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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: DAA-0047-2017-0004

Request for Records Disposition Authority

Records Schedule Number DAA-0047-2017-0004
Schedule Status Returned Without Action

Agency or Establishment Social Security Administration
Record Group / Scheduling Group Records of the Social Security Administration
Records Schedule applies to Agency-wide
Schedule Subject Audit Records
Internal agency concurrences will be provided No

Background Information SSA is proposing a big bucket approach to records scheduling and disposition. This bucket is the Audits Records bucket. It has two disposition schedules: 1 permanent and 1 temporary. It covers records and information that relate to documenting regulatory accountability, audits and evaluations.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
0	0	0	2

GAO Approval

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Request for Records Disposition Authority

Records Schedule: DAA-0047-2017-0004

Outline of Records Schedule Items for DAA-0047-2017-0004

Sequence Number	
1	Historically Significant and/or Official Audit Reports and Correspondence Disposition Authority Number: DAA-0047-2017-0004-0001
2	Audit Records Supporting Administrative and/or Program Functions Disposition Authority Number: DAA-0047-2017-0004-0002

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Records Schedule Items

Sequence Number															
1	<p data-bbox="367 410 1354 440">Historically Significant and/or Official Audit Reports and Correspondence</p> <p data-bbox="367 461 1143 491">Disposition Authority Number DAA-0047-2017-0004-0001</p> <p data-bbox="367 512 1495 1102">Include, but are not limited to: (1) historically significant audit reports and correspondence; and (2) official reports relating to internal audits, inspections, and special reviews of agency programs, operations and procedures, contractors and grantees that recommend improvements in SSA programs and organizational performance. Note 1: See crosswalk and/or agency manual for additional detail. Note 2: Designating an audit report and correspondence as historically significant requires agreement between NARA and SSA. Most audit reports and correspondence will not be deemed historically significant, but may be considered for this distinction if they meet any of the following criteria: (1) the audit attracts substantial national or regional media attention because of considerable Congressional or public interest; (2) the audit results in a Congressional investigation; (3) the audit establishes precedent; (4) the audit results in substantive changes in agency policies and procedures; and (5) the audit result in court decisions that significantly interpret legislation or regulations. If the audit report or correspondence is designated historically significant, it should be carefully reviewed before transfer to NARA for any inappropriate content.</p> <table data-bbox="367 1123 922 1400"><tr><td>Final Disposition</td><td>Permanent</td></tr><tr><td>Item Status</td><td>Withdrawn</td></tr><tr><td>Is this item media neutral?</td><td>Yes</td></tr><tr><td>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?</td><td>No</td></tr></table> <p data-bbox="367 1434 669 1464">Disposition Instruction</p> <table data-bbox="367 1491 1495 1651"><tr><td>Cutoff Instruction</td><td>Cut off is annual; unless specified otherwise.</td></tr><tr><td>Transfer to the National Archives for Accessioning</td><td>Transfer records to NARA 15 years after cut off. Individual electronic files must be accessioned in an acceptable format (following current CFR guidelines).</td></tr></table> <p data-bbox="367 1689 669 1719">Additional Information</p> <table data-bbox="367 1747 1268 1838"><tr><td>What will be the date span of the initial transfer of records to the National Archives?</td><td>Unknown Transfer of these records is ongoing.</td></tr></table>	Final Disposition	Permanent	Item Status	Withdrawn	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?	No	Cutoff Instruction	Cut off is annual; unless specified otherwise.	Transfer to the National Archives for Accessioning	Transfer records to NARA 15 years after cut off. Individual electronic files must be accessioned in an acceptable format (following current CFR guidelines).	What will be the date span of the initial transfer of records to the National Archives?	Unknown Transfer of these records is ongoing.
Final Disposition	Permanent														
Item Status	Withdrawn														
Is this item media neutral?	Yes														
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	How frequently will your agency transfer these records to the National Archives?	Unknown Transfer of these records is ongoing.
2	Audit Records Supporting Administrative and/or Program Functions Disposition Authority Number DAA-0047-2017-0004-0002 Those records that support audit activities throughout SSA and have administrative and/or program value to SSA audit staff. Include, but is not limited to: (1) significant and non-significant audit report files; (2) significant and non-significant investigative case files; (3) audits of SSA operations & agencies under contract; (4) internal review project files; (5) state agency audit files; (6) state and local onsite reviews; (7) representative payee onsite review files; (8) fraud prevention records; (9) social security number (SSN) replacement card audit records; (10) Medicare contractor employee equal opportunity (EEO) compliance reviews; (11) general audit requests and correspondence; (12) audit reference material; (13) audit reading files; (14) electronic database tracking system for audits, including master file and system documentation; (15) MIS for audit, including workload/staffing reports and periodic end product reports; (16) audit trail records not already documented in electronic information systems; and (17) general audit correspondence, Congressional reference files, and Executive controls that are not of national significance and are determined not to merit permanent retention. Note: See crosswalk and/or agency manual for additional detail. Final Disposition Temporary Item Status Withdrawn 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 is annual; unless specified otherwise. Cut off at end of fiscal year after all recommendations resulting from an audit are closed. Retention Period Delete/destroy 5 to 25 years after cutoff. Additional Information GAO Approval Not Required	

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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
05/23/2019	Certify	Dora Blackwell	Agency Records Officer	Deputy Commission Office of Systems - OITFMS
06/11/2019	Return Without Action	Carly Docca	Archives Specialist	National Archives and Records Administration - ACRA

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