

Rec'd NCU 10/18/78

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

LEAVE BLANK	
JOB NO.	235 3
	NC 1 47 78 16
DATE RECEIVED	JUL 26 1978
NOTIFICATION TO AGENCY	
In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10	
Date	8-1-78
	<i>James E. O'Neil</i> Acting Archivist of the United States

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

1. FROM (AGENCY OR ESTABLISHMENT)
DEPARTMENT OF HEALTH, EDUCATION AND WELFARE

2. MAJOR SUBDIVISION
OFFICE OF THE SECRETARY-INSPECTOR GENERAL

3. MINOR SUBDIVISION
HEW AUDIT AGENCY-DIVISION OF SOCIAL SECURITY AUDITS

4. NAME OF PERSON WITH WHOM TO CONFER EVALYN BERNIKER	5. TEL EXT FTS 934-3910
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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 3 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

A Request for immediate disposal.

B Request for disposal after a specified period of time or request for permanent retention.

C. DATE 6/30/78 7/24/78	D. SIGNATURE OF AGENCY REPRESENTATIVE <i>William L. Henry</i>	E. TITLE ASSOCIATE DIRECTOR HEW AUDIT AGENCY
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7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
1.	<p><u>Audit and Survey Workpaper Files</u></p> <p>Audit and survey workpaper files are composed of legal writing paper, columnar paper and computer listings. The audit files are created as a result of audit or survey work performed by the Office of Inspector General, Health, Education and Welfare Audit Agency (HEWAA), Division of Social Security Audits (DSSA). Audit work is performed at the Social Security Administration Headquarters and field offices.</p> <p>Audit and survey files include information and evidence relating to the audit or survey assignment. The workpaper files contain the following types of materials, information and evidence:</p> <p>(1) Analysis, interviews, and other papers in support of detailed audit or survey examination.</p> <p>(2) Financial and management analyses.</p>		

Sent to New Agency
8-4-78 MA 2 items

Request for Records Disposition Authority - Continuation

JOB NO

PAGE OF 2
of 3

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
	<p>(3) Memorandums and current correspondence.</p> <p>(4) Entrance and exit Conference notes.</p> <p>(5) Papers and schedules prepared in support of observations, conclusions and recommendations.</p> <p>(6) Reviews and critiques of the audit or survey assignment.</p> <p>(7) Summaries containing the objectives of an audit or survey, the work performed, results achieved, conclusions drawn and recommendations.</p> <p>(8) Copies of directives, applicable laws and regulations, state plans, General Counsel Decisions, Legislative proposals, etc.</p> <p>(9) Evidence accumulated from physical, testimonial, documentary or analytical sources.</p> <p>(10) Attributes of audit or survey findings.</p> <p>(11) Any material that is relevant to the current audit or survey assignment as well as future audit or survey areas.</p> <p>The purposes of the audit or survey workpaper files are to provide a systematic record of work performed in carrying out the HEWAA mission as described in the Federal Register Vol. 42, No. 63 on April 1, 1977 and to provide a record of information and evidence obtained and developed in support of findings, conclusions and recommendations made on the basis of the work performed.</p> <p>Files are used by auditors at various levels. The files may also be used as evidence in court proceedings or before semi-judicial bodies.</p>		

Request for Records Disposition Authority - Continuation

JOB NO

PAGE OF 3

of 3

7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
	<p>Audit or survey workpaper files may be subject to review by Congress, Department of HEW, General Accounting Office and other interest groups.</p> <p><u>A. Disposition of Audit Workpaper Files</u></p> <p>Transfer to the Federal Record Center about 1 year after final report is issued. Destroy after a total of 6 years retention.</p> <p><u>B. Disposition of Survey Workpaper Files</u></p> <p>Transfer to the Federal Record Center about 1 year after survey report is issued if the audit will not be performed. If the audit is made, transfer to the Federal Record Center about 1 year after the final audit report is issued. Destroy after a total of 6 years retention either from the date of survey report or from the final audit report date if an audit is made.</p>		