

REQUEST FOR RECORDS DISPOSITION AUTHORITY		NI-47-042	
TO: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received 8/16/04	
1 FROM (Agency or establishment) Social Security Administration		NOTIFICATION TO AGENCY In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
2 MAJOR SUBDIVISION Office of the Inspector General			
3 MINOR SUBDIVISION			
4. NAME OF PERSON WITH WHOM TO CONFER Judith A Ringle	5 TELEPHONE NUMBER 1-410-966-6906 Fax 1-410-966-7075	DATE 5/26/05	ARCHIVIST OF THE UNITED STATES Allen Weinstein
6 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 on the attached <u>11</u> page(s) are not needed now for the business for this agency or will not be needed after the retention periods specified, and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,			
<input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached, or <input type="checkbox"/> has been requested			
DATE 4/5/05	SIGNATURE OF AGENCY REPRESENTATIVE <i>Bradi Koen</i>		TITLE Records Officer
7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	SEE ATTACHED SHEETS Office of Origin: Office of the Inspector General Social Security Administration Judith A Ringle 6401 Security Boulevard Room 300 Altmeyer Building Baltimore, MD 21235-6401 Scheduling Authority: Social Security Administration Deputy Commissioner for Operations Center for History, Library & Records Management Records Management Team Room 1507 Annex Building 6401 Security Boulevard Baltimore, MD 21235-6401 Attention Lynwood Robinson 1-410-965-1200		

(4/13/05)
 RA 6/10/05 copies sent to Agency, NWMD, NWM, NR

Statement of Rationale: Office of the Inspector General (OIG)

The Office of the Inspector General for SSA (OIG) files contain all correspondence, reports, and other pertinent material accumulated in the process of performing the statutory mission of the OIG. The Office of Inspector General files contain such records as: the Investigative Case Files and Audit Report Case Files, SSA OIG Policies and Procedures Manuals, SSA OIG Office of Investigations Allegation Files, OIG General Policy and Support Records and Files, OIG Official Correspondence and Congressional Reference Files, Office of Inspector General Establishment File, Employee Training File, Training Materials File, and Official Reports.

1. OIG-01.00.00 Significant Audit Report Files

Description: Audits that have been reviewed at length by SSA or Congress, have received widespread news media attention, or have established precedent. These files include audit reports and all supporting files and documents, including Agency response and follow-up. Records may be in paper or electronic format. Headquarters SSA, OIG, Office of Audit (OA) and OA Field Divisions maintain these records.

Disposition: **TEMPORARY.** Place in inactive file when case or Audit is closed. Cut off at close of fiscal year in which case or Audit is closed. Transfer to Federal Records Center 3 years after cut off. Destroy 25 years after cut off. Historically significant files will be brought to the attention of NARA for separate review and appraisal on a case-by-case basis.

Disposition Authority:

2. OIG-01.01.00 Non-significant Audit Report Files

Description: Audits that have not raised significant Congressional or public attention, and have not established precedent. These files include audit reports and all supporting files and documents, including Agency response and follow-up. Records may be in paper or electronic format. Headquarters SSA, OIG, Office of Audit (OA) and OA Field Divisions maintain these records.

Disposition: **TEMPORARY.** Place in inactive file when case or Audit is closed. Cut off at close of fiscal year in which case or Audit is closed. Transfer to Federal Records Center after 3 years. Destroy/delete 10 years after cut off.

Disposition Authority:

3. OIG-01.02.00 Office of Audit Reading Files

Description: The Office of Audits "reading files" consist of a copy of each final Audit product produced by the Office of Audit. These include formal Audits, as well as other reviews performed by the Office of Audit. These copies are maintained in chronological order, separate from the official audit files to which they pertain, so that they may be available for easy reference.

Disposition: **TEMPORARY.** Destroy/delete when the official Audit file to which the product pertains is destroyed (see OIG-01 00.00), or when no longer needed for Agency business, whichever is later.

Disposition Authority:

4. OIG-01.03.00 Electronic Database (Tracking System) for Audits, Planning and Management.

Description: The planning, audit, and management electronic system is a menu driven system used to plan, manage and track OIG audits, staff time, and recommendations. The system provides a comprehensive means to track information relating to all phases of the audit process - from planning audits to eventually releasing them as final reports.

A Inputs - Data keyed in manually or received from an electronic feed

Disposition - TEMPORARY Delete/destroy when information is keyed into the Master File and verified.

B. Master File - The master file includes subject and tracking information concerning each audit entered in the system.

Disposition - TEMPORARY. Cut off after audit is issued in final form. Delete/destroy 3 years after cut off or when no longer needed for agency business, whichever is later.

C Outputs Documents - Outputs can be Audit specific and are used for temporary information reference or conveyance or for management information purposes.

Disposition:

a) Management Information Outputs Follow disposition instructions for related record series.

b) Other Outputs: File separately and destroy when no longer needed to conduct current business.

D. System Documentation - Includes manuals, audit records (pertaining to the system as opposed to an official Audit), updates and related materials.

Disposition TEMPORARY. Cut off when system is replaced or obsolete. Delete/destroy when database tracking is no longer needed for agency business.

Disposition Authority:

5. OIG-02.00.00 Significant Investigative Case Files

Description: Investigations that have been reviewed at length by SSA or Congress, have received widespread news media attention, or have established precedent. These files include investigative case files with all supporting documents and evidence; and investigative projects. Records may be in paper or electronic format. Headquarters SSA, OIG, Office of Investigation (OI), and OI Field Divisions maintain these records

Disposition: TEMPORARY Place in inactive file when case or Audit is closed. Cut off at close of fiscal year in which case or Audit is closed. Transfer to Federal Records Center after 3 years after cut off. Destroy 25 years after cut off. Historically significant files will

be brought to the attention of NARA for separate review and appraisal on a case-by-case basis.

Disposition Authority:

6. OIG-02.01.00 Non-Significant Investigative Case Files

Description: Investigations that have not raised significant Congressional or public attention, and have not established precedent. These files include investigative case files with all supporting documents and evidence; and investigative projects. Records may be in paper or electronic format. Headquarters SSA, Office of Investigation (OI), and OI Field Divisions maintain these records.

Disposition TEMPORARY. Place in inactive file when case or Audit is closed. Cut off at close of fiscal year in which case or Audit is closed. Transfer to Federal Records Center 3 years after cut off. Destroy/delete 10 years after cut off.

Disposition Authority:

7. OIG-03.00.00 Allegations Referred for Investigation

Description: Allegation Files developed for incoming allegations of fraud, waste, and abuse in connection with the programs and operations of the SSA. Included in these files are incoming hotline allegations as well as all other incoming allegations submitted to the OIG, regardless of the source, and related correspondence. These allegations are worthy of further investigation and are referred to OI for possible investigation. These allegations may be submitted to OIG in hard copy or in electronic format through electronic mail, or through the internet. Allegations made verbally, such as by telephone conversation, would be recorded as an input to the electronic investigation and case tracking system.

Disposition: Transfer original incoming allegations and supporting Documents to OI to be retained as specified for investigative Files under OIG-02.00.00 or OIG-02.01.00. Record of transfers will be retained in the electronic investigation and case tracking system, and retained in accordance with OIG-04 00 00.

Disposition Authority

8. OIG-03.01.00 Allegations Referred to SSA or Another Agency

Description Allegation files developed for incoming allegations of fraud, waste, and abuse in connection with the programs and operations of the SSA. Included in these files are incoming hotline allegations as well as all other incoming allegations submitted to the OIG, regardless of the source, and related correspondence. These allegations are determined to be best addressed by the SSA or another government agency, and are referred to the SSA or to the appropriate government agency (as permitted by law.) These allegations may be submitted to OIG in hard copy or in electronic format through electronic mail, or through the Internet. Allegations made verbally, such as by telephone conversation, would be recorded as an input to the electronic investigation and case tracking system.

Disposition: TEMPORARY Cut off at end of fiscal year. Destroy/delete 2 years after cut off.

Disposition Authority

9. OIG-03.02.00 Allegations Retained for Possible Future Investigation

Description: Allegation files developed from incoming allegations of fraud, waste and abuse in connection with the programs and operations of the SSA. Included in these files are incoming Hotline allegations as well as all other incoming allegations submitted to the OIG, regardless of the source, and related correspondence. These allegations are determined to state a cause of action within OIG investigative jurisdiction, but are not investigated due to apparent lack of evidence or resource constraints. These allegations may be revisited if further information is obtained. These allegations may be submitted to OIG in hard copy or in electronic format through electronic mail, or through the Internet. Allegations made verbally, such as by a telephone conversation, would be recorded as an input to the electronic investigation and case tracking system.

Disposition: TEMPORARY Cut off at end of fiscal year. Destroy/delete 2 years after cut off or when final determination not to further investigate is made, whichever is later.

Disposition Authority:

10. OIG-03.03.00 Meritless Allegations Closed Without Investigation

Description: Allegation files developed from incoming allegations of fraud, waste and abuse in connection with the programs and operations of the SSA. Included in these files are incoming Hotline allegations as well as all other incoming allegations submitted to the OIG, regardless of the source, and related correspondence. These allegations are so unclear or unsupported as to fail to give SSA OIG sufficient information upon which to base an investigation or a referral. These allegations may be submitted to OIG in hard copy or in electronic format through electronic mail, or through the Internet. Allegations made verbally, such as by a telephone conversation, would be recorded as an input to the electronic investigation and case tracking system.

Disposition: TEMPORARY Cut off at end of fiscal year. Destroy 2 years after cut off.

Disposition Authority.

11. OIG-04.00.00 Electronic Investigation and Case Tracking System

Description: The electronic investigation and case tracking system is an electronic data storage and tracking system for all allegations concerning potential wrongdoing involving SSA programs, employees, or operations that are received by an SSA OIG component. This system also maintains summary tracking information regarding the ultimate disposition of allegations. All allegations and referrals of information concerning potential civil monetary penalties are also accounted for in this system. For all civil monetary penalty

case files, this system maintains summary tracking information regarding contact information for parties, representatives and witnesses, as well as significant events and the ultimate disposition of allegations. Information that is printed out and incorporated in a file is treated under the record disposition authority for the relevant file

A. Inputs - Data is keyed in, through transcription of calls to the OIG hotline. Information is also received electronically, by E-mail, by submissions over the OIG website, and by scanned hard copy of allegations.

Disposition - TEMPORARY. Delete/destroy when information is keyed into the Master File and verified.

B. Master File - The master file includes name, address, and identifying information concerning the person submitting the allegation, the name, address and other identifying information pertaining to other relevant parties (including suspected perpetrators and other suspected victims); and a description of the violation being reported.

Disposition - TEMPORARY. Cut off after final action is completed; Delete/destroy 3 years after cut off or when no longer needed for agency business, whichever is later.

C. Outputs Documents - Outputs can be working documents that are case specific and are used for temporary information reference or conveyance and are destroyed when no longer required. Outputs can also be used for management information purposes.

Disposition:

a) Management Information Outputs: Follow disposition instructions for related record series.

b) Other Outputs: Destroy/delete when no longer needed to conduct current business.

D. System Documentation -Includes manuals, audit records, updates and related materials.

Disposition: TEMPORARY. Cut off when system is replaced or obsolete. Delete/destroy when database tracking is no longer needed for agency business.

Disposition Authority.

12. OIG-05.00.00 Significant Civil Monetary Penalty Case Files

Description: The SSA OIG, by delegation, has authority to bring civil monetary penalty proceedings under the Social Security Act. The significant civil monetary penalty case files have been reviewed at length by SSA OIG, SSA, or Congress, have received widespread news media attention, or have established a legal precedent. These files include pleadings, evidence, and all supporting files and documents. Records may be in paper or electronic format. Headquarters SSA OIG maintains these records.

Disposition: TEMPORARY. Place in inactive file when case is closed. Cut off at close of fiscal year in which case is closed. Transfer to Federal Records Center 5 years after cut off. Destroy 25 years after cut off. Historically significant files will be brought to the

attention of NARA for separate review and appraisal on a case-by-case basis.

Disposition Authority:

13. OIG-05.01.00 Non-significant Civil Monetary Penalty Case Files

Description: These files include civil monetary cases that have not raised significant Congressional or public attention, and have not established legal precedent. These files include cases which were litigated but set no new precedent; cases in which resolution was obtained through settlement or voluntary compliance with law; and cases that were closed with no action taken. Records may be in paper or electronic format.

Disposition: TEMPORARY. Place in inactive file when case is closed. Cut off at close of fiscal year in which case is closed. Transfer to the Federal Records Center after 3 years after cut off. Destroy/delete 10 years after cut off.

Disposition Authority:

14. OIG-06.00.00 General OIG Official Correspondence, Congressional Reference Files and Executive Controls

Description: Copies of official correspondence between OIG and all other Parties, including congressional committees and members of Congress. Included are incoming correspondence, IG responses, supporting papers and all memoranda, charts, data and reports created at the request of the correspondent. Records may be in paper or electronic format. These records address issues that are not of national significance and are determined to not merit permanent retention.

Disposition: TEMPORARY. Cut off at close of fiscal year. Destroy/delete 5 years after cut off.

Disposition Authority:

15. OIG-06.01.00 Significant OIG Official Correspondence, Congressional Reference Files, and Executive Controls.

Description: Official correspondence between OIG and all other parties, including Congressional committees and members of Congress. Included is incoming correspondence, IG responses, supporting papers, and all memoranda, charts, data, and reports created at the request of the correspondent. These files have received widespread news media attention or attention within SSA, or have established a legal or policy precedent, or are considered to have extra importance, or to be groundbreaking in some other way. Records may be in paper or electronic format.

Disposition: PERMANENT. Place in inactive file when file is closed. Cut off at close of fiscal year in which file is closed. Transfer to Federal Records Center after 3 years. Transfer to the National Archives 25 years after cut off.

Disposition Authority:

16. OIG-07.00.00 Working Files Associated with the OIG Budget

Description: Copies of the OIG budget submissions that become part of the official SSA budget, and all supporting documentation and memoranda. Records may be in paper or electronic format.

Disposition: TEMPORARY. Cut off at close of fiscal year. Destroy/delete 2 fiscal years after cut off.

Disposition Authority:

17. OIG-08.00.00 Official Reports

Description: Reports created by the OIG pursuant to statute or regulation, such as annual and semiannual reports to Congress, and strategic plans. Records may be in paper or electronic format.

Disposition: A. Record Set (paper)

PERMANENT COPY. Place in inactive file when superseded or discontinued. Cut off inactive file at close of fiscal year. Transfer to National Archives 10 years after cut off, in five-year blocks

B. All other copies (paper and electronic).

TEMPORARY Destroy/delete when no longer needed for dissemination, revision, or updating

Disposition Authority:

18. OIG-09.00.00 SSA OIG Policies and Procedures Manuals

Description: The SSA OIG Policies and Procedures Manuals define major OIG policies concerning audit standards and procedures, as well as investigative procedures and investigative techniques. These handbooks are published for the guidance and use of employees of the OIG Official policy statements not included in a handbook or manual are also included. Records may be in paper or electronic format.

Disposition: TEMPORARY. Place in inactive file when superseded, discontinued or file is no longer needed to conduct agency business. Cut off inactive file at close of fiscal year Destroy 10 years after cut off

Disposition Authority:

19. OIG-10.00.00 OIG Substantive Policy and Support Memoranda, Agreements, Records and Files

Description: Records and files that provide general information concerning Federal, SSA, and SSA OIG operations and procedures relating to audits, investigations, and other related programs and operations of the OIG and SSA. These documents include memoranda of understanding and contracts related to performance of the OIG

statutory mission, and regulatory analysis and other reports and information that may prove useful in Agency/OIG operations. Records may be in paper or electronic format.

Disposition: TEMPORARY Place in inactive file when superseded, discontinued or file is no longer needed to conduct agency business. Cut off inactive file at close of fiscal year. Destroy 10 years after cut off.

Disposition Authority:

20. OIG-11.00.00 OIG Administrative Files (Internal)

Description: Documents pertaining to administration, administrative procedures, and internal management rather than substantive and statutory policy functions of the office. These may include delegations of authority, designations of authority, and memoranda of understanding not pertaining to the substantive duties of the OIG, and information pertaining to inventory and other administrative matters, and all internal memoranda. Records may be in paper or electronic format.

Disposition: TEMPORARY. Cut off at close of fiscal year. Destroy/delete 3 years after cut off, or when no longer needed for agency business

Disposition Authority

21. OIG-12.00.00 Employee Training Files

Description: Correspondence, memoranda, reports, and other records related to the availability of training and employee participation in training programs sponsored by SSA and other entities. Files may include notices of class availability, class rosters, and copies of appropriate training forms. Records may be in paper or electronic format.

Disposition: TEMPORARY Place in inactive file when training is completed or continued service agreement has been filled, whichever is later, or when file is superseded, discontinued or no longer needed to conduct agency business. Cut off inactive file at close of fiscal year. Destroy/delete 5 years after cut off.

Disposition Authority:

22. OIG-12.01.00 Training Materials Files

Description: Files developed for and used in training courses. Included are handbooks, charts, graphs, transparencies, course outlines, and similar materials. Records may be in paper or electronic format.

Disposition: TEMPORARY Place in inactive file when superseded or discontinued. Cut off inactive file at close of fiscal year. Destroy/delete 5 years after cut off.

Disposition Authority.

23. OIG-13.00.00 Internal Review Project Files

Description. All Projects and Reports presenting internal reviews of the operations of the Office of the Inspector General, with supporting materials. These Reports may examine any and all aspects of the work and procedures of the Office of Investigations, the Office of Audit, and all other components and operations of the Office of the Inspector General. Records may be in paper or electronic format.

Disposition: TEMPORARY Place in inactive file when report is issued. Cut off inactive file at close of fiscal year. Destroy/delete 6 years after cut off.

Disposition Authority

24. OIG-14.00.00 Office of Inspector General Establishment File

Description: Correspondence, reports, mission statements, organization charts, and similar documents pertaining to the establishment of the OIG's functions in 1995. These files document the inception of the program in the Office of Investigations. [arrangement: Chronological, 1995-2004. Volume: Less than one cubic foot.]

Disposition: PERMANENT. Retain on site until 2015, and then transfer to National Archives.

Disposition Authority:

25. OIG-15.00.00 E-mail and Electronic Documents

Description: Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

Disposition: a Copies that have no further administrative value after the recordkeeping copy is made. Include copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy:

TEMPORARY Delete/destroy within 180 days after the recordkeeping copy has been produced and verified.

b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy:

TEMPORARY. Destroy/delete when dissemination, revision, or updating is completed.

Disposition Authority

General Counsel Statement

I have reviewed the records and their respective proposed dispositions. I am of the opinion that the records will be maintained for a period of time sufficient to protect the legal and financial rights of the government and of the people directly affected by the Agency's activities.

Lisa de Soto

Lisa de Soto
General Counsel

4/4/05

Date

Agency Concurrence:

Patrick P. O'Carroll, Jr.

Patrick P. O'Carroll, Jr.
Inspector General for Social Security

Feb 10, 2005

Date

Bonnie Kaye

SSA Records Officer
OPLM, CHLRM

4/5/05

Date