

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

LEAVE BLANK

JOB NO

NI-282-90-6

TO GENERAL SERVICES ADMINISTRATION
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408

DATE RECEIVED

06/12/90

1 FROM (Agency or establishment)

NOTIFICATION TO AGENCY

Department of Health and Human Services

2 MAJOR SUBDIVISION

Family Support Administration

3 MINOR SUBDIVISION

Office of Family Assistance

In accordance with the provisions of 44 USC 3303a the disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10. If no records are proposed for disposal, the signature of the Archivist is not required.

4 NAME OF PERSON WITH WHOM TO CONFER

5 TELEPHONE EXT

DATE

ARCHIVIST OF THE UNITED STATES

Steve Smith (FSA Records Mgmt Officer)
Marissa Huttinger

252-5637
252-4972

4-17-95

Casting
Cludy Huskamp Petersa

6 CERTIFICATE OF AGENCY REPRESENTATIVE

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records, that the records proposed for disposal in this Request of 12 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, if required under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is attached

A GAO concurrence is attached, or is unnecessary

B DATE

C SIGNATURE OF AGENCY REPRESENTATIVE

D TITLE

6/4/90

Robert T. Brown, Jr.

DHHS Records Officer

7
ITEM
NO

8 DESCRIPTION OF ITEM
(With Inclusive Dates or Retention Periods)

9 GRS OR
SUPERSEDED
JOB
CITATION

10 ACTION
TAKEN
(NARS USE
ONLY)

This schedule supersedes that part of Social Security Administration schedule NCI-47-81-9 relating to Family Assistance program records maintained now by Family Support Administration.

Director's Office
Division of Policy
Division of Quality Control
Division of Special Initiatives
Division of Program Evaluation

Copies sent to agency, NCF, NNT, NIA 4/21/95

OFFICE OF FAMILY ASSISTANCE

Office of the Director
Division of JOBS Program
Division of AFDC Program
Division of Program Evaluation
Division of Quality Control

Administrative Records1. Controlled Correspondence Files

Files consisting of correspondence received from Members of Congress or the public relating to OFA programs. These records are not required for claims or legal purposes. Correspondence is generally maintained in alphabetical order by name of writer or name of claimant.

a. Congressional Inquiries

DISPOSITION: DESTROY
when 1 year old.

b. Public Inquiries

DISPOSITION: DESTROY
when 6 months old.

2. Correspondence Control Logs

Correspondence control logs reflecting the assignment and disposition of incoming controlled correspondence.

DISPOSITION: Cut off at the end of the calendar year.
DESTROY when 1 year old.

3. OGC Opinions

Published and unpublished copies of DHHS OGC opinions maintained by OFA offices for reference purposes.

DISPOSITION: DESTROY when superseded or obsolete.

Program Files**4. Policy Files****a. Policy Precedent Files**

Policy memorandums, interpretations, (policy interpretation questions), clarifications and similar records accumulated by OFA headquarters components responsible for program policy development. The records serve as precedent for future program policy determinations. These records are maintained by DAP and DJP.

DISPOSITION: PERMANENT.
Cut off individual policy precedent files when the precedent is established and placed in an inactive file.
Cut off inactive file every 5 years.
Transfer to FRC when oldest record is 10 years old (i.e., transfer 1991-1995 to the FRC in 2001).
TRANSFER to the National Archives when oldest record is 20 years old.

b. Policy Precedent
Background Files

Background materials maintained in alphabetical subject files created in the formulation of OFA program policies. These materials relate to such subjects as issues of eligibility and assistance, employability and fiscal policy, and entitlement and administrative policy. The documents include copies of policy memorandums, correspondence, drafts, components comments, background studies preamble to final regulations, and related reference materials.

DISPOSITION: Review files at the end of each calendar year, removing documents which do not have continuing relevance to an inactive file. Cut off the inactive file yearly and destroy when 2 years old.

c. Program Regulations Files

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.

DISPOSITION: Cut off on publication of final rule and TRANSFER to an inactive file. Cut off inactive file annually and DESTROY when 3 years old.

Legislative Records

5. a. Legislative History Files

A history file for each piece of legislation related to OFA programs. The files are arranged by year and contain copies of the bills, legislative summaries, analyses, committee reports, and related background documents.

DISPOSITION: Review files annually. DESTROY material which does not have continuing relevance.

b. Hearing Files

Copies of transcripts and printed reports of hearings before congressional committees on bills or issues relating to OFA.

DISPOSITION: Review files annually. DESTROY material which does not have continuing relevance.

c. Public Law Files

Published copies of all public laws relating to OFA and its predecessor organizations.

DISPOSITION: Review files annually. DESTROY material which does not have continuing relevance.

d. Legislative Proposals Files

Files of proposals for changes in legislation affecting OFA programs. Also included in the file are related background materials and clearance comments. The documents contain proposed legislative language, supporting statements, alternative proposals, and other information.

DISPOSITION: Review files annually. DESTROY material which does not have continuing relevance.

e. Background Books

Binders containing material prepared for use by ACF and HHS officials in testifying before Congressional committees on a given piece of legislation or issue. 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 office of the testifying official.

DISPOSITION: TRANSFER to the FRC when 5 years old.
DESTROY when 10 years old.

f. Court Case Files

Files documenting court cases which involve OFA programs and for which the Secretary of HHS is sued. Cases are files by Federal or State courts. Documents in these files consist of published copies of court decisions, memorandums, precedent materials, transcripts, and related documents.

DISPOSITION: Cut off on resolution of case.
DESTROY when 3 years old.

Procedural Records6. Action and Information Transmittal (ATs and IMs)

ATs and IMs which relate to OFA programs (record copy held by branch responsible for issuance).

DISPOSITION: PERMANENT.
Review files at the end of 5 years, removing documents which do not have continuing relevance to an inactive file. Cut off file every 5 years. TRANSFER to FRC when inactive record is 10 years old. TRANSFER to the National Archives when oldest record is 20 years old.

7. Quality Control Files

Most Quality Control materials cannot be retired or destroyed due to the on-going nature of their content. These provide current as well as historical Quality Control procedural instructions.

DISPOSITION: Place in an inactive file when superseded or obsolete.

TRANSFER from ~~inactive~~ TRANSFER TO THE FRC
WHEN ~~file after 5 years to old,~~
~~FRC and DESTROY~~ when 10 years old.

8. Special Study and Project Files

Files created from one time special studies or projects conducted by OFA.

a. Final Reports

DISPOSITION: Review files annually.
DESTROY material which does not have continuing relevance.

b. Background materials

DISPOSITION: Cut off annually on approval of final report.

DESTROY when 3 years old.

9. State Plan Records

Record copies of approved State plans materials submitted by each State, territory, and possession pertaining to State administration of public assistance grants-in-aid programs.

a. State Plan Material

DISPOSITION: Place in an inactive file when superseded or obsolete. Cut off inactive file annually. TRANSFER to the FRC when 10 years old. DESTROY when 20 years old.

b. Duplicate or Loan Set of State Plans

DISPOSITION: Place in an inactive file when superseded or obsolete. Cut off inactive file annually. DESTROY when 2 years old.

c. Control Forms

DISPOSITION: Cut off annually. TRANSFER to the FRC when 10 years old. DESTROY when 20 years old.

d. Other Materials

DISPOSITION: Place in an inactive file when superseded or obsolete. Cut off inactive file annually.

TRANSFER to the FRC
when 10 years old.
DESTROY when 20
years old.

10. State Compliance Cases

Record copies of cases involving formal administrative actions pertaining to State plans which are disapproved or any State practices or procedures which are not in conformance with Federal provisions.

DISPOSITION: Place in an inactive file upon resolution of the case. Cut off inactive file annually. TRANSFER to the FRC when 5 years old. DESTROY when 15 years old.

11. Research and Demonstration Project Files

a. Approved Projects

1. Final Reports

DISPOSITION: Cut off annually.
DESTROY when 5 years old.

2. Other Documents

DISPOSITION: Cut off on receipt of final report and place in an inactive file. Cut off inactive file annually. DESTROY when 2 years old.

b. Disapproved Projects

DISPOSITION: Cut off annually.
DESTROY when 5 years old.

12. Publications Files

Publications prepared by OFA components related to the administrative and program aspects of AFDC, JOBS and other OFA administered assistance programs.

a. Record Copy File (Branch Office)

DISPOSITION: PERMANENT.

Cut off file every 5 years. TRANSFER to FRC when oldest record is 10 years old (i.e., transfer 1991-1995 to the FRC in 2001). TRANSFER to the National Archives when oldest record is 20 years old.

b. All Other Copies

DISPOSITION: DESTROY when superseded or obsolete.

c. Background Materials

DISPOSITION: Place in an inactive file upon publication. Cut off inactive file annually and DESTROY when 1 year old.2