

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

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

1 FROM (AGENCY OR ESTABLISHMENT)

Office of Child Support Enforcement

2 MAJOR SUBDIVISION

Program Operations Division

3 MINOR SUBDIVISION

4 NAME OF PERSON WITH WHOM TO CONFER

Gerrie Rodriguez

5 TEL EXT

443-4783

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 16 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified

A Request for immediate disposal.

B Request for disposal after a specified period of time or request for permanent retention.

C DATE 3/8/84	D SIGNATURE OF AGENCY REPRESENTATIVE <u>George Deal</u> Dr. George Deal	E TITLE Department Records Management Officer
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7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
	<p>Records Disposition Schedule for the PROGRAM OPERATIONS DIVISION</p> <ul style="list-style-type: none"> *Office of the Director *Program Support Branch *National Reference Center *Management Analysis Branch *Special Initiatives Branch <p><u>Jean R. Zientz</u> Jean R. Zientz (OCSE's Records Management Representative) <u>3/6/84</u></p> <p>I concur in the revisions to this schedule.</p> <p><u>Ronald J. Heine</u> NARA appraiser <u>9/20/85</u> date</p> <p><u>Patricia A. Dreyfus for Jean Zientz</u> Agency representative <u>7/9/85</u> date</p>		<p>35 items</p>

LEAVE BLANK

JOB NO
NCL-292-94-3

DATE RECEIVED
9-17-84

NOTIFICATION TO AGENCY

In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10

11-20-85 Frank A. Burke
Date Archivist of the United States

Copies to Agency, NNE, NNE, NCF
27 Nov 85 14

PROGRAM OPERATIONS DIVISION

Provides information and guidance to States and Regional Offices on program operations and management; coordinates and conducts programmatic and management reviews of States; provides technical guidance to States and Regional offices on program operations; provides a variety of management consulting services to State Child Support Enforcement agencies; develops and publishes a variety of information and guides on effective program and management techniques; operates an information exchange service responding to State requests for service; directs contracts providing training and technical assistance in support of child support enforcement activities; coordinates the collection, analysis, and maintenance of information on operational aspects of the child support enforcement program nationwide.

Item No.

I. GENERAL PROGRAM ADMINISTRATIVE RECORDS

1.

A. Administrative Files

Description

Program Operations

Files created by most ~~Policy and Planning~~ Division components in the performance of their assigned functions:

1. Official file copies of outgoing correspondence relating to office functions;
2. Comments on draft reports, studies, and proposals prepared by other offices;
3. Comments on proposed legislation; and
4. Program and management reports, such as overtime and staffing reports, workload and production reports, highlights, activity reports, and other reports prepared to submit narrative or statistical data to management offices.

NOTE: Excluded are reports specifically identified elsewhere in this schedule.

~~Proposed Disposition~~

~~Destroy 2 years after the close of the calendar year in which~~

~~dated. NOTE: Documents in the file that require additional~~

~~action or that relate to ongoing projects may be retained until~~

~~the action or project is completed.~~ Destroy when 2 years old or when action or project is completed, whichever is later.

B. Correspondence Control Logs

2.

Description

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

~~Proposed~~ Disposition

Close out at the end of the calendar year and destroy ~~1 year~~
~~thereafter~~, with related correspondence.

3.

C. Working Files

Description

Nonessential working papers retained for reference purposes by staff members. Included are extra copies of official file material, supporting or background papers used in developing official files but not needed as part of the official file, studies or similar material not acted upon, papers used as administrative aids and papers that do not serve as a basis for official action.

~~Proposed~~ Disposition
when old

Destroy ~~after~~ 2 years/or when no longer needed for reference, whichever is earlier.

4.

D. Action Transmittals

Description

Formal issuances containing OCSE instructions to the States. These transmittals require State actions on program matters. Records are maintained in numbered series by year. They may address any program topic. The action transmittals include the subject, regulation references, program applicability with any attachments, related issuances, effective date, and action required. The official record set is maintained by the Reference Center, Program Operations Division.

~~Proposed~~ Disposition

Duplicate Copies

Destroy ~~2 years after~~ ^{when} termination ^{ed} or supersession ^{ded.}

5. E. Information Memoranda

Description

Copies of formal issuances transmitting administrative and program instructional information to States. These informational transmittals may cover any administrative or program topic and do not require state action. Records are maintained in numbered series by year. The official record set is maintained by the Reference Center, Program Operations Division.

~~Proposed~~ Disposition

Duplicate Copies

Destroy ~~2 years after~~ ^{when} termination ^{ed} or supersession ^{ded.}

6. II. Program Files

A. Program Audit Closure Files

Description

The Supplemental Appropriation Act (PL 96-304) of 1980 and the Office of Management and Budget (OMB) Circular No. A-50 require executive agencies to resolve audit findings within 6 months of the issuance of a final report. The Program Support Branch, until 1982, was responsible for performing all program audit closure activities. In 1982, Program Audit Closure responsibilities were transferred to the OCSE Regional Offices. Files contain documentation for actions taken to resolve program audits, including actions taken in preliminary and draft stages; follow-up contacts with the auditee; decisions on each recommendation and

basis for the decisions. Included are: exit conference correspondence and reports; State and Regional comments; follow-up correspondence and reports; audit clearance documents reflecting all action taken and provides the status of all recommendations; and other related materials.

~~Proposed Disposition~~

✓. All records relating to Program Audit Closure activities, prior to 1983, are stored in the OCSE Records Holding Area.

✓. Transfer to FRC 6 years after audit closure. ~~Destroy 10 years thereafter.~~ DESTROY WHEN 16 YEARS OLD

7. B. Program Review Files

Description

Files consisting of records accumulated by the Program Support Branch staff in reviewing State and local Child Support Enforcement agency program operations. Included are reports of visits, State IV-D agency submitted data, statistical reports, workpapers, final reports, related incoming and outgoing correspondence and other relevant material.

~~Proposed Disposition~~

1. Final Reports

a. Official Record Copy

Permanent. Transfer to FRC when 6 years old. Offer to the National Archives when 20 years old in 5 year blocks. ~~15 years thereafter.~~

b. Other Copies

Destroy when no longer needed for reference purposes.

2. State IV-D Agency Submitted Data

Transfer to the National Reference Center when no longer needed for PSB reference purposes. As a result, Reference

Center will include these records in their STATE FILES.

(For further disposition instructions, see Reference Center's STATE FILES records description).

3. Other Records

Transfer to FRC when 6 years old, ~~or when no longer needed for reference purposes, whichever is later. Destroy 10 years thereafter.~~ **DESTROY WHEN 16 YEARS OLD**

8.

C. Task Force Files

Description

Documents created and accumulated by POD task force members in developing, implementing, evaluating and/or improving OCSE program structures. Files may contain copies of final reports, correspondence, clearance comments, State IV-D agency submitted data, questionnaires, drafts, contract information (if performed by a contractor) and other related material.

~~Proposed Disposition~~

1. Final Reports and/or Resulting Publications.

PERMANENT. Transfer to FRC when 5 years old. Offer to NARS when 20 years old, in 5 year blocks.

a. Official Record Copy

~~Permanent. Transfer to the National Reference Center within 6 months of issuance. As a result, Reference Center will include these records as part of their SUBJECT FILES. (For further, disposition instructions see Reference Center's SUBJECT FILES records description)~~

b. Other Copies

Destroy when no longer needed for reference purposes.

2. State IV-D Agency Submitted Data

Transfer to the National Reference Center when no longer

needed as part of Task Force Files. As a result, Reference Center will include these records in their STATE FILES. (For further disposition instructions, see Reference Center's STATE FILES records description).

3. Contract Information (if services were performed by a contractor)

Follow disposition instructions for Project Officer Contract Files, see D below.

4. Other Records

Destroy when 6 years old or when no longer needed for reference purposes, whichever is later.

9. D. Project Officer Contract Files

Description

Working copies of contracts and associated background documentation for the procurement of nonpersonal services related to the Child Support Program. Documents in the files include requests for proposal, technical evaluations, cost reports, contractor reports, progress reports, evaluations, studies of various CSE programs and other relevant material.

~~Proposed Disposition~~

1. Final Reports, Publications, and/or Studies

PERMANENT. Transfer to FRC when 5 years old. Offer to NARA when 20 years old. in 5 year blocks.

a. Official Record Copies

~~Permanent. Transfer to the National Reference Center. As a result, Reference Center will include these records in their SUBJECT FILES. (For further disposition instructions, see Reference Center's~~

SUBJECT FILES records description).

b. Other Copies

Destroy when no longer needed for reference purposes.

2. Other Records

~~Retain for 6 years after contract expiration date. Transfer to FRC and destroy 10 years thereafter.~~ DESTROY WHEN 16 YEARS OLD

NOTE: Records may be retained longer if similar or related work is performed under a succeeding contract and records are needed for reference purposes.

10.

E. Program Support Branch (PSB) Resource Files

Description

Resource files containing documents created and/or accumulated by PSB staff in performing assigned responsibilities not covered in previous record descriptions (A thru D above). Included are:

1. case review and interview guidelines that can be used as models for future OCSE studies;
2. OCSE Regional Office material received as a courtesy copy;
3. State and local IV-D submitted data;
4. PSB generated material - including final drafts and workpapers; and
5. material received from other OCSE components as a courtesy copy.

~~Proposed~~ Disposition

1. Case Review and Interview Guidelines, State and Local IV-D Submitted Data

Transfer to the National Reference Center when no longer needed as part of PSB files. As a result, Reference Center

will include these records in their STATE or SUBJECT FILES.

(For further disposition instructions, see Reference Center's STATE and SUBJECT FILES record descriptions.)

2. PSB Generated Material

Destroy when 6 years old or when no longer needed for reference purposes, whichever is later.

3. Other Records

Destroy when no longer needed for reference purposes.

11. F. Information Memoranda

Description

Official record copies of formal issuances transmitting administrative and program instructional information to States. These informational transmittals may cover any administrative or program topic and do not require state action. The official record set is maintained by the Reference Center, Program Operations Division.

~~Proposed Disposition~~

1. Official Record Copies

~~Permanent. Transfer to FRC when no longer needed for current operations. Offer to the National Archives 10 years thereafter.~~

PERMANENT. Transfer to FRC when 5 years old. Offer to NARA when 20 years old,

2. Other Copies

in 5 year blocks.

Destroy when superseded, obsolete, or no longer needed for reference purposes, whichever is earlier.

12. G. Action Transmittals

Description

Formal issuances containing OCSE instructions to the States. These transmittals require State actions on program matters.

Records are maintained in numbered series by year. They may address any program topic. The action transmittals include the subject, regulation references, program applicability with attachments, related issuances, effective date, and action required. The official record set is maintained by the Reference Center, Program Operations Division.

Proposed Disposition

1. Official Record Copies

~~Permanent. Transfer to FRC when no longer needed in current operations. Offer to the National Archives 10 years thereafter.~~

PERMANENT. Transfer to FRC when 5 years old. Offer to NARA when 20 years old, in 5 year blocks.

2. Other Copies

Destroy when superseded, obsolete, or no longer needed for reference purposes, whichever is earlier.

H. Reference Center's Publication Files

1. Office of Child Support Enforcement (OCSE) Publications

Description

OCSE publications providing coverage of program and technical information. Documents in the publication files may include drafts, proofs, OCSE component's comments and input, clearance comments, and other related background material. OCSE publications consist of the following: Abstracts of Child Support Techniques, Child Support Report (monthly newsletter), Techniques for Effective Management of Program Operations (TEMPO's), OCSE Annual Report to Congress, Child Support Statistics, Semi-annual Report, and the Information Sharing Index.

13.

~~Proposed~~ Disposition

(a)X. Official Record Copies

Permanent. Maintain record copy of each publication. Close out file at the end of 5 years. Transfer to the FRC 5 years after close-out and offer to the National Archives when 10 years old, *in 5 year blocks.*

(b)X. Other Copies

Destroy when superseded, obsolete, or no longer needed for reference purposes, whichever is later.

(c)X. Background Material

Destroy 1 year after publication is issued.

2. Child Support Program Related Publications (Generated Outside OCSE)

Description

The National Child Support Enforcement Reference Center maintains materials developed and published outside OCSE, but pertinent to the Child Support Program.

~~Proposed~~ Disposition

Destroy when superseded, obsolete, or no longer needed for reference purposes, whichever is later.

14.

I. Reference Center's State Files

Description

Resource and background material relating to State and local IV-D agency program operations. Files may include materials such as publications, reports, studies, memoranda, automated system(s) guidelines, press releases, related correspondence and other relevant material. These files provide historical documentation

of State Child Support Program activities and serve as a source of valuable reference material.

~~Proposed Disposition~~

~~Permanent. Review files annually. Transfer records no longer needed for current operations to the FRC. Offer to the National Archives 5 years thereafter.~~

Transfer to FRC when
5 years old. DESTROY
when 10 years old.

15.
J. Reference Center's Subject Files

Description

Subject files maintained by the National Child Support Enforcement Reference Center containing resource and background material on a variety of CSE program related topics. Resource files may contain materials such as publications, reference materials, studies, draft instructional material, correspondence, copies of final regulations or instructions, Regional and State submitted data and memoranda, and other related records. These files cover topics such as case monitoring and evaluation; cooperative agreements; formulas to determine obligations; child snatching; establishing paternity; case prioritization; State and local counsels; collections through courts and other CSE program related topics. These files provide the basis for establishing historical records and may serve as precedent for future CSE program operation activities.

~~Proposed Disposition~~

~~Permanent. Review files annually. Transfer records no longer needed in current operations to the FRC. Offer to the National Archives 5 years thereafter.~~

Transfer to FRC when
5 years old. DESTROY
when 10 years old.

16.

K. Management Study Files

Description

Files created from management studies conducted by the Management Analysis Branch for the purpose of providing IV-D administrators with objective evaluations of program management and operations. In general, these studies concentrate on the following areas: organizational issues, staffing and resource allocation, administrative processes and procedures, management practices, and productivity evaluation. These files are arranged by locality and include the following documents: final reports, organization floor plans, workflow charts, working papers and correspondence.

~~Proposed~~ Disposition

1. Management Studies, ~~Workflow Charts, and Organization Floor Plans~~

(a) Record Copies

~~Transfer to FRC 10 calendar years after issuance. Offer to the National Archives 10 years thereafter.~~

PERMANENT. Transfer to FRC when 10 years old. Offer to NARA when 20 years old, 17 5 year blocks.

(b) Duplicate Copies

Destroy 5 calendar years after issuance.

2. Working Papers and Correspondence

Destroy 5 years after final report is issued. Do not transfer to FRC.

L. Management Information Background Files

Description

These files consist of records accumulated by the Management

17.

Analysis Branch staff in the preparation, development and issuance of management studies and reports. Included are state plan material, copies of procedure manuals, previous studies and audits, notes from interviews and other background data. Files are maintained for reference purposes and arranged by locality.

~~Proposed~~ Disposition

Review files annually and destroy material which does not have continuing relevance.

18.

M. Training Materials Master Files

Description

Master files of materials developed for and used in various training sessions conducted the by Management Analysis Branch staff. Included are handouts, charts, graphs, transparencies, and similar materials.

~~Proposed~~ Disposition

Destroy 5 years after the material is superseded or when the training is discontinued, whichever is earlier.

N. Training Course Evaluation Files

Description

Training evaluation forms completed by course participants and summaries of data extracted therefrom. The files are used in analyzing the effectiveness of a given course, in determining its suitability for state/local IV-D employees, and in developing or revising training materials.

19.

Proposed Disposition

- (1) Destroy evaluation forms 1 year after summaries have been prepared. (2) Destroy summaries ~~after~~ ^{when} 3 years ^{old.} (3) If summaries are not prepared, destroy the evaluation forms ~~after~~ ^{when} 3 years ^{old.}