

# WITHDRAWN-RETURNED WITHOUT ACTION

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION  
Request for Records Disposition Authority

Records Schedule: DAA-0047-2018-0001

## Request for Records Disposition Authority

Records Schedule Number	DAA-0047-2018-0001
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	Major Subdivision
Major Subdivision	Office of the Inspector General
Schedule Subject	Office of the Inspector General Records
Internal agency concurrences will be provided	No

**Background Information**

The Office of the Inspector General (OIG) is directly responsible for meeting the statutory mission of promoting economy, efficiency, and effectiveness in the administration of Social Security Administration (SSA) programs and operations and to prevent and detect fraud, waste, abuse, and mismanagement in such programs and operations. To accomplish this mission, OIG directs, conducts, and supervises a comprehensive program of independent and objective audits, evaluations, and investigations relating to SSA's programs and operations. The Office of Inspector General (OIG) also searches for and reports systemic weaknesses in SSA programs and operations, and makes recommendations for needed improvements and corrective actions. In addition, the OIG provides timely, useful, and reliable information and advice to Administration officials, Congress, and the public.

The Office of the Inspector General (OIG) comprises an immediate office and four main components, each with unique roles and responsibilities: (1) Immediate Office of the Inspector General (IO); (2) Office of Audit (OA); (3) Office of Investigations (OI); (4) Office of Communications and Resource Management (OCRM); and (5) Office of the Counsel to the Inspector General (OCIG).

This schedule covers records of the SSA OIG's immediate office and four components.

ACCESS RESTRICTION: FOIA Exemptions 6 (personal privacy) and 7 (law enforcement records).

Item Count

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Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
0	0	0	3

GAO Approval

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## Outline of Records Schedule Items for DAA-0047-2018-0001

Sequence Number	
1	Office of Inspector General (OIG) Mission Records Disposition Authority Number: DAA-0047-2018-0001-0001
2	Office of the Inspector General (OIG) Mission Support Records Disposition Authority Number: DAA-0047-2018-0001-0002
3	Office of the Inspector General (OIG) Administrative Mission Support Records Disposition Authority Number: DAA-0047-2018-0001-0003

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## Records Schedule Items

Sequence Number	
1	<p data-bbox="367 410 1057 440">Office of Inspector General (OIG) Mission Records</p> <p data-bbox="367 459 1146 489">Disposition Authority Number      DAA-0047-2018-0001-0001</p> <p data-bbox="367 512 1495 1321">Include, but not limited to: (1) Audit Report Files; (2) Investigative Case Files; (3) Civil Monetary Penalty Case Files; (4) Significant OIG Official Correspondence, Congressional Reference Files and Executive Controls; (5) Official OIG Reports; (6) Professional Responsibility Special Investigation Records; (7) OIG Electronic Investigation and Case Tracking System or equivalent Masterfile. Note 1: See crosswalk and/or agency manual for additional detail. Note 2: Designating an OIG report or case file as historically significant requires agreement between NARA and SSA. Most OIG reports and case files will not be deemed historically significant, but may be considered for this distinction if they meet any of the following criteria: (1) the case/report attracts substantial national or regional media attention because of considerable Congressional or public interest; (2) the case/report results in a Congressional investigation; (3) the case/report establishes precedent; (4) cases that are accepted and heard by the U.S. Supreme Court; (5) cases that result in court decisions that significantly interpret legislation or regulations; (6) the case/report results in substantive changes in agency policies and procedures; or (7) the case/report involves allegations made against senior agency officials other than frivolous allegations that did not result in a sustained investigation. Historically significant cases and reports will be selected by the Office of the Inspector General in consolidation with the SSA Records Management Staff based on the above criteria and offered to NARA. If the report or case file is designated historically significant, it should be carefully reviewed before transfer to NARA for any inappropriate content.</p> <p data-bbox="367 1342 922 1372">Final Disposition                      Temporary</p> <p data-bbox="367 1393 922 1423">Item Status                              Withdrawn</p> <p data-bbox="367 1444 824 1474">Is this item media neutral?          Yes</p> <p data-bbox="367 1495 824 1619">Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      Yes</p> <p data-bbox="367 1640 824 1721">Do any of the records covered by this item exist as structured electronic data?                      No</p> <p data-bbox="367 1742 1068 1923">GRS or Superseded Authority Citation      N1-047-04-002 / 1 N1-047-04-002 / 2 NC1-047-81-009 / 6G N1-047-04-002 / 5 N1-047-04-002 / 6</p>

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		N1-047-04-002 / 15 N1-047-04-002 / 12 N1-047-04-002 / 17A N1-047-04-002 / 11B
	<b>Disposition Instruction</b>	
	<b>Cutoff Instruction</b>	Cutoff is annual; unless specified otherwise.
	<b>Retention Period</b>	Delete/Destroy 15 to 25 years after cutoff, or when no longer needed for business use, whichever is later.
	<b>Additional Information</b>	
	<b>GAO Approval</b>	Not Required
2	<b>Office of the Inspector General (OIG) Mission Support Records</b>	
	<b>Disposition Authority Number</b>	DAA-0047-2018-0001-0002
	Include, but not limited to: (1) Allegations Retained for Possible Future Investigations; (2) SSA OIG Policies and Procedures; (3) OIG Substantive Policy and Support Memoranda, Agreements, Records and Files; (4) Internal Review Project Files; (5) Peer Review Records for Office of Audit and Office of Investigations; (6) LEVER Requests/Law Enforcement Liaison Records; (7) Electronic Database/Tracking System for Audits, Planning and Management or equivalent Masterfile; and (8) all other legal records including legal opinions, advice and review; subpoena enforcement activities; Touhy; Giglio-Henthorne responses; and OIG disclosure determinations. Note: See crosswalk and/or agency manual for additional detail.	
	<b>Final Disposition</b>	Temporary
	<b>Item Status</b>	Withdrawn
	<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>	No
	<b>GRS or Superseded Authority Citation</b>	N1-047-04-002 / 23 N1-047-04-002 / 19 N1-047-04-002 / 18 N1-047-04-002 / 9 N1-047-04-002 / 4 NC1-047-80-002 NC1-047-78-010 NC1-047-78-006

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## Disposition Instruction

Cutoff Instruction Cutoff is annual; unless specified otherwise.

Retention Period Delete/Destroy 10 to 15 years after cutoff, or when no longer needed for business use, whichever is later.

## Additional Information

GAO Approval Not Required

Office of the Inspector General (OIG) Administrative Mission Support Records

Disposition Authority Number DAA-0047-2018-0001-0003

Include, but not limited to: (1) Allegations Referred to SSA or Another Agency; (2) Meritless Allegations Closed without Investigation; (3) OIG Developed Training Material Files; (4) OIG Employee Training Files Not Covered by the GRS; (5) General OIG Official Correspondence, Congressional Reference Files and Executive Controls; and (6) all other OIG administrative mission support records such as OIG internal administrative procedures and management files and reading files. Note 1: The original records and supporting documents for allegations referred for investigation are transferred to and become part of the investigative case files. Note 2: 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? No

GRS or Superseded Authority Citation  
N1-047-04-002 / 20  
N1-047-04-002 / 21  
N1-047-04-002 / 22  
N1-047-04-002 / 3  
N1-047-04-002 / 8  
N1-047-04-002 / 10  
N1-047-04-002 / 14  
N1-047-04-002 / 16

## Disposition Instruction

Cutoff Instruction Cutoff is annual unless otherwise specified.

Retention Period Delete/Destroy 3 to 6 years after cutoff, or when no longer needed for business use, whichever is later.

## Additional Information

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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
07/02/2018	Certify	Dora Blackwell	Acting Records Officer	DCBFQM - RMALS
06/11/2019	Return Without Action	Carly Docca	Archives Specialist	National Archives and Records Administration - ACRA

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