act of 1978, as amended, and associated records.

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- B. All other records related to responses to annual agency ethics program questionnaires.

AUTHORIZED DISPOSITION: TEMPORARY: Cutoff after submission of associated annual agency ethics program questionnaire. Destroy 3 years after cutoff.

NARA Authority: GRS 2.8, Item 040 (DAA-GRS-2014-0005-0005)

9-21 Ethics Program Employee Training and Education Files

- A. Records relating to the administration of new employee ethics orientations, annual and other types of ethics training and education. Records include but are not limited to, annual plan, schedule of classes, rosters of employees required to attend, verification of training completion, and other related records.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 6 years old.

- B. Record copy of materials used in providing new employee ethics orientations, annual or other types of ethics training and education including, but not limited to, instructors' guides, handbooks, handouts, and other materials used in training classes, bulletins, and newsletters.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 6 years old or when superseded or obsolete, whichever is later.

NARA Authority: GRS 25-8

9-22 Ethics Program Procedures Files

Records created and maintained to coordinate and manage an agency's ethics program. Records relate to the development, review, implementation, and interpretation of proposed or established executive branch standards of ethical conduct and other ethics regulations; conflict of interest and other ethics-related statutes and Executive Orders; and any agency supplemental standards of ethical conduct and other agency ethics-related regulations and directives and includes:

- Records documenting the review of proposed or established ethics-related statutes and regulations by ethics program officials, including copies of proposed legislation, comments, and all related records,
- Determinations, including advice and counseling to individual employees, and supporting records, and
- Records relating to requests under agency supplemental standards of ethical conduct for prior approval of outside employment and activities.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff following the conclusion of an ethics regulatory review, provision of advice to an employee, making a determination regarding outside employment, or when no longer needed for an active investigation; whichever is later. Destroy 6 years after the cutoff.

NARA Authority: GRS 2.8, Item 010 (DAA-GRS-2014-0005-0001)

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9-23 FOIA Requests Case Files

Files created in response to requests for information under the Freedom of Information Act (FOIA) and **excludes** the official record copy of the records requested if filed herein.

- A. Granting the request in full or in part.
- B. Denying the request for any reason to include the:
 - 1. inability to fulfill request because records do not exist
 - 2. inability to fulfill request because request inadequately describes records
 - 3. inability to fulfill request because search or reproduction are not paid

Note: Agencies may wish to retain redacted copies of requested records for business use after the rest of the associated request case file is destroyed.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy 6 years after final agency action or 3 years after final adjudication by the courts, whichever is later

NARA Authority: GRS 4.2, Item 020 (DAA-GRS-2013-0007-0002)

9-24 FOIA Appeals Case Files

Files created in responding to administrative appeals under the Freedom of Information Act (FOIA) and **excludes** the official record copy of the records if filed herein.

- A. Final adjudication on appeal to any of the above original settlements
- B. Final agency action in response to court remand on appeal to includes:
 - 1. requests (either first-party or third-party)
 - 2. Replies
 - 3. copies of requested records
 - 4. administrative appeals
 - 5. supporting documents

Note: Agencies may wish to retain redacted copies of requested records for business use after the rest of the associated request case file is destroyed.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy 6 years after final agency action or 3 years after final adjudication by the courts, whichever is later

NARA Authority: GRS 4.2, Item 020 (DAA-GRS-2016-0002-0001)

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9-25 FOIA Control Files

Files maintained for control purposes in responding to FOIA requests.

1. Records documenting control points and accountability for information relating to access requests and include:
 - Forms, registers, ledgers, logs and tracking-systems documenting requester identity and contact information, request date, and nature or purpose of request,
 - Inventories of Controlled records,
 - Forms accompanying documents to ensure continuing control, i.e. Names of people,
 - Handler of documents, intra office routing and like items, and
 - Agent and researcher files.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy 5 years after final action by the agency or after final adjudication by courts, whichever is later.

NARA Authority: GRS 4.2, Item 040 (DAA-GRS-2013-0007-0004)

9-26 FOIA Administrative Files

Records relating to the general agency implementation of FOIA, including notices, memoranda, routine correspondence, and related records.

AUTHORIZED DISPOSITION: TEMPORARY. Delete/destroy 5 years after date of last entry, final action by agency or final adjudication by courts, whichever is later.

NARA Authority: GRS 4.2, Item 001 (DAA-GRS-2016-0013-0003)

9-27 FOIA Reports Files

Recurring reports and one-time information requirements relating to agency implementation of the Freedom of Information Act, including Annual Reports to Congress.

- A. Annual reports at the agency level.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after submission of the final report. Delete/destroy 2 years after cutoff.

- B. All other copies.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff at the end of the calendar year. Delete/destroy 2 years after cutoff or when no longer needed for reference, whichever is sooner.

NARA Authority: GRS 4.2, Item 070 (DAA-GRS-2013-0007-0006)

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Records Schedule 10 - Retirement and Survivor Benefits Division Programs

The Office of Retirement and Survivor Programs is responsible for the effective administration of the benefit provisions of the Railroad Retirement Act. Included are important administrative and training responsibilities affecting the entire office which includes the Bureau of Retirement Benefits and the Bureau of Survivor Benefits. Responsible for effecting recovery of all types of erroneous payments or to waive recovery, in whole or in part, in certain cases of erroneous annuity, pension or death benefit payments under the Railroad Retirement Act. Reconsiders previous adjudicative determinations made at lower adjudicative levels and can affirm or reject prior decisions. Responsible for coordinating with the Social Security Administration and other agencies in connection with the payment of benefits under the Railroad Retirement Act. Responsible for making reviews and evaluations to see that the benefit programs of the Railroad Retirement Act are properly, efficiently, and economically administered and policed. Assists in the drafting of regulations required for the adjudication of claims and the payment of benefits under the Railroad Retirement Act; and to develop and install, subject to clearance with the appropriate authorities, standard practice instructions, procedures and methods required to effectively carry out the operations of the office.

Notes: See the following records schedules for other records managed by the divisions:

1. [See Records Schedule 20](#), Records Common to Most Offices for disposition authority of records related to routine internal, house-keeping activities, and extra copies of documents maintained solely for convenience of reference and the official record copy is listed in a bureau/office schedule.
2. [Records Schedule 21](#), Bureau of Taxation for records dealing with taxation of annuities under the Railroad Retirement Act.
3. [Records Schedule 22](#), Disability Operations records dealing with Travelers Insurance Benefit Information Card (BIC).

10-1 Railroad Retirement Act (RRA) Claim Folders

Claim folders established under the RRA in which all benefits including lump sum and residual lump sum payments have been paid, in which there are no outstanding erroneous payments, and in which there appears to be no future eligibility under the RRA or Social Security Act.

Claim folders consist of forms and correspondence that document a claimant's application for benefits under the RRA. The folders contain Personally Identifiable Information (PII) and consist of applications for benefits, evidence of entitlement; the RRB's decisions and awards and the underlying computations; and changes in benefit status, including the suspension and termination of benefits.

AUTHORIZED DISPOSITION: PERMANENT. Cutoff inactive claim folders at the end of the fiscal year. Transfer to the National Archives when 7 years old.

NARA Authority: NCI-184-08-01, Item 1

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10-2 Daily Activity Input Systems (DAISY) Listings

Master record of additions, deletions, and adjustments to the RRA benefit payment file.

A. Magnetic tape files.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 1 year old.

B. Daily Award Listings.

1. Record copy in Payment Services Unit.

AUTHORIZED DISPOSITION: TEMPORARY. Cut off at the end of the fiscal year. Transfer to FRC when 1 year old. Destroy 6 years and 3 months after cutoff.

2. All other copies.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 1 year old or no longer needed for administrative use, whichever is sooner.

C. Benefit Payment Control/Maintenance Listings. Records include various total rejected award and other control listings used for informational and/or computer input purposes.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 1 year old or no longer needed for administrative use whichever is sooner.

NARA Authority: NCI-184-89-3, Item 10-2

10-3 Start Activity Master Microfilm (SAMM)

Microfilm of Daily Activity Input System (DAISY) activity and Check writing Integrated Computer Operation (CHICO) master receiving the activity. Includes one-payment only and new recurring awards, recertification's, change-of-address, weekly suspension and termination data, master record before activity, activity processed or rejected and the master file record after processing. Produced weekly and for special runs.

A. Magnetic tape files. DSN: P.BRC. #2365DD2

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 1 year old.

B. Control and Services Master Microfilm.

AUTHORIZED DISPOSITION: TEMPORARY. Transfer to FRC when 3 years old. Destroy when 8 years old.

C. Payment Services Unit copies.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 5 years old.

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D. All other copies.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 2 years old or no longer needed for administrative use, whichever is sooner.

NARA Authority: NCI-184-89-3, Item 10-3

10-4 Monthly Microfilm of START (MOMS)

Checkwriting file update produced from magnetic tape that shows the status of the Checkwriting file at the time magnetic tapes used by the Treasury Department to issue monthly benefit checks are created. Series consists of MOMS I which contains benefit payment data, health insurance information, tax credit liability data and various control data for recurring benefits; and MOMS II which contains the same information as MOMS I but only for claim numbers ending in 66. Used as a test file.

A. Magnetic tape files. DSN: P.BRC. #2404DD2

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 1 year old.

B. MOMS I.

1. Control and Services master.

AUTHORIZED DISPOSITION: TEMPORARY. Transfer to FRC when 3 years old. Destroy when 8 years old.

2. Payment Service Unit copy.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 5 years old.

3. All other copies.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 2 years old or no longer needed for administrative use, whichever is sooner.

C. MOMS II

AUTHORIZED DISPOSITION: Destroy when 6 months old.

NARA Authority: NCI-184-89-3, Item 10-4

10-5 Railroad Retirement Board Imaging System (RRA)

A. RRA Imaging System Data

1. System component consisting of digital images of scanned or directly input documents (from other electronic system applications), that serve to provide life-cycle documentation of annuitant and their family member(s) eligibility to benefits under the RRA.

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Records include, but are not limited to, applications for benefits, evidence of entitlement; the RRB's decisions and awards and the underlying computations, changes in benefit status (including the suspension and termination of benefits), representative payee development and monitoring, income tax withholding, post-adjudicative monitoring efforts, overpayment recovery/debt-collection documents, and related correspondence, word processing records and E-mails.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff inactive individual claimant data at the end of the fiscal year. Destroy 7 years after cutoff.

2. RRA Imaging SQL Indexing Database

AUTHORIZED DISPOSITION: TEMPORARY. Destroy/delete with related RRA Imaging System data.

3. RRA Imaging Scanned Documents

Series consists of original hard copy (paper) RRA- related documents scanned into the Imaging system by RRB headquarters and field office staff. Records include, but are not limited to, applications for benefits, evidence of entitlement; the RRB's decisions and awards and the underlying computations, changes in benefit status (including the suspension and termination of benefits), representative payee development and monitoring, income tax withholding, post-adjudicative monitoring efforts, overpayment recovery/debt-collection documents, and related correspondence, word processing records and E-mails.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy 90 days after the date scanned into the system or after completion of the quality assurance process, whichever is later.

B. Interim processing files

Series consists of electronic files including Tagged Image Files (TIF) Text files, Document Definition Files (DDF) and static and variable system files.

1. Tagged Image Format Files (TIF) and Document Definition Files

TIF's are files created when documents are scanned. When TIF's are processed by the scanning software, Document Definition Files (DDF's are created. DDF's help define which TIF belong to which document e.g., Document 1 might be TIF's 1, 2, 3, 4 and 5 - Document 2, TIF's 6 and 7. Text files (such as word processing documents) can be attached to imaging documents.

AUTHORIZED DISPOSITION: TEMPORARY. Delete upon processing by the imaging system.

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2. Static and variable files

Electronic files created upon processing of TIF and DDF files by Rapid Batch Entry (RBE) program that is maintained on a fileserver and used to facilitate workflow and internal processing. Inactive static and variable files are copied to optical disk creating the "archival" or "record copy." Static files consist of imaged documents. Variable files consist of electronic form information such as name, SSN, etc. Variable file information changes when the electronic form is modified and includes information regarding when an image is accessed in workflow or when an attachment or note is added.

AUTHORIZED DISPOSITION: TEMPORARY. Copy inactive files to optical disk when internal processing is completed and delete.

C. System Generated Electronic Management Information Reports.

Records include recurring status of work and productivity reports as well as various ad hoc and non-recurring reports.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy/delete when 3 years old or no longer needed for administrative use, whichever is sooner.

D. Electronic Mail and Word Processing Copies

1. Electronic copies of related records that are created on electronic mail and word processing systems and used solely to generate a record-keeping copy (see item (a)(3) for record-keeping copy). Also includes electronic copies of records electronic mail and word processing systems that are maintained for updating revision or dissemination.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy/delete within 180 days after the official record copy is produced.

2. Copies used for dissemination, revision or updating that are maintained in addition to the official record copy.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy/delete when dissemination, revision, or updating is completed.

NARA Authority: NCI-184-09-1, Item 10-1

10-6 RRA Benefit Payment Accounting Records Accounts Receivable Listings ORSP

- A. Annual listing of open balances, uncollectible items and zero balances, and unresolved litigation yet pending.

1. Accounts receivable determination and review section copy.

AUTHORIZED DISPOSITION: TEMPORARY. Transfer to FRC when 1 year old. Destroy when 6 years 3 months old. Items listed subject to litigation or affected by court order should be destroyed 6 years and 3 months after the court order is lifted or litigation concluded.

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2. All other copies.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when no longer needed for informational use.

- B. Monthly accounts receivable listing.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when no longer needed for informational use.

- C. Magnetic tape files.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 18 months old.

NARA Authority: NCI-184-89-3, Item 10-7

10-7 **RRA Benefit Payment Records ORSP**

Original daily canceled check listings furnished by the Treasury department and monthly consolidated listings and monthly administrative cumulative magnetic tapes used in the ORSP Check Services unit.

- A. Daily Treasury listings.

AUTHORIZED DISPOSITION: TEMPORARY. Transfer to Bureau of Fiscal Operations for filing with related Schedule of Canceled Checks, SF-1098.

- B. Monthly consolidated canceled check listings.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 1 year old or when no longer needed for administrative use, whichever is sooner.

- C. Monthly administrative cancellation magnetic tape master.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 18 months old.

NARA Authority: NCI-184-89-3, Item 10-8

10-8 **Tax Credit and Liability System (TACAL) BRB**

Monthly microfilm record produced from magnetic tape containing records of all beneficiaries for whom tax credits and/or liabilities are allowed and for whom the employer is being billed or credited.

- A. Magnetic tape files. Monthly Quarterly

DSN: P. BRC. #26524	P. BRC. #26543
P. BRC. #26540	P. BRC. #26544
P. BRC. #26548	P. BRC. #26545

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 1 year old.

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- B. Master microfilm record produced monthly from P. BRC. #26548 containing records of all beneficiaries for whom supplemental annuity tax credits or supplemental tax liabilities were allowed since 1966 and for whom the employer has been credited or billed. Microfilm is used by examiners to perform manual TACAL corrections.

AUTHORIZED DISPOSITION: TEMPORARY. Transfer to FRC when 2 years old. Destroy when 6 years and 3 months old.

NARA Authority: NCI-184-89-3, Item 10-9

10-9 TACAL System Printout Listings and Reports BRB

Record system consisting of RRB forms G-241, Summary Statement of Quarterly Report of Railroad Retirement Tax Liabilities; G-241A, Detailed Statement of Quarterly Supplemental Annuity Tax Liabilities; G-245A Detailed Statement of Quarterly Supplemental Annuity Tax Credits; G-246, Quarterly Tax Credit Report; G-246A, Quarterly Tax Liability Report; TACAL Activity syslists, and Tacial Reject Listings.

- A. BRB-RAPT (one copy of forms, TACAL activity syslists, and Tacial Reject Listings).

AUTHORIZED DISPOSITION: TEMPORARY. Transfer to FRC 2 years after the end of the year in which the reports are prepared. Destroy when 6 years 3 months old.

- B. All other copies.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when no longer needed for administrative use.

NARA Authority: NCI-184-89-3, Item 10-10

10-10 Key Operating Report (KOR) Listings ORSP

- A. ORSP Key Operating Items (cumulative), G-592, and related EDP receipt and disposition report.

1. General Administration and Budget section copy.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 5 years old.

2. All other copies.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 1 year old or no longer needed for administrative use, whichever is sooner.

- B. Administrative management EDP reports and listings.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 1 year old or no longer needed for administrative use.

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C. Magnetic tape files. DSN: P.BRC. #2659DD2

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 1 year old.

NARA Authority: NCI-184-89-3, Item 10-11

10-11 **Beneficiary Cross-Reference Microfilm (BXR) ORSP**

Microfilm file that contains 940,000 cross-references of beneficiaries SSA numbers to RRB claim numbers. Numerically sequenced, the file was updated in 1976 to incorporate new SSA numbers cross-referenced to new and existing RRB claim numbers.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when no longer needed for administrative use.

NARA Authority: NCI-184-89-3, Item 10-13

10-12 **Mass Adjustment Microfilm ORSP**

Microfilm records produced from magnetic tape that document mass adjustments to benefits. Records include cost-of-living adjustments (COL), automatic earnings reappraisal operation adjustments (AERO), and retirement adjustments to include lag (RAL). Also included are one-time-only mass adjustments such as student adjustments, disabled widow(er) adjustments, and vested dual benefit reduction adjustment.

Microfilm was not produced after May 1992. See MAIS (Item 10-33)

A. Magnetic tape files.

1. Recurring adjustments.

DSN: No longer produced.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when superseded by subsequent update.

2. One-time only adjustments.

DSN: No longer produced.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 1 year old.

B. Master Microfilm.

AUTHORIZED DISPOSITION: TEMPORARY. Transfer to FRC when 3 years old. Destroy when 20 years old.

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C. All other copies.

AUTHORIZED DISPOSITION: Destroy when 15 years old or no longer needed for administrative use, whichever is sooner.

NARA Authority: NCI-184-89-3, Item 10-14

10-13 G-65b Tickler Coding Sheet ORSP

Data entry forms used to establish claim folder recall for required action.

AUTHORIZED DISPOSITION: Destroy when 3 months old.

NARA Authority: NCI-184-89-3, Item 10-15

10-14 RRA Benefit Payment Accounting Records ORSP, BSB

Manual award forms with covering progress sheets and SURCAL PC diskettes (containing equivalent information) that are used as input to the preparation of RRB computer tape furnished to the Department of Treasury for issuing checks.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 6 years 3 months old.

NARA Authority: NCI-184-89-3, Item 10-16

10-15 Change of Address Source Documents ORSP

File requests received in headquarters consisting of RRB Forms G-607 and 607A documenting address correction requests from annuitants and brown check mailing envelope with change of address written on reverse side and **excludes:**

- Original electronic records maintained in the master files.
- Electronic input reports required for audit or legal purposes.
- Electronic input records produced by another agency under the terms of an interagency agreement or records created by another agency in response to the specific information needs of the receiving agency.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff file every 6 months. Destroy when 1 year old.

NARA Authority: GRS 4.3, Item 010 (DAA-GRS-2013-0001-0001)

10-16 Retirement Adjudication System Initial (RASI) Microfiche BRB

A. RASI reject 805 information. Microfiche record of daily activity from RASI master including annuity beginning date, calculations, work deductions etc. Produced weekly from magnetic tape.

1. RCA Master

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 1 year old.

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2. All other copies.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 1 year old.

- B. RASI Daily Status Reports. Microfiche record of daily activity, including call-ups, value of status words, referrals and date produced. Produced weekly from magnetic tape. RCA Master.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 1 year old.

- C. Magnetic tapes.

DSN: P. BRC. #2611DD2 (RASI Master) P. BRC. #2464DD2 (RASI Activity)

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 90 days old.

NARA Authority: NCI-184-89-3, Item 10-18

10-17 Automated Award Letters to Annuitants (ALTA) Microfilm

Weekly microfilm produced from magnetic tape that contains the complete text of award letters released to RRB annuitants and SSA beneficiaries through the Automated Award Letters to Annuitants (ALTA) system.

- A. Magnetic tape files. DSN: P. BRC. #2872DD2

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 1 year old.

- B. Control Services Unit (CSU) master.

AUTHORIZED DISPOSITION: TEMPORARY. Transfer to FRC when 3 years old.
Destroy when 8 years old.

- C. CSU copies.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 7 years old.

NARA Authority: NCI-184-89-3, Item 10-19

10-18 Post Adjudication Mechanical-On-Line Operations (POLO) System and Outputs

POLO is an on-line data system that contains information regarding transactions for all Social Security records certified to the RRB, including death terminations.

- A. Data system.

AUTHORIZED DISPOSITION: TEMPORARY. Delete/dispose of when no longer needed for administrative use.

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B. Magnetic tape file. (Received from SSA) DSN: PRCORACE FILE

AUTHORIZED DISPOSITION: TEMPORARY. Dispose of when data has been incorporated into the POLO system.

NARA Authority: NCI-184-89-3, Item 10-20
GRS 4.3, item 031 (DAA-GRS-2013-0001-0006)

10-19 BIC (Benefit Information Card Microfiche)

Bureau copies of microfiche record that provides Medicare information, railroad retirement beneficiary information, and social security benefit information (for beneficiaries whose social security benefit is paid by the RRB).

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 1 year old.

NARA Authority: NCI-184-89-3, Item 10-21

10-20 FOX (Field Office Cross-Reference) Microfiche

Bureau copies of microfiche record used as an aid in cross-referencing beneficiary names with correct social number or claim numbers.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 1 year old.

NARA Authority: NCI-184-89-3, Item 10-23

Note: Record series item's 10-24 through 10-27, dealing with the taxation of annuities under the Railroad Retirement Act, were transferred to the Bureau of Taxation. See Records Schedule 21.

10-21 Field-Address Suspension Termination (FAST) System

On-line data base system that provides for the change of an annuitant's address. Also provides for the suspension/termination of benefits.

A. Monthly cumulative tape files of Change of Address (COA) and Suspension Termination activity.

DSN: P.BRC. #2894DD3 (COA) P.BRC. #2892DD3 (S/T)

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 18 months old.

B. Outputs generated by FAST system.

1. COA printouts.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff every 6 months and send to FRC after file break. Destroy when 6 years 3 months old.

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2. Suspension/Termination printouts.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff at the end of the calendar year. Send to FRC after file break, hold 2 years and destroy after cutoff.

NARA Authority: NCI-184-91-1, Item 10-29

10-22 Direct Deposit Input Documents

Series consists of SF-1199a's, agency equivalent forms, and annuitant correspondence used as input documents to initiate or change direct deposit enrollments for RRB beneficiaries.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 1 year old.

NARA Authority: NI-184-93-10 and GRS 4.3, Item 010 (DAA-GRS-2013-0001-0001)

10-23 Initial Claims System (ICS) and Outputs

Initial Claims System (ICS) is an on-line data information system that documents new application activity filed daily for transmission to the RASI system for processing. Outputs include Application Aging report, Application Volume report, and RASI extract program information.

- A. Data system.

AUTHORIZED DISPOSITION: TEMPORARY. Delete/dispose of data when no longer needed for administrative, legal, audit or other operational purposes.

- B. Reports/Outputs.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 6 months old or when no longer needed for administrative use whichever is sooner.

NARA Authority: NI-184-93-10 and GRS 4.3, Item 020 (DAA-GRS-2013-0001-0004)

10-24 Monthly Attainment Program (MAP) Listings

Monthly listings of age attainments generated for purposes of mailings and annuity adjustment. Includes age 62 recalculation, vested dual benefit attainments, age 16 and 18 attainments under the overall minimum, age 16 and 18 attainments with young spouse/child in care, and supplemental annuity attainments.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 3 years old.

NARA Authority: NI-184-93-10 and GRS 4.3, Item 031 (DAA-GRS-2013-0001-0006)

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10-25 **Mass Adjustment Inquiry System (MAIS) and Tape Files**

MAIS is an on-line data information system containing data related to COLA, AERO, RAIL, and SALSA mass adjustments.

A. Data System

AUTHORIZED DISPOSITION: TEMPORARY. Delete/dispose of data when no longer needed for administrative use.

- B. Magnetic tape files created for use as back-up to information housed in the MAIS database system. Maintained to provide for restoration of information in the event of system failure.

DSN: D.SS.CV06.MAISDUMP.GOOO2V00

AUTHORIZED DISPOSITION: TEMPORARY. Send to off-site storage upon creation. Recall from off-site storage and destroy when superseded by a subsequent update.

NARA Authority: NI-184-93-10 and GRS 4.3, Item 020 (DAA-GRS-2013-0001-0004)

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Records Schedule 11 - Bureau of Information Services

The primary mission of the Bureau of Information Services is to provide data processing support for all the bureaus within the Railroad Retirement Board based on their functional requirements and comprehensive plans. Specific key elements of the bureau's mission are to provide accurate, efficient, and timely analysis and programming support; insure accurate and timely processing of all jobs run on the agency computer systems; provide a national data communications network for Railroad Retirement Board district offices; to monitor computer performance, security, and control; to provide support for office automation activities; and to provide end-user support through the customer information center staff.

Note: [See Records Schedule 20](#), Records Common to Most Offices for disposition authority of records related to routine internal, house-keeping activities, and extra copies of documents maintained solely for convenience of reference and the official record copy is listed in a bureau/office schedule.

11-1 Security Storage Control File

Forms used to document the movement of magnetic tapes and cartridges from security storage. Includes RRB Forms G-1 and G-1a.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 2 years old.

NARA Authority: NCI-184-89-2, Item 11-1

11-2 Microform Control File

Form used to document the movement of magnetic tapes and cartridges to and from outside contractors (service bureaus). Includes RRB Form G-147a and G-138.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 2 years old.

NARA Authority: NCI-184-89-2, Item 11-2

11-3 Batch Control Files

File used to provide information to bureau personnel and/or private contractors regarding item counts and money totals for batch key entry and balancing. Includes RRB Form's G-148a and G-148b.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 1 year old.

NARA Authority: NCI-184-89-2, Item 11-3

11-4 Keypunch Control File

Files used to document requests for keypunch work submitted by other RRB bureaus and offices to the bureau of data processing. Includes RRB Form G-156.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 1 year old.

NARA Authority: NCI-184-89-2, Item 11-4

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11-5 Data Center Visitor File

Log used to record the names of all visitors to the agency data center. Area is considered maximum security. Includes RRB Form G-498, Visitor Log Sheet.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy 5 years after final entry or 5 years after date of document.

NARA Authority: GRS 18-17(a)

11-6 Data Center Card Key Application and Issue File

Files relating to the issuance and accountability of card keys that allow entrance to the agency data center. Area is considered maximum security.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy 3 years after turn-in of key.

NARA Authority: GRS 18-16(a)

11-7 Employee Terminal Access Folder

Folder file documenting an employee's access to the various agency data processing systems. Information filed includes employee's personal sign on, logon, and computer security passwords assigned by the bureau. Includes RRB Form G-455, Computer Access Authorization Request.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy 2 years after employee leaves agency employment.

NARA Authority: NCI-184-89-2, Item 11-7

11-8 Data Processing Repair File

File consists of RRB Form G-494a, Hardware Service Repair Information which is used to record computer equipment outages; time of equipment failure; time equipment is out of service; reasons for equipment outages and repairs made; and documenting other related Information Technology Operations and Maintenance activities.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after agreement, control measures, procedures, project, activity, or transaction is obsolete, completed, terminated, superseded or equipment is taken out of service. Destroy 3 years after cutoff.

Note 1: If any maintenance activities have a major impact on a system or lead to a significant change, those records should be maintained as part of the Configuration and Change Management Records.

Note 2: Records needed to support contracts should be in procurement files, which are scheduled under the GRS for General Financial Management Records.

NARA Authority: GRS 3.1, Item 020 (DAA-GRS-2013-0005-0004)

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11-9 **PAC II Files**

Computer file containing data processing project management information. Used by bureau personnel to help plan, track and determine the cost of the projects. Stored on diskpack.

A. Diskpack.

AUTHORIZED DISPOSITION: TEMPORARY. Transfer to magnetic tape once a year.

B. Tape.

DSN: S.PACII. FY **. Master **Insert FY created

AUTHORIZED DISPOSITION: TEMPORARY. Destroy tape file when superseded by subsequent years update.

NARA Authority: NCI-184-89-2, Item 11-9

11-10 **System Management Facility File (SMF File)**

Computer file containing records of agency mainframe utilization, jobs run on the mainframe and resources used. File also contains computer security access records to include:

- user profiles
- log-in files
- password files
- audit trail files and extracts
- system usage files
- cost-back files used to assess charges for system use

A. Diskpack.

AUTHORIZED DISPOSITION: TEMPORARY. Transfer to magnetic tape twice a day.

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B. Tape.

DSN: P.DPA. SMFTAPE. SECSTOR

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 3 years old.

Note 1: Exclude records relating to electronic signatures.

Note 2: Does not include monitoring for agency mission activities such as law enforcement.

NARA Authority: GRS 3.2, Item 030 (DAA-GRS-2013-0006-0003)

11-11 Information Retrieval Systems

Data and documentation consisting of instructions designed to retrieve, update, and create information (data) from/to specific data systems.

A. General purpose programs.

AUTHORIZED DISPOSITION: TEMPORARY. Dispose of when no longer needed.

B. Special purpose programs for which disposal is authorized.

AUTHORIZED DISPOSITION: TEMPORARY. Dispose of with related data files.

C. Special purpose programs for which disposal is not authorized.

AUTHORIZED DISPOSITION: TEMPORARY. Retain with related data files.

NARA Authority: NCI-184-89-2, Item 11-11

11-12 Data Systems, File and Output Specifications, and Test Documentation

Record series consisting of definitions of computer systems including functional, data requirements, system/subsystem specifications, request for systems and authorization; logical and physical file characteristics of each record element or item in the file; code specifications, cross-reference; security and privacy restrictions; update and validity characteristics; update access conditions; recording medium and volumes; products of the system that are to be used outside of the data center, i.e., listings of type of output by title; format specifications; test plans and test analysis reports.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy or delete when superseded or obsolete, or upon authorized destruction of related master file or database.

NARA Authority: NCI-184-89-2, Item 11-12

11-13 User Guides

Documentation consisting of information which describes the functions of the system in non-EDP terminology so that can determine its applicability and when and how to use it, serves for the preparation of input data and the interpretation of results.

RRB RECORDS DISPOSITION HANDBOOK

A. Documentation related to permanent electronic records to include:

- Handbooks
- guides to data availability
- procedures for querying files
- data/database dictionary records
- data systems specifications
- file specifications
- code books
- record layouts
- Metadata
- user guides
- output specifications

Note 1: Per NARA practice, documentation for permanent electronic records must be transferred with the related records using the disposition authority for the related electronic records rather than the GRS disposition authority.

Note 2: Agencies may retain a copy of documentation related to permanent electronic records. This copy may be destroyed at any time after the transfer request has been signed by the National Archives.

AUTHORIZED DISPOSITION: PERMANENT. Transfer to the National Archives with the permanent electronic records to which the documentation relates.

B. Documentation related to temporary electronic records to include:

- Handbooks
- guides to data availability
- procedures for querying files
- data/database dictionary records
- data systems specifications
- file specifications
- code books

RRB RECORDS DISPOSITION HANDBOOK

- record layouts
- Metadata
- user guides
- output specifications
- software operating manuals
- data standards
- table and dependency descriptions
- taxonomies
- schemas
- registries
- source code
- physical data model
- logical data mode

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after the project or activity transaction is completed or superseded or the associated system is terminated, or the associated data is migrated to a successor system. Destroy 5 years after cutoff.

NARA Authority: GRS 3.1, Item 050 (DAA-GRS-2013-0005-0002)
GRS 3.1, Item 051 (DAA-GRS-2013-0005-0003)

11-14 Computer Generated Reports

Final reports containing the statistical tabulation and an analysis of the findings of a study or survey including a narrative description of the methodology employed.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when superseded or obsolete.

NARA Authority: GRS 4.3, Item 030 (DAA-GRS-2013-0001-0005)

11-15 Security Storage Disaster Recovery Files

Tape files containing copies of strategic disk files (i.e. mainframe operating system software, programs, object code, databases, and system catalogues etc.) that are maintained to provide for the restoration of the RRB mainframe system in the event of a system failure, disaster or inadvertently erased.

AUTHORIZED DISPOSITION: TEMPORARY: Destroy upon generation of third subsequent update.

NARA Authority: GRS 3.2, Item 051 (DAA-GRS-2013-0006-0008)

RRB RECORDS DISPOSITION HANDBOOK

Records Schedule 12 - Railroad Unemployment Insurance Act Information System

The Office of Programs, Unemployment and Programs Support Division is responsible for administering the Railroad Unemployment Insurance Act (RUIA). The RUIA provides for the payment of benefits to railroad employees who are unemployed, sick or injured. The RUIA also provides for the operation of a job placement service for unemployed railroad workers.

Note: [See Records Schedule 20](#), Records Common to Most Offices for disposition authority of records related to routine internal, house-keeping activities, and extra copies of documents maintained solely for convenience of reference and the official record copy is listed in a bureau/office schedule.

12-1 Railroad Retirement Board (RRB) Imaging System

A. RUIA Imaging System Data

1. System component consisting of digital images of scanned or directly input documents (from other electronic systems/applications) that serve to provide documentation of an applicant's application and claim(s) for sickness and unemployment benefits, payment or denial activity and any associated debt-collection activity. Records include, but are not limited to, sickness and unemployment applications and claim forms, records related to the payment or denial of benefits, including notices of late filing and separation allowances, RUIA Lien notice Files, records documenting the debt notification and debt-recovery process, and related correspondence, word processing files and related Emails.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy/delete claimant data 6 years and 3 months after the end of the benefit year unless debt-recovery action is indicated. Destroy/delete debt-recovery related data 6 years and 3 months after recovery has been completed or waived.

2. RUIA Imaging SQL Indexing Database

AUTHORIZED DISPOSITION: TEMPORARY. Destroy/delete with related RUIA Imaging System Data.

3. Series consists of original hard copy (paper) RUIA-related documents scanned into the Imaging system by RRB headquarters and field office staff. Records include but are not limited to, sickness and unemployment applications and claim forms, records related to the payment or denial of benefits, including notices of late filing a separation allowances, RUIA Lien notice Files, records documenting the debt notification and debt-recovery process and related correspondence word processing and related Emails.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy 90 days after the date scanned into the system or after the completion of the quality assurance process, whichever is later.

RRB RECORDS DISPOSITION HANDBOOK

B. Interim processing files

Series consists of electronic files including Tagged Image Files (TIF) Text files, Document Definition Files (DDF) and static and variable system files.

1. Tagged Image Format Files (TIF) and Document Definition Files

TIF's are files created when documents are scanned. When TIF's are processed by the scanning software, Document Definition Files (DDF's are created. DDF's help define which TIF belong to which document e.g. Document 1 might be TIF's 1,2,3,4 and 5 - Document 2, TIF's 6 and 7. Text files (such as word process documents can be attached to imaging documents.

AUTHORIZED DISPOSITION: TEMPORARY. Delete upon processing by the imaging system.

2. Static and variable files

Electronic files created upon processing of TIF and DDF files by Rapid Batch Entry (RBE) program that is maintained on a fileserver and used to facilitate workflow and internal processing. Static files consist of imaged documents. Variable files consist of electronic form information such as name, SSN, etc. Variable file information changes when the electronic form is modified and includes information regarding when an image is accessed in workflow or when an attachment or note is added.

AUTHORIZED DISPOSITION: TEMPORARY. Copy inactive files to optical disk when internal processing is completed and delete.

C. System Generated Electronic Management Information Reports.

Records include recurring status of work and productivity reports as well as various ad hoc and non-recurring reports.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy/delete when 3 years old or no longer needed for administrative use, whichever is sooner.

D. Electronic Mail and Word Processing Copies

1. Electronic copies of related records that are created on electronic mail and word processing systems and used solely to generate the official record copy (see item (a)(3) for record keeping copy). Also includes electronic copies of records electronic mail and word processing systems that are maintained for updating revision or dissemination.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy/delete within 180 days after the official record copy is produced.

RRB RECORDS DISPOSITION HANDBOOK

2. Copies used for dissemination, revision or updating that are maintained in addition to the official record copy.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy/delete when dissemination, revision or updating is completed.

NARA Authority: NCI-184-09-1 Item 1

12-2 RUIA Benefit Payment Records

Data and documents recording activities and information systems tracking and managing unemployment and sickness insurance benefit applications, eligibility determinations, benefit calculations, and benefit payments, including record copies of system outputs. The component information systems include the RUIA, RUCS, UPC, MACRO, and RRXR, claimant, system and employer levels. These activities create rights, interests, and obligations associated with determinations and transactions.

- A. RUIA, RUCS, UPC, MACRO and RRXR claimant level component.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff at the end of the benefit year. Destroy no sooner than 7 years and no later than 10 years after cutoff.

- B. RRXR, system and employer level component information.

AUTHORIZED DISPOSITION: TEMPORARY. Maintain for as long as data serves an administrative purpose.

NARA Authority: NCI-184-08-3 Item(s) 1 and 2

12-3 Associated RUIA Benefit Payment Records

Supporting data and documents used as inputs or generated as outputs in the course of recording activities tracking the RUIA Payment records listed in item 12-2, above. Component information systems include the ERS, FOMF, and RUIANet.

AUTHORIZED DISPOSITION: TEMPORARY. Maintain for as long as the data serves an administrative purpose, or no later than 3 benefit years.

NARA Authority: NCI-184-08-3 Item 3

12-4 Railroad Unemployment Insurance Tax Accounting System

Data and documents recording benefit payments reported on individual tax statements, tax withholdings and applicable tax deductions.

AUTHORIZED DISPOSITION: TEMPORARY. Maintain 4 years from the date of filing in accordance with IRS regulations.

NARA Authority: NCI-184-08-3 Item 4

RRB RECORDS DISPOSITION HANDBOOK

12-5 **RUIA Central Register and Job Placement Records**

Data and documents relating to RUIA activities identifying qualified applicants for referral to open job orders; providing general notification about job opportunities to potential applicants; or fulfilling requests from rail carriers and labor organizations for listings of former employees who are available for employment.

AUTHORIZED DISPOSITION: TEMPORARY. Maintain for as long as the data serves an administrative purpose or no longer than 1 year after withdrawal from the Central Register or date of vacancy closing.

NARA Authority: NCI-184-08-3 Item 5

12-6 **BUSI Master, Clearance, and Restorable History Tapes**

Official record copy of case file records of all current BUSI applications or claims which include information on payments made, reimbursements due, and denials or stop payments authorized. Input sources include EDMA file (item 1 in Schedule 14 under Bureau of Research and Analysis) and Input Document file (item 10 in BUSI).

A. Active Master and Clearance Tape Files

The Active Master Tape File contains data on individuals who have had an active file during the current benefit year. It contains detailed information about individual's employment and eligibility, nature of and determinations on claims processed, and record of payments made or denied. If there are too many determinations within an individual record, the record will be shrunk to show only the final determination.

The Clearance Tape File contains data on individuals who have had some activity in BUSI within the last five benefit years. Each individual record includes a profile of BUSI activity during each year and any indication of stop payments made or social insurance paid to beneficiary (from RRA, social security, or workmen's compensation programs or from annuity under another law). Updated daily.

DSN: P.BUS. #5500DD4
P.BUS. #5500DD5
P.BUS. #5302DD3

AUTHORIZED DISPOSITION: TEMPORARY. Destroy after third subsequent update cycle has been completed successfully.

B. Restorable History Tape File

Individual records are purged from the Restorable History file one year after the end of the last active benefit year. Four years after the last active benefit year, the record is purged from the Restorable History file and moved to the Non-Restorable History Microfilm (Item 3). Updated daily.

AUTHORIZED DISPOSITION: Destroy after subsequent update and Active Master file and moved to the new Non-Restorable History Microfilm (Item 3) have been produced and have proven satisfactory.

NARA Authority: NCI-184-89-1 Item 12-2

RRB RECORDS DISPOSITION HANDBOOK

12-7 **Non-Restorable History Microfilm File**

Contains records purged from the Restorable History Tape File in item 6. The records are moved annually to this microfilm file 4 years after the last active benefit year and are used for reference and for audit purposes to show payments made.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy 6 years, 3 months after creation of microfilm.

NARA Authority: NCI-184-89-1 Item 12-3

12-8 **BUSI Master Tape Ledger File**

Contains records of cases for which accounts are or were receivable during the current benefit year. The records are moved to the History File one year after the end of the benefit year in which debts were recovered. The usual sources of accounts receivable are the Social Security Administration or the individual employer. The History File is maintained as a legal backup to Item 2 for audit purposes to demonstrate payments made. Updated daily.

DSN: P.BUS. #5001DD5

AUTHORIZED DISPOSITION: TEMPORARY. Destroy after third subsequent update has been completed and has been proven satisfactory.

NARA Authority: NCI-184-89-1 Item 12-5

12-9 **Voucher and Schedule of Payments, SF-1166a and Supporting Pay list Documentation**

Kept as legal backup to Item 2 for audit purposes to demonstrate payments made.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff at the end of the benefit year. Transfer to FRC when 2 years old. Destroy after 6 years and 3 months.

NARA Authority: NCI-184-89-1 Item 12-6

12-10 **Transitory Card and Correspondence File**

Records of inquiries regarding RUIA benefits on cases where there are no claim folders and claim folders and inquiry does not warrant preparation of a claim folder.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy 3 months after action is taken or when no longer needed for administrative use, whichever is sooner.

NARA Authority: NCI-184-89-1 Item 12-8

12-11 **Transitory Computer-Generated Listings and Printouts**

Records from the Master and Clearance Tapes (Item 6) containing transitory information about claimants which do not require preparation of a claim folder.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy 3 months after action has been taken or when no longer needed for administrative use, whichever is sooner.

NARA Authority: NCI-184-89-1 Item 12-9

RRB RECORDS DISPOSITION HANDBOOK

12-12 Uncollectible Accounts Claim Folders

Case files which contain all information about RRB efforts to collect from individuals who were overpaid RUIA benefits and whose debts are considered uncollectible.

AUTHORIZED DISPOSITION: TEMPORARY. Transfer to FRC after recovery has been completed or waived. Destroy 6 years, 3 months after transfer.

NARA Authority: NCI-184-89-1 Item 12-11

12-13 Tax Microfiche

Microfiche records containing the tax information released to railroad unemployment and sickness benefit claimants by utilizing the Internal Revenue Service Forms, 1099-G, Certain Government Payments and the W-2, Wage and Tax Statements.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after the end of the tax year for which the fiche was created. Destroy 4 years and 5 months after cutoff.

NARA Authority: NCI-184-89-1 Item 12-19

12-14 Sickness Benefits Tier I Tax Report File

File consisting of copies of reports of sickness benefits subject to Tier I railroad retirement taxes (originals sent to railroad employers). Records include information on tax credits on benefits determined to be recoverable and copies of the accompanying transmittal letter.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after the benefit year covered by the report. Destroy 6 years and 3 months after cutoff.

NARA Authority: NI 184-93-7

RRB RECORDS DISPOSITION HANDBOOK

Records Schedule 13 - Field Services

The primary mission of Field Service is to assist railroad employees, employers, and the general public in completing applications for benefits under the Railroad Retirement Act (RRA), Railroad Unemployment Insurance Act (RUIA) and Medicare. The field service develops the necessary applications, claims, and related documents to expedite correct payment of benefits due under the various Acts. It also coordinates and cooperates with all bureaus regarding both program and administrative matters. Service is provided at designated locations throughout the country as the field service is the primary contact for the public for information about any program administered by the agency. The RUIA and certain Board Orders delegate responsibility to the field service to process each unemployment claim and to determine which payments should be made. In addition, the field service maintains an employment service for unemployed railroad employees. Field Service also has an important role in the agency's waste, fraud, and error activities through its policing and investigative activities for other bureaus of the agency.

Note: [See Records Schedule 20](#), Records Common to Most Offices for disposition authority of records related to routine internal, house-keeping activities, and extra copies of documents maintained solely for convenience of reference and the official record copy is listed in a bureau/office schedule.

13-1 Railroad Retirement Board Imaging System

A. RRA Imaging Scanned Documents.

Series consists of original hard copy (paper) RRA -related documents scanned into the Imaging system by field office staff. Records include, but are not limited to, applications for benefits, evidence of entitlement, RRB's decisions and awards; the underlying computations; changes in benefit status, including the suspension and termination of benefits, post-adjudicative efforts including representative payee development and monitoring activity, Medicare, income-tax withholding, overpayment recovery/debt-collection, third-party disclosure record, and related correspondence, word-processing records and e-mails.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy 90 days after the date scanned into the system or after completion of the quality assurance process, whichever is later.

B. RUIA Imaging Scanned Documents.

1. Series consists of original hard copy (paper) RUIA -related documents scanned into the Imaging system by field office staff. Records include, but are not limited to, sickness and unemployment applications and claim forms, records related to the payment or denial of benefits, including notices of late filing and separation allowances, RUIA Lien Notice Files; records documenting the debt notification and debt recovery process, and related correspondence, word processing records and e-mails.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy 90 days after the date scanned into the system or after completion of the quality assurance process, whichever is later.

RRB RECORDS DISPOSITION HANDBOOK

2. Hard copy cases with adverse determinations not scanned into the RUIA Imaging System.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after the end of the benefit year in which originated. Destroy 5 years after cutoff.

3. Hard copy cases without adverse determinations not scanned into the RUIA Imaging System.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after the end of the benefit year in which originated. Destroy 3 years after cutoff.

NARA Authority: GRS 4.3, Item 010 (DAA-GRS-2013-0001-0001)
NC1-184-89-1 Item 13-6

13-2 Record of Opinions and Protests

Log for tracking adverse determination cases submitted by the District Office for review and reconsideration, employer protests and requests for opinions, outcome of the determination, and when case was completed.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after the end of the fiscal year. Destroy 3 years after cutoff.

Note: See item 13-1b for disposition of imaged correspondence/documents relating to reconsideration determinations, opinions and protests.

NARA Authority: DAA-0184-2013-0001-0001

13-3 Field Office Statistical Reports Relating to RRA and RUIA Programs

Statistically Targeted Automated Tracking System (STATS) database used to track RRA and RUIA activities to include processing of applications, beneficiary activities, claim processing activities, generate ad-hoc reports, and other statistical data used to produce the Monthly Field Office Administrative Report. See item 13-9 of this schedule.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff at the end of the fiscal year. Destroy 7 years after cutoff.

NARA Authority: DAA-0184-2013-0001-0002

13-4 Service Location Record

Form G-16 with names and claim numbers of those contacted while working at a Customer Outreach Program (CORP) service location.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff at the end of the fiscal year. Delete/destroy 3 years after cutoff.

NARA Authority: DAA-0184-2013-0001-0003

RRB RECORDS DISPOSITION HANDBOOK

13-5 CORP Service Schedule

Document generated in field offices and submitted to Field Service listing dates, hours of service, and contact information of RRB Representative scheduled to work at a CORP service location.

AUTHORIZED DISPOSITION: TEMPORARY. Delete/destroy when superseded or obsolete.

NARA Authority: DAA-0184-2013-0001-0004

13-6 Field Office Administrative Inspection Audits

Audits performed by Field Service personnel or Network Managers including checklists for inspection, background records, memoranda, notes, drafts, reports and related records.

AUTHORIZED DISPOSITION: TEMPORARY. Delete/destroy when 3 years old.

NARA Authority: DAA-0184-2013-0001-0005

13-7 Motor Vehicle Certification

Form G-1402, Employee Driver's License Certification, regarding condition of rental or personal vehicles; driver's license, registration, and insurance verification; and driver expectations while conducting official business. Files include supervisory review and employee signed statements regarding valid driver's license.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy 3 years after separation of employees or 3 years after recession of authorization to operate government-owned motor vehicles, whichever is sooner.

NARA Authority: DAA-0184-2013-0001-0006

13-8 Space Files

Records relating to the acquisition, allocation, utilization, release and maintenance of space in the District Offices.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when related contract is completed.

NARA Authority: DAA-0184-2013-0001-0007

RRB RECORDS DISPOSITION HANDBOOK

13-9 Monthly Field Office Administrative Report

Activities including significant incidents, statistical data on work counts, RUIA prepayment denials, correspondence tracking, meeting attendance, and office/CORP visitor counts and other statistical data from the STATS database used to create the report.

Note: See item 13-3 of this schedule.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff at the end of the fiscal year.
Destroy 5 years after cutoff.

NARA Authority: DAA-0184-2013-0001-0008

13-10 RRA Application Log and Record of Source Medical Development

District Office logs documenting applications and medical evidence information for disability applications and provides statistical data for Monthly Field Office Administrative Report. See item 13-9 of this schedule.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff at the end of the fiscal year.
Destroy 3 years after cutoff.

NARA Authority: DAA-0184-2013-0001-0009

13-11 Visitor Log

District Office log used to record names of outside contractors, service personnel, visitors, and employees entering and exiting RRB field offices and provides statistical data for Monthly Field Office Administrative Report. See item 13-9 of this schedule.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff at the end of the fiscal year.
Destroy 3 years after cutoff.

NARA Authority: GRS 18-17(b)

13-12 Informational Conference Report

Report submitted to the Labor Member's Office following the completion of an Informational Conference conducted by the field office and includes the names of the presenters, remarks about the conference and the members/crafts in attendance.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy 3 years from the date of the report.

NARA Authority: DAA-0184-2013-0001-0010

RRB RECORDS DISPOSITION HANDBOOK

Records Schedule 14 - Compensation and Certification

The mission of the Division of Compensation and Certification is to provide bureaus within the Board, as well as the railroad public and other federal agencies, records of railroad employee service and compensation. Specific elements of the division's mission are to receive and maintain compensation records of railroad employees; provide accurate and timely certification of employee service and compensation to the Office of Retirement and Survivor Programs, the Bureau of Unemployment and Sickness Insurance and the Social Security Administration; and determine creditability of employee service and employer coverage status under the Acts.

Note: [See Records Schedule 20](#), Records Common to Most Offices for disposition authority of records related to routine internal, house-keeping activities, and extra copies of documents maintained solely for convenience of reference and the official record copy is listed in a bureau/office schedule.

14-1 **Employment Data Maintenance (EDM) System and Tape File**

Not Authorized for Disposition

The Employment Data Maintenance (EDM) System captures and maintains employment data for individuals who work or have worked for employers covered under the Railroad Retirement and Railroad Unemployment Insurance Acts. The employment data maintained consists of service and compensation, miscellaneous compensation, military service and social security wages.

A. Data System.

AUTHORIZED DISPOSITION: TEMPORARY. PENDING. Dispose of when no longer needed for administrative use.

B. Tape File.

1. Data Processing master. DSN: P. REA. #7426DD3

AUTHORIZED DISPOSITION: TEMPORARY. PENDING. Sent to security storage at FRC after annual update. Destroy after third update has been completed satisfactorily.

2. All other copies. DSN: P. REA. #7426DD3

AUTHORIZED DISPOSITION: TEMPORARY. PENDING. Destroy when superseded by subsequent year's update.

NARA Authority: **Not Authorized for Disposition at this time.**

RRB RECORDS DISPOSITION HANDBOOK

14-2 **Numident Request Tape File**

Magnetic tape file created as part of the annual EDM (see item 14-1) file update. File contains all new or unverified account numbers and is sent each year to the Social Security Administration for account verification matching.

DSN:P. EDM. #7820DD2

AUTHORIZED DISPOSITION: TEMPORARY. Send to security storage at FRC after file is created and copy sent to SSA. Destroy when superseded by subsequent year's file.

NARA Authority: NC1-184-89-2, Item 14-4

14-3 **Sorted Numident Reply File**

Tape file sent from the Social Security Administration replying to our Numident request file (see item 14-4) containing identifying information for the unverified accounts.

DSN: P. EDM. #7821DD1

AUTHORIZED DISPOSITION: TEMPORARY. Send to security storage at FRC after the master SCORE file is amended. Destroy when superseded by subsequent year's file.

NARA AUTHORITY: NC1-184-89-2, Item 14-5

14-4 **Q Tape File**

Magnetic tape file containing information regarding employees who have attained 120 months of railroad service during the recent year, any remaining unverified accounts, and any adjustments to 1937-1946 compensation data. The file is created after the annual EDM (see item 14-1) update, and a copy is sent to the Social Security Administration for use in amending their records.

DSN: P. REA. #7920DD3

AUTHORIZED DISPOSITION: TEMPORARY. Send to security storage at FRC after copy is sent to SSA. Destroy when superseded by subsequent year's update.

NARA Authority: NC1-184-89-2, Item 14-6

14-5 **Sick Pay of Railroad Employees Master File (SPREM)**

Magnetic tape file containing information regarding payments for sick time made to railroad employees by their employers, insurance companies or the Bureau of Unemployment and Sickness Insurance. File is used to input data to various other systems.

A. Master Tape

DSN: P.EDM. #7965DD1

AUTHORIZED DISPOSITION: TEMPORARY. Send to security storage at FRC after annual update. Destroy after third update has been completed.

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B. All other copies.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when superseded by subsequent year's update.

NARA Authority: NC1-184-89-2, Item 14-7

14-6 Railroad Employer Reports of Service and Compensation

Records are listings from magnetic tape, both annual and periodic adjustments, for Forms BA-3A, BA-4, and G-440. RRB file copy.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff closed coverage cases at the end of the accounting year and place in the inactive file. Transfer to FRC after 2 years. Destroy 5 years after cutoff.

NARA Authority: NC1 184-89-2, Item 14-9

14-7 SSA Number Discrepancy Files

Correspondence files from individuals regarding matters of coverage under the Railroad Retirement Act and matters of service and compensation where SSA numbers are in question.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after case is closed. Destroy 4 years after cutoff.

NARA Authority: NC1-184-89-2, Item 14-10

14-8 Railroad Employer Correspondence Case Files

Correspondence between railroad employers and the RRB about coverage, eligibility, matters concerning rates of tax, and records of service and compensation.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff at the end of calendar year. Destroy 4 years after cutoff.

NARA Authority: NC1-184-89-2, Item 14-11

14-9 Internal Alphabetical File

Memoranda generated within the RRB concerning individuals who have contacted the agency regarding the crediting of service and compensation to their accounts.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff at the end of calendar year. Destroy 1 year after cutoff.

NARA Authority: NC1-184-89-2, Item 14-12

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14-10 Abandoned Carrier Records

A. Records created on and prior to December 31, 1936.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff 5 years after statutory limit for benefit inclusion. Destroy December 31, 1991 after cutoff

B. Records created on and after January 1, 1937.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 5 years old.

NARA Authority: NC1-184-89-2, Item 14-13

14-11 Request for Employer Status

RRB Form, G-215, Request for Employer Status, documents the findings of the bureau of law concerning the coverage of railroads under the RRA and RUIA. Record is used in regular processing of railroad employer and employees' inquiries concerning benefits.

A. Division of Compensation and Certification copy.

1. Covered employers.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after coverage is terminated. Destroy 10 years after cutoff.

2. Non-covered or terminated employers.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after Bureau of Law findings. Destroy 10 years after cutoff.

B. Bureau of Law copy.

AUTHORIZED DISPOSITION: TEMPORARY. See disposition for Bureau of Law request for employer status file, RRB Schedule 9.

NARA Authority: NC1-184-89-2, Item 14-14

14-12 Suspense Listings

Cumulative suspense group listings from railroad employer reports which cannot be entered into the EDM file because of errors in the compensation/service reported for the individual employees.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 4 years old.

NARA Authority: NC1-184-89-2, Item 14-15

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14-13 Report Correction Journal Vouchers

RRB Form G-281, Log of Journal Vouchers for Miscellaneous Adjustment, contains adjustments to employees' accounts which either remove information from a suspense file, transfer information to a suspense file or shift service and compensation between account numbers.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 4 years old.

NARA Authority: NC1-184-89-2, Item 14-16

14-14 Annual Year-End Processing Data Case File

Tape records generated in year-end operations and used to produce the Certificate of Service Months and Compensation, RRB Form BA-6, sent to railroad employees and used in the bureau's Annual Wage Study Magnetic File.

DSN: P. REA. #7781DD1 - (ADDRESSED BA-6)
P. REA. #7781DD2 - (NON-ADDRESSED BA-6)
P. REA. #7781DD6 - (WAGE STUDY EXTRACT)

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when update is completed.

NARA Authority: NC1-184-89-2, Item 14-17

14-15 BA-6 Address File

Magnetic tape record of railroad employees' addresses furnished by employers who want RRB Form BA-6, Certificate of Service Months and Compensation, mailed directly to their employees.

DSN: P. REA. #7790DD2

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when new file is created.

NARA Authority: NC1-184-89-2, Item 14-18

14-16 Railroad Employee Representative Name File

Record of names of employee representatives used to substantiate reports of service and compensation of representatives.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after employee terminates as an employee representative. Destroy 1 year after cutoff.

NARA Authority: NC1-184-89-2, Item 14-19

14-17 Long-Term Employer Case File

Correspondence and special material that established or proved name changes, special reporting procedures, and special agreements.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after agreement is superseded or canceled. Destroy 5 years after cutoff.

NARA Authority: NC1-184-89-2, Item 14-20

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14-18 Account Number Correction Slips

Correction slips used for service and compensation for railroad employees; prepared by the Division of Compensation and Certification, Accounting and Coverage Section, from data supplied by individual railroads.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after date of correction. Destroy 5 years after cutoff.

NARA Authority: NC1-184-89-2, Item 14-21

14-19 Annuitants Return to Service Case File

Records of retired railroad employees who have returned to railroad service.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy after annual update.

NARA Authority: NC1-184-89-2, Item 14-23

14-20 CER-1 Microfilm File

Microfilm file of RRB issued 700-series social security numbers. Establishes employee age, social security number and the identifying number of their first railroad employer of record with the RRB.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when no longer needed for administrative use.

NARA Authority: NC1-184-89-2, Item 14-25

14-21 Employee Correspondence Case File

Files of correspondence from individuals employed in the railroad industry who request information about their accounts or make a protest concerning their accounts.

Scrambled wage cases or multiple SSA number cases with a potential for fraud are to be filed with the claim folders.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy after 4 years.

NARA Authority: NC1-184-89-2, Item 14-26

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Records Schedule 15 - Bureau of Quality Assurance

The Bureau of Quality Assurance monitors and evaluates the quality of key services provided to the railroad community by the RRB. The bureau ensures that the benefit programs comply with established policies, standards, and procedures to provide the public with the optimum level of service. The bureau maintains the quality assurance monitoring system and the quality assurance review system.

Note: [See Records Schedule 20](#), Records Common to Most Offices for disposition authority of records related to routine internal, house-keeping activities, and extra copies of documents maintained solely for convenience of reference and the official record copy is listed in a bureau/office schedule.

15-1 Quality Assurance Study Files

Documents describing the purpose and scope of proposed quality assurance studies to be undertaken by BQA. These studies, which evaluate the quality and effectiveness of various RRB operations, include sampling plans and statements of anticipated accuracy.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff at the end of the fiscal year.
Destroy 10 years after cutoff.

NARA Authority: NC1-184-88-1, Item 15-1

15-2 Case Study Checklists

Data collection forms containing statistical and narrative information used to complete various studies and reports issued by the BQA.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after completion of report or study. Destroy 3 years after cutoff.

NARA Authority: NC1-184-88-1, Item 15-2

15-3 Bureau of Quality Assurance Reports

Record copies of memoranda to the Director of Administration documenting the results of formal studies initiated by BQA. Included in each report is an executive summary, historical background, findings, recommendations, and related appendices.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 10 years old.

NARA Authority: NC1-184-88-1, Item 15-3

15-4 Quarterly and Annual Progress Reports

Office copies of administrative reports to the Director of Administration documenting BQA progress on various quality assurance studies and other program activities.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff at the end of the fiscal year.
Destroy 2 years after cutoff.

NARA Authority: NC1-184-88-1, Item 15-4

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15-5 Resolved Issues File

Contains memoranda between the BQA and other Board bureaus and offices concerning the resolution of operational deficiencies or procedural ambiguities identified.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff at the end of the fiscal year or when no longer needed for reference, whichever is sooner. Destroy 5 years after cutoff

NARA Authority: NC1-184-88-1, Item 15-5

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Records Schedule 16 - Office of Equal Opportunity

The Office of Equal Opportunity (OEO) provides leadership, direction and guidance in carrying out the RRB's equal opportunity and civil rights responsibilities. OEO administers the agency-wide equal employment opportunity (EEO) program by initiating policy, implementing and enforcing a variety of federal laws, executive orders and regulations that relate to EEO. This office is also responsible for providing oversight for the discrimination complaint, diversity and affirmative employment programs.

OEO coordinates the processing of complaints from RRB employees and applicants for employment involving issues of discrimination on the basis of race, color, religion, sex (including sexual orientation), national origin, age and disability. In addition, OEO is responsible for ensuring that beneficiaries are not excluded from participation in, denied the benefits of, or otherwise subjected to discrimination under any program or activity funded by the RRB.

Note: [See Records Schedule 20](#), Records Common to Most Offices for disposition authority of records related to routine internal, house-keeping activities, and extra copies of documents maintained solely for convenience of reference and the official record copy is listed in a bureau/office schedule.

16-1 Office of Director-Correspondence, Program and Policy Files

Correspondence and subject files of the Director of Equal Opportunity relating to organization, functional programs, committee meeting records, policy and procedural directives, regulations, special projects and events.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff at the end of the fiscal year.
Destroy 7 years after cutoff.

NARA Authority: DAA-0184-2018-0010-0001, Item 16-1

16-2 Office of Director Working Files

Non-essential working documents retained for reference purpose by the Director. Included are extra copies of official file material, supporting or background documents used in developing official files, but not needed as part of the official files, material not acted upon, general administrative documents and documents that do not serve as basis for an official action.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff at the end of the fiscal year.
Destroy 3 years after cutoff.

NARA Authority: DAA-0184-2018-0010-0001, Item 16-2

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16-3 Discrimination Complaint Case Files

- A. Official record copy of case file containing complaints with related correspondence, reports, exhibits, withdrawal notices, copies of decisions, records of hearings and meetings, and other records as described in 29 CFR Part 1614 and Equal Employment Opportunity Commission (EEOC) Management Directive 110. Includes cases resolved within the agency, by EEOC, or by a U.S. Court.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after resolution of case.
Destroy 4 years after cutoff.

- B. Copies of Complaint Case Files.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after resolution of case.
Destroy when no longer needed.

- C. Background and complaint records not part of an Official Discrimination Complaint Case File.

1. Background records not filed in an official case file including EEO counselor reports and informal discrimination complaints.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after resolution of case.
Destroy 2 years after cutoff.

2. Records documenting complaints that do **not** develop into Official Discrimination Complaint Cases.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 2 years old.

NARA Authority: GRS 2.3, Item's 110 (DAA-GRS-2018-0002-0012)
GRS 2.3, Item's 111 (DAA-GRS-2018-0002-0013)

16-4 EEO Annual Reports

Agency Copy of reports submitted annually to agencies that provide oversight of EEO programs. Annual reports include Management Directive 715, Statistical Report on Discrimination Complaints, and the No Fear Act.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 5 years old.

NARA Authority: GRS 5.7, Item 050 (DAA-GRS-2020-0001-0003)

16-5 EEO Affirmative Action Plans

Agency copy of Affirmative Action Plans. Includes Disabled Veterans Affirmative Action Plan.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after final plan is produced.
Destroy 5 years after cutoff.

NARA Authority: GRS 5.7, Item 050 (DAA-GRS-2020-0001-0003)

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16-6 Statistical Files

Employment statistical files relating to race, sex, ethnicity and disability. Files include data produced by the agency's human resources information system.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 5 years old.

NARA Authority: GRS 5.7, Item 050 (DAA-GRS-2020-0001-0003)

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Records Schedule 17 - Office of the Inspector General

The Inspector General, Railroad Retirement Board, monitors agency programs and operations to prevent and reduce waste and fraud and to improve agency management. The Inspector General Act of 1978, as amended, and other legislation established an Office of Inspector General (OIG) in selected government agencies. The OIG, RRB, conducts and supervises audits and investigations, recommends policies to promote economy, efficiency, and effectiveness and to prevent fraud and abuse, and reports problems, deficiencies and progress to the agency head. Statutory OIGs must submit semiannual reports to the Congress.

Note: [See Records Schedule 20](#), Records Common to Most Offices for disposition authority of records related to routine internal, house-keeping activities, and extra copies of documents maintained solely for convenience of reference and the official record copy is listed in a bureau/office schedule.

17-1 Policy and Procedures Files

Records defining and documenting the policies required for directing, controlling, and carrying out OIG operations.

- A. One record copy of each if not included in the agency's permanent set of master directives files or the record set of publications.

AUTHORIZED DISPOSITION: PERMANENT. Cutoff when superseded or obsolete. Transfer to NARA in 10-year blocks when 10 years old.

- B. All other copies.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when no longer needed.

- C. Working papers and background materials.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when no longer needed.

NARA Authority: NC1-184-88-1, Item 17-1

17-2 Semiannual Report to the Congress Files

OIG reports submitted to the Congress and working papers. The reports summarize the activities of the OIG for the six-month periods ending March 31 and September 30.

- A. Record copy of report.

AUTHORIZED DISPOSITION: PERMANENT. Cutoff upon transmission to the Congress. Transfer to NARA in 10-year blocks when 10 years old.

- B. Other copies of the report

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when no longer needed.

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C. Working papers.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when no longer needed.

NARA Authority: NC1-184-88-1, Item 17-2

17-3 Office of Inspector General (OIG) Investigative Case Files

A. Case files developed during investigations of known or alleged waste, fraud and abuse, and irregularities and violations of laws and regulations. Cases relate to programs and operations administered by the RRB. Scope of case includes but is not limited to, claimants for RRB benefits, RRB personnel, contractors and others having a relationship with the agency. Files consist of investigative reports and related documents, such as correspondence, notes, attachments, and background and working files.

AUTHORIZED DISPOSITION: TEMPORARY. Place in inactive files when case is closed. Cutoff inactive files at end of the fiscal year. Destroy 10 years after cutoff.

B. Electronic copies of records related to OIG Investigative Case Files (see item 17-3a) that are created on electronic mail and word processing systems and used solely to generate a record keeping copy. Also includes copies of such records created and maintained on electronic mail and word processing systems that are maintained for updating, revision, and or dissemination.

1. Copies that have no further administrative value after the record keeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the record keeping copy.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy/delete within 180 days after the official record copy has been produced.

2. Copies used for dissemination, revision, or updating that are maintained in addition to the record keeping copy.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy/delete when dissemination, revision or updating is completed.

NARA Authority: N1-184-00-0002, Item 17-3

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17-4 Office of Inspector General (OIG) Audit Case Files

- A. Case files of internal program evaluations that assist management in identifying, analyzing, and resolving program and organizational performance/policy issues, studies of specific concern, and internally generated initiatives designed to achieve organizational improvement. Includes working files (which can include survey questionnaires, rough draft proposals, correspondence etc.,) that are used to prepare the final recommendation and report.

AUTHORIZED DISPOSITION: TEMPORARY. Place in inactive file when case is closed. Cutoff inactive files at the end of the fiscal year. Destroy 8 years after cutoff.

- B. Electronic copies of records related to OIG Audit Case Files (see item 17-4a) that are created on electronic mail and word processing systems and used solely to generate a record keeping copy. Also includes copies of such records created and maintained on electronic mail and word processing systems that are maintained for updating, revision, and or dissemination.

1. Copies that have no further administrative value after the record keeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the record keeping copy.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy/delete within 180 days after the record keeping copy has been produced.

2. Copies used for dissemination, revision, or updating that are maintained in addition to the record keeping copy.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy/delete when dissemination, revision or updating is completed.

NARA Authority: N1-184-00-0002, Item 17-4

17-5 Indexes to Investigative and Audit Case Files

Electronic case tracking system and related outputs, manual lists, registers and finding aids containing data regarding RRB-OIG investigative and audit case files. Used as reference to assist in tracking and management of investigative and audit case files.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy/delete with related investigative and audit case files or when no longer needed for administrative, legal, audit or other operational purposes, whichever is later.

NARA Authority: N1-184-00-0002, Item 17-5

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17-6 **OIG Budget Files**

Records relating to the custody and disposition of funds related to OIG.

- A. Administrative files documenting OIG policy and procedure governing decisions affecting expenditures for OIG programs.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when no longer needed for reference.

- B. One record copy of the formal OIG Budget Justification for Congressional committees and OMB, together with justification statements containing summaries of financial, manpower, cost and workload data.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff at the end of the fiscal year. Destroy 10 years after cutoff.

- C. Working papers, cost statements and rough data accumulated in preparation of annual preparation of annual budget estimates and in administering approved budgets.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff at the end of the budget fiscal year. Destroy 1 year after cutoff or when no longer needed for reference, whichever is sooner.

- D. Periodic reports on status of appropriation accounts, apportionments and reapportionments.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff at the end of the fiscal year. Destroy 5 years after cutoff.

NARA Authority: NC1-184-88-1, Item 17-6

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Records Schedule 18 - Medicare

The Railroad Retirement Board (RRB) administers various provisions of the Medicare program for qualified railroad retirement beneficiaries (QRRBs). The RRB's responsibilities include enrollment of QRRBs for Medicare, collection of Medicare premiums and establishment of Medicare jurisdiction. These responsibilities require coordination and data exchanges between the RRB, the Social Security Administration, and the Centers for Medicare & Medicaid Services. The RRB also is responsible for all activities involving the RRB's Part B carrier, a private company contracted to process Part B claims for QRRBs enrolled in the Original Medicare plan.

Records used by the RRB in the administration of the Medicare program are maintained in various component offices in the Office of Programs, including Operations and Policy and Systems.

Note: [See Records Schedule 20](#), Records Common to Most Offices for disposition authority of records related to routine internal, house-keeping activities, and extra copies of documents maintained solely for convenience of reference and the official record copy is listed in a bureau/office schedule.

18-1 **Medicare, Information, Recorded, Transmitted, Edited and Logged (MIRTEL) File**

The MIRTEL file contains the official case records of all qualified railroad retirement beneficiaries with Medicare entitlement. The file contains detailed information about each eligible aged and disabled QRRB and deemed QRRB, including entitlement dates, enrollment and termination information, premium amounts and premium collection status, state buy-in information, Medicare Advantage Part B premium reduction information, and income-related monthly adjustment amount (IRMAA) information.

A. Master File

AUTHORIZED DISPOSITION: TEMPORARY. Records are terminated when the beneficiary dies or loses QRRB status. Destroy/delete terminated records 18 months from last activity date (when the beneficiary dies or loses QRRB status).

B. Generational Datasets of the MIRTEL master

AUTHORIZED DISPOSITION: TEMPORARY. Destroy/delete when 60 days old, and next subsequent MIRTEL update processing has been updated successfully.

NARA Authority: N1-184-09-02, Item 1

MIRTEL Inputs

18-2 **MIRTEL Source Records**

Electronic records used to create, update, or modify records in an electronic recordkeeping system and **excludes:**

- Original electronic records maintained in the source system,
- Electronic input records required for audit and legal purposes, and

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- Electronic input records produced by another agency under the terms of an interagency agreement or records created by another agency in response to the specific information needs of the receiving agency.

A. Income Related Monthly Adjustment Amount (IRMAA) Files

Annual and monthly files received from the Social Security Administration containing records of determinations on beneficiaries subject to payment of income-related monthly adjustment amounts for their Medicare Part B coverage.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy/delete annual and monthly files when 3 years old. Not media neutral. Applies to electronic records only.

B. Parts C and D Plan Enrollment Files

Monthly files received from Centers for Medicare & Medicaid Services containing records of enrollments and dis-enrollments in Medicare Advantage plans with Part B premium reductions for enrollees.

AUTHORIZED DISPOSITION: Destroy/delete files when 24 months old. Not media neutral. Applies to electronic records only.

C. State Buy-In Files

Monthly files received from the Centers for Medicare & Medicaid Services containing records of state-buy-in accretions and deletions.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy/delete when 12 months old. Not media neutral. Applies to electronic records only.

D. Medicare Premium Payment Bank Files

Daily files received from the financial institution with contractual responsibility for operating the Medicare premium payments lockbox. The files contain records of Part B premium payments for beneficiaries on direct billing.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy/delete files when 25 business days old. Not media neutral. Applies to electronic records only.

E. Enrollment Control RRB Update Transaction (ECRUT) Files

Daily files received from the Social Security Administration containing records of the results of processing of the RRB's Post Entitlement System (PSSRB) files. The file contains records showing that either the SSA Master Beneficiary Records (MBR) was successfully updated to show RRB jurisdiction for Medicare, the PSRRB transaction rejected, or that the MBR already displayed correct Medicare entitlement information.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy/delete files when 30 days old. Not media neutral. Applies to electronic records only.

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F. Health Insurance Daily RRB Exceptions (HRRRBEX/RBEX) Files

Weekly files received from the Centers for Medicare & Medicaid Services containing records of the results of processing of the RRB's Health Insurance Miscellaneous, RRB, Uninsured Transactions (HMRUNT) files.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy/delete files when 90 days old. Not media neutral. Applies to electronic records only.

NARA Authority: GRS 4.3, Item 020 (DAA-GRS-2013-0001-0004)

MIRTEL Reports/Outputs

18-3 **MIRTEL Microfilm of Activity (MMAC)**

The MMAC file is a weekly record of all activity processed in MIRTEL. In addition to a record of the activity, the MMAC file shows the MIRTEL record before and after updating. Effective with MMAC files created after December 2006, MMAC files are maintained as txt files on an internal fileserver and are also copied to CD-ROM.

A. MMAC files on internal fileserver.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy/delete when 3 years old.

B. MMAC files on CD-ROM.

AUTHORIZED DISPOSITION: Destroy/delete when 6 years and 3 months old.

C. Data set files from which MMAC files are produced.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy/delete when 1 year old.

NARA Authority: N1-184-09-02, Item 8

18-4 **Medicare Daily Activity Report (MEDDAR)**

MEDDAR reports and related dataset files from which they are generated are produced on each business day in which there is a MIRTEL processing run and provide a cumulative record of all activities processed in the MIRTEL runs from the beginning of the calendar month.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy all daily reports and related dataset files at end of month, upon generation of MEDMAR report.

NARA Authority: N1-184-09-02, Item 9

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18-5 **Medicare Monthly Activity Report (MEDMAR)**

MEDMAR reports and related dataset files from which they are generated are produced following the last business day of each month and are processed in the MIRTEL processing runs during the calendar month. The report is in the same format and contains the same information as the MEDDAR reports.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy all monthly reports and related dataset files when 3 years and 3 months old.

NARA Authority: N1-184-09-02, Item 10

18-6 **Medicare Programs Section Printouts**

Computer-generated listings and reports produced by MIRTEL and MAMMA processing, including daily and monthly listings of MIRTEL statistics, premium payment listings, voucher listings, state-buy-in records, and referral listings. Listings and reports are to validate complete and accurate processing of Medicare activities, and for management information purposes.

A. Major operating listings. Includes daily and monthly MIRTEL statistics, premium payment listings, SMI recertification voucher listing, state buy-in listings and voucher listings.

1. Operations Medicare Section copy.

AUTHORIZED DISPOSITION: TEMPORARY. Transfer to FRC when 2 years old. Destroy when 5 years old.

2. All other copies

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 1 year old or when no longer needed for administrative use, whichever is sooner.

B. MIRTEL syslists

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 1 year old or when no longer needed for administrative use, whichever is sooner.

NARA Authority: N1-184-09-02, Item 11

18-7 **Medicare Correction System (MEDCOR)**

On-line application that allows examiners and claims representatives to edit (establish, delete or change) a MIRTEL record.

A. System Data

AUTHORIZED DISPOSITION: TEMPORARY. Destroy/delete upon resolution or corrective action or when no longer need to create monthly management activity reports, whichever is later.

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B. Activity dataset files

AUTHORIZED DISPOSITION: TEMPORARY. Destroy/delete when 30 days old.

NARA Authority: N1-184-09-02, Item 13

18-8 Medicare Referral System (MEDREF)

On-line application that provides examiners information on MIRTEL and MAMMA processing that has generated alerts, rejects, and referrals that require corrective or other follow-up action. Referral data remains on the database until handled by an examiner and deleted. Selected information from deleted referrals is retained until written to reports, which are prepared on the first workday of each month.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy/delete upon resolution or corrective action or when no longer need to create monthly management activity reports, whichever is later.

NARA Authority: N1-184-09-02, Item 14

18-9 Monthly Adjustment of the MIRTEL Master (MAMMA)

Transactional Activity Files that compare and updates the MIRTEL Master and the RRB's DAISY/CHICO benefit payment system.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy/delete when 90 days old.

NARA Authority: N1-184-09-02, Item 15

18-10 Palmetto GBA Application Data

On-line application, which allows Palmetto customer service representatives (CSRs) to report the following directly to the RRB: beneficiary address changes, beneficiary dates of death, and requests for replacement Medicare cards. Records inputs are maintained for automated assignment to field offices for processing, and for development of management reports.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy/delete data maintained by system 3 year and 3 months after the end of the fiscal year in which the transactions occurred.

NARA Authority: N1-184-09-02, Item 16

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Records Schedule 19 - Public Affairs

Public Affairs is responsible for conducting a nationwide public information program for the Board. It compiles, edits, and writes material for Board publications including the Annual Report, Informational Conference Handbook, Quarterly Benefit Statistics, and others; prepares informational material on legislation in the form of booklets, news releases, and other material for railway labor and management publications and the media; prepares speeches for the Board Members and other officials as requested; and answers general and technical inquiries from the media, government, industry, and the general public.

Note: [See Records Schedule 20](#), Records Common to Most Offices for disposition authority of records related to routine internal, house-keeping activities, and extra copies of documents maintained solely for convenience of reference and the official record copy is listed in a bureau/office schedule.

19-1 Public Affairs Publications

- A. Record copy of Public Affairs publications including the Annual Report, Quarterly Benefit Statistics, Benefits and Beneficiaries, News Releases and Pamphlets, and the All A-Board.

AUTHORIZED DISPOSITION: PERMANENT. Cutoff at end of the fiscal year. Hold 5 years and transfer to FRC. Transfer to NARA's Archives after 15 years.

- B. All other copies.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when no longer needed for administrative use.

NARA Authority: NC1-184-88-1, Item 19-1

19-2 Material Files for Public Affairs Publications

Files consist of background material (paper & electronic) for publications, including source material, camera-ready layout, and galleys of publications.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when no longer needed for administrative use.

NARA Authority: N1-184-93-1, Item 19-2

19-3 Correspondence Response Files

Files consisting of responses to VIP inquiries, e.g., congressional inquiries, Board Member referrals, and media inquiries as well as inquiries from annuitants and the general public, and inquiries requesting genealogical information.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 5 years old.

NARA Authority: NC1-184-88-1, Item 19-3

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19-4 **Speeches and Special Projects Files**

Contains record copies of speeches of Board Members, bureau heads and field personnel related to special projects and other matters. These projects include general data furnished to magazines and organizations upon request.

A. Speeches of Board Members.

AUTHORIZED DISPOSITION: PERMANENT. Transfer to NARA when 10 years old in 10-year blocks.

B. All other speeches and projects.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when no longer needed for administrative use.

NARA Authority: NC1-184-88-1, Item 19-4(a) and N1-184-93-1, Item 19-4(b)

19-5 **Publications from Outside the Board**

Includes news releases, reports, and other printed material received in public affairs from government agencies, Association of American Railroads, and other groups dealing with work-related subjects.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 5 years old.

NARA Authority: NC1-184-88-1, Item 19-5

19-6 **Combined Federal Campaign (CFC) Records**

Records associated with the management of the RRB's annual CFC initiative.

A. Keyperson solicitor reports, weekly tally and progress reports, raffle and Guesstimate entry forms and promotional items.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 3 years old.

B. Donor and contribution report information.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy previous Fiscal Year data upon start of new CFC campaign.

NARA Authority: N1-184-08-2, Item's 1 and 2

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Records Schedule 20 - Records Common to Most Offices

This schedule provides for the disposal or retention of certain records common to most offices in the Board. The records covered by this schedule relate to routine internal, administrative and housekeeping activities. The records generally serve facilitative or informational purposes. They are often extra copies of documents whose record copies are listed elsewhere in other schedules.

Note: The disposition authority for items in this schedule may not be applied to files that contain program records or by an office that receives and takes actions on documents submitted by other bureau/offices. When in doubt about applicability of disposition authority, contact the Records Officer at (312) 751-4826.

20-1 Office Administrative Files

Records accumulated by individual offices that relate to the internal administration or housekeeping activities of the office rather than the functions for which the office exists. In general, these records relate to the office organization, staffing, procedures, and communications; including facsimile machine logs, the expenditure of funds, including budget records, day to day administration of office personnel including training and travel; supplies and office services and equipment requests and receipts; and the use of office space and utilities. They may include copies of internal activity and workload reports (including work progress, statistical, and narrative reports which are prepared in the office and forwarded to higher levels) and other materials that do not serve as official documentation of the program or office.

This schedule is not applicable to the record copies of organizational charts, functional statements, and related records that document the essential organization, staffing, and procedures of the office, which must be scheduled and approved by NARA prior to disposal.

NARA Authority: GRS 23-1

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff at the end of the calendar year. Destroy when 2 years old or when no longer needed, whichever is sooner.

20-2 Tracking and Control Records

Routine job records used to provide access to and control of records authorized for destruction by the GRS or a NARA-approved records schedule to include indexes, lists, registers, inventories, logs, and similar records and **excludes:**

- Records containing abstracts of records content or other information that can be used as an information source apart from the related records, and

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- Tracking and control records related to records scheduled as permanent. The value of these records varies, so tracking and control records related to permanent records must be scheduled.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy/delete when 2 years old, or 2 years after the date of the latest entry, whichever is applicable.

NARA Authority: GRS 4.1, Item 010 (DAA-GRS-2013-0002-0016)

20-3 Quasi-Official Notices

Memoranda and other papers that do not serve as the basis of official actions, such as notices of holidays, or charity and welfare fund appeals, bond campaigns, and similar papers.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 3 months old.

NARA Authority: GRS 23-7

20-4 Access Passes

A. Building passes, property passes, parking permits, and other identification credentials.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy 3 months after return to issuing office.

B. Records of issuance and return.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy after all are accounted for.

NARA Authority: GRS 11-4(a) and (b)

20-5 Messenger Service Files

Daily logs, assignment records and instructions, dispatch records, delivery receipts, route schedules, and related records.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 2 months old.

NARA Authority: GRS 12-1

20-6 Property Disposal Correspondence Files

Correspondence files maintained by units responsible for property disposal, pertaining to their operation and administration, including RRB Form G-428.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 2 years old.

NARA Authority: GRS 4-1

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20-7 **Form T-83 (List of RRB Offices)**

List of RRB offices where full and part-time service is provided showing regional boundaries, addresses, and phone numbers. Includes memoranda advising of changes to be made. Includes memoranda advising of changes to be made.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 6 months old or no longer needed for administrative use whichever is sooner.

NARA Authority: NC1-184-89-2, Item 20-7

20-8 **Requisitions**

Copies of completed requisitions that are kept in initiating bureau or offices.

A. Stocked supplies and forms.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 6 months old.

B. Non-stocked items and equipment and special services.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 6 months old.

NARA Authority: GRS 3-8(a) and (b)

20-9 **Duplicate Documentation and Personnel Files Maintained Outside Personnel Office (Supervisor Personnel Files and Duplicate OPF Documentation).**

a. Supervisor's Personnel Files

Correspondence, memoranda, forms and other records relating to positions, authorizations, pending actions, requests for personnel actions, and records on individuals that are duplicated in that are duplicated in or not appropriate for the Official Personnel Folder.

AUTHORIZED DISPOSITION: TEMPORARY. Review annually and destroy superseded or obsolete documents; destroy all documents relating to an individual employee 1 year after separation or transfer.

b. Duplicate Documentation

Other copies of documents duplicated in Official Personnel Folders not provided for elsewhere in this schedule.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 6 months old.

NARA Authority: GRS 1-18(a) and (b)

20-10 **Individual Bureau/Office Budget Files**

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff at end of fiscal year or when no longer needed for administrative use, whichever is sooner. Destroy 5 years after cutoff.

NARA Authority: NC1-184-89-2, Item 20-10

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20-11 Budget Reports Files

Bureau/office copies of periodic reports on the status of apportionments. Includes the overtime status report, the travel status report, and report of FTE usage.

A. Annual report (reflects end of fiscal year; issued in September).

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 5 years old.

B. All other reports.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff at the end of the fiscal year.
Destroy 3 years after cutoff.

NARA Authority: GRS 5-3(a) and (b)

20-12 Daily Time Sheets

RRB Form, G-56, Daily Time Sheet used to support entries on time and attendance reports. Includes name, time-in, time-out, hours worked, and leave taken.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff at the end of the fiscal year.
Destroy after GAO audit or when 6 years old, whichever is sooner.

NARA Authority: GRS Item 2-7

20-13 Leave Application Files

Form OPM 71, Request for Leave of Approved Absence and supporting papers retained by timekeepers as documentation for their payroll entries when an employee has not initialed time care or equivalent.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff at the end of the fiscal year.
Destroy after GAO audit or when 3 years old, whichever is sooner.

NARA Authority: GRS 2-6(b)

20-14 Tesseract Payroll System Time and Attendance Reports

Bureau/office copies of Tesseract time and attendance reports.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when no longer needed, not to exceed 2 years.

NARA Authority: GRS 2-22(a)

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20-15 Feasibility Studies

Studies conducted before the installation of any technology or equipment associated with information management systems, such as word processing, copiers, micrographic and system analyses for the initial establishment and major changes of these systems. Such studies typically include a consideration of the alternatives to the proposed system and a cost/benefit analysis, including an analysis of the improved efficiency and effectiveness to be expected from the proposed system and **exclude** system data or content.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after completion or cancellation of study. Destroy 5 years after cutoff.

NARA Authority: GRS 3.1, Item 011 (DAA-GRS-2013-0005-0007)

20-16 Operations Plans

Yearly plans submitted by bureaus and offices in two parts. First call summarizes accomplishments of the completed fiscal year based on previously set objectives. Second call submission predicts work by setting objectives for the next three years.

Note: These are not the record copies filed with the Director of Administration.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff at the end of the fiscal year. Destroy when 5 years old, or when no longer needed for administrative use, whichever is sooner.

NARA Authority: N1-184-93-6, Item 20-16

20-17 Work Measurement Reports

Monthly reports of work output by bureaus.

A. Cumulative fiscal year report (issued in September).

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 3 years old.

B. Monthly reports.

AUTHORIZED DISPOSITION: Destroy at end of fiscal year.

NARA Authority: NC1-184-89-2, Item 20-17

20-18 FOIA Administrative Files

Records relating to the general agency implementation of the FOIA, including notices, memoranda, routine correspondence, and related records.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 2 years old.

NARA Authority: GRS 14-15

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20-19 Privacy Act Administrative Files

Records relating to the general agency implementation of the Privacy Act, including notices, memoranda, routine correspondence, and related records.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 2 years old.

NARA Authority: GRS 14-26

20-20 Employee Record Cards

Bureau/office copies of employee record cards (SF-7B) used for informational purposes.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy on separation or transfer of employee.

NARA Authority: GRS 1-6

20-21 Performance Appraisals

Bureau/office copies of performance appraisals of non-SES employees. Includes the appraisal, the job elements and standards upon which it is based and all supporting documentation.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after close of the appraisal. Destroy 4 years after cutoff.

NARA AUTHORITY: GRS 1-23(a)(4) and (5)

20-22 Requests for Change in Consolidated List of Permanent Positions

Bureau/office copies of RRB Form G-189 which outline bureau or regional requests for changes in organizational structure.

Note: Record copy maintained in Bureau of Personnel. See Schedule 7.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff at the end of the fiscal year. Destroy when no needed for reference.

NARA Authority: NC1-184-89-2, Item 20-22

20-23 Notifications of Personnel Actions

Bureau/office copies of Standard Form 50 documenting initial employment, promotions, transfers in or out and all other individual personnel actions.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 1 year old.

NARA Authority: GRS 1-14(b)

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20-24 Travel Vouchers

Bureau/office memorandum copies of SF 1113A, Public Voucher for Transportation Charges and SF 1169, U.S. Government Transportation Request. Records are maintained for Government Accountability Office (GAO) or other authority site audit.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff at the end of the fiscal year. Destroy when 6 years old or after GAO Audit whichever is sooner.

NARA Authority: GRS 1.1, Item 010 (DAA-GRS-2013-0003-0001)

20-25 Employee Training Files

Bureau/office copies of requests, authorizations agreements, certifications of training and other records relating to the availability of training and employee participation in training programs sponsored by other government agencies or non-government institutions.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 5 years old or when superseded or obsolete, whichever is sooner.

NARA Authority: GRS 1-29(b)

20-26 Tuition Assistance

Bureau/office copies of requests for assistance, course evaluations, and reimbursement receipts.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 5 years old or when superseded or obsolete.

NARA Authority: NC1-184-89-2, Item 20-26

20-27 Schedules of Daily Activities

Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities by Federal employees while serving in an official capacity and **exclude** materials determined to be personal.

- A. Records containing substantive information relating to official activities, the substance of which has not been incorporated into official files and **exclude** records relating to the official activities of high Government officials.

Note: High level officials include the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy or delete when 2 years old.

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- B. Records documenting routine activities containing no substantive information and records containing substantive information, the substance of which has been incorporated into organized files.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy or delete when no longer needed for convenience of reference.

NARA Authority: GRS 23-5

20-28 Project Control Files

Memoranda, reports, and other records documenting assignments, progress, and completion of projects.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy 1 year after the year in which the project is closed.

NARA Authority: GRS 16-5

20-29 Forms Files

Bureau/office copies of RRB Form G-415, Clearance of New or Revised Form and background materials.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after form is discontinued, superseded, canceled. Destroy 3 years after cutoff.

NARA Authority: GRS 4.1, Item 40 (DAA-GRS-2013-0002-0009)

20-30 Management Control Review

Records created in accordance with procedures mandated by OMB Circular A-123, Management Accountability and Control Systems, and Pub.L. 97-255, the Federal Managers' Financial Integrity Act. Under these authorities, agencies are required to perform evaluations of their accounting and administrative controls to prevent waste, fraud, and mismanagement.

- A. Policy, procedure, and guidance files.

Copies of internal directives maintained by the agency's internal control staff and **excludes** copies maintained in the agency's official file of internal directives, external directives such as OMB Circular A-123, and correspondence outlining policy and procedure for performing management reviews.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when superseded.

- B. Management control plans.

Comprehensive plans documenting the agency's efforts to ensure compliance with OMB Circular A-123.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when superseded.

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C. Risk analyses.

Reports and supporting materials used to document review of program areas for susceptibility to loss or unauthorized use of resources, errors in reports and information, and illegal and unethical actions.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff closed files annually. Destroy after next review cycle.

D. Annual reports and assurance statements created by organizational components below the agency (department or independent agency) level and compiled by the agency into a single unified report for direct submission to the President or Congress.

Note: This item does not cover the consolidated final reports submitted directly to the President or Congress.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff closed files annually. Destroy after next reporting cycle.

E. Tracking files.

Files used to ensure the completion and timeliness of submission of feeder reports, including schedules of evaluations, interim reporting, lists of units required to report, and correspondence relating to the performance of the reviews.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy 1 year after report is completed.

F. Review files.

Correspondence, reports, action copies of audit findings, and other records that identify program internal control weaknesses, and corrective actions taken to resolve such problems. Since A-123 provides for alternative internal control reviews under OMB Circulars A-76, A-127, or A-130, this item also applies to copies of these reviews, provided they are identified as alternative reviews in the management control plan.

1. Office with responsibility for coordinating internal control functions.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff when no further corrective action is necessary. Destroy 5 years after cutoff.

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2. Copies maintained by other offices as internal reviews.

Note: Alternative reviews such as computer security reviews and management and consultant studies may need to be kept longer than provided in item 14f(2). This item applies only to copies maintained as internal reviews.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff when no further corrective action is necessary. Destroy 1 year after cutoff.

NARA Authority: GRS 16-14

20-31 Alternate (Telework) Worksite Records

Bureau/office and employee copies of approved requests, agreements between employer and employee; records relating to the safety of the worksite; the installation and/or use of equipment, and related records.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy 1 year after evaluation or when no longer needed, whichever is later.

NARA Authority: GRS 1-42(c)

20-32 Downloaded and Copied Data of Output Records

A. Output reports and records derived from a system master file or query and created in hardcopy or electronic format on an ad-hoc or on-time bases for reference purposes only and have no other business value beyond the immediate need and **excludes**:

- Original electronic records maintained in the source system,
- Reports created to satisfy established reporting requirements (e.g. statistical reports produced quarterly in accordance with an agency directive or other regular reports to management officials),
- Reports documenting reporting requirements or containing substantive information such as annotations that is not included in the electronic records that should be disposed of in accordance with a NARA-approved schedule of the record series the report is filed, and
- Electronic input records required for audit and legal purposes.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy immediately after data have been entered or otherwise incorporated into the master file or database and verified.

B. Metadata, reference data, or other electronic records used to create, update, or modify records in an electronic recordkeeping system to include:

- electronic files that duplicate information from a source electronic system for input into another electronic system,

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- electronic records received from another agency and used as input/ source records by the receiving agency,
- computer files or records containing uncalibrated and unvalidated digital or analog data collected during observation or measurement activities or research and development programs and used as input for a digital master file or database, and
- Electronic input records produced by another agency under the terms of an interagency agreement or records created by another agency in response to the specific information needs of the receiving agency.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy immediately after data have been entered or otherwise incorporated into the master file or database and verified. Not media neutral. Applies to electronic records only.

NARA Authority: GRS 4.3, Item 030 (DAA-GRS-2013-0001-0005)
GRS 4.3, Item 020 (DAA-GRS-2013-0001-0004)

20-33 Electronic Email

The official record copy of permanent and temporary Emails stored in the EMC SourceOne Archive to document the organization, functions, policies, decisions, procedures, operations, transactions, supervisory, administrative, audit, and other RRB activities.

A. Capstone Official Email

RRB staff in roles and positions that predominately create permanent records related to mission-critical functions or policy decisions and/or are of historical significance and are identified on Form NA Form 1005, Verification for Implementing General Records Schedule 6.1 to include:

- Board Members,
- Staff assistants to the Board Members who carry out work activities on behalf of the Board Members such as such as Counsel, Attorney-Advisor, Secretary, Administrative Aide, Secretary to the Board, and other equivalent roles and positions,
- Principal managers and equivalent positions who have operational and management responsibilities in the RRB such as Chief Information Officer, Director of Administration, Chief Financial Officer, Executive Assistants to principal managers, and other positions supporting principal managers,
- Directors, deputies or equivalents of significant program offices or major offices that manage lines of business that support the RRB mission such as the Chief Actuary, Director of Field Service, Director of Programs, Director of Hearings and Appeals, Field Service, Director of Programs, Director of Policy and Systems, Director of Disability Benefits Evaluation and Management Services, and Director of Unemployment and programs, and

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- Roles and positions that advise Board Members, principal managers, directors, and their equivalents, if applicable as well as provide program oversight, legal protections and oversight, and daily operations and management such as the General Counsel, Inspector General, and directors, Executive Assistants, assistants, and other equivalent positions supporting the General Counsel and Inspector General.

PROPOSED DISPOSITION: PERMANENT. Cutoff Capstone Official email at the end of the calendar year. Transfer to the National Archives and Records Administration 25 years after cutoff.

B. Non-Capstone Official Email

RRB positions not covered by item 20-33a (Capstone Official Email) and applies to most email within the agency to include RRB staff working in roles and positions that carry out routine administrative or audit activities to include but is not limited to:

- Supervisor work activities that plan, assign, review work, and evaluate performance,
- Routine transactions,
- Audits,
- Customer service activities,
- Respond to general requests for information, and
- Routine clerical work.

AUTHORIZED DISPOSITION: TEMPORARY. Delete when 7 years old. Not media neutral. Applies to Email in an electronic format only.

Note: The dispositions instructions in this item **excludes:**

- Hard copy email cross-filed in transitory, administrative, correspondence, case, project or other related files covered elsewhere in this schedule.
- Email stored in the RRB Imaging System or other electronic systems covered elsewhere in this schedule.

C. All other copies.

AUTHORIZED DISPOSITION: TEMPORARY. See item 20-34 of this schedule for non-recordkeeping copies. Not media neutral. Applies to Email in an electronic format only.

NARA Authority: GRS 6.1, Item 010 (DAA-GRS-2014-0001-0001)
GRS 6.1, Item 011 (DAA-GRS-2014-0001-0002)

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20-34 **Non-Recordkeeping Copies of Electronic Records**

Copies of electronic records maintained in computer hard drives or networks; email servers; web servers; or other locations after the official record copy is produced and have no other administrative or reference value; or maintained for updating, revising, or disseminating to include:

- Word Processing files such as letters, memoranda, reports, handbooks, directives, manuals, briefings or presentations created on office applications, including Portable Document Format (PDF) or its equivalent,
- Personal or duplicate Email,
- Electronic spreadsheets,
- Digital video or audio files,
- Digital maps or architectural drawings, and
- Electronic records maintained on websites or web servers.

Note: Excludes the official record copy of email identified in item's 20-33(a) and (b) of this schedule, or Email filed in case files, project files, or electronic systems covered elsewhere in this schedule. Such Email should be disposed of in accordance with a NARA-approved disposition authority of the records series where the Email is filed.

AUTHORIZED DISPOSITION: TEMPORARY. Delete from the system when no longer needed for reference or when copied to a recordkeeping system, whichever is sooner. Not media neutral. Applies to electronic records only.

NARA Authority: GRS 4.3, Item 040 (DAA-GRS-2013-0001-0007)

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Records Schedule 21 - Bureau of Taxation

The Bureau of Taxation controls the activities associated with the taxation of annuities paid under the Railroad Retirement Act. The bureau makes the timely and accurate reports required by the Internal Revenue Code. The bureau ensures that amounts are withheld properly from annuity payments.

Note: [See Records Schedule 20](#), Records Common to Most Offices for disposition authority of records related to routine internal, house-keeping activities, and extra copies of documents maintained solely for convenience of reference and the official record copy is listed in a bureau/office schedule.

21-1 Annual Statement Taxation Microfilm

Annual microfilm produced from magnetic tape that contains tax information released to railroad retirement annuitants on Forms, RB-1099, Annuities or Pensions by the Railroad Retirement Board and RRB-W-2P for each tax year.

A. Magnetic tape file.

DSN: No longer created

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when superseded by subsequent update.

B. Taxation Programs Master and copy.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 5 years old.

C. All other bureau copies.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 2 years old or no longer needed for administrative use, whichever is sooner.

NARA Authority: NC1-184-89-3, Item 10-24

21-2 IRS Tax Statement Tape File

Magnetic tape file (a copy of which is sent to the Internal Revenue Service (IRS) prepared semi-annually which contains tax data on RRB annuitants using the format prescribed by the IRS.

DSN: P.BRC. #2185D18

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 5 years old.

NARA Authority: NC1-184-89-3, Item 10-25

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21-3 Withholding Certificate for Railroad Retirement Payment

File consisting of Form RRB W-4P that is completed throughout the tax year by annuitants to indicate the withholding desired for the portion of their annuity considered a private pension.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 5 years old.

NARA Authority: NC1-184-89-3, Item 10-26

21-4 Non-resident Questionnaire File

File consisting of Form RRB-1001 that is completed by non-resident alien annuitants which furnishes citizenship, residence, and tax treaty exemption information required for U.S. income tax purposes.

Note: The above items were transferred from the Office of Retirement and Survivor Program's schedule (No. 10) when the Bureau of Taxation was created.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 5 years old.

NARA Authority: NC1-184-89-3, Item 10-27

21-5 W2P/RRB 1099 Undeliverable Tax Statements

File consists of annual tax statements sent to Railroad Retirement annuitants that are returned to the RRB by the U. S. Postal Service as undeliverable.

AUTHORIZED DISPOSITION: TEMPORARY. Transfer to FRC 6 months after end of tax year in which produced. Destroy when 5 years old.

NARA Authority: NC1-184-92-1, Item 21-5

21-6 Daily Update Listings

Computer-generated listing detailing all additions, deletions and adjustments to the Taxation Accounting System. Produced daily.

AUTHORIZED DISPOSITION: TEMPORARY. Transfer to FRC when 18 months old. Destroy when 6 years and 3 months old.

NARA Authority: N1-184-93-4, Item 21-6

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Records Schedule 22 - Disability Operations

The Disability Operations administers complex and varied benefit provisions of the Railroad Retirement Act as it pertains to disability benefits. These include making the initial disability determinations, payment of the disability annuity and conducting continuing disability reviews. The office is responsible for carrying out the RRB's responsibilities under the Medicare program which includes coordinating the RRB's Medicare activities with those of the Social Security Administration and Health Care Financing Administration. The office is also responsible for all activities involving the RRB's Part B carrier, currently The Travelers Insurance Company. Disability Operations is also responsible for the planning and development of manual and automated systems to reflect changes in processing, law and technology.

Notes: See the following records schedules for other records managed by Disability Operations:

1. [See Records Schedule 18](#), Medicare for disposition authority of records used by the RRB in the administration of the Medicare program are maintained in various components of the Office of Programs, including Operations and Policy and Systems.
2. [See Records Schedule 20](#), Records Common to Most Offices for disposition authority of records related to routine internal, house-keeping activities, and extra copies of documents maintained solely for convenience of reference and the official record copy is listed in a bureau/office schedule.

22-1 **Medicare Programs Section Printouts**

Computer printed paper listings and reports produced by the MIRTEL system. (MIRTEL stands for Medicare Information, Recorded, Transmitted, Editd and Logged.)

- A. Major operating listings. Includes daily and monthly MIRTEL statistics, premium payment listings, SMI recertification voucher listing, State Buy-In listings and voucher listings.

1. Medicare Programs Section copy.

AUTHORIZED DISPOSITION: TEMPORARY. Transfer to FRC when 2 years old. Destroy when 5 years old.

2. All other copies

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 1 year old or when no longer needed for administrative use, whichever is sooner.

- B. MIRTEL syslists

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 1 year old or when no longer needed for administrative use, whichever is sooner.

NARA Authority: NC1-184-89-3, Item 10-5 and N1-184-93-12, Item 10-5(a)(1)

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22-2 Medicare Programs Section Microfilm

Microfilms produced from magnetic tape that are used in the Medicare health insurance operations.

- A. MIRTEL Microfilm of Activity (MMAC). Microfilm record of all activity processed in the Medicare health insurance computer system. Produced weekly.

1. Control and Services master.

AUTHORIZED DISPOSITION: TEMPORARY. Transfer to FRC when 3 years old. Destroy when 6 years and 3 months old.

2. Medicare Programs Section copies.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 3 years old.

3. All other copies.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 6 months old or when no longer needed for administrative use, whichever is sooner.

- B. MIRTEL file (MIRF). Microfilm of all active and inactive records in the health insurance computer system. Produced monthly.

1. Control and Services master.

AUTHORIZED DISPOSITION: TEMPORARY. Transfer to FRC when 3 years old. Destroy when 6 years 3 months old.

2. Medicare Programs Section copy.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 3 years old.

3. All other copies.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 6 months old or no longer needed for administrative use.

- C. Magnetic tape files from which MMAC and MIRF are produced.

DSN: P.BRC.#2745DD2 (MMAC) P.BRC.#2699DD2 (MIRF)

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 1 year old.

NARA Authority: NC1-184-89-3, Item 10-6

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22-3 MIRTEL Input Forms

A. RRB Form, G-800, Notice of Premium Payment Due

AUTHORIZED DISPOSITION: TEMPORARY. Transfer to FRC when 1 year old. Destroy when 3 years old. Not media Neutral. Applies to hardcopy or analog records only.

B. RRB Forms, G-810, Coding Supplement and G-811,

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 6 months old. Not media Neutral. Applies to hardcopy or analog records only.

NARA Authority: GRS 4.3, Item 010 (DAA-GRS-2013-0001-0001)

22-4 Disability Input Forms

Copies of disability award forms used as input documents to KOR, RASI and internal PC tracking system. Includes RRB Forms G-325, Disability Decision Sheet, G-325A, Determination of Continuance or Cessation of Disability and Form SSA-831-U3.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 2 years old. Not media Neutral. Applies to hardcopy or analog records only.

NARA Authority: GRS 4.3, Item 010 (DAA-GRS-2013-0001-0001)

22-5 Medicare Refunds and Canadian Payments

Record system consisting of RRB Forms, G-730, Determination of Award Hospital Insurance Benefits for Services in Canada and G-804, and Treasury Department confirmation sheet. Maintained to document RRB requests for Medicare related check writing activity.

AUTHORIZED DISPOSITION: TEMPORARY. Cutoff after final payment or cancelation period covered by account. Destroy 6 years after cutoff. Not media Neutral. Applies to hardcopy or analog records only.

Note 1: Procurement and other financial files that stand out because of high dollar value, media attention, historical value, research value, or other extenuating circumstances may have permanent value.

Note 2: The Comptroller General has the right to require an agency to retain any portion of these records for a period of up to 10 years.

NARA Authority: GRS 1.1, Item 010 (DAA-GRS-2013-0003-0001)

22-6 Program Accounts Receivable (PAR) Medicare Microfilm

Microfilm containing information related to Medicare debts that were recovered or waived during a previous fiscal year.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 6 years 3 months old.

NARA Authority: GRS 6-10(a) and (b)(1)

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22-7 **Travelers Insurance BIC (Benefit Information Card) Microfiche**

Copies of microfiche record containing selected information about beneficiaries entitled to Medicare. Also provided to The Travelers Insurance Company.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy upon receipt of new microfiche.

NARA Authority: NC1-184-89-3, Item 10-22

22-8 **Terminally Ill (TERI) tracking system, Inputs and Reports**

PC-based system that tracks case disposition of claimants with a terminally ill diagnosis.

A. Inputs

AUTHORIZED DISPOSITION: TEMPORARY. Destroy/delete when no longer needed for administrative use. Not media Neutral. Applies to hardcopy or analog records only.

B. PC-based system and **excludes:**

- Original electronic records maintained in the source system,
- Electronic input records required for audit and legal purposes, and
- Electronic input records produced by another agency under the terms of an interagency agreement or records created by another agency in response to the specific information needs of the receiving agency.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy/delete when no longer needed for administrative use. Not media Neutral. Applies to hardcopy or analog records only.

C. Reports/outputs and **excludes:**

- Reports created to satisfy established reporting requirements reports produced in accordance with an agency directive or other regular reports to management officials, and
- Records containing substantive information, such as annotations, that is **not** included in the electronic records. Such reports should be disposed of in accordance with a NARA-approved disposition authority of the records series in which the report is filed.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 2 years old.

NARA Authority: GRS 4.3, Item 010 (DAA-GRS-2013-0001-0001)
GRS 4.3, Item 020 (DAA-GRS-2013-0001-0004)
GRS 4.3, Item 030 (DAA-GRS-2013-0001-0005)

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22-9 Continuing Disability Review Records

PC-based system that tracks the call ups for the Continuing Disability Review program activities.

A. G-135 input documents

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 2 years old. Not media Neutral. Applies to hardcopy or analog records only.

B. PC-based system and data and excludes:

- Original electronic records maintained in the source system,
- Electronic input records required for audit and legal purposes, and
- Electronic input records produced by another agency under the terms of an interagency agreement or records created by another agency in response to the specific information needs of the receiving agency.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy/delete when no longer needed for administrative use. Not media Neutral. Applies to hardcopy or analog records only.

C. Activity reports

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 4 years old.

NARA Authority: GRS 4.3, Item 010 (DAA-GRS-2013-0001-0001)
GRS 4.3, Item 020 (DAA-GRS-2013-0001-0004)
GRS 4.3, Item 030 (DAA-GRS-2013-0001-0005)

22-10 Consultative Examinations Tracking Records

PC-based system that tracks consultant physicians' caseloads and time charged to the RRB for their services.

a. Inputs (physicians' time sheets)

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 6 years 3 months old. Not media Neutral. Applies to hardcopy or analog records only.

b. PC-based system and data

AUTHORIZED DISPOSITION: TEMPORARY. Destroy/delete when no longer needed for administrative use.

c. Reports and excludes:

- Reports created to satisfy established reporting requirements reports produced in accordance with an agency directive or other regular reports to management officials, and

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- Records containing substantive information, such as annotations, that is **not** included in the electronic records. Such reports should be disposed of in accordance with a NARA-approved disposition authority of the records series in which the report is filed.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 3 years old.

NARA Authority: GRS 1.1, Item 010 (DAA-GRS-2013-0003-0001)
GRS 1.1, Item 011 (DAA-GRS-2013-0003-0002)
GRS 4.3, Item 030 (DAA-GRS-2013-0001-0005)

22-11 Miscellaneous Computer Listings and Reports

Informational copies of computer system listings and reports that are generated from systems maintained by other bureaus/offices. Records include KOR reports, ALTA reports, ONCORR reports, ROC reports, RASI II reformat listings, reports for medical fee payments, DOD Death Transfer Listings, and Status List of Pending Retirement Search Requests and **excludes:**

- Data files that are created as disclosure-free files to allow public access to the data,
- Data files consisting of summarized information from unscheduled electronic records or records scheduled as permanent but that no longer exist or can no longer be accessed,
- Data extracts produced by an extraction process which changes the informational content of the source master file or database,
- Technical reformat files created for transfer to NARA, and
- Data extracts containing Personally Identifiable Information (PII). Such records require additional tracking and fall under a different disposition authority.

AUTHORIZED DISPOSITION: TEMPORARY. Not eligible for transfer to the Federal Records Center. Destroy when 18 months old or when no longer needed for administrative use, whichever is sooner. Not media neutral. Applies to electronic records only.

NARA Authority: GRS 4.3, Item 031 (DAA-GRS-2013-0001-0006)

22-12 Field Office Authorization for Payment of Hospital/Medical Report

Copy of field office authorizations for **payments** to hospitals for disability-related medical financial reporting. RRB Form, G-370, Field Office Authorization for Payment of Hospital Medical Report.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy when 1 year old.

NARA Authority: GRS 1.1 Item 011 (DAA-GRS-2013-0003-0002)

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22-13 Training Agreements

Agreements between disability and Medicare examiner trainees that outline required performance and conduct levels a trainee must meet to successfully complete a training class.

AUTHORIZED DISPOSITION: TEMPORARY. Destroy previous agreement when current one is revised.

NARA Authority: NC1-184-89-3, Item 10-28