

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: NC1-292-84-04

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 07/13/2021

ACTIVE ITEMS

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

All items not listed below remain active.

SUPERSEDED AND OBSOLETE ITEMS

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

Item 10 was superseded by N1-292-95-001 item 1c

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
Audit Division

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER
Gerrie Rodriguez

5. TEL EXT
443-4783

LEAVE BLANK	
JOB NO	<u>NC1-292-84-4</u>
DATE RECEIVED	<u>9-17-84</u>
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the disposal request including amendments is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10	
<u>11-15-85</u> Date	<u>Frank A. Burke</u> Archivist of the United States

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 10 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 <u>2/2/84</u>	D. SIGNATURE OF AGENCY REPRESENTATIVE <u>George Deal</u> Dr. George Deal	E. TITLE 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 align="center">RECORDS DISPOSITION SCHEDULE</p> <p align="center">FOR</p> <p align="center">AUDIT DIVISION</p> <p>*OFFICE OF THE DIRECTOR *OFFICE OF AUDIT SUPPORT *AUDIT REGIONAL OFFICES *AREA AUDIT OFFICES</p> <p align="center"><u>Joan R. Zientz</u> Joan R. Zientz (OCSE Representative) Jan 26, 1984</p> <p>I concur in the revision to this schedule.</p> <p><u>Ronald Z. Heise</u> NARA appraiser <u>9 Jul 85</u> Date</p> <p><u>Patricia A. Draper</u> Agency representative <u>7/9/85</u> Date</p>		18 items

15-107 *copy to agency, NAF, NCF 27 Nov 84*

Item nos.

Audit Division

It is the function of the Audit Division to develop plans, schedules and standards for [State] Child Support Enforcement Audits of the State Child Support Enforcement programs as required by Section 452(a)(4) of the Social Security Act, and to conduct annual audits and other audits of State Child Support Enforcement programs as necessary. Based on the findings of these audits, the Director, OCSE makes recommendations to the Secretary on the imposition or nonimposition of the penalty provision of Section 403(h) of the Social Security Act.

1.

I. GENERAL PROGRAM ADMINISTRATIVE RECORDS

A. Administrative Files

Description

Files created by most Audit 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 audit reports specifically identified elsewhere in this schedule.

~~Proposed Disposition~~

~~Destroy 3 years after the close of the calendar year~~
Destroy when 3 years old or when action or
~~in which dated~~ project is completed, which is later.

~~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 3 years after completion.~~

2.

B. Correspondence Control Logs

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 ~~after~~ with
related correspondence.
~~the corresponding correspondence files are destroyed.~~

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~~ 3 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 Divisions.

~~Proposed Disposition~~

Duplicate Copies

when no longer needed for reference.
Destroy ~~2 years after termination or supersession.~~

5. E. Information Memoranda

Description

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

~~Proposed Disposition~~

Duplicate Copies

when no longer needed for reference.
Destroy ~~2 years after termination or supersession.~~

II. PROGRAM RECORDS

A. Audit Report Records

1. Program Compliance Audit Report Files

Description

Files created from conducting extensive annual program compliance audits of State Child Support Enforcement (CSE) programs and recommending for the purpose of penalty provisions of Section 403 (h) of the Social Security Act, whether a State has an effective CSE program meeting the requirement of Section 402 (a) (27) of the Act. Files include interim reports, States' comments, Regional Representatives' comments, final reports, and related correspondence. Audit resolution reports may also be included. Official record copies are maintained by the Office of the Director, Audit Division. Other copies are maintained by Audit Regional Branch Offices and Area Audit Offices.

~~Proposed~~ Disposition

A. Record Copies

~~Permanent. Offer to the National Archives when no longer needed for legal or reference purposes.~~

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

B. Other Copies

1) Regional Audit Offices

Retain files for the most recent audits.

Destroy earliest report files upon completion of subsequent audits.

2) Area Audit Offices

Destroy when supporting workpapers are transferred to the FRC.

7.

2. Financial Audit Report Files

Description

Files created from developing and conducting financial audits of States' and local units' claims for Federal grant reimbursement of program expenditures to determine the allowability, allocability and reasonableness of costs. Files include interim reports, States' comments, Regional Representatives' comments, final reports, and related correspondence. Audit resolution reports may also be included. Official record copies are maintained by the Office of the Director, Audit Division. Other copies are maintained by Audit Regional Branch Offices and Area Audit Offices.

~~Proposed~~ Disposition

A. Record Copies

~~Permanent. Offer to the National Archives when no longer needed for legal or reference purposes.~~

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

B. Other Copies

1) Regional Audit Offices

Retain files for the most recent audits.

Destroy earliest report files upon completion of subsequent audits.

2) Area Audit Offices

Destroy when supporting workpapers are transferred to the FRC.

8.

3. Effectiveness/Efficiency and "Special Review" Audit Report Files

Description

Files created from conducting effectiveness/efficiency audits and "special review" audits, including ADP reviews, which assess and evaluate the States' and local units' economy of operations and achievement of established program goals. Files may include interim reports, States' comments, Regional Representatives' comments, final reports, and related correspondence. The official record copies are maintained by the Office of the Director, Audit Division. Other copies are maintained by the Audit Regional Branch Offices and the Area Audit Offices.

~~Proposed~~ Disposition

A. Record Files

~~Permanent. Offer to the National Archives when no longer needed for legal or reference purpose.~~

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

B. Other Copies

1) Regional Audit Offices

Retain files for the most recent audit.

Destroy earliest report files upon completion of subsequent audits.

2) Area Audit Offices

Destroy when supporting workpapers are transferred to the FRC.

NOTE: If possible litigation is anticipated as a result of a final audit report, the Director, Audit Division, Audit Regional Branch Manager, and Area Audit Supervisor may retain audit report files until litigation is completed.

9. B. Audit Workpaper Records

Description

Files which contain supporting documentation for all program compliance, financial, effectiveness/efficiency and "special review" audits of State Child Support Enforcement (CSE) programs. These workpapers provide a record of information and evidence obtained and developed in support of the audit report findings, conclusions, and recommendations. Workpaper files are divided into basic groups: job files and recurring files.

1. Recurring Workpaper Files

Files containing information of continuing or recurring interest used in succeeding audit assignments. These files include reference material such as State Plans, Cost Allocation Plans, State agency's policies and procedures, and other related material.

2. Job Workpaper Files

Files containing supporting documentation related to a specific assignment. Included are records of interviews, schedules, documents, transactions, summaries, analyses, and related correspondence. These workpapers are categorized and separated into functional workpaper bundles for each audit assignment.

~~Proposed~~ Disposition

1. Recurring Workpaper Files

Review prior to the next audit. Destroy any obsolete or superseded material not used to support audit findings. ~~Transfer to FRC any~~ obsolete or superseded material used to support audit findings;

Transfer to FRC when 3 years old. DESTROY when 8 years old.

2. Job Workpaper Files

a. Program Compliance Audit Workpapers

Transfer to FRC three calendar years after the final audit report is completed.

~~Destroy 5 years thereafter, unless~~

~~litigation is anticipated.~~ DESTROY WHEN 8 YEARS OLD

b. Financial, Effectiveness/Efficiency, and "Special Review" Audits

Retain files for the most recent audit.

Transfer the earliest workpaper files to FRC

upon completion of subsequent audit. ~~Destroy~~

DESTROY WHEN 8 YEARS OLD

~~5 years thereafter, unless litigation is anticipated.~~

NOTE: If possible litigation is anticipated as a result of a final report:

- The Area Audit Supervisor will not transfer job files to FRC, but retain them until litigation is completed.

OR

- Area Audit Supervisor will notify FRC of the need to retain job files beyond their retention period at the time of notification of destruction.

10.

III. PENALTY EVALUATION FILES

Description

Records accumulated in the penalty evaluation process in which audit findings for states/territories are reviewed and analyzed for compliance with Federal 305 Audit regulations. As a result, final reports outlining deficiencies and recommendations are submitted to the Deputy Director, OCSE. Included are evaluation sheets, related correspondence, final reports and other relevant material.

~~Proposed Disposition~~

~~Transfer to FRC after
Retain until penalty action has been resolved. Transfer to FRC and
destroy 10 years thereafter.~~

DESTROY WHEN 10 YEARS OLD