

National Archives and Records Administration
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0047-2022-0003

Status: APPROVED
Date Approved: 11/12/2024

General Information

Agency or Establishment	Social Security Administration
Record/Scheduling Group	0047 - Records of the Social Security Administration
Records Schedule Applies To	Agency-wide
Schedule Subject	Legal Records
Additional Schedule Information	SSA is proposing a big bucket approach to records scheduling and disposition. This bucket is the Legal Records bucket. It has eight (8) disposition schedules: One (1) permanent and seven (7) temporary. The records relate to program law and general law matters, legal opinions, and litigation, and include case files, background material, and workload tracking databases.
Is There a Classified Version of This Schedule?	No
Is consultation and coordination with Tribal Governments required?	No- The records covered by this schedule do not implicate Tribal interests

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Item Count

Total number of disposition items: 8

Number of Temporary disposition items: 7

Number of Permanent disposition items: 1

Number of Items with Disposition Not Approved: 0

Number of Inactive disposition items: 0

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Outline of Records Schedule Items for DAA-0047-2022-0003

Item #	Title	Disposition
0001	Precedential Legal Opinions	Permanent
0002	Routine Legal Opinions, Advice, and Review	Temporary
0003	Program Litigation Case Files	Temporary
0004	General Law Case and Non-Program Litigation Files	Temporary
0005	Representative Conduct Case Files : Representative Conduct Case Files - No Violation	Temporary
0006	Representative Conduct Case Files : Representative Conduct Case Files - Sanctions Initiated	Temporary
0007	Representative Conduct Case Files : Representative Conduct Case Files - All Other Records	Temporary
0008	Legal Case Tracking System	Temporary

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Records Schedule Items

DAA-0047-2022-0003-0001		STATUS: Active
ITEM GENERAL INFORMATION		
Item Title	Precedential Legal Opinions	
Item Description	Includes legal opinions concerning the operation and administration of the various programs arising under the Social Security Act (SSA), including the Old-Age and Survivors Insurance, Disability Insurance, Special Veterans Benefits, and Supplemental Security Income programs and those aspects of the Medicare program that SSA administers, and that are issued by OGC executives and determined to be far-reaching or precedent-setting (e.g., applicable to a large/national population of people or concern complex or novel issues of first impression). Records may include relevant background materials.	
Is this item media neutral?	Yes	
Is this item a Big Bucket?	Yes	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS		
Does this item supersede existing disposition authorities?	Yes	
	Superseded Items	
Superseded Item	Item Superseded in Part?	Explanation
N1-047-10-004 / 2/A/1	No	
Is this item a deviation from the GRS?	No	
DISPOSITION INSTRUCTION		
Final Disposition	Permanent	
Cutoff Instructions	Other: Cut off every 10 years at the end of the calendar year of the issuance of the opinion.	
Are there multiple instructions for this item?	No	
Transfer Instruction	Transfer to the National Archives 20 year(s) after cutoff.	
ADDITIONAL INFORMATION		
Current Records Format	Paper-based textual records:1CF ; Textual data:70MB	
Approximate first year of records covered by this authority	2010	
End year of records covered by this authority	Still being created	
Date span of the initial transfer	From: 01/01/2010 To: 12/31/2030	

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Frequency of transfer	10
Are any of the records covered by this item subject to a FOIA exemption?	Yes
FOIA Exemption(s)	FOIA (b)(6) Personal Information

DAA-0047-2022-0003-0002		STATUS: Active	
ITEM GENERAL INFORMATION			
Item Title	Routine Legal Opinions, Advice, and Review		
Item Description	Records contain OGC attorneys' routine legal advice provided on SSA programs arising under the Social Security Act and general law administrative matters, including matters such as the budget, appropriations, contracts, procurement, personnel and labor relations, Freedom of Information Act (FOIA), Privacy Act, Computer Matching, bankruptcy, garnishment and guardianship. Included are memoranda, legal agreements, mark-ups, and related documents.		
Is this item media neutral?	Yes		
Is this item a Big Bucket?	Yes		
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS			
Does this item supersede existing disposition authorities?	Yes		
	Superseded Items		
Superseded Item	Item Superseded in Part?	Explanation	
N1-047-10-004 / 1/F	No		
N1-047-10-004 / 2/A/2	No		
Is this item a deviation from the GRS?	No		
DISPOSITION INSTRUCTION			
Final Disposition	Temporary		
Cutoff Instructions	Other: Cut off every 10 years at the end of the calendar year of the issuance of the opinion.		
Retention Period	Destroy 30 year(s) after cutoff.		
ADDITIONAL INFORMATION			
Are any of the records covered by this item national security classified?	No		
GAO Approval Required	No		

DAA-0047-2022-0003-0003	STATUS: Active
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Records Schedule Number: DAA-0047-2022-0003

Status: APPROVED
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ITEM GENERAL INFORMATION	
Item Title	Program Litigation Case Files
Item Description	Includes all records of Federal court filings and correspondence, civil actions filed against SSA for an award of benefits or other relief under Titles II, VIII, XVI, and XVIII of the Social Security Act, overpayment recovery and other actions brought by SSA under those authorities, civil actions filed against SSA for relief under the Coal Act, and Court of Appeals, Supreme Court, or settlement activity in connection with any of the above.
Is this item media neutral?	Yes
Is this item a Big Bucket?	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	Yes
	Superseded Items
Superseded Item	Item Superseded Explanation in Part?
N1-047-10-004/ 2/B	No
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
Final Disposition	Temporary
Cutoff Instructions	Other: Cut off files 1 year after the final court decision on the matter. In a class action case, cut off files 1 year after completion of class action relief or an earlier date as determined to be appropriate.
Retention Period	Destroy 10 year(s) after cutoff.
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	
GAO Approval Required	No

DAA-0047-2022-0003-0004	STATUS: Active
ITEM GENERAL INFORMATION	
Item Title	General Law Case and Non-Program Litigation Files

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Item Description	General Law and non-program litigation matters before administrative forums, or federal and state courts, including records related to administrative personnel actions, Federal Tort Claims Act (FTCA) and Military Personnel and Civilian Employment Claims Act (MPCECA) claims for damage to or loss of property or personal injury or death, Freedom of Information Act (FOIA), Privacy Act, civil monetary penalties, civil rights, salary overpayments, bankruptcy, garnishment, guardianship actions, subpoenas, and employee testimony. These files include complaints, discovery, motions, and any records related to the litigation	
Is this item media neutral?	Yes	
Is this item a Big Bucket?		
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS		
Does this item supersede existing disposition authorities?	Yes	
	Superseded Items	
Superseded Item	Item Superseded in Part?	Explanation
N1-047-10-004 / 1/C	No	
N1-047-10-004 / 1/G/1	No	
N1-047-10-004 / 1/G/2	No	
N1-047-10-004 / 1/G/3	No	
N1-047-10-004 / 1/H	No	
N1-047-10-004 / 1/I/1	No	
N1-047-10-004 / 1/I/2	No	
N1-047-10-004 / 1/I/3	No	
N1-047-10-004 / 1/J	No	
N1-047-10-004 / 1/K	No	
N1-047-10-004 / 1/L	No	
N1-047-10-004 / 1/M	No	
N1-047-10-004 / 1/N	No	
N1-047-10-004 / 2/C/1	No	
N1-047-10-004 / 2/C/2	No	
NC-047-75-003 / 7/A/1/a	No	
NC-047-75-003 / 7/A/1/b	No	
Is this item a deviation from the GRS?	No	
DISPOSITION INSTRUCTION		
Final Disposition	Temporary	

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Cutoff Instructions	Other: Cut off annually at end of the calendar year of the close of the matter.
Retention Period	Destroy 10 year(s) after cutoff.
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	
GAO Approval Required	No

Group Title	Representative Conduct Case Files
Group Description	Records of cases in which OGC investigates representative conduct to determine if the representative violated SSA's requirements, rules of conduct, or standards of responsibility for representatives. Case files may include referrals to the agency regarding a representative's conduct or qualifications, correspondence, appointment of representation forms, fee-related documents, witness statements, documents related to a representative's qualifications, inquiry letters and/or warning letters, notices of intent to sanction, answers, requests for designation of a hearing officer, orders, pre-hearing and post-hearing submissions, settlement agreements, acceptance of suspension or disqualification documents, hearing officer and Appeals Council decisions, requests for reinstatement, and responses to requests for reinstatement.

DAA-0047-2022-0003-0005 STATUS: Active

ITEM GENERAL INFORMATION

Item Title	Representative Conduct Case Files - No Violation
Item Description	Records of cases in which OGC investigates a representative's conduct or qualifications and concludes that the representative did not violate SSA's requirements, rules of conduct, or standards of responsibility for representatives.
Is this item media neutral?	Yes
Is this item a Big Bucket?	Yes

SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS

Does this item supersede existing disposition authorities?	Yes
Superseded Items	
Superseded Item	Item Superseded Explanation in Part?
N1-047-10-004 / 1/E/1	No

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Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	
Final Disposition	Temporary
Cutoff Instructions	Other: Cut off annually at the end of the calendar year in which OGC closes the matter.
Retention Period	Destroy 3 year(s) after cutoff.
ADDITIONAL INFORMATION	
Are any of the records covered by this item national security classified?	No
GAO Approval Required	No
DAA-0047-2022-0003-0006	STATUS: Active
ITEM GENERAL INFORMATION	
Item Title	Representative Conduct Case Files - Sanctions Initiated
Item Description	Records of cases in which OGC initiates the formal sanctions process by issuing to a representative a Notice of Intent to Sanction, regardless of whether the charges result in formal sanctions of a representative. This includes records in which OGC withdraws the charges; OGC settles the case prior to or after filing a request for designation of a hearing officer; a representative admits to the charges and signs a document accepting suspension or disqualification; or a designated hearing officer issues a decision on the charges.
Is this item media neutral?	Yes
Is this item a Big Bucket?	Yes
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS	
Does this item supersede existing disposition authorities?	Yes
Superseded Items	
Superseded Item	Item Superseded in Part? Explanation
N1-047-10-004/1/E/2	Yes Superseded in part. SSA previously managed proposed Conduct Case File items 0006 & 0007 together under 1/E/2. Item 0006 now supersedes only part of the previous series and includes only cases where sanctions are initiated.
Is this item a deviation from the GRS?	No
DISPOSITION INSTRUCTION	

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Final Disposition	Temporary	
Cutoff Instructions	Other: Cut off annually at the end of the calendar year in which the final action is effective (i.e., the date of the settlement agreement, sanction, or dismissal of charges).	
Retention Period	Destroy 15 year(s) after cutoff.	
ADDITIONAL INFORMATION		
Are any of the records covered by this item national security classified?		
GAO Approval Required	No	
DAA-0047-2022-0003-0007		STATUS: Active
ITEM GENERAL INFORMATION		
Item Title	Representative Conduct Case Files - All Other Records	
Item Description	All other records related to allegations of violations of SSA's requirements, rules of conduct, or standards of responsibility for representatives, which includes the issuance of warning letters and requests for reinstatement.	
Is this item media neutral?	Yes	
Is this item a Big Bucket?	Yes	
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS		
Does this item supersede existing disposition authorities?	Yes	
Superseded Items		
Superseded Item	Item Superseded in Part?	Explanation
N1-047-10-004 / 1/E/2	Yes	Superseded in part. SSA previously managed proposed Conduct Case File items 0006 & 0007 together under 1/E/2. Item 0007 now supersedes only part of the previous series and includes all other cases, including cases where a warning letter is issued, or reinstatement is requested.
Is this item a deviation from the GRS?	No	
DISPOSITION INSTRUCTION		
Final Disposition	Temporary	
Cutoff Instructions	Other: Cut off annually at the end of the calendar year in which OGC closes the matter.	
Retention Period	Destroy 10 year(s) after cutoff.	
ADDITIONAL INFORMATION		

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Are any of the records covered by this item national security classified?	No
GAO Approval Required	No

DAA-0047-2022-0003-0008	STATUS: Active	
ITEM GENERAL INFORMATION		
Item Title	Legal Case Tracking System	
Item Description	Records may include databases and management information and docketing system files that track legal assignments and outcomes.	
Is this item media neutral?	Yes	
Is this item a Big Bucket?		
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS		
Does this item supersede existing disposition authorities?	Yes	
	Superseded Items	
Superseded Item	Item Superseded in Part?	Explanation
N1-047-10-004 2/D	No	
Is this item a deviation from the GRS?	No	
DISPOSITION INSTRUCTION		
Final Disposition	Temporary	
Cutoff Instructions	Other: Cut off annually at the end of the calendar year.	
Retention Period	Destroy 20 year(s) after cutoff.	
ADDITIONAL INFORMATION		
Are any of the records covered by this item national security classified?		
GAO Approval Required	No	

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Signatory Information

Action	User	Date
Approve	Colleen Shogan	11/12/2024

Bucket	Item Number	Series Title	Retention	Series Level Cut off Instructions, where applicable	Current Records Description	Superseded Series Title	Superseded Series Description	Superseded Authority	Superseded Retention	Office of Record (for Permanent items)
Legal Records	DAA-0047-2021-0003-0001	Precedential Legal Opinions	Permanent. Transfer to the National Archives 15 year(s) after cutoff.	Cut off every 10 years at the end of the calendar year of the issuance of the opinion.	Includes legal opinions concerning the operation and administration of the various programs arising under the Social Security Act (SSA), including the Old-Age and Survivors Insurance, Disability Insurance, Special Veterans Benefits, and8 Supplemental Security Income programs and those aspects of the Medicare program that SSA administers, and that are issued by OGC executives and determined to be far-reaching or precedentsetting (e.g., applicable to a large/national population of people or concern complex or novel issues of first impression). Records may include relevant background materials.	Program Law Records - Program Legal Advice Files - Precedent-Setting Opinions	Records concern legal analyses and opinions of OGC attorneys that are selected by OGC officials as far-reaching or precedent-setting opinions, views, or communications. Included are background materials necessary to understanding the development of precedents.	N1-047-10-004 / 2/A/1	Permanent. Paper files to transferred to NARA in 5 year blocks, when most recent file is 30 years old. Electronic records to be transferred to NARA when 30 years old; pre-accessioning is authorized at 5 years old.	Office of the General Counsel
Legal Records	DAA-0047-2021-0003-0002	Routine Legal Opinions, Advice, and Review	Temporary. Destroy 30 year(s) after cutoff.	Cut off every 10 years at the end of the calendar year of the issuance of the opinion.	Records contain OGC attorneys' routine legal advice provided on SSA programs arising under the Social Security Act and general law and administrative matters, including matters such as the budget, appropriations, contracts, procurement, personnel and labor relations, Freedom of Information Act (FOIA), Privacy Act, Computer Matching, bankruptcy, garnishment and guardianship. Included are memoranda, legal agreements, comments, mark-ups, and related documents.	Program Law Records - All Other Program Legal Advice Files	Includes non-precedent setting files (resulting from opinions based on the routine application of known, pre-existing rules, regulations, and statutes); draft legislation files, public law files, administrative hearing files, etc.	N1-047-10-004 / 2/A/2	Temporary. Cut off subject code files 10 years after the date of the last record filed under the subject code. Destroy 20 years later.	N/A
Legal Records	DAA-0047-2021-0003-0002	Routine Legal Opinions, Advice, and Review	Temporary. Destroy 30 year(s) after cutoff.	Cut off every 10 years at the end of the calendar year of the final decision.	Records contain OGC attorneys' routine legal advice provided on SSA programs arising under the Social Security Act and general law and administrative matters, including matters such as the budget, appropriations, contracts, procurement, personnel and labor relations, Freedom of Information Act (FOIA), Privacy Act, Computer Matching, bankruptcy, garnishment and guardianship. Included are memoranda, legal agreements, comments, mark-ups, and related documents.	General Law Legal Advice Files	Legal advice issued by attorneys to the agency regarding various general law legal issues such as budget, appropriations, contracts, procurement, personnel, FOIA, Privacy Act, Computer Matching, bankruptcy, garnishment, and guardianship. Included are legal opinions, memos, comments, mark-ups, and related documents.	N1-047-10-004 / 1/F	Temporary. Maintain in OGC for 20 years after date of advice and then destroy.	N/A
Legal Records	DAA-0047-2021-0003-0003	Program Litigation Files	Temporary. Destroy 10 year(s) after cutoff.	Cutoff files 1 year after the final court decision of the matter. In a class action case, cut off files 1 year after completion of class action relief or an earlier date as determined to be appropriate.	Includes all records of Federal court filings and correspondence, civil actions filed against SSA for an award of benefits or other relief under Titles II, VIII, XVI, and XVIII of the Social Security Act, overpayment recovery and other actions brought by SSA under those authorities, civil actions filed against SSA for relief under the Coal Act, and Court of Appeals, Supreme Court, or settlement activity in connection with any of the above.	Program Litigation Case Files	Records of Federal court filings and correspondence. Included are civil actions filed against SSA for an award of benefits or other relief under Titles II, VIII, XVI, and XVIII of the Social Security Act; overpayment recovery and other actions brought by SSA under those authorities; civil actions filed against SSA for relief under the Coal Act; and Court of Appeals, Supreme Court, or settlement activity in connections with any of the foregoing.	N1-047-10-004 / 2/B	Temporary. Cut off files 1 year after the final court decision on the matter. In a class action case, cut of files 1 year after completion of class action relief or an earlier date as determined to be appropriate. Destroy 10 years after cutoff.	N/A

Legal Records	DAA-0047-2021-0003-0004	General Law Case and Non-Program Litigation Files	Temporary. Destroy 10 year(s) after cutoff.	Cut off annually at end of the calendar year of the close of the matter.	General Law and non-program litigation matters before administrative forums, or federal and state courts, including records related to administrative personnel actions, Federal Tort Claims Act (FTCA) and Military Personnel and Civilian Employment Claims Act (MPCECA), claims for damage to or loss of property or personal injury or death, Freedom of Information Act (FOIA), Privacy Act, civil monetary penalties, civil rights, salary overpayments, bankruptcy, garnishment, guardianship actions, subpoenas, and employee testimony. These files include complaints, discovery, motions, and any records related to the litigation.	Unemployment Case Files	Case files may contain a notice of unemployment, correspondence, hearing notice, transcript, and decision. If appealed, the file may contain notice of appeal, motion to intervene, pleadings, transcript and decision, and any other supporting documents.	N1-047-10-004 / 1/C	Temporary. Destroy 6 years after case is closed or final adjudication by a court.	N/A
Legal Records	DAA-0047-2021-0003-0004	General Law Case and Non-Program Litigation Files	Temporary. Destroy 10 year(s) after cutoff.	Cut off annually at end of the calendar year of the close of the matter.	General Law and non-program litigation matters before administrative forums, or federal and state courts, including records related to administrative personnel actions, Federal Tort Claims Act (FTCA) and Military Personnel and Civilian Employment Claims Act (MPCECA), claims for damage to or loss of property or personal injury or death, Freedom of Information Act (FOIA), Privacy Act, civil monetary penalties, civil rights, salary overpayments, bankruptcy, garnishment, guardianship actions, subpoenas, and employee testimony. These files include complaints, discovery, motions, and any records related to the litigation.	Federal tort Claims Act (FTCA) - Claims in which no civil action is filed	FTCA claims in which no civil action is filed. Files contain records relating to claims for damage to or loss of property or personal injury or death. Military Personnel and Civilian Employees' Claims Act (MPCECA) files contain records relating to claims for damage to or loss of property. Included in FTCA and MPCECA files may be claim forms, proofs of ownership, correspondence, itemized bills, statements, estimates, insurance policies, medical reports, employment records, authorizations to act, police and accident reports, and similar papers.	N1-047-10-004 / 1/G/1	Temporary. Destroy 2 years after claim is denied, granted, or transferred to another federal agency.	N/A
Legal Records	DAA-0047-2021-0003-0004	General Law Case and Non-Program Litigation Files	Temporary. Destroy 10 year(s) after cutoff.	Cut off annually at end of the calendar year of the close of the matter.	General Law and non-program litigation matters before administrative forums, or federal and state courts, including records related to administrative personnel actions, Federal Tort Claims Act (FTCA) and Military Personnel and Civilian Employment Claims Act (MPCECA), claims for damage to or loss of property or personal injury or death, Freedom of Information Act (FOIA), Privacy Act, civil monetary penalties, civil rights, salary overpayments, bankruptcy, garnishment, guardianship actions, subpoenas, and employee testimony. These files include complaints, discovery, motions, and any records related to the litigation.	Federal Tort Claims Act (FTCA) - Claims in which a civil action is filed	FTCA claims in which a civil action is filed. Files contain records relating to claims for damage to or loss of property or personal injury or death. Military Personnel and Civilian Employees' Claims Act (MPCECA) files contain records relating to claims for damage to or loss of property. Included in FTCA and MPCECA files may be claim forms, proofs of ownership, correspondence, itemized bills, statements, estimates, insurance policies, medical reports, employment records, authorizations to act, police and accident reports, and similar papers. If a claim is filed, the file may contain pleadings, answers, motions, exhibits, transcripts, orders, decision, and any other supporting documents.	N1-047-10-004 / 1/G/2	Temporary. Destroy 2 years after the court resolves the litigation.	N/A
Legal Records	DAA-0047-2021-0003-0004	General Law Case and Non-Program Litigation Files	Temporary. Destroy 10 year(s) after cutoff.	Cut off annually at end of the calendar year of the close of the matter.	General Law and non-program litigation matters before administrative forums, or federal and state courts, including records related to administrative personnel actions, Federal Tort Claims Act (FTCA) and Military Personnel and Civilian Employment Claims Act (MPCECA), claims for damage to or loss of property or personal injury or death, Freedom of Information Act (FOIA), Privacy Act, civil monetary penalties, civil rights, salary overpayments, bankruptcy, garnishment, guardianship actions, subpoenas, and employee testimony. These files include complaints, discovery, motions, and any records related to the litigation.	Federal Tort Claims Act (FTCA) - If a claim is not perfected	FTCA claims in which a civil action is filed. Files contain records relating to claims for damage to or loss of property or personal injury or death. Military Personnel and Civilian Employees' Claims Act (MPCECA) files contain records relating to claims for damage to or loss of property. Included in FTCA and MPCECA files may be claim forms, proofs of ownership, correspondence, itemized bills, statements, estimates, insurance policies, medical reports, employment records, authorizations to act, police and accident reports, and similar papers. If a claim is filed, the file may contain pleadings, answers, motions, exhibits, transcripts, orders, decision, and any other supporting documents.	N1-047-10-004 / 1/G/3	Temporary. Destroy 3 years after date of the incident that could give rise to a claim under FTCA or MPCECA.	N/A

Legal Records	DAA-0047-2021-0003-0004	General Law Case and Non-Program Litigation Files	Temporary. Destroy 10 year(s) after cutoff.	Cut off annually at end of the calendar year of the close of the matter.	General Law and non-program litigation matters before administrative forums, or federal and state courts, including records related to administrative personnel actions, Federal Tort Claims Act (FTCA) and Military Personnel and Civilian Employment Claims Act (MPCECA), claims for damage to or loss of property or personal injury or death, Freedom of Information Act (FOIA), Privacy Act, civil monetary penalties, civil rights, salary overpayments, bankruptcy, garnishment, guardianship actions, subpoenas, and employee testimony. These files include complaints, discovery, motions, and any records related to the litigation.	Civil Rights Complaints	Files consist of civil rights complaints and any attachments, investigation, witness statements, recommendation, appeal, correspondence, exhibits, decision letter, and any other supporting documents.	N1-047-10-004 / 1/H	Temporary. Destroy 6 years after final agency decision.	N/A
Legal Records	DAA-0047-2021-0003-0004	General Law Case and Non-Program Litigation Files	Temporary. Destroy 10 year(s) after cutoff.	Cut off annually at end of the calendar year of the close of the matter.	General Law and non-program litigation matters before administrative forums, or federal and state courts, including records related to administrative personnel actions, Federal Tort Claims Act (FTCA) and Military Personnel and Civilian Employment Claims Act (MPCECA), claims for damage to or loss of property or personal injury or death, Freedom of Information Act (FOIA), Privacy Act, civil monetary penalties, civil rights, salary overpayments, bankruptcy, garnishment, guardianship actions, subpoenas, and employee testimony. These files include complaints, discovery, motions, and any records related to the litigation.	Salary Overpayments - Approved Waivers	Files include requests for waiver of salary overpayments, investigation, personnel records, recommendation, and file decision of approval of waiver.	N1-047-10-004 / 1/i/1	Temporary. Destroy 6 years after the close of the fiscal year in which the agency approves the waiver.	N/A
Legal Records	DAA-0047-2021-0003-0004	General Law Case and Non-Program Litigation Files	Temporary. Destroy 10 year(s) after cutoff.	Cut off annually at end of the calendar year of the close of the matter.	General Law and non-program litigation matters before administrative forums, or federal and state courts, including records related to administrative personnel actions, Federal Tort Claims Act (FTCA) and Military Personnel and Civilian Employment Claims Act (MPCECA), claims for damage to or loss of property or personal injury or death, Freedom of Information Act (FOIA), Privacy Act, civil monetary penalties, civil rights, salary overpayments, bankruptcy, garnishment, guardianship actions, subpoenas, and employee testimony. These files include complaints, discovery, motions, and any records related to the litigation.	Salary Overpayments - Denied Waivers	Files include requests for waiver of salary overpayments, investigation, personnel records, recommendation, and file decision of denial of waiver.	N1-047-10-004 / 1/i/2	Temporary. Destroy 6 years after the close of the fiscal year in which the agency denies the waiver.	N/A
Legal Records	DAA-0047-2021-0003-0004	General Law Case and Non-Program Litigation Files	Temporary. Destroy 10 year(s) after cutoff.	Cut off annually at end of the calendar year of the close of the matter.	General Law and non-program litigation matters before administrative forums, or federal and state courts, including records related to administrative personnel actions, Federal Tort Claims Act (FTCA) and Military Personnel and Civilian Employment Claims Act (MPCECA), claims for damage to or loss of property or personal injury or death, Freedom of Information Act (FOIA), Privacy Act, civil monetary penalties, civil rights, salary overpayments, bankruptcy, garnishment, guardianship actions, subpoenas, and employee testimony. These files include complaints, discovery, motions, and any records related to the litigation.	Salary Overpayments - Hearing Case Files	If a hearing is requested on the validity of the debt, the file may contain a hearing notice, briefs, correspondence, exhibits, transcript, decision, and any other supporting documents.	N1-047-10-004 / 1/i/3	Temporary. Destroy 6 years after hearing decision is issued or after the debt has been collected.	N/A

Legal Records	DAA-0047-2021-0003-0004	General Law Case and Non-Program Litigation Files	Temporary. Destroy 10 year(s) after cutoff.	Cut off annually at end of the calendar year of the close of the matter.	General Law and non-program litigation matters before administrative forums, or federal and state courts, including records related to administrative personnel actions, Federal Tort Claims Act (FTCA) and Military Personnel and Civilian Employment Claims Act (MPCECA), claims for damage to or loss of property or personal injury or death, Freedom of Information Act (FOIA), Privacy Act, civil monetary penalties, civil rights, salary overpayments, bankruptcy, garnishment, guardianship actions, subpoenas, and employee testimony. These files include complaints, discovery, motions, and any records related to the litigation.	Touhy Requests	Files costs of application for request for employee testimony, background, recommendation, decision, and related correspondence. If a civil action is filed, the file may contain pleadings, answers, motions, exhibits, and any other supporting documents.	N1-047-10-004 / 1/J	Destroy 6 years after a final agency action on the application for testimony. If a civil action is filed, destroy 2 years after final adjudication by a court.	N/A
Legal Records	DAA-0047-2021-0003-0004	General Law Case and Non-Program Litigation Files	Temporary. Destroy 10 year(s) after cutoff.	Cut off annually at end of the calendar year of the close of the matter.	General Law and non-program litigation matters before administrative forums, or federal and state courts, including records related to administrative personnel actions, Federal Tort Claims Act (FTCA) and Military Personnel and Civilian Employment Claims Act (MPCECA), claims for damage to or loss of property or personal injury or death, Freedom of Information Act (FOIA), Privacy Act, civil monetary penalties, civil rights, salary overpayments, bankruptcy, garnishment, guardianship actions, subpoenas, and employee testimony. These files include complaints, discovery, motions, and any records related to the litigation.	Subpoenas	Subpoenas issued by courts, attorneys, or clerks of courts that are served by mail or in person on an SSA employee or in an SSA office or facility requesting information from employees' or claimants' records. The file includes a copy of the subpoena and related correspondence, including a copy of the letter to the employee or claimant if the records were released without consents, and any other supporting documents. If a civil action is filed, the file may contain pleadings, answers, motions, exhibits, and any other documents related to the litigation.	N1-047-10-004 / 1/K	Temporary. Destroy 6 years after resolution of the matter. If a civil action is filed, destroy 2 years after final adjudication by a court.	N/A
Legal Records	DAA-0047-2021-0003-0004	General Law Case and Non-Program Litigation Files	Temporary. Destroy 10 year(s) after cutoff.	Cut off annually at end of the calendar year of the close of the matter.	General Law and non-program litigation matters before administrative forums, or federal and state courts, including records related to administrative personnel actions, Federal Tort Claims Act (FTCA) and Military Personnel and Civilian Employment Claims Act (MPCECA), claims for damage to or loss of property or personal injury or death, Freedom of Information Act (FOIA), Privacy Act, civil monetary penalties, civil rights, salary overpayments, bankruptcy, garnishment, guardianship actions, subpoenas, and employee testimony. These files include complaints, discovery, motions, and any records related to the litigation.	General Litigation Files	Case files related to general litigation filed against SSA, its employees, or the United States. These records include litigation such as qui tam, FOIA, Privacy Act, bankruptcy, garnishment, guardianship actions, appeals of administrative personnel actions (i.e., MSPB, FLRA, or arbitration), or any other misc. litigation not specified in another category of records. The file may contain pleadings, answers, motions, exhibits, correspondence, settlements, and any other supporting documents.	N1-047-10-004 / 1/L	Temporary. Destroy 6 years after final adjudication by a court.	N/A
Legal Records	DAA-0047-2021-0003-0004	General Law Case and Non-Program Litigation Files	Temporary. Destroy 10 year(s) after cutoff.	Cut off annually at end of the calendar year of the close of the matter.	General Law and non-program litigation matters before administrative forums, or federal and state courts, including records related to administrative personnel actions, Federal Tort Claims Act (FTCA) and Military Personnel and Civilian Employment Claims Act (MPCECA), claims for damage to or loss of property or personal injury or death, Freedom of Information Act (FOIA), Privacy Act, civil monetary penalties, civil rights, salary overpayments, bankruptcy, garnishment, guardianship actions, subpoenas, and employee testimony. These files include complaints, discovery, motions, and any records related to the litigation.	Civil Monetary Penalties	Files include decision memoranda, correspondence, Departmental Appeals Board recommended decisions, and modified decisions. If appealed, files may also include pleadings, injunctions, motions, and any other supporting documents.	N1-047-10-004 / 1/M	Temporary. Destroy 6 years after a final agency decision, or if a civil action is filed, destroy 6 years after final adjudication by a court.	N/A

Legal Records	DAA-0047-2021-0003-0004	General Law Case and Non-Program Litigation Files	Temporary. Destroy 10 year(s) after cutoff.	Cut off annually at end of the calendar year of the close of the matter.	General Law and non-program litigation matters before administrative forums, or federal and state courts, including records related to administrative personnel actions, Federal Tort Claims Act (FTCA) and Military Personnel and Civilian Employment Claims Act (MPCECA), claims for damage to or loss of property or personal injury or death, Freedom of Information Act (FOIA), Privacy Act, civil monetary penalties, civil rights, salary overpayments, bankruptcy, garnishment, guardianship actions, subpoenas, and employee testimony. These files include complaints, discovery, motions, and any records related to the litigation.	Reasonable Accommodation Requests from Members of the Public	Files consist of reasonable accommodation requests made pursuant to 45 CFR section 85.51, development (such as correspondence, notes, exhibits, and other supporting documents), recommendations, and agency determinations on requests.	N1-047-10-004 / 1/N	Temporary. Destroy 6 years after agency determination.	N/A
Legal Records	DAA-0047-2021-0003-0004	General Law Case and Non-Program Litigation Files	Temporary. Destroy 10 year(s) after cutoff.	Cut off annually at end of the calendar year of the close of the matter.	General Law and non-program litigation matters before administrative forums, or federal and state courts, including records related to administrative personnel actions, Federal Tort Claims Act (FTCA) and Military Personnel and Civilian Employment Claims Act (MPCECA), claims for damage to or loss of property or personal injury or death, Freedom of Information Act (FOIA), Privacy Act, civil monetary penalties, civil rights, salary overpayments, bankruptcy, garnishment, guardianship actions, subpoenas, and employee testimony. These files include complaints, discovery, motions, and any records related to the litigation.	e-FOIA System - Records of Denials (including Partial Denials)	Web-based intranet/internet workflow management system that uses imaging, redaction, email and the internet to retrieve and disseminate information. The system is used to process, track, and control FOIA requests. In addition, members of the public are able to make and, where appropriate, pay for FOIA requests online by credit card via SSA's internet site. The system also provides extensive management information reports.	N1-047-10-004 / 2/C/1	Temporary. Maintain for 6 years and then destroy.	N/A
Legal Records	DAA-0047-2021-0003-0004	General Law Case and Non-Program Litigation Files	Temporary. Destroy 10 year(s) after cutoff.	Cut off annually at end of the calendar year of the close of the matter.	General Law and non-program litigation matters before administrative forums, or federal and state courts, including records related to administrative personnel actions, Federal Tort Claims Act (FTCA) and Military Personnel and Civilian Employment Claims Act (MPCECA), claims for damage to or loss of property or personal injury or death, Freedom of Information Act (FOIA), Privacy Act, civil monetary penalties, civil rights, salary overpayments, bankruptcy, garnishment, guardianship actions, subpoenas, and employee testimony. These files include complaints, discovery, motions, and any records related to the litigation.	e-FOIA System - Responses Granting Access to Records	Web-based intranet/internet workflow management system that uses imaging, redaction, email and the internet to retrieve and disseminate information. The system is used to process, track, and control FOIA requests. In addition, members of the public are able to make and, where appropriate, pay for FOIA requests online by credit card via SSA's internet site. The system also provides extensive management information reports.	N1-047-10-004 / 2/C/2	Temporary. Maintain in eFOIA for 2 years and then destroy.	N/A
Legal Records	DAA-0047-2021-0003-0004	General Law Case and Non-Program Litigation Files	Temporary. Destroy 10 year(s) after cutoff.	Cut off annually at end of the calendar year of the close of the matter.	General Law and non-program litigation matters before administrative forums, or federal and state courts, including records related to administrative personnel actions, Federal Tort Claims Act (FTCA) and Military Personnel and Civilian Employment Claims Act (MPCECA), claims for damage to or loss of property or personal injury or death, Freedom of Information Act (FOIA), Privacy Act, civil monetary penalties, civil rights, salary overpayments, bankruptcy, garnishment, guardianship actions, subpoenas, and employee testimony. These files include complaints, discovery, motions, and any records related to the litigation.	Management Information Files - Management Information Reports - Office Responsible for Preparation of the Report	Consolidated summary reports, tables, and listings of work measurement data prepared by management offices for management information purposes. The following are included: Report of Court Remand Cases; Requests for Hearing; Processing Time and Pending Profiles, Requests, for Hearing: Case Status by Region; Requests for Hearing: Case Docket and Disposition Data by PO; Report of PO Usage of Medical Advisors and Vocational Experts; Requests for Review: Appeal's Council Processing Time and Pending Profiles; Court Remands and Disposition Report; and similar records.	NC-047-75-003 / 7/A/1/a	Temporary. Destroy after 5 years.	N/A

Legal Records	DAA-0047-2021-0003-0004	General Law Case and Non-Program Litigation Files	Temporary. Destroy 10 year(s) after cutoff.	Cut off annually at end of the calendar year of the close of the matter.	General Law and non-program litigation matters before administrative forums, or federal and state courts, including records related to administrative personnel actions, Federal Tort Claims Act (FTCA) and Military Personnel and Civilian Employment Claims Act (MPCECA), claims for damage to or loss of property or personal injury or death, Freedom of Information Act (FOIA), Privacy Act, civil monetary penalties, civil rights, salary overpayments, bankruptcy, garnishment, guardianship actions, subpoenas, and employee testimony. These files include complaints, discovery, motions, and any records related to the litigation.	Management Information Files - Management Information Reports - Other Offices	Consolidated summary reports, tables, and listings of work measurement data prepared by management offices for management information purposes. The following are included: Report of Court Remand Cases; Requests for Hearing; Processing Time and Pending Profiles, Requests, for Hearing: Case Status by Region; Requests for Hearing: Case Docket and Disposition Data by PO; Report of PO Usage of Medical Advisors and Vocational Experts; Requests for Review: Appeal's Council Processing Time and Pending Profiles; Court Remands and Disposition Report; and similar records.	NC-047-75-003 / 7/A/1/b	Temporary. Destroy after 1 year. Earlier disposal is authorized.	N/A
Legal Records	DAA-0047-2021-0003-0005	Representative Conduct Case Files - No Violation	Temporary. Destroy 3 years after cutoff.	Cut off annually at the end of the calendar year in which OGC closes the matter.	Records of cases in which OGC investigates a representative's conduct or qualifications and concludes that the representative did not violate SSA's requirements, rules of conduct, or standards of responsibility for representatives.	Representative Sanctions Case Files - For cases in which the agency receives an allegation of misconduct but determines that the representative did not violate SSA's Rules of Conduct and Standards of Responsibility	Case files may include allegation of misconduct, correspondence, appointment of representation form, fee agreement, inquiry letters, response, complaint, notice of appearance, answer, request for hearing, hearing notice, pre-hearing and post-hearing submissions, requests for Appeals Council review, briefs, Appeals Council decision, settlement, reinstatement requests, decision, and any other supporting documents.	N1-047-10-004 / 1/E/1	Temporary. Destroy two years after investigation ends.	N/A
	DAA-0047-2021-0003-0006	Representative Conduct Case Files - Sanctions Initiated	Temporary. Destroy 15 year(s) after cutoff.	Cut off annually at the end of the calendar year in which the final action is effective (i.e., the date of the settlement agreement, sanction, or dismissal of charges).	Records of cases in which OGC initiates the formal sanctions process by issuing to a representative a Notice of Intent to Sanction, regardless of whether the charges result in formal sanctions of a representative. This includes records in which OGC withdraws the charges; OGC settles the case prior to or after filing a request for designation of a hearing officer; a representative admits to the charges and signs a document accepting suspension or disqualification; or a designated hearing officer issues a decision on the charges.	Representative Sanctions Case Files - All Other Cases	Case files may include allegation of misconduct, correspondence, appointment of representation form, fee agreement, inquiry letters, response, complaint, notice of appearance, answer, request for hearing, hearing notice, pre-hearing and post-hearing submissions, requests for Appeals Council review, briefs, Appeals Council decision, settlement, reinstatement requests, decision, and any other supporting documents.	N1-047-10-004 / 1/E/2 - Superseded in part. SSA previously managed proposed Conduct Case File items 0006 & 0007 together under 1/E/2. 0006 now supersedes only part of the previous series and does not include cases where sanctions are issued.	Temporary. Destroy 25 years after closure.	N/A
Legal Records	DAA-0047-2021-0003-0007	Representative Conduct Case Files - All Other Records	Temporary. Destroy 10 year(s) after cutoff.	Cut off annually at the end of the calendar year in which OGC closes the matter.	All other records related to allegations of violations of SSA's requirements, rules of conduct, or standards of responsibility for representatives, which includes the issuance of warning letters and requests for reinstatement.	Representative Sanctions Case Files - All Other Cases	Case files may include allegation of misconduct, correspondence, appointment of representation form, fee agreement, inquiry letters, response, complaint, notice of appearance, answer, request for hearing, hearing notice, pre-hearing and post-hearing submissions, requests for Appeals Council review, briefs, Appeals Council decision, settlement, reinstatement requests, decision, and any other supporting documents.	N1-047-10-004 / 1/E/2 - Superseded in part. SSA previously managed proposed Conduct Case File items 0006 & 0007 together under 1/E/2. 0007 now supersedes only part of the previous series and does not include cases where sanctions are issued.	Temporary. Destroy 25 years after closure.	N/A
Legal Records	DAA-0047-2021-0003-0008	Legal Case Tracking System	Temporary. Destroy 20 year(s) after cutoff.	Cut off annually at the end of the calendar year.	Records may include databases and management information and docketing system files that track legal assignments and outcomes.	National Docketing Management Information System (NDMIS)	Management information system that tracks OGC assignments (date opened, date closed, amount of time to respond), workloads, dockets court cases and outcomes (including legal advice, opinions, and legal decisions).	N1-047-10-004 / 2/D	Temporary. Destroy 25 years after entry is closed.	N/A