

## Request for Records Disposition Authority

Records Schedule Number      **DAA-0047-2011-0002**  
Schedule Status                **Approved**

Agency or Establishment        **Social Security Administration**  
Record Group / Scheduling Group **Records of the Social Security Administration**  
Records Schedule applies to    **Major Subdivision**  
Major Subdivision                **Office of Quality Performance**  
Minor Subdivision                **Office of Quality Data Management**  
Schedule Subject                 **Office of Quality Performance Files**  
Internal agency concurrences will be provided    **Yes**

### Background Information

### Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
<b>9</b>	<b>2</b>	<b>7</b>	<b>0</b>

### GAO Approval

## Outline of Records Schedule Items for DAA-0047-2011-0002

Sequence Number	
1	General Program Administration Files
1 1	A Instructional Files Disposition Authority Number DAA-0047-2011-0002-0001
1 2	B Instructional Background Files Disposition Authority Number DAA-0047-2011-0002-0002
1 3	Administrative Files
1 3 1	Office Responsible for Preparation of Administrative Files and Reports Disposition Authority Number DAA-0047-2011-0002-0003
1 3 2	Sample Control Listings (SCL)
1 3 2 1	a Office Responsible for Sampling National Reviews, Studies, and/or Surveys Disposition Authority Number DAA-0047-2011-0002-0004
1 3 2 2	b Office Responsible for Sampling Local Reviews, Studies, and/or Surveys Disposition Authority Number DAA-0047-2011-0002-0005
1 4	Quality Assurance (QA) Program Files
1 4 1	a Office Responsible for National Reviews, Studies, and/or Surveys Disposition Authority Number DAA-0047-2011-0002-0006
1 4 2	b Office Responsible for Local Reviews, Studies, and/or Surveys Disposition Authority Number DAA-0047-2011-0002-0007
1 5	Reports And/Or Publications Resulting From Reviews, Studies, and/or Surveys
1 5 1	a Reports and/or Publications from Reviews, Studies, and/or Surveys Issued by the Office of Deputy Commissioner or Office of the Associate Commissioner Disposition Authority Number DAA-0047-2011-0002-0008
1 5 2	b Reports and/or Publications from Reviews, Studies, and/or Surveys Issued by Other Offices Disposition Authority Number DAA-0047-2011-0002-0009

## Records Schedule Items

Sequence Number	
1	<p><b>General Program Administration Files</b> This schedule provides authoritative instructions for the retention or destruction of the Office of Quality Performance (OQP's) records related to reviews, studies, and/or surveys of selected general program administration files, administrative files, sample control listings, quality assurance program files, and reports and/or publications resulting from reviews, studies, and/or surveys. It grants authority for the disposition of existing and future records, regardless of media.</p>
1 1	<p><b>A Instructional Files</b></p> <p>Disposition Authority Number      <b>DAA-0047-2011-0002-0001</b></p> <p><b>Manuals, directives, handbooks, and other formal policy and procedural issuances prepared by OQP components. Quality Assurance Manual issuances and similar material are included.</b></p> <p>Final Disposition                      <b>Permanent</b></p> <p>Item Status                                <b>Active</b></p> <p>Is this item media neutral?            <b>Yes</b></p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?        <b>Yes</b></p> <p>Do any of the records covered by this item exist as structured electronic data?                            <b>Yes</b></p> <p>GRS or Superseded Authority Citation      <b>NC1-047-76-025</b></p> <p><b>Disposition Instruction</b></p> <p>Cutoff Instruction                        <b>Cut off at the end of the calendar year in which the files are superseded or discontinued</b></p> <p>Transfer Electronic Records to the National Archives for Pre-Accessioning      <b>Transfer electronic records to the National Archives for pre-accessioning 5 year(s) after cutoff</b></p> <p>Transfer to the National Archives for Accessioning      <b>Transfer to the National Archives 15 year(s) after cutoff</b></p> <p><b>Additional Information</b></p> <p>What will be the date span of the initial transfer of records to the National Archives?                        <b>Unknown</b> <b>Unknown</b></p>

	How frequently will your agency transfer these records to the National Archives?	Unknown Unknown
1 2	<b>B Instructional Background Files</b> Disposition Authority Number	DAA-0047-2011-0002-0002
	<b>Records accumulated in the preparation, clearance, and publications of manuals, directives, handbooks, and other formal policy and procedural issuances. Reviews, studies, and/or surveys, clearance comments, recommendations, and similar records, which provide a basis for publication and contribute to the content of the issuance, are included.</b>	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	<b>Disposition Instruction</b>	
	Retention Period	Destroy immediately after files are superseded or discontinued
	<b>Additional Information</b>	
	GAO Approval	Not Required
1 3	<b>Administrative Files</b> Records created or maintained by Central Office (CO) and OQP Field Sites in the performance of their assigned functions. The following are included: a Official file copies of outgoing correspondence relating to office functions, b Comments on draft reports, studies, and proposals prepared by other offices, c Contributions to and/or comments on proposed legislation, d Suggestion evaluations, e Program and management reports (including, but not limited to, overtime and staffing reports, workload and production reports, highlights, and other reports prepared to submit narrative or statistical data to management offices)	
1 3 1	<b>Office Responsible for Preparation of Administrative Files and Reports</b> Disposition Authority Number	DAA-0047-2011-0002-0003
	Final Disposition	Temporary

	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	Disposition Instruction	
	Retention Period	Destroy immediately after 2 years after the close of the calendar year in which the files are dated
	Additional Information	
	GAO Approval	Not Required
1 3 2	Sample Control Listings (SCL)	
	Listings used for control purposes and identifying cases - which may include the social security number and the first five letters of the claimant's surname - selected for quality assurance reviews, studies, and/or surveys	
1 3 2 1	a Office Responsible for Sampling National Reviews, Studies, and/or Surveys	
	Disposition Authority Number	DAA-0047-2011-0002-0004
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	GRS or Superseded Authority Citation	NC1-47-76-25
	Disposition Instruction	
	Retention Period	Destroy 20 year(s) after listings documenting the selection of cases 20 years after the review, study, and/or survey of other areas of SSA programs or service delivery

1 3 2 2	Additional Information	
	GAO Approval	Not Required
	<b>b Office Responsible for Sampling Local Reviews, Studies, and/or Surveys</b>	
	Disposition Authority Number	DAA-0047-2011-0002-0005
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	Disposition Instruction	
	Transfer to Inactive Storage	Transfer of paper documents to the FRC can occur 18 months after the case was selected for review, study, and/or survey
	Retention Period	Destroy 7 year(s) after the review, study, and/or survey of other areas of SSA programs or service delivery
	Additional Information	
	GAO Approval	Not Required
1 4	<b>Quality Assurance (QA) Program Files</b> The QA program files contain QA data collected and documents relating to review, study, and/or survey of Title II, Title XVI, and Title XVIII of the Social Security Act, the hearing process, or other areas of SSA programs or service delivery Analysis of SSI Quality Assurance Case Review, RSI Quality Assurance Case Review, and Hearing Quality Assurance Case Review is included	
1 4 1	<b>a Office Responsible for National Reviews, Studies, and/or Surveys</b>	
	Disposition Authority Number	DAA-0047-2011-0002-0006
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in	Yes

	electronic format(s) other than e-mail and word processing?	
	Do any of the records covered by this item exist as structured electronic data?	<b>Yes</b>
	<b>Disposition Instruction</b>	
	Transfer to Inactive Storage	Transfer of paper documents to the FRC can occur 18 months after the case was selected for review, study and/or survey
	Retention Period	Destroy 20 year(s) after the review, study and/or survey of the other areas of SSA programs or service delivery
	<b>Additional Information</b>	
	GAO Approval	<b>Not Required</b>
1 4 2	<b>b Office Responsible for Local Reviews, Studies, and/or Surveys</b>	
	Disposition Authority Number	<b>DAA-0047-2011-0002-0007</b>
	Final Disposition	<b>Temporary</b>
	Item Status	<b>Active</b>
	Is this item media neutral?	<b>Yes</b>
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	<b>Yes</b>
	Do any of the records covered by this item exist as structured electronic data?	<b>Yes</b>
	<b>Disposition Instruction</b>	
	Transfer to Inactive Storage	Transfer of paper documents to the FRC can occur 18 months after the case was selected for review, study and/or survey
	Retention Period	Destroy 7 year(s) after the review, study and/or survey of other areas of SSA programs or service delivery
	<b>Additional Information</b>	
	GAO Approval	<b>Not Required</b>
1 5	<b>Reports And/Or Publications Resulting From Reviews, Studies, and/or Surveys</b>	

1 5 1

Reports and/or publications resulting from reviews, studies, and/or surveys on OQP-collected data related to Title II, Title XVI, and Title XVIII, Part D of the Social Security Act, the quality review of the hearing process, or other areas of SSA programs or service delivery.

**a. Reports and/or Publications from Reviews, Studies, and/or Surveys Issued by the Office of Deputy Commissioner or Office of the Associate Commissioner.**

Disposition Authority Number **DAA-0047-2011-0002-0008**

Final Disposition **Permanent**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data? **Yes**

**Disposition Instruction**

Cutoff Instruction **Cut off at the end of the calendar year in which the report was finalized/published.**

Transfer Electronic Records to the National Archives for Pre-Accessioning **Transfer electronic records to the National Archives for pre-accessioning 5 year(s) after cutoff**

Transfer to the National Archives for Accessioning **Transfer to the National Archives 15 year(s) after cutoff.**

**Additional Information**

What will be the date span of the initial transfer of records to the National Archives? **Unknown  
Unknown**

How frequently will your agency transfer these records to the National Archives? **Every 1 Years**

1 5 2

**b. Reports and/or Publications from Reviews, Studies, and/or Surveys Issued by Other Offices**

Disposition Authority Number **DAA-0047-2011-0002-0009**

Final Disposition **Temporary**

Item Status **Active**



Is this item media neutral?	Yes
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
Do any of the records covered by this item exist as structured electronic data?	Yes
Disposition Instruction	
Retention Period	Destroy 10 year(s) after the report and/or publication issuance
Additional Information	
GAO Approval	Not Required

## 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 in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified

## Signatory Information

Date	Action	By	Title	Organization
09/20/2011	Certify	Joyce Huber	Records Officer	Budget and Financial Management - Office of Document Management
02/14/2012	Submit for Concurrency	Sean Curry	Senior Records Analyst	National Archives and Records Administration - Agency Services
02/23/2012	Return to Submitter	Margaret Hawkins	Appraiser	National Records Management Program - Records Management Services
02/29/2012	Submit for Concurrency	Sean Curry	Senior Records Analyst	National Archives and Records Administration - Agency Services
02/29/2012	Concur	Margaret Hawkins	Appraiser	National Records Management Program - Records Management Services
03/01/2012	Concur	Laurence Brewer	for	National Archives and Records Administration - Records Management Services
03/07/2012	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist

DAA-0047-2011-0002			NC1-47-76-25			
New Item Title	Disposition	New Item number (ERA)	Old Schedule Title	Disposition	Old Schedule Number	Changes
Instruction Files	P, at closure	0001: 1.1	Instruction Files	P, at closure	I.A 1	No
Instructional Background Files	T, as superseded	0002: 1.2	Instructional Background Files	T, as superseded	I.B.1	No
Admin Files (office performance)	T, 2 years	0003: 1.3	Admin Files	T, 2 years	I.C	No
Sample Control Listings; National Reviews	T, 20 years	0004: 1.3.2.1	Quality Assurance, Acceptance Sample Records	T, 5 years	II.A	Increase in retention
Sample Control Listings; Local Reviews	T, 7 years	0005: 1.3.2.2	Quality Assurance, Acceptance Sample Records	T, 5 years	II.A	Break-down, increase in retention
Quality Assurance Program Files; National Reviews	T, 20 years	0006: 1.4.1	[seperated from other series]	T, 5 years	II.A	Broken out from other series
Quality Assurance Program Files; Local Reviews	T, 7 years	0007: 1.4.2	[seperated from other series]	T, 5 years	II.A	Broken out from other series
Final Reports, Commissioner	P, 10 years	0008: 1.5.1	Findings Reports (several)	P, 10 years	II.C.3.a, II.E.2, II.F.2, II.G.1	Consolidation of items
Final Reports, all other offices	T, 10 years	0009: 1.5.2	Findings Reports, Summary Data	T, superseded	II.3.b	Broken out from other series