

REQUEST FOR RECORDS DISPOSITION AUTHORITY		NI-047-09-1	
To NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received 10-9-2008	
1 FROM Social Security Administration		NOTIFICATION TO AGENCY	
2 MAJOR SUBDIVISION Office of Disability Adjudication and Review		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
3 MINOR SUBDIVISION Office of the Chief Administrative Law Judge			
4 NAME OF PERSON WITH WHOM TO CONFER Regina Martin, SSA Records Officer	5 TELEPHONE NUMBER 410-965-5555 410-966-1704 (fax)	DATE 11/26/2008	ARCHIVIST OF THE UNITED STATES WITHDRAWN
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>2</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 <input type="checkbox"/> has been requested			
DATE 8/13/08	SIGNATURE OF AGENCY REPRESENTATIVE <i>Regina Martin</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7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)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 Administrative Law Judge Public Alleged Misconduct Complaints System of Records Office of Origin Office of the Chief Administrative Law Judge Office of Disability Adjudication and Review Social Security Administration 5107 Leesburg Pike, Suite 1608 Falls Church, VA 22041 Scheduling Authority Social Security Administration Deputy Commissioner for Budget, Finance, & Management Center for History, Library & Records Management Regina Martin, SSA Records Officer Room 1500 Annex Building 6401 Security Boulevard Baltimore, MD 21235-6401 410-965-5555		

I. Administrative Law Judge Public Alleged Misconduct Complaints System of Records

The schedule provides authoritative instructions for the retention or destruction of information contained in the Administrative Law Judge Public Alleged Misconduct Complaints (ALJ PAMC) system of records. An SSA retention schedule for such information does not currently exist.

The Social Security Administration, Office of Disability Adjudication and Review (SSA/ODAR) is responsible for administering an objective and impartial hearings system for claimants dissatisfied with determinations made on claims for Social Security disability, retirement, and survivor benefits under title II of the Social Security Act (Act) and Supplemental Security Income benefits under title XVI of the Act. Every claimant and his or her representative are entitled to fair treatment in all claims that SSA/ODAR handles.

On October 30, 1992, SSA/ODAR (formerly the Department of Health and Human Services, SSA, Office of Hearings and Appeals) published procedures in the Federal Register for the general public to follow in order to file complaints of Administrative Law Judge (ALJ) bias and misconduct and the general manner in which SSA will handle the complaints. (See 57 FR 49186.) These procedures provide that an SSA official, who was not involved in the alleged improper conduct, will review or investigate every complaint in a timely manner.

In order to carry out these responsibilities, ODAR maintains accurate records regarding these reviews and investigations. The records are maintained in paper and electronic formats. An electronic database contains information such as the ALJ's name and Agency-assigned numerical identifier, the ALJ's hearing office, Regional Office, judicial circuit in which the hearing office is located, the name and Social Security Number of the claimant, the date of the claimant's hearing, the name of the complainant, the date and disposition of the ALJ's decision, and the basis for the complaint. The records may also contain information on whether the claimant filed a request for review with the Appeals Council, the name of the Administrative Appeals Judge (AAJ), the date and disposition of the AAJ's decision; and the Appeals Council's finding regarding the complaint, if applicable. The electronic records also contain information regarding the Office of the Chief Administrative Law Judge's findings and resolution of the complaint.

The paper records generally contain the information mentioned above along with memoranda sent to the Regional Office regarding investigation of the allegations, including applicable hearing office and Appeals Council documents and recordings and a copy of the complaint. The paper documents may also contain a copy of the acknowledgment letter sent to the claimant or complainant, the Regional Office's report and recommendation regarding its investigation, and any special processing instructions. At a future date, this information may also be maintained in an electronic format.

Disposition Instructions

Delete/destroy the records seven years after the date of the Office of the Chief Administrative Law Judge's finding regarding the complaint unless a special situation occurs. This seven-year requirement, which can be found in retention schedule N1-47-05-1, is consistent with the amount of time that most disability claim files are maintained and some of the information that may be needed to investigate or review the complaint will be located in the claim file.

Special Situations

The following are examples where situations occur in which information will be maintained beyond the scheduled period for destruction

- 1 Fraud, abuse or misuse – All information where possible fraud, abuse or misuse has been identified or information involving investigations of fraud, abuse or misuse will not be destroyed until the Office of the Inspector General provides approval to release such information
- 2 Disciplinary action - All information which is related to ALJ disciplinary action will not be destroyed until the Office of the Chief Administrative Law Judge provides approval to dispose such information

WITHDRAWN 11/26/2008

Office of Disability Adjudication and Review 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.

[Signature]
Office of the Chief Administrative Law Judge

7/11/08
Date

[Signature]
ODAR Records Management Coordinator
Office of Management, Div. of Materiel Resources

7/15/08
Date

[Signature]
SSA Records Officer
OPLM, CHLRM

8/13/08
Date

[Signature]
SSA General Counsel

20 Aug 08
Date

WITHDRAWN 11/26/2008

REQUEST FOR STAKEHOLDER UNIT ACTION

Job No. N1-47-09-1

Date sent: 10/24/2008

Date received: _____

Return to sender by: 11/7/2008

Route To
1. NR - Jackie Fultz
Return to: David Miller, NRBPR

- A. This Job has been sent to: NR, NWCT, NWMW
- B. NR RM general comments on this job:
- C. NR RM wishes assistance in appraising these records:

FOR STAKEHOLDER USE. Check and fill out all parts of the line that applies.

1. Waives informal review. wants / does not want to receive completed job
2. Wishes to review appraisal report. wants / does not want to receive completed job.
3. Wishes to participate directly in the appraisal of the entire job or the following selected items: _____ . SHU point of contact for appraisal is _____ - phone no. _____ .

SHU comments: [Use this space or attach separate sheet] Concur

Date Sent: Nov 12, 2008 SHU Signature: Jackie Fultz

NR RM Unit Contact: David Miller, NRBPR	Location: NARA - Mid Atlantic Region 14700 Townsend Rd. Philadelphia, PA 19154
	Phone: 5-2021
	Fax: 5-2038

REQUEST FOR STAKEHOLDER UNIT ACTION

Job No. N1-47-09-1 Date sent: 10/24/2008 Date received: _____

Return to sender by: 11/7/2008

Route To:
1. NWMW – Lynn Stewart
Return to: David Miller, NRBPR

- A. This Job has been sent to: NR, NWCT, NWMW
- B. NR RM general comments on this job:
- C. NR RM wishes assistance in appraising these records:

FOR STAKEHOLDER USE. Check and fill out all parts of the line that applies.

- X 1. Waives informal review. X wants / does not want to receive completed job.
2. Wishes to review appraisal report. wants/ does not want to receive completed job.
3. Wishes to participate directly in the appraisal of the entire job or the following selected items. _____ SHU point of contact for appraisal is _____ - phone no. _____.

SHU comments: [Use this space or attach separate sheet]

Date Sent 10/31/2008 SHU Valery Garrett

NR RM Unit Contact: David Miller, NRBPR	Location: NARA – Mid Atlantic Region 14700 Townsend Rd. Philadelphia, PA 19154
	Phone: 5-2021
	Fax: 5-2038

REQUEST FOR STAKEHOLDER UNIT ACTION

Job No. N1-47-09-1

Date sent: 10/24/2008

Date received: _____

Return to sender by: 11/7/2008

Route To.
1. NWCT – Ann Cummings
Return to: David Miller, NRBPR

- A. This Job has been sent to: NR, NWCT, NWMW
- B. NR RM general comments on this job:
- C. NR RM wishes assistance in appraising these records:

FOR STAKEHOLDER USE. Check and fill out all parts of the line that applies.

- ___ 1. Waives informal review. ___ wants / ___ does not want to receive completed job.
- ___ 2. Wishes to review appraisal report. ___ wants/ ___ does not want to receive completed job.
- ___ 3. Wishes to participate directly in the appraisal of the entire job or the following selected items _____. SHU point of contact for appraisal is _____ - phone no. _____.

SHU comments: [Use this space or attach separate sheet]

Date Sent _____ SHU Signature _____

NR RM Unit Contact: David Miller, NRBPR	Location: NARA – Mid Atlantic Region 14700 Townsend Rd. Philadelphia, PA 19154
	Phone: 5-2021
	Fax: 5-2038

From: Ann Cummings
To: Miller, David
Date: 11/18/2008 15 07 48
Subject: Re SHU Social Security Administration

Mr Miller.

Sorry about the delay I have a tendency to forget the SHU forms in my e-mail inbox . .

I have not question or comments on NARA Job N1-47-09-01. I do not wish to participate in the appraisal, and, I do not want a copy of the final NARA job.

Thanks
Ann Cummings
Chief, A2 Processing Section
NWCT2P

>>> David Miller 10/24/2008 12 16 PM >>>
Attached is the SHU form and SF 115 for SSA job N1-47-09-1

If you'd like additional information about this please don't hesitate to contact me

David

Mail Envelope Properties (49232086.B7D · 11 · 362)

Subject: Re: SHU: Social Security Administration
Creation Date 11/18/2008 15:07:34
From: Ann Cummings
Created By: Ann.Cummings@nara.gov

Recipients

nara.gov
PHFRCP1.PHFRC
dmiller (David Miller)

Post Office

PHFRCP1.PHFRC

Route

nara.gov

Files	Size	Date & Time
MESSAGE	1231	11/18/2008 15:07:34

Options

Expiration Date: None
Priority: Standard
ReplyRequested: No
Return Notification: None

Concealed Subject: No
Security: Standard

Junk Mail Handling Evaluation Results

Message is not eligible for Junk Mail handling
Message is from an internal sender

Junk Mail settings when this message was delivered

Junk List is enabled
Junk Mail using personal address books is not enabled
Block List is enabled