

Request for Records Disposition Authority

Records Schedule Number **DAA-0292-2016-0006**
Schedule Status **Approved**

Agency or Establishment **Administration for Children and Families**
Record Group / Scheduling Group **Records of the Administration for Children and Families**
Records Schedule applies to **Major Subdivision**
Major Subdivision **Office of Family Assistance**
Schedule Subject **Records for the Office of Family Assistance**
Internal agency concurrences will be provided **No**

Background Information **The Office of Family Assistance (OFA) administers federal grant programs that foster family economic security and stability, including the Temporary Assistance for Needy Families (TANF) program and the Tribal Temporary Assistance for Needy Families (Tribal TANF) program, Native Employment Works, Healthy Marriage and Responsible Fatherhood grants, Health Profession Opportunity Grants, and Tribal TANF-Child Welfare Coordination grants.**

Item Count

| Number of Total Disposition Items | Number of Permanent Disposition Items | Number of Temporary Disposition Items | Number of Withdrawn Disposition Items |
|-----------------------------------|---------------------------------------|---------------------------------------|---------------------------------------|
| 12 | 3 | 9 | 0 |

GAO Approval

Outline of Records Schedule Items for DAA-0292-2016-0006

| Sequence Number | |
|-----------------|--|
| 1 | Penalty Determinations and Resolutions Disposition Authority Number: DAA-0292-2016-0006-0001 |
| 2 | Policy Files and Policy Precedent Background Materials |
| 2.1 | Final policy Disposition Authority Number: DAA-0292-2016-0006-0002 |
| 2.2 | Background Files Disposition Authority Number: DAA-0292-2016-0006-0003 |
| 3 | Program Regulations Files Disposition Authority Number: DAA-0292-2016-0006-0004 |
| 4 | Briefing Books Background Material Disposition Authority Number: DAA-0292-2016-0006-0005 |
| 5 | Special Study and Project Files Final Reports and Background Materials |
| 5.1 | Final Reports Disposition Authority Number: DAA-0292-2016-0006-0006 |
| 5.2 | Background materials Disposition Authority Number: DAA-0292-2016-0006-0007 |
| 6 | Publications Files |
| 6.1 | Record Copy of Publications Files Disposition Authority Number: DAA-0292-2016-0006-0008 |
| 6.2 | All other copies of publications files Disposition Authority Number: DAA-0292-2016-0006-0009 |
| 6.3 | Background materials for publications files Disposition Authority Number: DAA-0292-2016-0006-0010 |
| 7 | Data and Other Reports |
| 7.1 | Data, Reports and Tables Disposition Authority Number: DAA-0292-2016-0006-0011 |
| 7.2 | Other Reports Disposition Authority Number: DAA-0292-2016-0006-0012 |

Records Schedule Items

| Sequence Number | |
|-----------------|---|
| 1 | <p>Penalty Determinations and Resolutions</p> <p>Disposition Authority Number DAA-0292-2016-0006-0001</p> <p>Records relating to the resolution of penalty findings including supporting documentation and formal correspondence. This also includes the resolution related to state child poverty rate increases.</p> <p>Final Disposition Temporary</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? No</p> <p>GRS or Superseded Authority Citation N1/292/87/1/7</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cut off at the end of the fiscal year once the penalty is resolved.</p> <p>Retention Period Destroy 3 year(s) after cutoff.</p> <p>Additional Information</p> <p>GAO Approval Not Required</p> |
| 2 | <p>Policy Files and Policy Precedent Background Materials</p> |
| 2.1 | <p>Final policy</p> <p>Disposition Authority Number DAA-0292-2016-0006-0002</p> <p>Program instructions, information memorandums, policy announcements, Qs & As, policy interpretations and clarifications, and similar policy guidance accumulated by OFA headquarters components responsible for program policy development. The records serve as precedent for future program policy determinations.</p> <p>Final Disposition Permanent</p> <p>Item Status Active</p> <p>Is this item media neutral? No</p> <p>Explanation of limitation Records are in electronic format</p> |

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?

No

GRS or Superseded Authority Citation

N1/292/90/6/4a

Disposition Instruction

Cutoff Instruction

Cut off at the end of the fiscal year in which the policy is superseded or obsolete.

Transfer to the National Archives for Accessioning

Transfer to the National Archives 20 year(s) after cutoff.

Additional Information

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

From 1991 To 1995

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

Unknown
Unknown

| | Estimated Current Volume | Annual Accumulation |
|----------------------------------|--------------------------|---------------------|
| Electronic/Digital | 206 MB | 20 MB |
| Paper | | |
| Microform | | |
| Hardcopy or Analog Special Media | | |

2.2

Background Files

Disposition Authority Number **DAA-0292-2016-0006-0003**

These files may include policy precedent background materials pertaining to the formulation of OFA program policies such as internal and external correspondence, working papers, drafts, component comments, background studies, preambles to final regulations, and related reference materials.

Final Disposition

Temporary

Item Status

Active

Is this item media neutral?

Yes

| | | |
|---|---|---|
| 3 | Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? | No |
| | GRS or Superseded Authority Citation | N1/292/90/6/4b |
| | Disposition Instruction | |
| | Cutoff Instruction | Cut off upon issuance of final policy. |
| | Retention Period | After cutoff destroy policy precedent background materials when no longer needed. |
| | Additional Information | |
| | GAO Approval | Not Required |
| | Program Regulations Files | |
| | Disposition Authority Number | DAA-0292-2016-0006-0004 |
| | Program regulations that have been published in the CFR. Filed by subject area and regulation number, the files contain pending and completed draft proposals, concurrences, policy memorandums, public comments, and Federal Register publications. | |
| | 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? | No | |
| GRS or Superseded Authority Citation | N1/292/90/6/4c | |
| Disposition Instruction | | |
| Cutoff Instruction | Cut off on publications of final rule. | |
| Retention Period | Destroy 8 year(s) after cutoff. | |
| Additional Information | | |
| GAO Approval | Not Required | |
| 4 | Briefing Books Background Material | |
| | Disposition Authority Number | DAA-0292-2016-0006-0005 |
| | Copies of briefing books containing background and informational material prepared for use by ACF and/or HHS officials in carrying out their work, such as | |

testifying before Congressional committees on a legislative proposal or issue or confirmation, or briefings prepared for new ACF or HHS leadership. With respect to hearing testimony, the material provides background information on the legislation or issue and an analysis of the implications for OFA programs. The record copy is held by the office of the testifying official.

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? No

GRS or Superseded Authority Citation N1/292/90/6/5e

Disposition Instruction

Cutoff Instruction Cut off end of fiscal year books are created.

Retention Period Destroy 10 year(s) after cutoff.

Additional Information

GAO Approval Not Required

5

Special Study and Project Files Final Reports and Background Materials
Final report files created from one time special studies or projects conducted by OFA. These files may include background materials for the studies and projects.

5.1

Final Reports

Disposition Authority Number DAA-0292-2016-0006-0006

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

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

GRS or Superseded Authority Citation N1/292/90/6/8a

Disposition Instruction

Cutoff Instruction Cut off annually.

Retention Period Destroy 7 year(s) after cutoff

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|-----|---|
| 5.2 | <p>Additional Information</p> <p>GAO Approval Not Required</p> <p>Background materials</p> <p>Disposition Authority Number DAA-0292-2016-0006-0007</p> <p>Final Disposition Temporary</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? No</p> <p>GRS or Superseded Authority Citation N1/292/90/6/8b</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cut off annually on approval of final report.</p> <p>Retention Period Destroy 3 year(s) after cutoff.</p> <p>Additional Information</p> <p>GAO Approval Not Required</p> |
| 6 | <p>Publications Files</p> <p>Publications prepared by OFA components related to the administrative and programmatic aspects of Temporary Assistance for Needy Families (TANF) and other OFA administered assistance programs, including the TANF Annual Report to Congress.</p> |
| 6.1 | <p>Record Copy of Publications Files</p> <p>Disposition Authority Number DAA-0292-2016-0006-0008</p> <p>Final Disposition Permanent</p> <p>Item Status Active</p> <p>Is this item media neutral? No</p> <p>Explanation of limitation Records are in electronic format</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No</p> <p>GRS or Superseded Authority Citation N1/292/90/6/12a</p> |

Disposition Instruction

Cutoff Instruction **Cut off every 5 years.**
 Transfer to the National Archives for Accessioning **Transfer to the National Archives 20 year(s) after cutoff**

Additional Information

What will be the date span of the initial transfer of records to the National Archives? **From 1991 To 1995**
 How frequently will your agency transfer these records to the National Archives? **Every 5 Years**

| | Estimated Current Volume | Annual Accumulation |
|---|--------------------------|---------------------|
| Electronic/Digital | 5 MB | .5 MB |
| Paper | | |
| Microform | | |
| Hardcopy or Analog Special Media | | |

6.2

All other copies of publications files

Disposition Authority Number **DAA-0292-2016-0006-0009**
 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? **No**
 GRS or Superseded Authority Citation **N1/292/90/6/12b**

Disposition Instruction

Retention Period **Destroy when superseded or obsolete.**

Additional Information

| | |
|-----|--|
| 6.3 | <p>GAO Approval Not Required</p> <p>Background materials for publications files</p> <p>Disposition Authority Number DAA-0292-2016-0006-0010</p> <p>Final Disposition Temporary</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? No</p> <p>GRS or Superseded Authority Citation N1/292/90/6/12c</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cut off annually.</p> <p>Retention Period Destroy 3 year(s) after cutoff.</p> |
| 7 | <p>Additional Information</p> <p>GAO Approval Not Required</p> |
| 7.1 | <p>Data and Other Reports</p> <p>Data, Reports and Tables</p> <p>Disposition Authority Number DAA-0292-2016-0006-0011</p> <p>In 2015, the Office of Family Assistance (OFA) began to separate the data, reports and tables from routine administrative reports. OFA determined that the quarterly and annual data reports as well as the statistical tables submitted by states, territories, and tribes had significant research value. The records relate to cash assistance caseloads, work participation data, caseload characteristics, high performance bonus data, and the state ACF-196 Temporary Assistance for Needy Families (TANF)/Maintenance of Effort (MOE) expenditures.</p> <p>Final Disposition Permanent</p> <p>Item Status Active</p> <p>Is this item media neutral? No</p> <p>Explanation of limitation Records are in electronic format</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No</p> <p>Disposition Instruction</p> |

Cutoff Instruction **Cut off at the end of the fiscal year the reports are completed.**

Transfer to the National Archives for Accessioning **Transfer to the National Archives 20 year(s) after cutoff.**

Additional Information

What will be the date span of the initial transfer of records to the National Archives? **From 2015 To 2035**

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

| | Estimated Current Volume | Annual Accumulation |
|---|--------------------------|---------------------|
| Electronic/Digital | 4.2 GB | 100 MB |
| Paper | | |
| Microform | | |
| Hardcopy or Analog Special Media | | |

7.2

Other Reports

Disposition Authority Number **DAA-0292-2016-0006-0012**

Routine administrative supporting documents for the National Directory of New Hires (NDNH) match reports, and temporary assistance for needy families and maintenance of effort reports submitted by states, territories, and tribes.

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? **No**

GRS or Superseded Authority Citation **N1/292/87/1/6**

Disposition Instruction

| | |
|------------------------|--|
| Cutoff Instruction | Cut off at the end of the fiscal year the reports are completed. |
| Retention Period | Destroy 3 year(s) after cutoff. |
| 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 |
|------------|--------------------------|---------------|------------------------|---|
| 11/23/2015 | Certify | Roydon Pratt | Facilities Director | Office of Administration - Office of Management Operations |
| 01/19/2016 | Return for Revision | John Hulmston | Senior Records Analyst | National Archives and Records Administration - Records Management Services |
| 02/17/2016 | Submit For Certification | Roydon Pratt | Facilities Director | Office of Administration - Office of Management Operations |
| 02/17/2016 | Certify | Roydon Pratt | Facilities Director | Office of Administration - Office of Management Operations |
| 03/03/2016 | Return for Revision | John Hulmston | Senior Records Analyst | National Archives and Records Administration - Records Management Services |
| 03/15/2016 | Submit For Certification | Marla Young | Archives Specialist | National Archives and Records Administration - Records Management Services |
| 03/15/2016 | Certify | John Ragsdale | Management Analyst | ACF - OA |
| 04/28/2016 | Return for Revision | John Hulmston | Senior Records Analyst | National Archives and Records Administration - Records Management Services |
| 05/03/2016 | Submit For Certification | Marla Young | Archives Specialist | National Archives and Records Administration - Records Management Services |

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|------------|--------------------------|------------------|--|---|
| 05/03/2016 | Certify | Roydon Pratt | Facilities Director | Office of Administration - Office of Management Operations |
| 06/15/2016 | Return for Revision | John Hulmston | Senior Records Analyst | National Archives and Records Administration - Records Management Services |
| 06/22/2016 | Submit For Certification | Marla Young | Archives Specialist | National Archives and Records Administration - Records Management Services |
| 06/22/2016 | Certify | John Ragsdale | Management Analyst | ACF - OA |
| 07/06/2016 | Return for Revision | John Hulmston | Senior Records Analyst | National Archives and Records Administration - Records Management Services |
| 07/06/2016 | Submit For Certification | Marla Young | Archives Specialist | National Archives and Records Administration - Records Management Services |
| 07/06/2016 | Certify | Roydon Pratt | Facilities Director | Office of Administration - Office of Management Operations |
| 07/12/2016 | Return for Revision | John Hulmston | Senior Records Analyst | National Archives and Records Administration - Records Management Services |
| 08/04/2016 | Submit For Certification | Marla Young | Archives Specialist | National Archives and Records Administration - Records Management Services |
| 08/04/2016 | Certify | John Ragsdale | Management Analyst | ACF - OA |
| 08/31/2016 | Submit for Concurrence | John Hulmston | Senior Records Analyst | National Archives and Records Administration - Records Management Services |
| 10/17/2016 | Concur | Margaret Hawkins | Director of Records Management Services | National Records Management Program |

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|------------|---------|-----------------|---|--|
| | | | | - ACNR Records Management Services |
| 10/18/2016 | Concur | Laurence Brewer | Director, National Records Management Program | National Archives and Records Administration - National Records Management Program |
| 10/20/2016 | Approve | David Ferriero | Archivist of the United States | Office of the Archivist - Office of the Archivist |