

**REQUEST FOR RECORDS DISPOSITION AUTHORITY**  
(See Instructions on reverse)

LEAVE BLANK	
JOB NO <i>NCL-292-24-5</i>	
DATE RECEIVED <i>9-17-84</i>	
NOTIFICATION TO AGENCY <small>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disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10</small>	
<i>11-15-85</i> Date	<i>Frank A. Bunde</i> Archivist of the United States

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  
**Policy and Planning 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 15 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 <b>2/2/84</b>	D SIGNATURE OF AGENCY REPRESENTATIVE <i>George Deal</i> <b>Dr. George Deal</b>	E TITLE <b>Records Management Officer</b>
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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
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RECORDS DISPOSITION SCHEDULE  
FOR  
POLICY AND PLANNING DIVISION  
  
\*OFFICE OF THE DIRECTOR  
\*POLICY BRANCH  
\*PLANNING & EVALUATION BRANCH  
  
(see attached)

*Joan R. Zaiantz*  
Joan R. Zaiantz (OCSE Representative) Jan 26, 1984  
I concur in the revisions to this schedule.  
*Ronald B. Hester*  
NARA representative Date *9 Jul 85*  
*Patricia D. ...*  
Agency representative Date *7/9/85*

*28 items*

115-107  
Copies to Agency, NWF, NCF  
27 Nov 85 NH

### Policy and Planning Division

The Policy and Planning Division develops, reviews, and manages all matters related to the policies, regulations, legislation, planning and evaluation relevant to the CSE program; develops OCSE long-range plans and objectives, including the Major Initiatives Tracking System (MITS); manages MITS and provides liaison with SSA and HHS for MITS matters; plans, develops, coordinates and monitors research and demonstration projects; plans, develops, coordinates and conducts evaluation studies and their utilization; evaluates budgetary and programmatic impact of legislative and regulatory changes on State programs and provides liaison with SSA Office of Research and Statistics; develops forms to be used to collect data and obtain approval for them; prepares narrative analyses of statistical, financial, and trend data from OCSE data series and other sources in response to special requests; develops in coordination with CSE program components as necessary all regulations relating to Child Support Enforcement; establishes and clarifies program policy through Action Transmittals and other means and responds to inquiries on policy matters; develops, coordinates and reviews all legislative proposals related to child support enforcement; provides technical assistance on policy matters to OCSE staff and State and local governments; develops procedures for OCSE Regional Representatives' review and approval of State plans; reviews Regional Office recommendations for State plan disapproval and provides Deputy Director with options and transmittal documents; provides ongoing liaison with the Office of the General Counsel; arbitrates policy questions when the Audit Division and Regional Representatives disagree on applicable policy; provides policy input on reconsiderations and appeals of disallowances; provides support to the Office of the General Counsel in litigation affecting OCSE; and performs special projects and initiatives.

Item No. I. GENERAL PROGRAM ADMINISTRATIVE RECORDS

1.

A. Administrative Files

Description

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~~ <sup>old</sup>  
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

when  
Destroy ~~2 years after~~ termination <sup>ed</sup> or supersession <sup>ded.</sup>

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  
Destroy ~~2 years after~~ termination <sup>ed</sup> or supersession <sup>ded.</sup>

II. PROGRAM RECORDS

6. A. Policy Subject Files

Description

Policy memoranda, regulations, correspondence, interpretations (policy interpretations questions), comments, clearance material and other related documents maintained by the Division of Policy and Planning, Policy Branch. These records provide the basis for establishing historical records and serve as precedent for future program policy determinations. Files include a wide range of Child Support Program topics and are arranged by subject.

Proposed Disposition

Permanent. Transfer to the Federal Records Center (FRC) when when 5 years old.

~~no longer needed in current operations.~~ Offer to the National

Archives ~~10 calendar years thereafter.~~ when 20 years old in 5 year blocks.

7.

B. State Plans Files

Description

Record copies of approved State plans submitted by each State, territory, and possession pertaining to State administration of OCSE programs. These State plans are required as the basis for Federal Financial Participation. They are submitted in prescribed format and provide a comprehensive document describing the value and scope of a particular State's program. The elements included in the plan are organizational information, formula for support determination cooperative agreements, State statutes and regulations and other related documentation. As portions of the plans are changed, the superseded materials are withdrawn and filed as obsolete material in the same order as filed in the State plan. These materials may be required as evidence in litigation cases of Federal/State agreements on services to be provided by the States. State plans are submitted to OCSE via a Transmittal Notice, OCSE-21, or its equivalent, which contains the necessary signatures, approvals, and effective dates. Obsolete or superseded Transmittal Notices are retained with current plan material and serve as a historical record of transmitted State Plan material received and as a reference for office use.

~~Proposed~~ Disposition

1. State Plan Material

~~Permanent.~~ Transfer to FRC 10 ~~calendar~~ years after termination or supersession of the agreement. ~~Offer to National Archives 15 years thereafter, when 20 years old in 5 year blocks.~~

**DESTROY WHEN 20 YEARS OLD**

2. Duplicate or Loan Sets of State Plans

Destroy duplicate plan material 2 ~~calendar~~ years after termination or supersession <sup>or sooner if no longer needed for</sup> reference.

3. Transmittal Notice Form (OCSE-21)

After obsolete or superseded, file with current State plan material.

4. State Plan Manual Log Sheets

~~Transfer to the FRC when 10 calendar years old. Destroy when 20 calendar years old.~~ Destroy when no longer needed for reference.

8.

C. Legislative Proposal Files

Description

Files of proposals for changes in legislation affecting OCSE programs. Documents in these files consist of legislative proposals, draft legislative language, supporting statements, clearance comments, cost estimates, and other information. If proposal is accepted as possible legislation, it is then issued as a bill for Congress and related material transferred to the Bill Files.

~~Proposed~~ Disposition

1. Accepted Proposals

Transfer accepted legislative proposal and all its related material to the Bill Files.

2. Defeated Proposals

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

9.

D. Bill Files

Description

A history file for each piece of legislation related to OCSE programs. These files contain copies of the bills, legislative summaries, analyses, committee reports, and related background documents. Also included are copies of the transcripts and printed reports of hearings before congressional committees, and any material prepared for use by OCSE and HHS officials in testifying before congressional committees on a given piece of legislation. If proposed legislation is passed, all its related material is transferred to the Public Law Files.

~~Proposed~~ Disposition

1. Enacted Legislation

When enacted, legislation is transferred to the Public Law Files.

2. Defeated Legislation

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

10.

E. Public Law Files

Description

Published copies of all public laws relating to OCSE. These files date from 1975 and relate to all OCSE subjects. They contain copies of bills, legislative summaries, analyses, committee reports, transcripts, printed reports of hearings before congressional committees, and



material used by OCSE and HHS officials in testifying before congressional committees.

~~Proposed Disposition~~

~~Permanent. Offer to the National Archives when no longer needed for reference.~~ Destroy when no longer <sup>needed</sup> for reference.

11.

F. Litigation Files

Description

These files document court cases which involve OCSE programs and for which the Secretary of HHS is sued. Cases are filed by Federal Court or by State courts. Documents in these files consist of published copies of court decisions, briefs, memoranda, precedent material, transcripts, and related documents. Official record copies are maintained by OGC and HHS. These files are used for reference purposes in developing regulations and in any subsequent litigation that may have impact on the Child Support Program.

~~Proposed Disposition~~

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

12.

G. Program Regulation Files

Description

OCSE program regulations that have been proposed and published in the CFR since the beginning of the program. The files contain pending and completed draft proposals, concurrences from OCSE components, OGC concurrences, policy memorandums, public comments, Federal Register publications and other related

correspondence and material. These files serve historical and reference purposes.

~~Proposed~~ Disposition

~~Permanent. Transfer to the ERC when no longer needed in current operations. Offer to the National Archives 10 calendar years thereafter.~~ Destroy when no longer needed for reference.

13. H. Legislative Tracking Report Files

Description

Files containing congressional bills tracking reports used to monitor the progress of Child Support-related bills through Congress and for other management information purposes. Reports provide summary data on Child Support-related bills such as bill number, sponsor, co-sponsor, subject matter, and other descriptive information.

~~Proposed~~ Disposition

~~1. Record Copies~~

~~Permanent. Close out files when a new Congress is seated. Offer to the National Archives when no longer needed for reference purposes.~~ Destroy when no longer needed for reference.

~~2. Other Copies~~

Destroy when no longer needed for reference purposes.

14. I. Planning and Evaluation Statistical Reports and Analyses

Description

Statistical analyses and reports prepared by the Planning and Evaluation Branch for the purpose of evaluating and monitoring State

IV-D programs; included are the annual reports to the U.S. Congress and the semi-annual Child Support Statistical Reports. In addition, statistical data and analyses are prepared at various times throughout the year for use by OCSE Executive Staff and Public Inquiries in presentations, public statements, and budget justifications. The States' quarterly submission of the OCSE-3, or its equivalent, serves as the primary source of data for these statistical analyses and reports, providing information on caseloads, types and success of actions (i.e., paternities established, absent parent locations made and support obligations established), support collections made, interstate activity and AFDC burden reductions. Record copies of the OCSE-3, or its equivalent, are arranged by fiscal year and quarter, and a duplicate set arranged by State.

Proposed Disposition

1. Inputs to the OCSE Annual Report to Congress

Destroy final drafts after publication in OCSE Annual Report and when no longer needed for administrative purposes.

2. Child Support Enforcement Statistics - Semiannual Report

a. Record Copies

Permanent. ~~Offer copy of current report annually to the National Archives.~~ Transfer 1 copy of each report to Reference Center, POD, for inclusion in publication files being retained for archival retention.

b. Duplicate Copies

Destroy when no longer needed for reference purposes.

3. Special Statistical Analyses and Reports Prepared for OCSE  
Executive Staff and Public Inquiries

~~a. Record Copies~~

~~Permanent. Transfer to FRC when 5 years old. Offer to the  
Archives when 10 years old.~~

~~b. Other Copies~~

Destroy when no longer needed for administrative purposes.

4. OCSE-3 (or its equivalent)

a. Record Copies

Transfer OCSE-3s to FRC 5 fiscal years after State's submittal  
to the Planning and Evaluation Branch. **DESTROY WHEN 10 YEARS OLD**

b. Other Copies

Destroy when no longer needed for administrative purposes.

15.

J. Policy Interpretation Question (PIQ) System Files

Description

The Policy Interpretation Question (PIQ) System files establishes a comprehensive set of interpretations issued since the beginning of the program and new interpretations as they are issued.

The purpose of this system is to facilitate consistent application of policy within OCSE and provide current and relevant material to be used in conjunction with statutes and regulations in researching Child Support program policy. Files include PIQ requests and replies, related background material, a general index and tables of contents and are arranged in chronological order. The official record set is maintained by the Policy

Branch, PPD, and includes all current and obsolete or superseded PIQ material.

~~Proposed Disposition~~

1. Record Copies

~~Permanent.~~ **PERMANENT** Transfer to FRC 10 years after PIQ becomes obsolete or superseded. Offer to National Archives ~~10 years thereafter.~~ when 20 years old in 5 year blocks.

2. Duplicate Sets

Destroy ~~2 years~~ after material is obsolete or superseded.

16. K. Research and Demonstration Project Files

Description

Files documenting the projects which are Federal Demonstration Grants to States and others who apply to conduct study programs. The records are filed by project (by State or grantee). The files contain applications and correspondence, notation of approval or disapproval, comments of OCSE, copies of decision memoranda to establish programs, progress reports, and final project reports. Also included in the files are records of disapproved demonstration projects. Official files are held by SSA, Grants Management Office. Record copies are maintained by PPD, Planning and Evaluation Branch.

~~Proposed Disposition~~

1. Approved Projects

~~a. Final Report~~

~~Permanent. Transfer 1 copy of final report to the Reference Center, POD, when officially accepted by OCSE. Reference~~

~~Center will offer to National Archives within 6 months of its receipt. destroy when no longer needed for reference.~~

~~b. Other Documents~~

Destroy 7 years after receipt of final report or when no longer needed, whichever is sooner.

2. Disapproved Projects

Destroy when 3 years old.