

Request for Records Disposition Authority

Records Schedule Number **DAA-0029-2015-0001**
Schedule Status **Approved**

Agency or Establishment **Bureau of the Census**
Record Group / Scheduling Group **Records of the Bureau of the Census**
Records Schedule applies to **Major Subdivision**
Major Subdivision **American Community Survey Office**
Schedule Subject **American Community Survey Records for 2007 and Thereafter.**
Internal agency concurrences will be provided **No**

Background Information This document supersedes Job No. N1-29-98-1 and N1-029-05-2 which covered the American Community Survey 1996- and the American Community Survey, 2005.

1. The American Community Survey

The American Community Survey (ACS) is a monthly survey that provides up-to-date information for America's communities every year. The ACS is a replacement for the data collected on the long form in the Decennial Census. Full implementation of the ACS began in January 2005, with an annual sample of three million housing units, providing estimates of social, economic, and housing characteristics every year for areas of 65,000 or more population (12 months of data). Full implementation including data on group quarters began in 2006. Beginning in 2008, 3-year data were available for areas of 20,000 or more population (36 months of data), and beginning in 2010, 5-year data were available for all geographic areas (60 months of data).

The Census Bureau requires submission of a plan to the National Archives and Records Administration (NARA) to retain/destroy records for its census and survey programs. The purpose of this plan is to replace the previous plan that was developed for the 2005 and 2006 ACS data collection records. With this plan, we are beginning the delivery of the 2007 records and beyond.

2. Background

The Census Bureau arranges for the storage and disposition of records for its censuses and surveys, including questionnaire responses; documents describing procedures; documents that contain information of significant historical, legal, or research value;

and technical information required to access, process, and read electronic documents (e.g., record layouts). NARA stores and manages the records provided by the Census Bureau. The basis for the agreement between the two agencies to transfer decennial records to NARA is a 1952 exchange of correspondence between the Director of the Census Bureau and the Archivist of the United States. Since the ACS is part of the decennial census program, this letter covers the transfer of ACS records as well. In fact, given the ACS design (e.g., continuous data collection, smaller sample size of the ACS compared with the decennial census long form sample) it is important to maintain the interagency agreement that provides for the transmittal of a wealth of detailed data to NARA for eventual access by the public (72-year waiting period).

3. Previous Records Disposition Plans

In 2005, the Census Bureau developed a new ACS disposition plan to cover the disposition of records for the launch of the full implementation ACS of that year and the continuation of the ACS program in subsequent years. The 2005 ACS records schedule was sent to NARA on August 1, 2005, and the NARA approved the records schedule on December 22, 2005. The 2005 ACS Title 13 data (2 DVDs) was transferred/sent to NARA on November 21, 2006 and the 2003-2006 ACS Public Use Microdata was transferred/sent to NARA on February 5, 2008. The 2006 ACS records were sent to NARA (via ACSD) on February 2, 2014 on external hard drives, along with supporting documentation. Confirmation from NARA that there were no issues was received on April 2, 2014.

4. Resuming the Transmittal of ACS Records to NARA

Current legal and policy guidance within the Census Bureau suggest that the Census Bureau must honor previous commitments to deliver ACS records to NARA. Therefore, this document provides a plan to resume the transfer of ACS records to NARA, starting with the 2007 ACS, and to continue the transfer of ACS records representing the ACS program on a timely, staggered basis. The ACS records and supporting documentation, once downloaded onto the hard drive(s), will be delivered to the Administrative and Customer Services Division (ACSD), which has responsibility for the Census Bureau's record transfers. The ACSD will secure the files in appropriate packaging and transmit them to NARA's College Park, Maryland facility by van or automobile.

The NARA processing archivist will review the files and submit any comments or questions to the ACSD. The ACSD will work with the ACSO to respond to NARA's questions as appropriate. NARA will notify ACSD when it has completed the processing and preservation

of the records and when it has taken physical and legal custody of the records.

5. Retention of ACS Records at Census Headquarters

Per the recommendation from ACSD, this plan also includes ACS records from the Population Division (POP), the Social, Economic, and Housing Statistics Division (SEHSD), and ACSO to be stored at Census Headquarters on a sharepoint site.

6. Deliverables and Schedule Milestones

Deliverables and schedule milestones for this project plan are provided below. Starting with the 2007 ACS records, we plan to transfer one or two years worth of records, twice per year (each set of records represents one data collection year).

ACS Records Month/Year of Transfer

- 2007 June 2015
- 2008 June 2015
- 2009 December 2015
- 2010 December 2015
- 2011 June 2016
- 2012 June 2016
- 2013 December 2016
- 2014 December 2016
- 2015 June 2017
- 2016 December 2017
- 2017 December 2018
- 2018 December 2019

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
20	10	10	0

GAO Approval

Outline of Records Schedule Items for DAA-0029-2015-0001

Sequence Number	
1	Data Preparation and Processing
1.1	Unedited Master Files with Names and Addresses (i.e. Data Capture Files) (electronic) Disposition Authority Number: DAA-0029-2015-0001-0001
1.2	Edited Master Files without Names and Addresses (electronic) Disposition Authority Number: DAA-0029-2015-0001-0002
1.3	Coding Input Files (electronic) Disposition Authority Number: DAA-0029-2015-0001-0003
1.4	Questionnaires (electronic) Disposition Authority Number: DAA-0029-2015-0001-0004
1.5	Data Processing Records (electronic and/or paper) Disposition Authority Number: DAA-0029-2015-0001-0005
2	Data Products
2.1	Public Use Microdata Sample (PUMS) Files (electronic) Disposition Authority Number: DAA-0029-2015-0001-0006
2.2	Summary Files on DVD (electronic) Disposition Authority Number: DAA-0029-2015-0001-0007
2.3	Custom Tabulations (electronic) Disposition Authority Number: DAA-0029-2015-0001-0008
2.4	Data Tabulations (electronic and/or paper) Disposition Authority Number: DAA-0029-2015-0001-0009
2.5	Table Packages (electronic and/or paper) Disposition Authority Number: DAA-0029-2015-0001-0010
3	Reports
3.1	Briefs, Reports, Working Papers, Infographics, Hot Reports (electronic) Disposition Authority Number: DAA-0029-2015-0001-0011
3.2	Design and Methodology Reports (electronic) Disposition Authority Number: DAA-0029-2015-0001-0012
3.3	Accuracy of the Data Reports (electronic) Disposition Authority Number: DAA-0029-2015-0001-0013
3.4	Research and Evaluation Reports (electronic) Disposition Authority Number: DAA-0029-2015-0001-0014
4	Respondent-Related Materials from Cognitive Interviews
4.1	Recordings from Cognitive Interviews (electronic) Disposition Authority Number: DAA-0029-2015-0001-0015

4.2	Respondent Consent Forms (paper) Disposition Authority Number: DAA-0029-2015-0001-0016
4.3	Recruiting Screeners (paper) Disposition Authority Number: DAA-0029-2015-0001-0017
4.4	Paper Questionnaires (paper) Disposition Authority Number: DAA-0029-2015-0001-0018
4.5	Cognitive Interview Protocols (paper) Disposition Authority Number: DAA-0029-2015-0001-0019
4.6	Interviewer-Administered Scripts (paper) Disposition Authority Number: DAA-0029-2015-0001-0020

Records Schedule Items

Sequence Number	
1	Data Preparation and Processing
1.1	Unedited Master Files with Names and Addresses (i.e. Data Capture Files) (electronic)
	Disposition Authority Number DAA-0029-2015-0001-0001
	These are unprocessed source files containing responses from the completed questionnaires/electronic instruments provided by the respondents. These files are the first files created, so they contain raw responses, including names. The data have not been edited and missing answers have not been imputed.
	Final Disposition Permanent
	Item Status Active
	Is this item media neutral? No
	Explanation of limitation These records are in electronic form only.
	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 N1-29-98-1 and N1-029-05-02
	Disposition Instruction
	Cutoff Instruction Cut off at the end of the calendar year in which the survey was conducted.
	Transfer to the National Archives for Accessioning Transfer to the National Archives 1 year(s) after cutoff (starting with the 2016 records).
	Additional Information
	What will be the date span of the initial transfer of records to the National Archives? From 2007 To 2008
	How frequently will your agency transfer these records to the National Archives? Every 1 Years

1.2

Edited Master Files without Names and Addresses (electronic)

Disposition Authority Number DAA-0029-2015-0001-0002

These are files that are created by editing the data from the unedited master files. This is the basis for the public use file. The edited master files contain personal information regarding ACS respondents and are restricted under Title 13, U.S. Code.

Final Disposition Permanent

Item Status Active

Is this item media neutral? No

Explanation of limitation These records are in electronic form only.

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 survey was conducted.

Transfer to the National Archives for Accessioning Transfer to the National Archives 1 year(s) after cutoff (starting with the 2016 records).

Additional Information

What will be the date span of the initial transfer of records to the National Archives? From 2007 To 2008

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

1.3

Coding Input Files (electronic)

Disposition Authority Number DAA-0029-2015-0001-0003

These files are comprised of write-in responses that serve as input to the coding operations. (For example, write-in responses to the questions on race, ancestry, industry, language, etc.) Up until 2013, these input files were the only source for the write-in fields. (They were added to the data capture files starting in 2013).

Final Disposition Permanent

Item Status Active

	Is this item media neutral?	No
	Explanation of limitation	These records are in electronic form only.
	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 survey was conducted.
	Transfer to the National Archives for Accessioning	Transfer to the National Archives 1 year(s) after cutoff (starting with the 2016 records).
	Additional Information	
	What will be the date span of the initial transfer of records to the National Archives?	From 2007 To 2008
	How frequently will your agency transfer these records to the National Archives?	Every 1 Years
1.4	Questionnaires (electronic)	
	Disposition Authority Number	DAA-0029-2015-0001-0004
	Informational copies of the household and group quarters forms.	
	Final Disposition	Permanent
	Item Status	Active
	Is this item media neutral?	No
	Explanation of limitation	These records are in electronic form only.
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
	Disposition Instruction	
	Cutoff Instruction	Cut off at the end of the calendar year in which the survey was conducted.

	Transfer to the National Archives for Accessioning	Transfer to the National Archives 1 year(s) after cutoff (starting with the 2016 records).
	Additional Information	
	What will be the date span of the initial transfer of records to the National Archives?	From 2007 To 2008
	How frequently will your agency transfer these records to the National Archives?	Every 1 Years
1.5	Data Processing Records (electronic and/or paper)	
	Disposition Authority Number	DAA-0029-2015-0001-0005
	Routine edit and tabulation specifications; matrix and table layouts; routine instructions to coders, processors, and clerical personnel.	
	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	
	Retention Period	Destroy when 5 years old or sooner if no longer needed.
	Additional Information	
	GAO Approval	Not Required
2	Data Products	
2.1	Public Use Microdata Sample (PUMS) Files (electronic)	
	Disposition Authority Number	DAA-0029-2015-0001-0006
	The PUMS files are created from the edited files and contain individual records with information collected about each person and housing unit. PUMS files are extracts from the confidential microdata that avoid disclosure of information about households or individuals. These extracts cover all of the same characteristics contained in the full microdata sample files.	

	Final Disposition	Permanent
	Item Status	Active
	Is this item media neutral?	No
	Explanation of limitation	These records are in electronic form only.
	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 survey was conducted.
	Transfer to the National Archives for Accessioning	Transfer to the National Archives 1 year(s) after cutoff (starting with the 2016 records).
	Additional Information	
	What will be the date span of the initial transfer of records to the National Archives?	From 2007 To 2008
	How frequently will your agency transfer these records to the National Archives?	Every 1 Years
2.2	Summary Files on DVD (electronic)	
	Disposition Authority Number	DAA-0029-2015-0001-0007
	The American Community Survey (ACS) Summary File is a set of comma-delimited text files that contain all of the Detailed Tables for the ACS 1-year, 3-year, and 5-year data releases.	
	Final Disposition	Permanent
	Item Status	Active
	Is this item media neutral?	No
	Explanation of limitation	These records are in electronic form only.
	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 survey was conducted.
	Transfer to the National Archives for Accessioning	Transfer to the National Archives 1 year(s) after cutoff (starting with 2016 records).
	Additional Information	
	What will be the date span of the initial transfer of records to the National Archives?	From 2007 To 2008
	How frequently will your agency transfer these records to the National Archives?	Every 1 Years
2.3	Custom Tabulations (electronic)	
	Disposition Authority Number	DAA-0029-2015-0001-0008
	Tables/tabulations created for a specific purpose/request that are not part of the regular data products being released using ACS data.	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	No
	Explanation of limitation	These records are in electronic form only.
	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	The Computer Services Division back ups the ACSO custom tabulations to tape and keeps them for 10 years. In addition, ACSO keeps smaller custom tabulations on-line for at least 10 years.
	Additional Information	

2.4

GAO Approval Not Required

Data Tabulations (electronic and/or paper)

Disposition Authority Number DAA-0029-2015-0001-0009

Unpublished aggregated data tabulations and listings. Included are data tables, data derived from the performance of various statistical/mathematical calculations, data projections, data estimates, time series data, and comparisons of data to different sources or surveys.

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

Retention Period Destroy when 5 years old or sooner if no longer needed.

Additional Information

GAO Approval Not Required

2.5

Table Packages (electronic and/or paper)

Disposition Authority Number DAA-0029-2015-0001-0010

Topic-specific table packages not available on AFF (e.g., https://www.census.gov/people/io/publications/table_packages.html)

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

	Retention Period	Destroy when 5 years old or sooner if no longer needed.
	Additional Information	
	GAO Approval	Not Required
3	Reports	
3.1	Briefs, Reports, Working Papers, Infographics, Hot Reports (electronic)	
	Disposition Authority Number	DAA-0029-2015-0001-0011
	Publications based on ACS data. These publications are located on the ACS website Library at http://www.census.gov/library.html#	
	Final Disposition	Permanent
	Item Status	Active
	Is this item media neutral?	No
	Explanation of limitation	These records are in electronic form only.
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
	Disposition Instruction	
	Cutoff Instruction	Cut off at the end of the calendar year in which the survey was conducted.
	Transfer to the National Archives for Accessioning	Transfer to the National Archives 1 year(s) after cutoff (starting with 2016 records).
	Additional Information	
	What will be the date span of the initial transfer of records to the National Archives?	From 2007 To 2008
	How frequently will your agency transfer these records to the National Archives?	Every 1 Years
3.2	Design and Methodology Reports (electronic)	
	Disposition Authority Number	DAA-0029-2015-0001-0012
	The Design and Methodology Report contains descriptions of the basic design of the American Community Survey and details of the full set of methods and procedures.	
	Final Disposition	Permanent

Item Status	Active
Is this item media neutral?	No
Explanation of limitation	These records are in electronic form only.
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
Disposition Instruction	
Cutoff Instruction	Cut off at the end of the calendar year in which the survey was conducted.
Transfer to the National Archives for Accessioning	Transfer to the National Archives 1 year(s) after cutoff (starting with 2016 records).
Additional Information	
What will be the date span of the initial transfer of records to the National Archives?	From 2007 To 2008
How frequently will your agency transfer these records to the National Archives?	Every 1 Years
Accuracy of the Data Reports (electronic)	
Disposition Authority Number	DAA-0029-2015-0001-0013
The Accuracy of the Data Report provides a basic explanation of the sample design, the estimation methodology, and the accuracy of the data. It also describes the sources of sampling and non-sampling error that can have an impact on the survey's estimates, and provides basic instructions for obtaining and using ACS standard errors to do statistical testing.	
Final Disposition	Permanent
Item Status	Active
Is this item media neutral?	No
Explanation of limitation	These records are in electronic form only.
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
Disposition Instruction	

3.3

	Cutoff Instruction	Cut off at the end of the calendar year in which the survey was conducted.
	Transfer to the National Archives for Accessioning	Transfer to the National Archives 1 year(s) after cutoff (starting with the 2016 records).
	Additional Information	
	What will be the date span of the initial transfer of records to the National Archives?	From 2007 To 2008
	How frequently will your agency transfer these records to the National Archives?	Every 1 Years
3.4	Research and Evaluation Reports (electronic)	
	Disposition Authority Number	DAA-0029-2015-0001-0014
	One copy of all American Community Survey Research and Evaluation Reports posted on the Census Bureau's website that are conducted by Census or under contract to Census.	
	Final Disposition	Permanent
	Item Status	Active
	Is this item media neutral?	No
	Explanation of limitation	These records are in electronic form only.
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
	Disposition Instruction	
	Cutoff Instruction	Cut off at the end of the calendar year in which the survey was conducted.
	Transfer to the National Archives for Accessioning	Transfer to the National Archives 1 year(s) after cutoff (starting with the 2016 records).
	Additional Information	
	What will be the date span of the initial transfer of records to the National Archives?	From 2007 To 2008
	How frequently will your agency transfer these records to the National Archives?	Every 1 Years

4

Respondent-Related Materials from Cognitive Interviews

4.1

Recordings from Cognitive Interviews (electronic)

Disposition Authority Number **DAA-0029-2015-0001-0015**

Digital recordings of respondents' feedback from scripted probes for each tested item and alternate version of tested items.

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **No**

Explanation of limitation **These records are in electronic form only.**

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 after 2 years.**

Additional Information

GAO Approval **Not Required**

4.2

Respondent Consent Forms (paper)

Disposition Authority Number **DAA-0029-2015-0001-0016**

Respondents' signed forms indicating their willingness to participate in the cognitive interviews and to record their responses.

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **No**

Explanation of limitation **Paper**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **No**

Disposition Instruction

Retention Period **Destroy after 2 years.**

4.3

Additional Information

GAO Approval Not Required

Recruiting Screeners (paper)

Disposition Authority Number DAA-0029-2015-0001-0017

Captures overall demographics and specific characteristics of interest for each tested topic.

Final Disposition Temporary

Item Status Active

Is this item media neutral? No

Explanation of limitation Paper

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

Disposition Instruction

Retention Period Destroy after 2 years.

Additional Information

GAO Approval Not Required

4.4

Paper Questionnaires (paper)

Disposition Authority Number DAA-0029-2015-0001-0018

Captures respondents' responses for tested items and alternate version of tested items.

Final Disposition Temporary

Item Status Active

Is this item media neutral? No

Explanation of limitation Paper

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

Disposition Instruction

Retention Period Destroy after 2 years.

Additional Information

4.5

GAO Approval Not Required

Cognitive Interview Protocols (paper)

Disposition Authority Number DAA-0029-2015-0001-0019

Scripted probes used to capture respondents' feedback on each tested item and alternate version of tested items.

Final Disposition Temporary

Item Status Active

Is this item media neutral? No

Explanation of limitation Paper

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

Disposition Instruction

Retention Period Destroy after 2 years.

4.6

GAO Approval Not Required

Interviewer-Administered Scripts (paper)

Disposition Authority Number DAA-0029-2015-0001-0020

Scripts used to conduct interviewer-administered interviews and to capture respondents' responses for tested items and alternate version of tested items.

Final Disposition Temporary

Item Status Active

Is this item media neutral? No

Explanation of limitation Paper

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

Disposition Instruction

Retention Period Destroy after 2 years.

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
04/08/2015	Certify	Artina Venning	Section Chief	ACSD - Property and Records Management Branch
05/21/2015	Return for Revision	Henry Wolfinger	Appraiser	National Archives and Records Administration - Records Management Services
06/16/2015	Submit For Certification	Artina Venning	Section Chief	ACSD - Property and Records Management Branch
06/16/2015	Certify	Artina Venning	Section Chief	ACSD - Property and Records Management Branch
06/23/2015	Return for Revision	Henry Wolfinger	Appraiser	National Archives and Records Administration - Records Management Services
06/24/2015	Submit For Certification	Artina Venning	Section Chief	ACSD - Property and Records Management Branch
06/24/2015	Certify	Artina Venning	Section Chief	ACSD - Property and Records Management Branch
07/13/2015	Return for Revision	Henry Wolfinger	Appraiser	National Archives and Records Administration - Records Management Services
07/15/2015	Submit For Certification	Artina Venning	Section Chief	ACSD - Property and Records Management Branch
07/15/2015	Certify	Artina Venning	Section Chief	ACSD - Property and Records Management Branch

09/24/2015	Submit for Concurrency	Henry Wolfinger	Appraiser	National Archives and Records Administration - Records Management Services
10/01/2015	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
10/02/2015	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
10/05/2015	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist