

## 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Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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	<b>Penalty Determinations and Resolutions</b> Disposition Authority Number: DAA-0292-2016-0006-0001
2	<b>Policy Files and Policy Precedent Background Materials</b>
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	<b>Program Regulations Files</b> Disposition Authority Number: DAA-0292-2016-0006-0004
4	<b>Briefing Books Background Material</b> Disposition Authority Number: DAA-0292-2016-0006-0005
5	<b>Special Study and Project Files Final Reports and Background Materials</b>
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	<b>Publications Files</b>
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	<b>Data and Other Reports</b>
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><b>Penalty Determinations and Resolutions</b></p> <p>Disposition Authority Number      <b>DAA-0292-2016-0006-0001</b></p> <p><b>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.</b></p> <p>Final Disposition                      <b>Temporary</b></p> <p>Item Status                              <b>Active</b></p> <p>Is this item media neutral?          <b>Yes</b></p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      <b>No</b></p> <p>GRS or Superseded Authority Citation      <b>N1/292/87/1/7</b></p> <p><b>Disposition Instruction</b></p> <p>Cutoff Instruction                      <b>Cut off at the end of the fiscal year once the penalty is resolved.</b></p> <p>Retention Period                      <b>Destroy 3 year(s) after cutoff.</b></p> <p><b>Additional Information</b></p> <p>GAO Approval                          <b>Not Required</b></p>
2	<p><b>Policy Files and Policy Precedent Background Materials</b></p>
2.1	<p><b>Final policy</b></p> <p>Disposition Authority Number      <b>DAA-0292-2016-0006-0002</b></p> <p><b>Program instructions, information memorandums, policy announcements, Qs &amp; 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.</b></p> <p>Final Disposition                      <b>Permanent</b></p> <p>Item Status                              <b>Active</b></p> <p>Is this item media neutral?          <b>No</b></p> <p>Explanation of limitation              <b>Records are in electronic format</b></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
<b>Electronic/Digital</b>	<b>206 MB</b>	<b>20 MB</b>
<b>Paper</b>		
<b>Microform</b>		
<b>Hardcopy or Analog Special Media</b>		

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
	<b>Disposition Instruction</b>	
	Cutoff Instruction	Cut off upon issuance of final policy.
	Retention Period	After cutoff destroy policy precedent background materials when no longer needed.
	<b>Additional Information</b>	
	GAO Approval	Not Required
	<b>Program Regulations Files</b>	
	Disposition Authority Number	DAA-0292-2016-0006-0004
	<b>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.</b>	
	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	
<b>Disposition Instruction</b>		
Cutoff Instruction	Cut off on publications of final rule.	
Retention Period	Destroy 8 year(s) after cutoff.	
<b>Additional Information</b>		
GAO Approval	Not Required	
4	<b>Briefing Books Background Material</b>	
	Disposition Authority Number	DAA-0292-2016-0006-0005
	<b>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</b>	

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

5.2	<p><b>Additional Information</b></p> <p>GAO Approval <b>Not Required</b></p> <p><b>Background materials</b></p> <p>Disposition Authority Number <b>DAA-0292-2016-0006-0007</b></p> <p>Final Disposition <b>Temporary</b></p> <p>Item Status <b>Active</b></p> <p>Is this item media neutral? <b>Yes</b></p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? <b>No</b></p> <p>GRS or Superseded Authority Citation <b>N1/292/90/6/8b</b></p> <p><b>Disposition Instruction</b></p> <p>Cutoff Instruction <b>Cut off annually on approval of final report.</b></p> <p>Retention Period <b>Destroy 3 year(s) after cutoff.</b></p> <p><b>Additional Information</b></p> <p>GAO Approval <b>Not Required</b></p>
6	<p><b>Publications Files</b></p> <p><b>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.</b></p>
6.1	<p><b>Record Copy of Publications Files</b></p> <p>Disposition Authority Number <b>DAA-0292-2016-0006-0008</b></p> <p>Final Disposition <b>Permanent</b></p> <p>Item Status <b>Active</b></p> <p>Is this item media neutral? <b>No</b></p> <p>Explanation of limitation <b>Records are in electronic format</b></p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? <b>No</b></p> <p>GRS or Superseded Authority Citation <b>N1/292/90/6/12a</b></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
<b>Electronic/Digital</b>	<b>5 MB</b>	<b>.5 MB</b>
<b>Paper</b>		
<b>Microform</b>		
<b>Hardcopy or Analog Special Media</b>		

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 <b>Not Required</b></p> <p><b>Background materials for publications files</b></p> <p>Disposition Authority Number <b>DAA-0292-2016-0006-0010</b></p> <p>Final Disposition <b>Temporary</b></p> <p>Item Status <b>Active</b></p> <p>Is this item media neutral? <b>Yes</b></p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? <b>No</b></p> <p>GRS or Superseded Authority Citation <b>N1/292/90/6/12c</b></p> <p><b>Disposition Instruction</b></p> <p>Cutoff Instruction <b>Cut off annually.</b></p> <p>Retention Period <b>Destroy 3 year(s) after cutoff.</b></p> <p><b>Additional Information</b></p> <p>GAO Approval <b>Not Required</b></p>
7	<p><b>Data and Other Reports</b></p>
7.1	<p><b>Data, Reports and Tables</b></p> <p>Disposition Authority Number <b>DAA-0292-2016-0006-0011</b></p> <p><b>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.</b></p> <p>Final Disposition <b>Permanent</b></p> <p>Item Status <b>Active</b></p> <p>Is this item media neutral? <b>No</b></p> <p>Explanation of limitation <b>Records are in electronic format</b></p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? <b>No</b></p> <p><b>Disposition Instruction</b></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
<b>Electronic/Digital</b>	<b>4.2 GB</b>	<b>100 MB</b>
<b>Paper</b>		
<b>Microform</b>		
<b>Hardcopy or Analog Special Media</b>		

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

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

				- 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