

# INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-047-96-002

All items in this schedule are inactive. Items are either obsolete or have been superseded by newer NARA approved records schedules.

## Description:

Item 1.A was superseded by N1-047-04-002, item 1  
Item 1.B was superseded by N1-047-04-002, item 2  
Item 2.A was superseded by N1-047-04-002, items 1 and 2  
Item 2.B was superseded by N1-047-04-002, item 2  
Item 3.A was superseded by N1-047-04-002, items 1 and 2  
Item 3.B was superseded by N1-047-04-002, items 1 and 2  
Item 4.A was superseded by N1-047-04-002, item 18  
Item 4.B was superseded by N1-047-04-002, item 18  
Item 5.A was superseded by N1-047-04-002, items 5 and 6  
Item 5.B was superseded by N1-047-04-002, item 11  
Item 6 was superseded by N1-047-04-002, item 19  
Item 7 was superseded by N1-047-04-002, item 20  
Item 8 was superseded by N1-047-04-002, items 14 and 15  
Item 9 was superseded by N1-047-04-002, item 24

Date Reported: 12/28/2021

# INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b> <i>(See Instructions on reverse)</i>				<b>LEAVE BLANK (NARA use only)</b>	
<b>TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)</b> WASHINGTON, DC 20408				<b>JOB NUMBER</b> <span style="float: right;">11-47-96-2</span>	
<b>1 FROM (Agency or establishment)</b> Social Security Administration				<b>DATE RECEIVED</b> <span style="float: right;">4-15-96</span>	
<b>2 MAJOR SUBDIVISION</b> Office of the Inspector General				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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
<b>3 MINOR SUBDIVISION</b>					
<b>4 NAME OF PERSON WITH WHOM TO CONFER</b> <span style="float: right;"><b>5 TELEPHONE</b></span> William A. White <span style="float: right;">(410) 965-2596</span>					
<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 _____ 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, <div style="display: flex; justify-content: space-around; margin-top: 5px;"> <span><input checked="" type="checkbox"/> is not required;</span> <span><input type="checkbox"/> is attached; or</span> <span><input type="checkbox"/> has been requested.</span> </div>					
<b>DATE</b> 4/4/96		<b>SIGNATURE OF AGENCY REPRESENTATIVE</b> <i>Patricia J. Glover</i>		<b>TITLE</b> SSA Records Officer	
<b>7 ITEM NO</b>	<b>8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION</b>  <div style="border: 1px solid black; padding: 10px; margin: 5px;"> <u>OFFICE OF THE INSPECTOR GENERAL FILES</u>             (See attached)         </div>	<b>9 GRS OR SUPERSEDED JOB CITATION</b>	<b>10 ACTION TAKEN (NARA USE ONLY)</b>		
JUN 27 1996 copy to Agency, NNT, NCF					

Changes to this schedule were approved by SSA Records Manager,  
 Bill White, per a telephone conversation on 6/18/96.

OFFICE OF THE INSPECTOR GENERAL FILES

1. Final Audit Records

Final audit and inspections and supporting documentation relating to closeout actions and audit and inspection resolution. These records are maintained by headquarters SSA OA and OEI. (NC1-235-80-1, 801-01)

Disposition: GRS 22,<sup>4</sup> Item 2 a

- A. SSA produced audits and inspections. Destroy <sup>8</sup>~~six~~ years after close of the FY year in which report is issued.
- B. Other audits. Destroy four years after close of the FY year in which report is issued.

2. Regional Office Audit and Inspection Reports and Related Workpapers

Regional office audit and inspection case files consisting final reports and related workpapers. Included are analyses, or audit survey documentations, tentative finding, and recommendations, and other official correspondence and similar documents. (NC1-235-80-1, 801-2)

Disposition:

- A. Audit for which an audit clearance document (ACD) or other document evidencing final resolution is required. Destroy four years after close of FY in which report is issued:
- B. Audits for which an ACD is not required and inspections. Destroy four years after close of FY in which report is issued.

3. Audit and Survey Workpaper Files, SSA OIG Headquarters  
Outline of Audit and Office of Evaluation and Inspection

Audit and survey, and Inspection workpaper files maintained By Headquarters OA & OEI. Documentation includes information and evidence relating to the audit, or survey and inspection assignment. May contain analyses; schedules, reviews, and critiques of the audit or survey assignment; summaries of objectives, findings, and conclusions; and other related materials. (NC1-235-80-1, 801-03)

Disposition:

- A. Audit and Inspection workpaper files. Destroy six years after the close of the FY in which final report is issued.
- B. Survey workpaper files. Destroy six years after close of the FY in which survey or final report is issued, whichever is earlier.

4. SSA OA Policies and Procedures Manual

The SSA OA Policies and Procedures Manual defines major agency policies concerning audit standards, and outlines the mission and organization of the audit agency. The SSA OA Policies and Procedures Manual provides instructions for the implementation of audit policy standards. These handbooks are published for the guidance and use of all members of the audit agency. (NC1-235-80-1, 801-04)

Disposition:

- A. Policy handbook, Permanent - Retire record copy to WNRC when revised or superseded. Transfer to NARA ten years after revision or supersession.
- B. Procedures handbook. Destroy five years after complete supersession, or when no longer needed for administrative purposes, whichever is earlier.

5. SSA OIG Office of Investigation (OI), Investigative Files

Case files developed in investigations of alleged fraud and abuse in programs and operations administered or financed by SSA, including allegations of fraud and abuse by Agency contractors, grantees, or other groups or individuals funded or supported by the Agency. Included in these files are investigative documents, related correspondence, and intelligence data received from other law enforcement agencies. Among the files are "O" cases that contain information required for preliminary inquiries.  
(NC1-235-80-1, 802-01)

Disposition:

- A. Cases of headquarters and field offices. Transfer to close file on final resolution of the case. Review closed file annually, and destroy individuals cases five years after final resolution.
- B. Indexes. Hold until no longer needed for administrative purposes and then destroy.

6. Investigative Support Files ("00" Cases)

Case files that provide general information concerning Federal operations and procedures relating to investigations, legal options, court decisions, and other matters that may provide useful in Agency investigation operations. These files do not relate to specific investigations.  
(NC1-235-80-1, 802-02)

Disposition:

Destroy when five years old.

7. Field Office Administrative Files

Documents pertaining to relations with field investigations offices on topics concerning administration, procedures, and internal management rather than policy functions of the office. These may include copies of correspondence and reports prepared in field offices and forwarded to OF Headquarters for review and comment. (NC1-235-80-1, 802-03)

Disposition:

Destroy when three years old, or earlier if no longer needed for reference.

8. Congressional Reference File

Copies of correspondence between Congressional committees and IG relating to investigations. Included are incoming correspondence, IG response, and supporting papers. These files are maintained for administrative control purposes and essentially duplicate program correspondence or correspondence of the Commissioner. (NC1-235-80-1, 802-04)

Disposition:

Destroy when five years old, or earlier if no longer needed for reference.

9. Office of Investigations Establishment File

Correspondence, reports, mission statements, organization charts, and similar documents pertaining to the establishment of the Agency's investigative functions and activities in 1995. These files document the inception of the program in the Office of Investigations. Arrangement: Chronological. Volume: Less than one cubic foot.

Disposition:

PERMANENT. Transfer to WNRC when no longer needed. Offer to NARA when 20 years old. (NC1-235-80-1, 802-05)