

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b> <i>(See Instructions on reverse)</i>		<b>LEAVE BLANK (NARA use only)</b>	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER <i>21.184-00-1</i>	DATE RECEIVED <i>3-15-00</i>
1. FROM (Agency or establishment) Railroad Retirement Board		<b>NOTIFICATION TO AGENCY</b>	
2. MAJOR SUBDIVISION Bureau of Fiscal Operations		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	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 Division of Audit and Compliance			
4. NAME OF PERSON WITH WHOM TO CONFER Chuck Mierzwa	5. TELEPHONE (312) 751-3363	DATE <i>10-10-00</i>	ARCHIVIST OF THE UNITED STATES <i>[Signature]</i>
<b>6. AGENCY CERTIFICATION</b> 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>  1  </u> page(s) are not now needed for the business of 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 type="checkbox"/> is not required; <input type="checkbox"/> is attached; or <input checked="" type="checkbox"/> has been requested.			
DATE <i>FEB 08 2000</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>Chuck Mierzwa</i> Chuck Mierzwa	TITLE Agency Records Officer	

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
(1)	Railroad Employer Compliance Audit Case Files	GRS 22-2 (rescinded)	
(2)	Index to Railroad Employer Compliance Audit Case Files	New	
<u>See attached sheets</u>			
<i>Agency, NWMO, NR</i>			

## DESCRIPTION OF ITEM AND PROPOSED DISPOSITION

### 6-19 Railroad Employer Compliance Audit Case Files

a) Case files of external financial compliance audits of railroad employers. Series consists of audit reports, correspondence, memoranda, and supporting working papers.

**PROPOSED DISPOSITION:** Cutoff file at the end of the fiscal year after the close of the case. Destroy 8 years after cutoff.

b) Electronic copies of records related to Railroad Employer Audit Case Files (Item 6-19a) that are created on electronic mail and word processing systems and used solely to generate a record keeping copy. Also includes electronic copies of such records created and maintained on electronic mail and word processing systems that are maintained for updating, revision, and/or dissemination

1) Copies that have no further administrative value after the record keeping copy is made. Includes 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 record keeping copy.

**PROPOSED DISPOSITION:** Destroy/delete within 180 days after the record keeping copy has been produced.

2) Copies used for dissemination, revision, or updating that are maintained in addition to the record keeping copy.

**PROPOSED DISPOSITION:** Destroy/delete when dissemination, revision, or updating is completed.

### 6-20 Index to Railroad Employer Compliance Audit Case Files

Control logs maintained in both paper and electronic format.

**PROPOSED DISPOSITION:** Destroy/delete when no longer needed for administrative use.

## Explanatory Notes

### Functional Statement

The Bureau of Fiscal Operations is primarily responsible for all fiscal matters in accordance with the policies of the Railroad Retirement Board (RRB). Responsibilities include providing, maintaining, and operating approved budget and accounting systems in conformity with principles and standards prescribed by the Comptroller General, the Office of Management and Budget, and the Department of the Treasury; maintaining a unified system of financial administration; and directing the RRB's financial integrity initiatives.

### The RRB requests approval of the following items:

#### Item 6-19(a) Railroad Employer Compliance Audit Case Files

In 1993, by an administrative decision of the RRB Board Members, responsibility for conducting audits of railroad employers was transferred from the RRB's Office of Inspector General to the RRB's Bureau of Fiscal Operations - Audit and Compliance Division. Although the internal jurisdiction for the series was transferred, the composition of the series remained essentially unchanged. Railroad Employer Compliance Audit Case Files consist of several components used to determine a railroad employers compliance with various provisions of the Railroad Retirement Act (RRA) and the Railroad Unemployment Insurance Act (RUIA), and include the audit report, related correspondence, memoranda, and working papers.

The proposed disposition adequately satisfies RRB legal, fiscal and administrative needs and is consistent with NARA rescinded GRS 22-2\* which had been previously used as the authorized disposition for the series. In addition, the RRB has **not** received any inquiries from the genealogical community or any other external entity requesting information related to this series.

\*Note: These are **not** Office of Inspector General (OIG) audit case files. A comprehensive review of all OIG records is currently being conducted by RRB OIG and RRB records management staff. A separate SF-115 for OIG records (including OIG audit case files) will be submitted during FY 2000.

#### Item 6-19(b) Electronic Mail and Word Processing Copies

Series consists of electronic copies of Railroad Employer Audit Case Files (Item 6-19(a)) records that are created on electronic mail and word processing systems and used solely to generate a record keeping copy. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, and/or dissemination. The proposed disposition meets the administrative needs of the bureau.

#### Item 6-20 Index to Railroad Employer Compliance Audit Case Files

Series consists of control logs maintained in both paper and electronic format that are used to reference audit case files. Data maintained includes the name of the railroad employer, the case number assigned, the audit start date, and the audit completion date. Maintained in audit case number order. Bureau staff believes that the series has informational value beyond the proposed retention for the related case files. They are unable to determine at what point the series loses that value. The proposed disposition therefore, leaves the disposal of the series to their discretion, as it meets the administrative needs of the bureau.