NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-184-00-002

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 6/23/2021

ACTIVE ITEMS

These items, unless subsequently superseded, may be used by the agency to disposition records.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

Items 17-3a, 17-4a, and 17-5 remain active.

SUPERSEDED AND OBSOLETE ITEMS

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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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

Items 17-3b1, 17-3b2, 17-4b1, and 17-4b2 were superseded by GRS 5.1, item 020 (DAA-GRS-2016-0016-0002)

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

REQUEST FOR RECORDS DISPOSITION AUTHORITY

(See Instructions on reverse)

TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)
WASHINGTON, DC 20408

LEAVE BLANK (NARA use only)	
JOB NUMBER	N1-184-00-2
DATE RECEIVED	4-5-2000

1. FROM (Agency or establishment)
Railroad Retirement Board

2. MAJOR SUBDIVISION
Office of Inspector General

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER	5. TELEPHONE
Chuck Mierzwa	(312) 751-3363

NOTIFICATION TO AGENCY

In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

DATE	ARCHIVIST OF THE UNITED STATES
10-10-00	John W. Carlin

6. AGENCY CERTIFICATION

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached 4 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, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

☐ is not required; ☐ is attached; or ☒ has been requested.

DATE	SIGNATURE OF AGENCY REPRESENTATIVE	TITLE
MAR 15 2000	Chuck Mierzwa Chuck Mierzwa	Agency Records Officer

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
(1)	Office of Inspector General Investigative Case Files	GRS 22 (rescinded)	
(2)	Office of Inspector General Audit Case Files	GRS 22 (rescinded)	
(3)	Indexes to Investigative and Audit Case Files	GRS 22 (rescinded)	
	(See Attached Sheets)		

We req for copies to be sent

DESCRIPTION OF ITEMS AND PROPOSED DISPOSITIONS

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 cases include but are 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.

Proposed Disposition: 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 (proposed 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.

Proposed Disposition: 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.

Proposed Disposition: Destroy/delete when dissemination, revision or updating is completed.

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.

Proposed Disposition: Place in inactive file when case is closed. Cut off 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 (proposed 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.

Proposed Disposition: 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.

Proposed Disposition: Destroy/delete when dissemination, revision or updating is completed.

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.

Proposed Disposition: 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.

CERTIFICATION

I have reviewed the records descriptions and their respective proposed dispositions for the Railroad Retirement Board's Office of Inspector General Investigative and Audit Case Files and related records. I am of the opinion that the records will be maintained for a period of time sufficient to protect the legal, fiscal and financial rights of the government and of people directly affected by the Railroad Retirement Board's Office of Inspector General's activities.

Martin J. Dickman — 3.13.00

RRB Inspector General — Date

Charles Mierzwa — 3-14-2000

RRB Records Officer — Date

EXPLANATORY NOTES

Railroad Retirement Board (RRB)
Office of Inspector General

Functional Statement

The Inspector General Act of 1978 (Public Law 95-452, as amended) established Offices of Inspector General to promote economy, efficiency, and effectiveness, and to prevent and detect waste, fraud, and abuse in a variety of government programs and operations. This legislation established statutory Inspector Generals outside the administrative control of individual agency programs.

The Railroad Retirement Solvency Act of 1983 (Public Law 98-76) established the Office of Inspector General (OIG) at the Railroad Retirement Board (RRB) by naming the agency as one of "such establishments" identified under Section 2 of the Inspector General Act of 1978. The Inspector General Act Amendments of 1988 (Public Law 100-504) added the RRB to the list of agencies covered by the Inspector General Act. At the RRB, the Inspector General 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 corrective actions to the agency head. Semiannually, the OIG reports on these activities to the Congress.

Background

NARA Bulletin 99-02, dated December 21, 1998 withdrew disposition authority for all Inspector General records that had previously been scheduled for disposal under GRS 22.

Proposed Item(s)

Item 17-3(a) Office of Inspector General (OIG) Investigative Case Files

Series consists of case files developed during investigations of known or alleged waste, fraud and abuse, and irregularities and violations of laws and regulations. The proposed disposition adequately satisfies the legal, fiscal, and administrative needs of the office and is consistent with NARA rescinded GRS 22-2 which had been previously used as the authorized disposition for this item. Staff from the OIG believe the case files have little, if any, long-term value beyond the proposed disposition period. The records officer concurs with this evaluation. In addition, it should be noted that the RRB has **not** received any inquiries from external entities (including the genealogical community) requesting information related to this series.

Item 17-3(b) Electronic Mail and Word Processing Copies

Series consists of electronic copies of OIG Investigative Case Files (Item 17-3(a)) records that are created on electronic mail and word processing systems and used solely to generate a record keeping copy. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, and/or dissemination. The proposed dispositions meet the administrative needs of the bureau.

Item 17-4(a) Office of Inspector General (OIG) Audit Case Files
Series consists of 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. The proposed disposition adequately satisfies the legal, fiscal, and administrative needs of the office and is consistent with NARA rescinded GRS 22-2 which had been previously used as the authorized disposition for this item. Staff from the OIG believe the case files have little, if any, long-term value beyond the proposed disposition period. The records officer concurs with this evaluation. In addition, it should be noted that the RRB has **not** received any inquiries from external entities (including the genealogical community) requesting information related to this series.

Item 17-4(b) Electronic Mail and Word Processing Copies
Series consists of electronic copies of OIG Audit Case Files (Item 17-4(a)) records that are created on electronic mail and word processing systems and used solely to generate a record keeping copy. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, and/or dissemination. The proposed dispositions meet the administrative needs of the bureau.

Item 17-5 Indexes to OIG Investigative and Audit Case Files
Series consists of an electronic case tracking system (for OIG investigative case files), its related outputs, as well as manual lists, registers, and finding aids used to reference investigative and audit case files. OIG staff believes that the series has some informational value beyond the proposed retention for the related case files. They are unable to determine at what point the series loses that value. The proposed disposition, therefore, meets the administrative needs of the OIG by leaving the deletion/disposal of the series to their discretion.