REQUEST FOR RECORDS DISPOSITION AUTHORITY

(See Instructions on reverse)

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JOB NO. N1-184-89-2

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

DATE RECEIVED 2-8-89

1. FROM *(Agency or establishment)*
Railroad Retirement Board

2. MAJOR SUBDIVISION

3. MINOR SUBDIVISION

NOTIFICATION TO AGENCY

In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10. If no records are proposed for disposal, the signature of the Archivist is not required.

4. NAME OF PERSON WITH WHOM TO CONFER	5. TELEPHONE EXT.	DATE	ARCHIVIST OF THE UNITED STATES
Charles Mierzwa	FTS 386-3363	7/7/89	[signature]

6. CERTIFICATE OF AGENCY REPRESENTATIVE

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of 35 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, if required under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is attached.

A. GAO concurrence: ☒ is attached; or ☐ is unnecessary. ~~Has been requested~~.

B. DATE	C. SIGNATURE OF AGENCY REPRESENTATIVE	D. TITLE
1-30-89	Charles Mierzwa	Agency Records Officer

7. ITEM NO.	8. DESCRIPTION OF ITEM *(With Inclusive Dates or Retention Periods)*	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN *(NARS USE ONLY)*
	The Railroad Retirement Board's Records Control Schedule is being updated to make it consistent with current agency operations. This is the third of four SF-115's to be submitted and contains copies of the following schedules. Schedule 6 - Bureau of Fiscal Operations (Revision) Schedule 11 - Bureau of Data Processing (New Schedule) Schedule 14 - Bureau of Compensation and Certification (New Schedule) Schedule 20 - Records Common to Most Offices (New Schedule) All changes to this proposed schedule have been approved by: [signature] 6/21/89 NARA Appraiser Date * Charles Mierzwa Agency Representative * 6-14-89 Date		

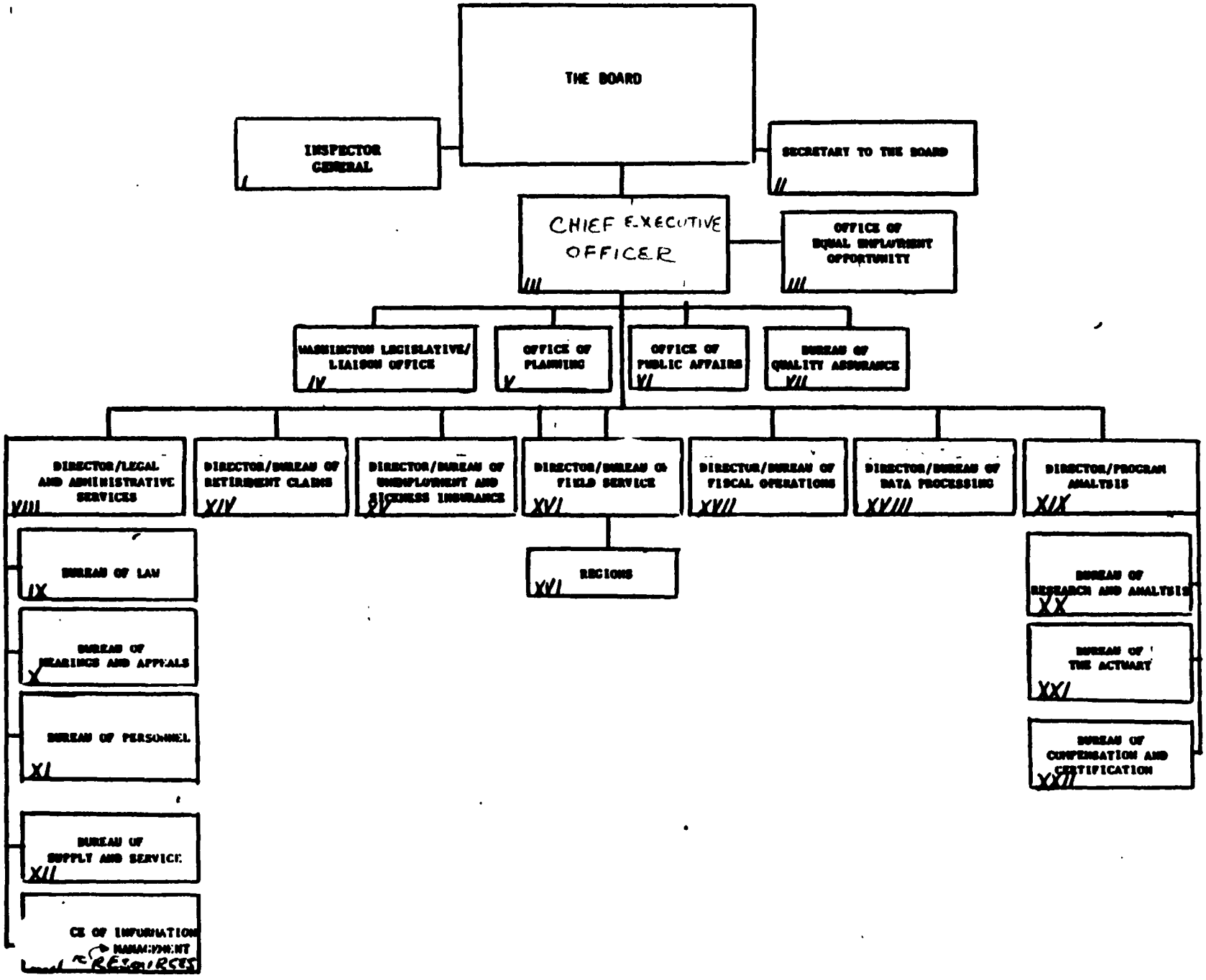
5 items

115-108 Copies sent to agency NCF, NNA, NNX, SDN 7/11/89

NSN 7540-00-634-4064

STANDARD FORM 115 (REV. 8-83)
Prescribed by GSA
FPMR (41 CFR) 101-11.4

U.S. Railroad Retirement Board Administrative Organization



RRB 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.

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
6-1	Accountable Officers Files	
	(a) Original or ribbon copy of accountable officers' 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 and Optional Forms listed below. Also included are equivalent Board forms and Automated Management Information System (AMIS) Microfiche which document the basic financial transaction as described above. (AMIS is a GAO approved system.)	Destroy 6 years 3 months after period covered by account.

RRB RECORDS SCHEDULE 6

Bureau of Budget and Fiscal Operations

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
6-1	Accountable Officers Files (Cont'd)	
	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 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 Cancelled Checks SF 1113, Public Voucher for Transportation Charges OF 1114, Bill of Collection OF 1114A, Official Receipt OF 1114B, Collection Voucher 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 SF 1220, Statement of Transactions According to Appropriation, Funds, and Receipt Accounts	
	(b) Memorandum or extra copies of accountable officers' returns including statement of transactions and accountability, all supporting vouchers, schedules, and related papers excluding freight and payroll records.	Destroy 1 year after the period covered by the account.
JOB:	GRS 6-1 A and B	

RRB RECORDS SCHEDULE 6

Bureau of Budget and Fiscal Operations

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
6-2	**Automated Management Information System (AMIS) Tape File**	
	Magnetic tape file that contains information regarding purchase requisitions, purchase orders, payment vouchers, journal voucher entries and related budget data. Used to generate AMIS microfiche (see Item 6-1A).	Destroy when 1 year old.
JOB: NEW		
6-3	**Certificates of Settlement of Accounts**	
	Copies of certificates of settlement of accounts of accountable officers, statement of differences, and related paper.	
	(a) Certificates covering closed account settlements, supplemental settlements, and final balance settlements.	Destroy 2 years after date of settlement.
	(b) Certificates covering periodic settlements.	Destroy when subsequent certificate of settlement is received.
JOB:	GRS 6-3 A and B	
6-4	**General Accounting Ledgers**	
	General account ledgers showing debit and credit entries, and reflecting expenditures in summary.	Destroy 6 years and 3 months after the close of the fiscal year involved.
JOB:	GRS 7-2	

RRB RECORDS SCHEDULE 6

Bureau of Budget and Fiscal Operations

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
6-5	**Appropriation Allotment Files**	
	Allotment records showing status of obligations and allotments under each authorized appropriations.	Destroy 6 years and 3 months after the close of the fiscal year involved.
JOB:	GRS 7-3	
6-6	**Expenditure Account Posting and Control Files**	
	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.	Destroy when 3 years old.
JOB:	GRS 7-4 A	
6-7	**Budget Files**	
	(a) Administrative files documenting Board policy and procedure governing decisions affecting expenditures for Board programs.	Destroy when no longer needed for reference.
	(b) One copy of the formal agency budget together with justification statements containing summaries of financial manpower, cost and workload data.	Transfer to FRC 5 years after the close of the fiscal year covered by the budget. Destroy 10 years after close of fiscal year involved.

RRB RECORDS SCHEDULE 6

Bureau of Budget and Fiscal Operations

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
6-7	Budget Files (Cont'd)	
	(c) All other copies of formal budget.	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.	Destroy 1 year after close of fiscal year covered by budget or when no longer needed for reference, whichever is sooner.
	(e) Periodic reports on status of appropriation accounts, apportionments, and reapportionments.	Destroy 5 year after close of fiscal year covered by reports.

JOB: NCI 184-79-3 Item 6-8 A, B, C, D, and E

6-8	Tesseract Payroll System Records	
	Computer records (outputs and reports) produced by the agency automated payroll system.	
	(a) Magnetic tape files.	Destroy when 1 year old or no longer needed for administrative use, whichever is sooner.
	(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.	Destroy after GAO audit or when 3 years old, whichever is sooner.

RRB RECORDS SCHEDULE 6

Bureau of Budget and Fiscal Operations

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
6-8	Tesseract Payroll System Records (Cont'd)	
	(c) Hardcopy (paper) payroll outputs of records identified in (b) above.	Destroy when System Administrator determines that microfiche records are acceptable.
	(d) All other payroll reports.	Destroy when 3 years old.
JOB: NEW		
6-9	Passenger Transportation Files	
	Memorandum copy of vouchers (SF 1113A), memorandum copies of transportation requests (SF 1169), travel authorizations, transportation request, registers, and all supporting papers.	Destroy when 3 years old.
JOB:	GRS 9-1 B	
6-10	Passenger Reimbursement Files	
	Records relating to reimbursing individuals, such as travel orders, per diem voucners, transportation requests, hotel reservations, and all supporting papers documenting official travel by Board employees.	Destroy when 3 years old.
JOB:	GRS 9-3 A	
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.	Destroy when 3 years old.
JOB: NCI 184-79-3 Item 6-13		

RRB RECORDS SCHEDULE 6

Bureau of Budget and Fiscal Operations

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
~~6-12~~	**Employee Termination Files**	
	Official payroll records documenting the close out of an employees pay and leave record after an employee leaves agency employment.	Destroy 3 years after separation or transfer of employee. If employee transfers between agencies, allotment authorizations must also transfer.
JOB:	GRS 2-4 A(2), 2-4 B(2), 2-10 B	
6-13	**Employer Contributions Files**	
	Records filed with the Board 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 Board for payment of unemployment and sickness benefits.	Destroy 6 years and 3 months after period covered by account.
JOB: NEW		
~~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.	Destroy when 2 years old.
JOB: NCI 184-79-3 Item ~~6-22~~		
6-15	**Tax Files**	
	(a) Withholding tax exemption certificates (Forms W-4) and state forms.	Destroy 4 years after form is superseded or obsolete.
	(b) Withholding statements (mechanical listing in lieu of employer's copy of Form W-2).	Destroy when 4 years old.

RRB RECORDS SCHEDULE 6

Bureau of Budget and Fiscal Operations

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
~~6-15~~	Tax Files (Cont'd)	
	(c) Quarterly or monthly reports of withholding (IRS Form 941).	Destroy when 4 years old.
JOB: NCI 184-79-3 Item 6-20		
6-16	Wage and Separation Requests	
	Memorandum copies of requests for wage and separation information ILL (BIS 2931) and related material.	Destroy when 4 years old.
JOB: NCI 184-79-3 Item 6-21		
6-17	Financial Management Improvement Initiatives	
WITHDRAWN	(a) Annual report to Congress and the President concerning the RRB's implementation of OMB Circular No. A-123.	PERMANENT. Hold 20 years. Transfer to National Archives in 10 year blocks.
	(b) 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.	Destroy when 10 years old. Break file: End of fiscal year.
	(c) Reference copies of (a) and (b).	Destroy when no longer needed for reference.

RRB RECORDS SCHEDULE 6

Bureau of Budget and Fiscal Operations

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
	(d) 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.	Destroy 1 year after completion of report.

JOB: NEW

RRB RECORDS SCHEDULE 6

Bureau of Fiscal Operations

Explanatory Notes

1. Most series in this schedule have descriptions and retention periods unchanged from the General Records Schedules or old RRB Schedule 6, NCI 184-79-3.

2. New Item 6-2, Automated Management Information System Tape File (AMIS) - AMIS is an on-line database used to document various Board financial transactions. Output from this database is initially in the form of magnetic tape. This tape, in turn, is converted to microfiche for use by bureau employees. The microfiche (Item 6-1a), because of its readability and manageable volume, is considered the record copy of AMIS data. The tape file is retained only until the quality of the resulting microfiche has been established, in this case, one year.

3. New Item 6-8, Tesseract Payroll System Records - The Tesseract payroll system is an "off the shelf" software package that produces a variety of reports that replace record series maintained prior to Tesseract's implementation in January, 1987.

   Subseries (a) contains magnetic tapes that are produced by the bureau at the rate of one per pay period (26 annually). Payroll data from these tapes is converted to microfiche (subseries (c)) for reference by bureau employees. As is the case with AMIS, the Tesseract microfiche is considered the record copy of the Tesseract data because of its readability and compactness. The magnetic tape is maintained for up to one year only in its capacity as backup to the microfiche.

   The Tesseract payroll system also produces textual reports directly from the database (subseries (b)). The retention period for both subseries (b) and (c) is consistent with the authorized disposition recommended for similar series in General Records Schedule 2. The disposition for subseries (d) mirrors that of GRS 2, Item 17b.

4. New Item 6-13, Employer Contributions Files - This series is used by the bureau to ensure the Railroad Retirement Board (RRB) is receiving the taxes it is entitled to under the Railroad Retirement Act (RRA) and the Railroad Unemployment and Insurance Act (RUIA).

   On an annual basis, railroad employers report to the IRS the amount of employee compensation subject to RRA taxation and the amount actually withheld for payment of such tax. On an annual or quarterly basis, railroad employers report to the RRB the amount of employee compensation subject to RUIA taxation and the amount actually withheld for payment of such tax. In both cases, the Bureau of Fiscal Operations (BFO) takes these employer tax returns and attempts to reconcile the reported figures with the actual amount of tax RRB receives from the IRS or directly from the railroads for

RRA and/or RUIA benefit funding. This process of reconciliation is not complete until the bureau determines the RRB has received its proper share of RRA and RUIA taxes from railroad employers.

Components of this series include copies of IRS Forms CT-1, CT-2, and RRB Form DC-1. Legal opinions from the RRB's Bureau of Law establish that the agency maintains a fiduciary interest in these files for up to six years after BFO reconciles the annual tax reports of a particular employer.

5. New Item 6-17(a), Annual Report to Congress and the President - This series is created annually by the Bureau of Budget and Fiscal Operations as required by the Federal Managers Financial Integrity Act of 1982. Accumulation rate is approximately one inch per year, with a current bureau backlog of less than one cubic foot. Reports date from 1984 to present. Arranged chronologically.

   The report described the Railroad Retirement Board's efforts to comply with the requirements and policies of the aforementioned Financial Integrity Act of 1982 and implementing guidance in OMB Circular No. A-123 (and A-127). A typical report contains an introduction, an overview of RRB internal controls developed in response to A-123 and associated OMB guidance, program results for the fiscal year, program objectives for the upcoming fiscal year, and the actual report to the President and Congress. Included is information documenting various RRB internal accounting and administrative controls, operational areas where internal controls are weak or non-existent, and progress on proposed remedies. The report's purpose is to assure that RRB obligations and costs are in compliance with applicable law; that agency funds, property, and other assets are safeguarded against waste, fraud, and abuse; and that agency revenues and expenditures are properly recorded and accounted for.

6. New Item 6-17(b) - Series is composed of a variety of administrative reports created annually (in most cases) by bureau personnel in response to directives from OMB, Department of the Treasury, and other agency. These reports cover such subjects as RRB adherence to the Prompt Payment Act, RRB cash management goals for a particular fiscal year, and creation of an agencywide financial plan to establish fiscal accountability. Disposition reflects bureau reference needs and the fact that many of these reports are recurring.

7. New Item 6-17(d) - Information provided by the components of this series is used to construct and support items 6-17(a) and (b). Once these reports have been drafted and approved, the reference value of the original data, which is often raw and informal, declines because of duplication.

8. Old Items 6-3, 6-4, 6-8(h), 6-23, and 6-25, NCI 184-79-3 - These series are obsolete and have been deleted from the revised schedule.

9. Old Items 6-9 6-10, 6-14, and 6-15, NCI 184-79-3 - These series are Items 20-13, 20-20, 20-17, and 20-16, respectively, in new RRB Records Schedule 20, Records Common to Most Offices.

10. Old Items 6-16, 6-17, 6-18, 6-19, 6-22, 6-24, 6-26, and 6-27, NCI 184-79-3 - These series are covered en masse by new Item 6-8, Tesseract Payroll System Records.

RRB RECORDS SCHEDULE 11

Bureau of Data Processing

The primary mission of the Bureau of Data Processing is to provide data processing support for all of the bureaus within the 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 networks for 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.

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
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.	Destroy when 2 years old.
JOB: NEW		
11-2	Microform Control File Form used to document the movement of magnetic tapes and cartridges to and from outside contractors (service bureaus) or the in-house microform duplicating unit. Includes RRB Form G-147a.	Destroy when 2 year old.
JOB: NEW		
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 Forms G-148a and G-148b.	Destroy when 1 year old.
JOB: NEW		

RRB RECORDS SCHEDULE 11

Bureau of Data Processing

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
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.	Destroy when 1 year old.
JOB: NEW		
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.	Destroy 5 years after final entry or 5 years after date of document.
JOB:	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.	Destroy 3 years after turn-in of key.
JOB:	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 signon, logon, and computer security passwords assigned by the bureau. Includes RRB Form G-455.	Destroy 2 years after employee leaves agency employment.
JOB: NEW		

RRB RECORDS SCHEDULE 11

Bureau of Data Processing

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
11-8	Data Processing Repair File	
	File consists of RRB Form G-494a which is used to record computer equipment downages, time of equipment failure, time equipment is out of service, reasons for equipment downage and repairs made. Data from form is transferred to database file once a year.	
	(a) G-494a.	Destroy once information is entered and verified into database.
	(b) Database data.	Destroy 1 year after equipment is taken out of service.
JOB: NEW		
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.	Transfer to magnetic tape once a year.
	(b) Tape.	Destroy tape file when superseded by subsequent years update.
JOB: NEW		

RRB RECORDS SCHEDULE 11

Bureau of Data Processing

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
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.	
	(a) Diskpack.	Transfer to magnetic tape once a year.
	(b) Tape.	Destroy when 7 years old.
JOB:	GRS 20 Item 1c	
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.	Dispose of when no longer needed.
	(b) Special purpose programs for which disposal is authorized.	Dispose of with related data files.
	(c) Special purpose programs for which disposal is not authorized.	Retain with related data files.
JOB: NEW		

RRB RECORDS SCHEDULE 11

Bureau of Data Processing

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
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.	Destroy or delete when superseded or obsolete, or upon authorized destruction of related master file or data base.
JOB:	GRS 20 Item 11	
11-13	User Guides	
	Documentation consisting of information which describes the functions of the system in non-EDP terminology so that users can determine its applicability and when and how to use it; serves for the preparation of input data and the interpretation of results. Documentation includes handbooks, guides to data availability, and procedures for querying files.	Destroy or delete when superseded or obsolete, or upon authorized destruction of related master file or data base.
JOB:	GRS 20 Item 11	

RRB RECORDS SCHEDULE 11

Bureau of Data Processing

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
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 methodology employed.	Destroy when superseded or obsolete.
JOB:	GRS 20 Item 11	

RRB RECORDS SCHEDULE 11

Bureau of Data Processing

Explanatory Notes

1. This is a new schedule containing series unrelated to those found in old Schedule 11, Bureau of Data Processing and Accounts, NC1-184-79-3. Most series in old Schedule 11 may now be found in new Schedule 14, Bureau of Compensation and Certification.

2. New Item 11-1, Security Storage Control File - Forms G-1 and G-1a are used by bureau personnel to track the movement of non-textual media, usually vital records, between RRB headquarters and several off-site storage areas. Authorized disposition meets bureau administrative needs.

3. New Item 11-2, Microform Control File - Certain series of RRB magnetic media are periodically converted to microfiche by either outside contractors or the Board's own micrographics unit. Form G-147a accounts for the movement and whereabouts of bureau magnetic tapes and cartridges during the conversion process. Retention period satisfies the administrative requirements of the bureau.

4. New Item 11-3, Batch Control File - This series documents the amount, type, and completion date of bureau keypunch work performed internally or by contractors. Data is also used to reconcile private sector billings submitted for keypunch work performed. Retention period same as Item 2.

5. New Item 11-4, Keypunch Control File - Form G-156 is used by the bureau of data processing (BDP) to record the various types of miscellaneous keypunch work it performs for other bureaus and offices within RRB. Retention period same as Item 11-2.

6. New Item 11-5, Data Center Visitor File - Disposition is as recommended by General Records Schedule 18.

7. New Item 11-6, Data Center Card Key Application and Issue File - Disposition is as recommended by General Records Schedule 18.

8. New Item 11-7, Employee Terminal Access Folder - Series is composed of folders created by the BDP installation security officer. There is a folder for each RRB employee requesting access to various Board computer systems or databases. The contents of each Folder constitutes a history of that employee's access to different data files. Disposition instructions reflect bureau security requirements.

9. New Item 11-8, Data Processing Repair File - Information in this series is used by the bureau to justify the procurement of new ADP equipment, document breaches of warrant, and negotiate manufacturer rebates in those cases where purchased equipment does not perform according to specification. Retention period of subseries (b) allows for performance of all the above.

10. New Item 11-9, PAC II Files - PAC II is an "off the shelf" software package. PAC II data is used by bureau personnel to track the progress of assigned data processing projects, including monitoring the bureau's budget. Disposition instructions meet bureau administrative needs.

11. New Item 11-10, System Management Facility File (SMF File) - This series monitors the performance of the Board's mainframe computer in terms of who uses the system and for what purposes. The retention period of the (b) subseries matches the normal life cycle of most data processing equipment, seven years.

12. New Item 11-11, Information Retrieval Systems - Series is composed of the actual computer programs that update the mainframe. Programs are in several media including microfiche, magnetic tape, and paper.

13. New Item 11-12, Data Systems, File and Output Specifications, and Test Documentation - Series documents the development and maintenance of a computer system. Contents include flow charts, field descriptions, data dictionaries, test evaluation plans, and design diagrams.

14. New Item 11-13, User Guides - These are instructional booklets on how to use a particular computer system. Retention reflects cited GRS item.

15. New Item 11-14, Computer Generated Reports - Output in the form of a variety of internal, textual reports used by bureau personnel for various purposes. Authorized disposition is as recommended by revised GRS 20, Item 11.

RRB RECORDS SCHEDULE 14

Bureau of Compensation and Certification

The mission of the Bureau 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 bureau's mission are to receive and maintain compensation records of railroad employees; provide accurate and timely certification of employee service and compensation to the Bureaus of Retirement Claims and Unemployment and Sickness Insurance and the Social Security Administration; and determine creditability of employee service and employer coverage status under the Acts.

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
14-1	Service and Compensation of Railroad Employees (SCORE) Tape File, Paper Ledger, Microfilm, and Microfiche	
	The SCORE file contains detail and cumulative service and compensation data for all railroad employees from 1937 to date for whom a report was received. The file is used to determine eligibility of employees and their survivors for benefits under the Railroad Retirement Act and Railroad Unemployment Insurance Act. The SCORE file is used to input data to other systems and to produce extracts for analysis.	
	(a) Tape File.	
	(4 copies produced.) Produced annually.	
	1. Data Processing master.	Sent to security storage at FRC after annual update. Destroy after third update has been completed satisfactorily.
	2. All other copies.	Destroy when superseded by subsequent year's update.

RRB RECORDS SCHEDULE 14

Bureau of Compensation and Certification

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
14-1	Service and Compensation of Railroad Employees (SCORE) Tape File, Paper Ledger, Microfilm, and Microfiche (Cont'd)	
	(b) SCORE Ledger - A paper listing of data extracted from the master tape file for the latest report year.	
	(1 copy produced.) Produced annually.	Destroy 6 years and 3 months after period covered by account.
	Bureau of Compensation and Certification master.	
	(c) SCORE 5 Year Ledger - Microfilm of 5 individual ledger years.	
	(2 copies produced.) Produced every 5 years.	
	1. Bureau of Compensation and Certification master.	Transfer to Security storage at FRC as part of agency vital records program.
		Destroy when no longer needed for administrative use.
	2. Bureau of Compensation and Certification copy.	Destroy when film is unreadable.
	(d) SCORE File Microfiche -	
	Extract of identifying data in 2 versions: social security number sequence and in alphabetical order by surname.	
	(Number of sets vary depending on distribution.) Produced upon request as a special job.	

RRB RECORDS SCHEDULE 14

Bureau of Compensation and Certification

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
14-1	Service and Compensation of Railroad Employees (SCORE) Tape File, Paper Ledger, Microfilm, and Microfiche (Cont'd)	
	1. Bureau of Compensation and Certification master.	Destroy 2 years after new SCORE microfiche is produced.
	2. All other copies.	Destroy when new SCORE microfiche is produced.

JOB: NCI 184-79-3 Item 11-1, 11-19c

14-2	Employee Ledger Tape Files	
	These files record the service months, compensation and other data for railroad employees as reported by railroad employers.	
	(a) Individual Year Tape Files contains records for all employees who had service and/or compensation reported during the current year. There is one file for each year; files are moved into the Merged Tape File when 5 years old.	Destroy files when 5 years old after data has been merged successfully into Merged Tape File.
	(b) Merged Tape File is updated annually from the Individual Year Tape Files that are 5 years old. File contains a cumulative figure for service months and compensation covering years worked from 1937 through the current reporting year. The cumulative figures are updated with each merge.	Destroy after third update cycle has been completed successfully. Purge when no longer needed for agency use.

JOB: NCI 184-79-3 Item 11-19

RRB RECORDS SCHEDULE 14

Bureau of Compensation and Certification

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
14-3	Service and Compensation Activity (SCARE) Tape File	
	Magnetic tape files created quarterly that contain adjustments to service and compensation records. The final fourth quarter SCARE file is used as part of the annual SCORE file (see Item 14-1) update.	
	(a) Data Processing master.	Send to security storage at FRC after quarterly update. Destroy 1st, 2nd and 3rd quarters after 4th quarter update has been completed. Destroy the final SCARE file after 3rd annual update has been completed.
	(b) All other copies.	Destroy when superseded by subsequent year's update.
JOB: NEW		
14-4	Numident Request Tape File	
	Magnetic tape file created as part of the annual SCORE (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.	Send to security storage at FRC after file is created and copy is sent to SSA. Destroy when superseded by subsequent year's file.
JOB: NEW		

RRB RECORDS SCHEDULE 14

Bureau of Compensation and Certification

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
14-5	**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.	Send to security storage at FRC after the master SCORE file is amended. Destroy when superseded by subsequent year's file.
JOB: NEW		
14-6	**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 SCORE (see Item 14-1) update and a copy is sent to the Social Security Administration for use in amending their records.	Send to security storage at FRC after copy is sent to SSA. Destroy when superseded by subsequent year's update.
JOB: NEW		
14-7	**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.	Send to security storage at FRC after annual update. Destroy after third update has been completed.
	(b) All other copies.	Destroy when superseded by subsequent year's update.
JOB: NEW		

RRB RECORDS SCHEDULE 14

Bureau of Compensation and Certification

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
14-8	Sick Pay of Railroad Employees Master (SPREM) Ledger	
	Paper listing of data extracted from the master tape file for the latest report year (see Item 14-7). One copy produced annually.	Destroy when file is 5 years old.
JOB: NEW		
14-9	Railroad Employer Reports of Service and Compensation	
	Records are listings from magnetic tape or punch card reports, both annual and quarterly adjustments, for Forms BA-3A, BA-4, BA-5 and G-440.	
	(a) Board file copy.	Break file at end of accounting year, place closed coverage cases in inactive file, hold 2 years and transfer to FRC. Destroy 5 years after close of accounting year.
	(b) Punch Card files.	
	1. Bureau prepared employer and lot control cards.	Destroy when new file is completed.
	2. Quarterly activity summary cards.	Destroy after completion of the following year's first quarterly updating and balancing operations.
JOB: NCI 184-79-3 Item 11-3		

RRB RECORDS SCHEDULE 14

Bureau of Compensation and Certification

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
14-10	**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.	Destroy 4 years after case is closed.
JOB: NCI 184-79-3 Item 11-4		
14-11	**Railroad Employer Correspondence Case Files**	
	Correspondence between railroad employers and the Board about coverage, eligibility, matters concerning rates of tax, and records of service and compensation.	Destroy when 4 years old. Break file: End of calendar year.
JOB: NCI 184-79-3 Item 11-5		
14-12	**Internal Alphabetical File**	
	Memoranda generated within the Board concerning individuals who have contacted the Board regarding the crediting of service and compensation to their accounts.	Destroy when 1 year old. Break file: End of calendar year.
JOB: NCI 184-79-3 Item 11-6		
14-13	**Abandoned Carrier Records**	
	(a) Records created on and prior to December 31, 1936.	Destroy December 31, 1991 (5 years after statutory limit for benefit inclusion).
	(b) Records created on and after January 1, 1937.	Destroy when 5 years old.
JOB: NCI 184-79-3 Item 11-7		

RRB RECORDS SCHEDULE 14

Bureau of Compensation and Certification

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
14-14	**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) Bureau of Compensation and Certification copy.	
	1. Covered employers.	Destroy 10 years after coverage is terminated.
	2. Non-covered or terminated employers.	Destroy 10 years after Bureau of Law findings.
	(b) Bureau of Law copy.	See disposition for Bureau of Law request for employer status file, RRB Schedule 9.
JOB: NCI 184-79-3 Item 11-8		
14-15	**Suspense Listings**	
	Cumulative suspense group listings from railroad employer reports which cannot be entered into the SCORE file because of errors in the compensation/service reported for the individual employees.	Destroy when 4 years old.
JOB: NCI 184-79-3 Item 11-10		

RRB RECORDS SCHEDULE 14

Bureau of Compensation and Certification

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
14-16	Report Correction Journal Vouchers	
	Form G-281, Miscellaneous Adjustment Journal Voucher, 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.	Destroy when 4 years old.
JOB: NCI 184-79-3 Item 11-11		
14-17	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 the bureau of research's Annual Wage Study Magnetic File.	Destroy when update is completed.
JOB: NCI 184-79-3 Item 11-12		
14-18	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.	Destroy when new file is created.
JOB: NEW		
14-19	Railroad Employee Representative Name File	
	Record of names of employee representatives used to substantiate reports of service and compensation of representatives.	Destroy 1 year after employee terminates as an employee representative.
JOB: NCI 184-79-3 Item 11-13		

RRB RECORDS SCHEDULE 14

Bureau of Compensation and Certification

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
14-20	**Long-Term Employer Case File**	
	Correspondence and special material that established or proved name changes, special reporting procedures, and special agreements.	Destroy 5 years after agreement is superseded or cancelled.
JOB: NCI 184-79-3 Item 11-14		
14-21	**Account Number Correction Slips**	
	Correction slips used for service and compensation for railroad employees; prepared by the Bureau of Compensation and Certification, Accounting and Coverage Section, from data supplied by individual railroads.	Destroy 5 years after date of correction.
JOB: NCI 184-79-3 Item 11-15		
14-22	**Wage Register**	
	Quarterly report of adjustments made to the service and compensation record. Includes adjustments to previously reported service and compensation or service and compensation never reported.	Destroy when 7 years old.
JOB: NCI 184-79-3 Item 11-16		
14-23	**Annuitants Return to Service Case File**	
	Records of retired railroad employees who have returned to railroad service.	Destroy after annual update.
JOB: NCI 184-79-3 Item 11-17		

RRB RECORDS SCHEDULE 14

Bureau of Compensation and Certification

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
14-24	Annual Control Reject Tape	
	Records of items rejected in the annual service and compensation year-end operations.	Destroy when update is completed.
JOB: NCI 184-79-3 Item 11-18		
14-25	CER-1 Microfilm File	
	Microfilm file of Board issued 700-series social security numbers. Establishes employee age, social security number and the identifying number of his first railroad employer of record with the Board.	Destroy when no longer needed for administrative use.
JOB: NCI 184-79-3 Item 11-2		
14-26	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.	Destroy after 4 years.
JOB: NCI 184-79-3 Item 11-21		

RRB RECORDS SCHEDULE 14

Bureau of Compensation and Certification

Explanatory Notes

1. This is a new records control schedule covering series created by Board's Bureau of Compensation and Certification. Most items originated in NCI 184-79-3, Schedule 11, Bureau of Data Processing and Accounts.

2. New Item 14-1(b), SCORE Ledger - This series documents information reported to the Railroad Retirement Board by railroad employers concerning time worked and/or compensation paid to railroad employees during a given year. Section 9 of the Railroad Retirement Act, as amended in 1983, allows employer adjustments to this data within four years of its entry. Disposition instructions reflect legislated allowance and fact that records are converted to microfilm at five year intervals.

3. New Item 14-1(d)1, SCORE File Microfiche - Disposition instructions have been reworded to be more specific as to when superseded microfiche can be destroyed. Bureau may require up to two years to verify accuracy and quality of newly produced microfiche.

4. Old Item 11-2, NCI 184-79-3, CER-1 File - Card file was destroyed in July, 1987.

5. New Item 14-3, Service and Compensation Activity (SCARE) File - This series updates the SCORE master file. Each quarter a file is created containing name changes, SSA account number changes, employer changes, compensation and service changes, etc., for input into the SCORE database. The changes accumulate from quarter to quarter until the fourth quarter. It is this final quarter's SCARE file that amends the SCORE master. Once the SCORE file is updated, the first, second, and third quarter SCARE files are immediately expendable. The fourth quarter SCARE master (subseries (a)) is retained for three subsequent annual updates, so as to correspond to the disposition of the SCORE master (see Item 14-1(a)1). Copies of the SCARE master (subseries (b)) are expendable after creation of the following year's updated version.

6. New Item 14-4, Numident Request Tape File - Each year the bureau submits to the Social Security Administration (SSA) a magnetic tape containing the SSA account numbers of potential new RRB beneficiaries. The purpose of this tape is to notify SSA of account numbers, to be entered into the SCORE master file (Item 14-1), which require verification of name, sex, date of birth, etc., before that information can be entered into SCORE. Series disposition instructions reflect annual creation of a new updated file and fulfill administrative needs.

7. New Item 14-5, Sorted Numident Reply File - The Social Security Administration, creates this magnetic tape in response to the Numident Request File (Item 14-4) it receives annually from RRB. Upon receipt from SSA, the bureau uses the information provided on the tape to verify the name, date of birth, sex, etc., of potential new RRB beneficiaries. Once verified, this data is input into the SCORE master file to complete each new entry's profile. As the SCORE master file is updated annually, there is no need to retain the reply file longer than the given disposition.

8. New Item 14-6, Q File - The primary purpose of this series is to provide the Social Security Administration, via magnetic tape, with an annual record (name and SSA account number) of those railroad employees who have accrued enough service time to qualify for RRB retirement benefits. Creation of this file is necessary because SSA and RRB share responsibility for the payment of benefits to retired railroad workers. Tape is updated annually.

9. New Items 14-7, 14-8, Sick Pay of Railroad Employees Master (SPREM) File and Ledger - This series documents benefit payments from non-RRB sources made to sick or injured railroad workers. Such payments must be accounted for in the event Bureau of Unemployment and Sickness Insurance (BUSI) payments have to be reduced or recovered. As SPREM is another file used to update and support SCORE, the disposition of its two series coincides with that of their SCORE counterparts (Items 14-1a, 1b). SPREM may be replaced by an on-line electronic database by the end of 1989.

10. Old Item 11-9, NCI-184-79-3, Employer Ledger Books - This series is now included in new Item 14-1(b).

11. New Item 14-18, BA-6 Address File - This tape, which is updated annually, is used to produce an address list used for mailing BA-6 (Annual Certification of Service Months and Compensation) cards to active railroad employees.

12. New Item 14-25, CER-1 Microfilm File - Microfilm equivalent of card file (formerly old Item 11-2, NCI 184-79-3).

13. Old Item 11-19(c), NCI 184-79-3, Employee Ledger Files (Microfilm) - Series is now included in new Item 14-1(c).

14. Old Item 11-20, NCI 184-79-3, Blue Stripe Individual Correspondence Case File - Series has been discontinued. Board no longer uses "Blue Stripes" as an identifier for a particular type of case file. All folders belonging to this series have been destroyed.

RRB 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. They are not basic program records and are not part of official program files.

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
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; 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.	Destroy when 2 years old, or when no longer needed, whichever is sooner. Break file: End of calendar year.
	NOTE: 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 agency.	
JOB:	GRS 23-1	

RRB RECORDS SCHEDULE 20

Records Common to Most Offices

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
20-2	**Routine Control Files**	
	Job control records, status cards, routing slips, work processing sheet, correspondence control forms, receipts for records chargeouts and other similar records.	Destroy when no longer needed.
JOB:	GRS 23-8	
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 campaign, and similar papers.	Destroy when 3 months old or when no longer needed whichever is sooner.
JOB:	GRS 23-7c	
20-4	**Access Passes**	
	(a) Building passes, property passes, parking permits.	Destroy 3 months after return to issuing office.
	(b) Records of issuance and return.	Destroy after all are accounted for.
JOB:	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.	Destroy when 2 months old.
JOB:	GRS 12-1	

RRB RECORDS SCHEDULE 20

Records Common to Most Offices

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
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.	Destroy when 2 years old.
JOB:	GRS 4-1	
20-7	**List of RRB Offices - Form T-83**	
	List of RRB offices where full and part-time service is provided showing regional boundaries, addresses, and phone numbers. Includes memoranda from the Director of Field Service advising of changes to be made.	Destroy when 6 months old or no longer needed for administrative use whichever is sooner.
JOB: NCI 184-79-3 Item 4-13		
20-8	**Requisitions**	
	Copies of completed requisitions that are kept in initiating bureau or offfices.	
	(a) Stocked supplies and forms.	Destroy when 6 months old.
	(b) Nonstocked items and equipment and special services.	Destroy when 6 months old.
JOB:	GRS 3-8 B	
20-9	**Duplicate Documentation and Personnel Files Maintained Outside Personnel Office**	
	(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 or not appropriate for the official personnel folder.	Review annually and destroy superseded or obsolete documents; destroy all documents relating to an individual employee 1 year after separation or transfer.

RRB RECORDS SCHEDULE 20

Records Common to Most Offices

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
20-9	Duplicate Documentation and Personnel Files Maintained Outside Personnel Office Cont'd	
	(b) Duplicate Documentation	
	Other copies of documents duplicated in Official Personnel Folders not provided for elsewhere in this schedule.	Destroy when 6 months old.
JOB:	GRS 1-18 A and B	
20-10	Individual Bureau/Office Budget Files	Destroy 5 years after the close of the fiscal year involved or when no longer needed for administrative use, whichever is sooner Break file: End of fiscal year.
JOB: NCI 184-79-3 Item 6-9		
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, report of FTE usage and AMIS reports A 103 and B 402.	
	(a) Annual report (reflects end of fiscal year; issued in September).	Destroy when 5 years old.
	(b) All other reports.	Destroy 3 years after the end of the fiscal year.
JOB:	GRS 5-3 A and B	

RRB RECORDS SCHEDULE 20

Records Common to Most Offices

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
20-12	**Daily Time Sheets**	
	RRB Form G-56, used to support entries on time and attendance reports. Includes name, time-in, time-out, hours worked and leave taken.	Destroy after 3 years or after internal audit whichever is sooner. Break file: End of fiscal year.
JOB: NCI 184-79-3 Item 4-9		
20-13	**Leave Application Files**	
	Application for leave (SF-71) and supporting papers retained by timekeepers as documentation for their payroll entries.	Retain along with daily time sheets (G-56). Destroy when 3 years old. Break file: End of fiscal year.
JOB: NCI 184-79-3 Item 6-15 B		
20-14	**Tesseract Time and Attendance Reports**	
	Bureau/office copies of Tesseract time and attendance reports.	Destroy 6 months after the end of the pay period. Break file: End of month.
JOB:	GRS 2-3 A (2)	
20-15	**Feasibility Studies**	
	Studies conducted before the installation of any technology or equipment associated with information management systems, such as word processing, copiers, micrographics 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	Destroy 5 years after completion or cancellation of study.

RRB RECORDS SCHEDULE 20

Records Common to Most Offices

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
20-15	Feasibility Studies Cont'd	
	system and a cost/benefit analysis, including an analysis of the improved efficiency and effectiveness to be expected from the proposed system.	
JOB:	GRS 16-9	
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 fiscal years.	Destroy when 3 years old. Break file: End of fiscal year.
	NOTE: These are not the official office of planning copies.	
JOB:	New Item	
20-17	Work Measurement Reports	
	Monthly reports of work output by bureaus.	
	(a) Cumulative fiscal year report (issued in September).	Destroy when 3 years old.
	(b) Monthly reports.	Destroy at end of fiscal year.
JOB: NCI 184-79-3 Item 6-10		

RRB RECORDS SCHEDULE 20

Records Common to Most Offices

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
20-18	**FOIA Administrative Files**	
	Records relating to the general agency implementation of the FOIA, including notices, memoranda, routine correspondence, and related records.	Destroy when 2 years old or no longer needed for administrative use whichever is sooner.
JOB:	GRS 14-15	
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.	Destroy when 2 years old or when no longer needed for administrative use, whichever is sooner.
JOB:	GRS 14-26	
20-20	**Employee Record Cards**	
	Bureau/office copies of employee record cards (SF-7B) used for informational purposes.	Destroy on separation or transfer of employee.
JOB:	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.	Destroy 3 years after date of appraisal or when no longer needed for reference, whichever is sooner.
JOB:	GRS 1-23 A 4 and 5	

RRB RECORDS SCHEDULE 20

Records Common to Most Offices

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
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).	Destroy at close of fiscal year.
JOB: NCI 184-79-3 Item 7-6		
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.	Destroy when 1 year old.
JOB:	GRS 1-14 B	
20-24	**Travel Vouchers**	
	Bureau/office memorandum copies of vouchers (SF-1113A) and transportation requests (SF-1169).	Destroy when 3 years old.
JOB:	GRS 9-1 B	
20-25	**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.	Destroy when 5 years old or when superseded or obsolete, whichever is sooner.
JOB:	GRS 1-29 B	

RRB RECORDS SCHEDULE 20

Records Common to Most Offices

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
20-26	**Tuition Assistance**	
	Bureau/office copies of requests for assistance, course evaluations, and reimbursement receipts.	Destroy when 5 years old or when superseded or obsolete.
JOB: NCI 184-79-3 Item 7-18		
20-27	**ADP Steering Committee Files**	
	Bureau/office copies of ADP Steering Committee agenda, minutes, and monthly progress reports.	Destroy when 3 years old or when no longer needed for reference, whichever is sooner.
JOB:	GRS 16-8 B	
20-28	**ADP Project/Services Request Files**	
	Bureau/office copies of RRB Forms G-436 a, b, c, and related records documenting ADP Steering Committee or Bureau of Data Processing approval or denial of proposed ADP projects or equipment purchases.	
	(a) Approved ADP project or equipment.	Destroy when 3 years old or upon completion of project or purchase, whichever is later.
	(b) Disapproved ADP project or equipment purchase documentation.	Destroy when 2 years old or no longer needed for administrative use, whichever is sooner.
JOB: New Item		

20-29. **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, created and maintained in hard copy or electronic form, EXCLUDING 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, EXCLUDING records relating to the official activities of high government officials (see note).	Destroy or delete when 2 years old.

[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. Unique substantive records relating to the activities of these individuals must be scheduled by submission of an SF 115 to NARA.]

b. Records documenting routine activities contining no substantive information and records containing substantive information, the substance of which has been incorporated into organized files.	Destroy or delete when no longer needed.

JOB: GRS 23, item 5

20-30. **Position Descriptions.**

Record copy of position descriptions which include information on title, series, grade, duties and responsibilities, and related documents.	Destroy 2 years after position is abolished or description superseded.

JOB: GRS 1, item 7b.

RRB RECORDS SCHEDULE 20

Records Common to Most Offices

Explanatory Notes

1. With the exception of Items 20-16, 20-17(a)(b), and 20-28(a)(b), all series in this revised schedule have retention periods previously approved in either NCI 184-79-3 or the General Records Schedule.

2. New Item 20-16, Operations Plans - These plans are summarized in the Agency Consolidated Plan (Item 18-1) created annually by the Office of Planning. Item 18-1 is retained permanently. The three year retention period for bureau/office copies of operations plans is derived from the fact that such plans cover three year periods and bureaus may need to refer that far back for information necessary to formulate new or revised plans.

3. New Item 20-17(a), Work Measurement Reports - Retention period for this series (formerly Item 6-10b (1), NCI 184-79-3) has been extended by one year to reflect reference needs of bureaus.

4. New Item 20-17(b), Work Measurement Reports - Series duplicates information in cumulative fiscal year report and need not be kept after creation of such report.

5. New Item 20-28(a)(b), ADP Project/Service Request Files - Bureau/office copies of records described in the fifth explanatory note of revised RRB Records Schedule 4. Subseries retention periods meet the informational requirements of the bureaus.