

Request for Records Disposition Authority

Records Schedule Number DAA-0047-2011-0002

Schedule Status Approved

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 Quality Performance

Minor Subdivision Office of Quality Data Management

Schedule Subject Office of Quality Performance Files

Internal agency concurrences will
be provided Yes

Background Information

Item Count

| Number of Total Disposition Items | Number of Permanent Disposition Items | Number of Temporary Disposition Items | Number of Withdrawn Disposition Items |
|--------------------------------------|--|--|--|
| 9 | 2 | 7 | 0 |

GAO Approval

Outline of Records Schedule Items for DAA-0047-2011-0002

| Sequence Number | |
|-----------------|---|
| 1 | General Program Administration Files |
| 1 1 | A Instructional Files Disposition Authority Number DAA-0047-2011-0002-0001 |
| 1 2 | B Instructional Background Files Disposition Authority Number DAA-0047-2011-0002-0002 |
| 1 3 | Administrative Files |
| 1 3 1 | Office Responsible for Preparation of Administrative Files and Reports Disposition Authority Number DAA-0047-2011-0002-0003 |
| 1 3 2 | Sample Control Listings (SCL) |
| 1 3 2 1 | a Office Responsible for Sampling National Reviews, Studies, and/or Surveys Disposition Authority Number DAA-0047-2011-0002-0004 |
| 1 3 2 2 | b Office Responsible for Sampling Local Reviews, Studies, and/or Surveys Disposition Authority Number DAA-0047-2011-0002-0005 |
| 1 4 | Quality Assurance (QA) Program Files |
| 1 4 1 | a Office Responsible for National Reviews, Studies, and/or Surveys Disposition Authority Number DAA-0047-2011-0002-0006 |
| 1 4 2 | b Office Responsible for Local Reviews, Studies, and/or Surveys Disposition Authority Number DAA-0047-2011-0002-0007 |
| 1 5 | Reports And/Or Publications Resulting From Reviews, Studies, and/or Surveys |
| 1 5 1 | a Reports and/or Publications from Reviews, Studies, and/or Surveys Issued by the Office of Deputy Commissioner or Office of the Associate Commissioner Disposition Authority Number DAA-0047-2011-0002-0008 |
| 1 5 2 | b Reports and/or Publications from Reviews, Studies, and/or Surveys Issued by Other Offices Disposition Authority Number DAA-0047-2011-0002-0009 |

Records Schedule Items

| Sequence Number | |
|-----------------|--|
| 1 | <p>General Program Administration Files</p> <p>This schedule provides authoritative instructions for the retention or destruction of the Office of Quality Performance (OQP's) records related to reviews, studies, and/or surveys of selected general program administration files, administrative files, sample control listings, quality assurance program files, and reports and/or publications resulting from reviews, studies, and/or surveys. It grants authority for the disposition of existing and future records, regardless of media.</p> |
| 1 1 | <p>A Instructional Files</p> <p>Disposition Authority Number DAA-0047-2011-0002-0001</p> <p>Manuals, directives, handbooks, and other formal policy and procedural issuances prepared by OQP components. Quality Assurance Manual issuances and similar material are included.</p> <p>Final Disposition Permanent</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</p> <p>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>Do any of the records covered by this item exist as structured electronic data? Yes</p> <p>GRS or Superseded Authority Citation NC1-047-76-025</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cut off at the end of the calendar year in which the files are superseded or discontinued</p> <p>Transfer Electronic Records to the National Archives for Pre-Accessioning Transfer electronic records to the National Archives for pre-accessioning 5 year(s) after cutoff</p> <p>Transfer to the National Archives for Accessioning Transfer to the National Archives 15 year(s) after cutoff</p> <p>Additional Information</p> <p>What will be the date span of the initial transfer of records to the National Archives? Unknown Unknown</p> |

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| | How frequently will your agency transfer these records to the National Archives? | Unknown Unknown |
| 1 2 | B Instructional Background Files Disposition Authority Number Records accumulated in the preparation, clearance, and publications of manuals, directives, handbooks, and other formal policy and procedural issuances. Reviews, studies, and/or surveys, clearance comments, recommendations, and similar records, which provide a basis for publication and contribute to the content of the issuance, are included. Final Disposition Item Status Is this item media neutral? Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Do any of the records covered by this item exist as structured electronic data? Disposition Instruction Retention Period Additional Information GAO Approval | DAA-0047-2011-0002-0002 Temporary Active Yes Yes Yes Destroy immediately after files are superseded or discontinued Not Required |
| 1 3 | Administrative Files Records created or maintained by Central Office (CO) and OQP Field Sites in the performance of their assigned functions. The following are included: a Official file copies of outgoing correspondence relating to office functions, b Comments on draft reports, studies, and proposals prepared by other offices, c Contributions to and/or comments on proposed legislation, d Suggestion evaluations, e Program and management reports (including, but not limited to, overtime and staffing reports, workload and production reports, highlights, and other reports prepared to submit narrative or statistical data to management offices) | |
| 1 3 1 | Office Responsible for Preparation of Administrative Files and Reports Disposition Authority Number Final Disposition | DAA-0047-2011-0002-0003 Temporary |

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| 1 3 2 | Item Status | Active |
| | 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? | Yes |
| | Do any of the records covered by this item exist as structured electronic data? | Yes |
| | Disposition Instruction | |
| | Retention Period | Destroy immediately after 2 years after the close of the calendar year in which the files are dated |
| | Additional Information | |
| | GAO Approval | Not Required |
| | Sample Control Listings (SCL) | |
| | Listings used for control purposes and identifying cases - which may include the social security number and the first five letters of the claimant's surname - selected for quality assurance reviews, studies, and/or surveys | |
| 1 3 2 1 | a Office Responsible for Sampling National Reviews, Studies, and/or Surveys | |
| | Disposition Authority Number | DAA-0047-2011-0002-0004 |
| | Final Disposition | Temporary |
| | Item Status | Active |
| | 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? | Yes |
| | Do any of the records covered by this item exist as structured electronic data? | Yes |
| | GRS or Superseded Authority Citation | NC1-47-76-25 |
| | Disposition Instruction | |
| | Retention Period | Destroy 20 year(s) after listings documenting the selection of cases 20 years after the review, study, and/or survey of other areas of SSA programs or service delivery |

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| 1 3 2 2 | Additional Information | |
| | GAO Approval | Not Required |
| | b Office Responsible for Sampling Local Reviews, Studies, and/or Surveys | |
| | Disposition Authority Number | DAA-0047-2011-0002-0005 |
| | Final Disposition | Temporary |
| | Item Status | Active |
| | 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? | Yes |
| | Do any of the records covered by this item exist as structured electronic data? | Yes |
| | Disposition Instruction | |
| | Transfer to Inactive Storage | Transfer of paper documents to the FRC can occur 18 months after the case was selected for review, study, and/or survey |
| | Retention Period | Destroy 7 year(s) after the review, study, and/or survey of other areas of SSA programs or service delivery |
| | Additional Information | |
| 1 4 | GAO Approval | Not Required |
| | Quality Assurance (QA) Program Files The QA program files contain QA data collected and documents relating to review, study, and/or survey of Title II, Title XVI, and Title XVIII of the Social Security Act, the hearing process, or other areas of SSA programs or service delivery Analysis of SSI Quality Assurance Case Review, RSI Quality Assurance Case Review, and Hearing Quality Assurance Case Review is included | |
| 1 4 1 | a Office Responsible for National Reviews, Studies, and/or Surveys | |
| | Disposition Authority Number | DAA-0047-2011-0002-0006 |
| | Final Disposition | Temporary |
| | Item Status | Active |
| | Is this item media neutral? | Yes |
| | Do any of the records covered by this item currently exist in | Yes |

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| 1 4 2 | electronic format(s) other than e-mail and word processing? | |
| | Do any of the records covered by this item exist as structured electronic data? | Yes |
| | Disposition Instruction | |
| | Transfer to Inactive Storage | Transfer of paper documents to the FRC can occur 18 months after the case was selected for review, study and/or survey |
| | Retention Period | Destroy 20 year(s) after the review, study and/or survey of the other areas of SSA programs or service delivery |
| | Additional Information | |
| | GAO Approval | Not Required |
| | b Office Responsible for Local Reviews, Studies, and/or Surveys | |
| | Disposition Authority Number | DAA-0047-2011-0002-0007 |
| | Final Disposition | Temporary |
| | Item Status | Active |
| | 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? | Yes |
| | Do any of the records covered by this item exist as structured electronic data? | Yes |
| 1 5 | Disposition Instruction | |
| | Transfer to Inactive Storage | Transfer of paper documents to the FRC can occur 18 months after the case was selected for review, study and/or survey |
| | Retention Period | Destroy 7 year(s) after the review, study and/or survey of other areas of SSA programs or service delivery |
| | Additional Information | |
| | GAO Approval | Not Required |
| | Reports And/Or Publications Resulting From Reviews, Studies, and/or Surveys | |
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Reports and/or publications resulting from reviews, studies, and/or surveys on OQP-collected data related to Title II, Title XVI, and Title XVIII, Part D of the Social Security Act, the quality review of the hearing process, or other areas of SSA programs or service delivery.

a. Reports and/or Publications from Reviews, Studies, and/or Surveys Issued by the Office of Deputy Commissioner or Office of the Associate Commissioner.

Disposition Authority Number **DAA-0047-2011-0002-0008**

Final Disposition **Permanent**

Item Status **Active**

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? **Yes**

Do any of the records covered by this item exist as structured electronic data? **Yes**

Disposition Instruction

Cutoff Instruction **Cut off at the end of the calendar year in which the report was finalized/published.**

Transfer Electronic Records to the National Archives for Pre-Accessioning **Transfer electronic records to the National Archives for pre-accessioning 5 year(s) after cutoff**

Transfer to the National Archives for Accessioning **Transfer to the National Archives 15 year(s) after cutoff.**

Additional Information

What will be the date span of the initial transfer of records to the National Archives? **Unknown**
Unknown

How frequently will your agency transfer these records to the National Archives? **Every 1 Years**

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b. Reports and/or Publications from Reviews, Studies, and/or Surveys Issued by Other Offices

Disposition Authority Number **DAA-0047-2011-0002-0009**

Final Disposition **Temporary**

Item Status **Active**

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|---|---|
| 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? | Yes |
| Do any of the records covered by this item exist as structured electronic data? | Yes |
| Disposition Instruction | |
| Retention Period | Destroy 10 year(s) after the report and/or publication issuance |
| Additional Information | |
| GAO Approval | Not Required |

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 |
|------------|------------------------|------------------|--------------------------------|--|
| 09/20/2011 | Certify | Joyce Huber | Records Officer | Budget and Financial Management - Office of Document Management |
| 02/14/2012 | Submit for Concurrency | Sean Curry | Senior Records Analyst | National Archives and Records Administration - Agency Services |
| 02/23/2012 | Return to Submitter | Margaret Hawkins | Appraiser | National Records Management Program - Records Management Services |
| 02/29/2012 | Submit for Concurrency | Sean Curry | Senior Records Analyst | National Archives and Records Administration - Agency Services |
| 02/29/2012 | Concur | Margaret Hawkins | Appraiser | National Records Management Program - Records Management Services |
| 03/01/2012 | Concur | Laurence Brewer | for | National Archives and Records Administration - Records Management Services |
| 03/07/2012 | Approve | David Ferriero | Archivist of the United States | Office of the Archivist - Office of the Archivist |

| DAA-0047-2011-0002 | | | NC1-47-76-25 | | | |
|---|------------------|-----------------------|--|------------------|----------------------------------|-----------------------------------|
| New Item Title | Disposition | New Item number (ERA) | Old Schedule Title | Disposition | Old Schedule Number | Changes |
| Instruction Files | P, at closure | 0001: 1.1 | Instruction Files | P, at closure | I.A 1 | No |
| Instructional Background Files | T, as superseded | 0002: 1.2 | Instructional Background Files | T, as superseded | I.B.1 | No |
| Admin Files (office performance) | T, 2 years | 0003: 1.3 | Admin Files | T, 2 years | I.C | No |
| Sample Control Listings; National Reviews | T, 20 years | 0004: 1.3.2.1 | Quality Assurance, Acceptance Sample Records | T, 5 years | II.A | Increase in retention |
| Sample Control Listings; Local Reviews | T, 7 years | 0005: 1.3.2.2 | Quality Assurance, Acceptance Sample Records | T, 5 years | II.A | Break-down, increase in retention |
| Quality Assurance Program Files; National Reviews | T, 20 years | 0006: 1.4.1 | [seperated from other series] | T, 5 years | II.A | Broken out from other series |
| Quality Assurance Program Files; Local Reviews | T, 7 years | 0007: 1.4.2 | [seperated from other series] | T, 5 years | II.A | Broken out from other series |
| Final Reports, Commissioner | P, 10 years | 0008: 1.5.1 | Findings Reports (several) | P, 10 years | II.C.3.a, II.E.2, II.F.2, II.G.1 | Consolidation of items |
| Final Reports, all other offices | T, 10 years | 0009: 1.5.2 | Findings Reports, Summary Data | T, superseded | II.3.b | Broken out from other series |