

Request for Records Disposition Authority

Records Schedule Number DAA-0292-2020-0001

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 on Trafficking in Persons (OTIP)

Schedule Subject Records of the OTIP Shepherd v1.0 IT System

Internal agency concurrences will be provided No

Background Information

The Office on Trafficking in Persons (OTIP) was formed June 11, 2015 under 80 FR 33269. The Office on Trafficking in Persons (OTIP) is responsible for the overall leadership of anti-trafficking programs and services under the purview of ACF, including, but not limited to, implementing provisions of the Trafficking Victims Protection Act (TVPA). OTIP is led by a Director, with the required knowledge and expertise in advising the Assistant Secretary, ACF, in the development of anti-trafficking strategies, policies, and programs to prevent human trafficking, build health and human service capacity to respond to human trafficking, increase victim identification and access to services, and strengthen the long-term health and well-being outcomes of survivors of human trafficking. The Office certifies or provides letters of eligibility, as appropriate, to victims of severe forms of trafficking, in accordance with the TVPA and promotes public awareness on human trafficking. The Office identifies research priorities for ACF's anti-trafficking work, and leads the preparation and presentation of related memorandums, reports, briefings, trainings, technical assistance, and analyses. OTIP is responsible for the development of anti-trafficking strategies, policies, and programs to prevent human trafficking, build health and human service capacity to respond to human trafficking, increase victim identification and access to services, and strengthen health and well-being outcomes of trafficking survivors. OTIP advises the Assistant Secretary by providing subject-matter expertise and leadership of ACF's anti-trafficking activities. OTIP collaborates with federal partners and other stakeholders to raise public awareness, identify research priorities for ACF's anti-trafficking work, and make policy recommendations to enhance anti-trafficking responses.

The Shepherd system subsumed the TVTS Microsoft Access database in 2017 (previously scheduled under N1-292-10-001). No data was lost during this transition and Shepherd still contains the records from TVTS dating back to 2001.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
5	5	0	0

GAO Approval

Outline of Records Schedule Items for DAA-0292-2020-0001

Sequence Number	
1	Records of the OTIP Shepherd 1.0 IT System
1.1	Shepherd 1.0 Database Records Disposition Authority Number: DAA-0292-2020-0001-0001
1.2	Child Eligibility - Request for Assistance Disposition Authority Number: DAA-0292-2020-0001-0002
1.3	Adult Certification Disposition Authority Number: DAA-0292-2020-0001-0003
1.4	Periodic Reporting and Case Trend Analysis Disposition Authority Number: DAA-0292-2020-0001-0004
1.5	Policy Precedent Files Disposition Authority Number: DAA-0292-2020-0001-0005

Records Schedule Items

Sequence Number	
1	<p>Records of the OTIP Shepherd 1.0 IT System</p> <p>The Shepherd Database system maintains potential trafficking case files for individuals who have been or may have been subjected to a severe form of trafficking in persons in accordance with the TVPA of 2000, as amended, and is separated into three major components: (1) Request for Assistance for Child Victims of Human Trafficking (OMB Control No. 0970-0362), (2) Information Requested for Foreign Adult Human Trafficking Victims Seeking HHS Certification (OMB Control No. 0970-0454), (3) Reporting and Case Trend Analysis. The Shepherd IT system is subsuming a Microsoft Access Database created in 2010 and by a data transfer of case files of trafficking victims from the ORR RADS system to the Microsoft Access Database system. This transfer containing 10.2 GB of information was completed in April of 2017 and was governed by the Office of the Chief Information Officer (OCIO) and all elements of the data was maintained. Since this initial transfer, the number of cases has increased exponentially and the system currently holds 50 GB worth of data.</p>
1.1	<p>Shepherd 1.0 Database Records</p> <p>Disposition Authority Number DAA-0292-2020-0001-0001</p> <p>The Shepherd 1.0 Database contains files that date back to March of 2001. These files contain clinical notes, applications, reports, immigration documents, placement history, family and reunification history, information on the individual's presenting needs, medical information, emails, phone call correspondence, photographs, newspaper clippings, police reports, correspondence and reports from federal, state, and local law enforcement, child welfare reports, hotline notes, referrals for case management services, consultation analysis, case summaries, service referrals, and other applicable information and reports related to the individual's potential trafficking experience and life history. Additionally, the files may contain information on applicants such as name and address, date of birth, alien number, country of origin, family member contact information, and any information that is applicable to the individual's potential trafficking experience and life history. Information may be provided and collected to track types of services for which victims applied, including NGO provider information and type(s) of benefits.</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>

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

Yes

GRS or Superseded Authority Citation

N1-292-10-001

Disposition Instruction

Cutoff Instruction

Cut off at the end of the fiscal year in which certification or eligibility is issued.

Transfer to the National Archives for Accessioning

Transfer to the National Archives 15 year(s) after Cutoff

Additional Information

First year of records accumulation 2001

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

From 2001 To 2006

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

Every 1 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	50 GB	20 GB
Paper		
Microform		
Hardcopy or Analog Special Media		

1.2

Child Eligibility - Request for Assistance

Disposition Authority Number DAA-0292-2020-0001-0002

HHS uses information collected in the Request for Assistance (RFA) for Child Victims of Human Trafficking (OMB Control No. 0970-0362) to determine a child's eligibility for interim and long-term assistance (22 U.S.C. 7105(b)(1)(G)). Request for Assistance form (RFA) is used to notify HHS of trafficking concerns for a foreign national minor (non-U.S. citizen or non-lawful permanent resident under the age of 18) who is currently in the United States and requests assistance on behalf of the child (foreign national minor). **ELIGIBILITY LETTERS** If there is sufficient information during the RFA process to indicate that the child was subjected to

forced labor and/or commercial sex, HHS will issue an Eligibility Letter, making the child eligible to apply for benefits and services to the same extent as a refugee, including a referral to comprehensive case management services. **INTERIM ASSISTANCE LETTERS** If there is information during the RFA process to indicate that the child may have been subjected to forced labor and/or commercial sex, HHS will issue an Interim Assistance Letter, making the child eligible to apply for benefits and services to the same extent as a refugee for up to 90 days (or 120 days, if extended), including a referral to comprehensive case management services. During this interim assistance period, HHS will seek consultation from the U.S. Departments of Justice (DOJ) and Homeland Security (DHS) and non-governmental organizations (NGOs) before issuing an Eligibility Letter or a Denial Letter. **DENIAL OF ASSISTANCE AND DENIAL LETTERS** If the information HHS receives during the RFA process does not indicate that the child may have been subjected to a severe form of trafficking in persons, HHS will issue a Denial Letter to the child. HHS will include instructions with the letter on how to request reconsideration or how to resubmit the child's case.

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? No

Disposition Instruction

Cutoff Instruction Cut off at the end of the fiscal year in which eligibility is issued.

Transfer to the National Archives for Accessioning Transfer to the National Archives 15 year(s) after Cutoff

Additional Information

First year of records accumulation 2001

What will be the date span of the initial transfer of records to the National Archives? From 2001 To 2006

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

	Estimated Current Volume	Annual Accumulation
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Electronic/Digital	10 GB	5 GB
Paper		
Microform		
Hardcopy or Analog Special Media		

1.3

Adult Certification

Disposition Authority Number **DAA-0292-2020-0001-0003**

HHS provides letters of certification to foreign national adult victims of severe forms of human trafficking under the authority of the Trafficking Victims Protection Act of 2000 (TVPA), as amended 22 U.S.C. Section 7105(b)(1)(C) and (E). The form is used to provide information Foreign Adult Human Trafficking Victims Seeking HHS Certification (OMB Control No. 0970-0454) to obtain a Certification Letter from HHS. Certification is required for foreign adult victims of human trafficking in the United States to apply for federally funded benefits and services.

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? **No**

Disposition Instruction

Cutoff Instruction **Cut off at the end of the fiscal year in which certification is issued.**

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

Additional Information

First year of records accumulation **2001**

What will be the date span of the initial transfer of records to the National Archives? **From 2001 To 2006**

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

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	10 GB	5 GB
Paper		
Microform		
Hardcopy or Analog Special Media		

1.4

Periodic Reporting and Case Trend Analysis

Disposition Authority Number **DAA-0292-2020-0001-0004**

HHS provides aggregate information on information collected for the purpose of fulfilling reporting requirements, interagency inquiries, and for research and analysis in anonymous datasets. This consists of information for the annual Attorney General’s report to Congress on federal activities responding to human trafficking as authorized under the Trafficking Victims Protection Act, GPRA Measures, Attorney General Reports, State Department reports, Comptroller General requests, HHS Inspector General requests or investigations, congressional subpoenas or requests, court orders, or authorized disclosures. The information may be disclosed for legitimate law enforcement purposes, including in response to discovery requests or otherwise in the course of criminal or civil litigation.

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? **No**

Disposition Instruction

Cutoff Instruction **Cut off at the end of the fiscal year**

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

Additional Information

First year of records accumulation **2001**

What will be the date span of the initial transfer of records to the National Archives? **From 2001 To 2006**

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

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	10 GB	5 GB
Paper		
Microform		
Hardcopy or Analog Special Media		

1.5

Policy Precedent Files

Disposition Authority Number **DAA-0292-2020-0001-0005**

The Office on Trafficking in Persons (OTIP) state letters, Policy memorandum, interpretations (answers to policy questions), clarifications, policy letters, Dear Colleague letters, information memos, and similar records accumulated by OTIP headquarters components responsible for program policy development. The records serve as precedent for future program actions and document policy changes, changes in regulations, process updates and changes in laws affecting the work of the agency.

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? **No**

Disposition Instruction

Cutoff Instruction **Cut off files at the close of each fiscal year.**

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

Additional Information

First year of records accumulation **2001**

What will be the date span of the initial transfer of records to the National Archives? **From 2001 To 2006**

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

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	2 GB	2 GB
Paper		
Microform		
Hardcopy or Analog Special Media		

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
10/03/2019	Certify	Nancy Eickelmann	IT Specialist	Office of Administration - Office of the Chief information Officer
08/26/2021	Submit for Concurrency	Carla Simms	Archives Specialist	National Archives and Records Administration - Records Management Operations
09/17/2021	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
09/17/2021	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
09/20/2021	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist