

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

LEAVE BLANK	
JOB NO <i>NC 1-292-24-6</i>	
DATE RECEIVED <i>9-17-84</i>	
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disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10.	
<i>11-18-85</i> Date	<i>Frank B. Bunker</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
Office of The Director

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 <i>4/3/84</i>	D. SIGNATURE OF AGENCY REPRESENTATIVE <i>George Deal</i> 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>RECORDS DISPOSITION SCHEDULE FOR OFFICE OF THE DIRECTOR</p> <p><i>Joan R. Zientz</i> <i>3/12/84</i> JOAN R. ZAIENTZ (OCSE REPRESENTATIVE) March 12, 1984</p> <p>I concur in the revision to this schedule.</p> <p><i>Ronald J. Keine</i> <i>9 July 85</i> NARA appraiser Date</p> <p><i>Patricia A. Dring</i> <i>7/9/85</i> Agency representative Date</p>		<i>34 items</i>

115-107
Copies for Agency, NARS, NNI, NNF, NCF
27 Nov 85 KJ

Item Nos.

I. GENERAL PROGRAM ADMINISTRATIVE RECORDS

A. Administrative Files

Description

Files created by most Office of the Director units (Office of the Deputy Director, Public Information and Inquiries, Planning and Coordination Staff and Special Collections Unit) in the performance of their assigned functions:

1. official file copies of outgoing correspondence relating to office functions (NOTE: Excluded are Deputy Director's official correspondence files - See retention schedules for Deputy Director's Administrative Records);
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 document program management activities.

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

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

~~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.~~

2.

B. Correspondence Control Logs

(NOTE: Excluded are Deputy Director's Correspondence Control Logs- See retention schedules for Deputy Director's Administrative Records)

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

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

5. II. DEPUTY DIRECTOR'S ADMINISTRATIVE RECORDS

A. Minutes of Executive Staff Meetings

Description

Minutes of meetings of the executive staff of OCSE.

Proposed Disposition

Permanent. Transfer to the FRC 5 years after the close of the calendar year in which dated. Offer to the National Archives 10 years thereafter.

WITHDRAWN

6. B. Correspondence Control Logs

Description

Logs reflecting the assignment and disposition of incoming controlled correspondence.

~~Proposed~~ Disposition

Close out logs at the end of the calendar year and destroy 5 years thereafter.

7. C. Official Correspondence Files

Description

Official file copies of correspondence originating from the Office of the Director and associated background material (copies

of incoming material, comments drafts, etc.). Also included are documents submitted for the Director's (Commissioner of Social Security) and/or Secretary of HHS review and/or approval together with notes or comments to the file made by the OCSE Director/HHS Secretary.

NOTE: Routine administrative records will be disposed of in accordance with the General Records Schedules before transfer to FRC.

~~Proposed Disposition~~

~~PERMANENT~~

~~Permanent.~~ Transfer to the Federal Records Center (FRC) 5 years after the close of the calendar in which dated. Offer to the National Archives ^{when} ~~20 years thereafter~~ old in 5 year blocks.

III. PUBLIC INQUIRY RECORDS

8. A. Correspondence Files

Description

Files contain correspondence relating to the Child Support program, for which replies have been prepared. These records are not required for any child support claims or any legal purposes. Included are Congressional inquiries and replies thereto, and public inquiries and replies thereto.

Proposed Disposition

1. Congressional Inquiries

~~Destroy after 3 years.~~ DESTROY WHEN 3 YEARS OLD

2. Public Inquiries

~~Destroy after 3 years.~~ DESTROY WHEN 3 YEARS OLD

9. B. Tracking System Files

Description

Records created and accumulated in monitoring the incoming and outgoing of public and congressional inquiries. Files

contain various tracking system reports and other related material.

~~Proposed Disposition~~

Destroy when no longer needed for correspondence tracking purposes.

IV. PUBLIC INFORMATION RECORDS

10.

A. Press Releases

Description

Files contain articles and similar materials appearing in the press which relate to the Child Support program.

~~Proposed Disposition~~

1. OCSE Press Releases (Prepared by Public Information Staff)
 - a. Permanent. Transfer 1 copy to the FRC at the close of the calendar year in which prepared. Offer to the National Archives/ ~~5 years thereafter~~ when 20 years old in 5 year blocks.
 - b. Destroy all other copies ~~after 5 years or~~ when no longer needed for reference purposes, ~~whichever is earlier.~~

2. Other Press Releases

Destroy when 5 years old.

11.

B. Public Information Files

Description

Files contain copies of OCSE public information publications together with related background material.

~~Proposed Disposition~~

1. Permanent. Offer 1 copy of each publication to the National
2. ~~Destroy background material when 2 years old.~~ Archives in 5 year increments.

12.

C. Audio-Visual Materials

Description

Television film prints (spot announcements), radio records and tapes, displays, motion pictures, slides, and other public information audio-visual materials. These materials may be distributed to OCSE field components for local use.

Proposed Disposition

Destroy when use is discontinued or when obsolete.

~~WITHDRAWN~~
Use
GRS 21/20-23

13.

D. Audio-Visual Project Files

Description

Files relating to various public information projects undertaken by the Audio-Visual Staff. Included are copies of scripts, correspondence and similar papers.

Proposed Disposition

Destroy 5 years after the close of the calendar year in which project is completed.

~~WITHDRAWN~~
Use
GRS 21/62

V. PLANNING AND COORDINATION STAFF RECORDS

14.

A. Operational Objectives and Plans Case Files

Description

Files containing statements of operational objectives for a given fiscal year, detailed plans describing how these objectives will be achieved, and periodic reports on the progress which has been made toward achieving the objectives. The plans specify the milestones and completion date, the resources required, and the lead component for each objective.

Proposed Disposition

Permanent. Place in an inactive file at the close of the fiscal

~~WITHDRAWN~~

~~year covered by the plan. Cut off inactive file after 5 years and transfer to a FRC. Offer to the National Archives 20 years thereafter.~~

15.

B. Special Study and Project Files

Description

Files created from one-time studies or projects conducted by the Planning and Coordination Staff. Included in the files are related correspondence, final reports, workpapers and other relevant material.

Proposed Disposition

WITHDRAWN

1. Final Reports, Studies, and/or Publications

a. Official Record Copies

Permanent. Transfer to FRC when 6 years old or when no longer needed for reference purposes, whichever is later. Offer to the National Archives when 10 years old.

b. Other Copies

Destroy when 6 years old or when no longer needed for reference purposes.

2. Other Records

Destroy when 6 years old or when no longer needed for reference purposes.

VI. SPECIAL COLLECTIONS UNIT RECORDS

16.

A. IRS Tax Offset System--Textual Records

1. Test Tape Rejection Reports

Description

State agencies are accorded an opportunity to test the accuracy of the case records and to correct errors prior to the certified submission to IRS. Reports are produced in two parts as a result of these test tape processings. Part I will contain systems errors, e.g., invalid SSN, name, State Code and arrearage. Part II will show records not matched on SSN and/or name on the IRS taxpayer master file. The report provides a listing of individual case errors. OCSE submits these reports to respective State IV-D agencies in hard copy format.

~~Proposed Disposition~~

Destroy after 2 years or when no longer needed for reference purposes, whichever is sooner.

17.

2. Transmittal Certification Files

Description

All requests for Federal Tax Refund Offsets must be accompanied by a certification from the State IV-D Director attesting that: (1) the case submissions meet requirements to be eligible for the IRS Tax Refund Program and (2) requests are in the prescribed format and contain all the information required by

the Internal Revenue Service and OCSE, and (3) the information is true and correct.

Proposed Disposition

~~Retain for five years. Transfer to FRC and destroy 5 years thereafter.~~

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

18.

3. Edit/Validation Report Files

Description

State submissions will be processed through an Edit/Validation Program prior to entry on the Master Case File. The Edit/Validation Reports present statistics indicating types and percentage of errors for each State certified tape. OCSE uses these reports to analyze the statistics and make final decisions as to what corrective actions, if any, will be taken prior to their IRS submission. OCSE provides State IV-D agencies with a copy of their report.

Proposed Disposition

~~Retain for three years. Transfer to FRC and destroy 4 years thereafter.~~

Transfer to FRC when 3 years old. DESTROY when 7 years old.

19.

4. Pre-Offset Notice Files

Description

OCSE or the State IV-D Agency must send a written advance notice to individuals before referring their name to IRS. Files contain:

1. State Pre-Offset Notice Samples

States electing to use their resources must send a sample copy of the notice to OCSE for reference

purposes.

2. OCSE Pre-Offset Notices (Onion Skin Copies)

Record copies of pre-offset notices sent to absent parents are maintained for each tax year cycle.

~~Proposed~~ Disposition

1. State Pre-Offset Notice Samples

Destroy after five years or when no longer needed for reference purposes, whichever is later.

2. OCSE Pre-Offset Notices

Destroy when no longer needed for reference purposes.

5. Certification Report Files

Description

Files contain reports produced as a result of the IRS Certification run. These reports provide detailed listings of all cases certified to IRS for each respective State.

~~Proposed~~ Disposition

1. Printouts (For Tax Year 1982 only)

Destroy when 5 years old.

2. Microfiche

~~Retain for 5 years. Transfer to FRC and destroy, 5 years thereafter.~~

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

6. Modification/Delete Report Files

Description

Reports which provide individual error messages of unsuccessful update attempts and an audit trail of

20.

21.

successful modifications and/or deletions. OCSE submits this report to State IV-D agencies in hard copy or tape formats.

~~Proposed Disposition~~

~~Destroy after 5 years.~~ DESTROY WHEN 5 YEARS OLD

22, 7. Unaccountable Report (No Match) Files

Description

The purpose of this report is to provide IV-D agencies with a list of cases not matching the IRS master files. IRS provides this report to OCSE and State IV-D agencies in hard copy or tape formats.

~~Proposed Disposition~~

~~Destroy after 2 years.~~ DESTROY WHEN 2 YEARS OLD

23, 8. IRS Collection Report Files

Description

Reports which provide OCSE with a listing of all offset cases with dollar amounts collected.

~~Proposed Disposition~~

~~Retain for five years. Transfer to FRC and destroy 5 years later.~~

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

24, 9. IRS Adjustment Report Files

Description

Reports which provide OCSE with listings of all adjustments made by IRS Service Centers.

~~Proposed Disposition~~

Retain for five years. Transfer to FRC and destroy 5 years later.

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

25,

10. OCSE Monthly Collections Report

Description

Reports which provide collection and adjustment data. These reports will be sent to IV-D agencies on a monthly basis and used to reconcile and distribute monies received from SSA.

~~Proposed Disposition~~

Destroy ~~after~~ ^{when} 2 years ^{old} or when no longer needed for reference purposes, whichever is later.

11. Spousal Claim Files

Description

When an offset for delinquent support is made against a joint tax refund, the non-obligated spouse may file a request with IRS for an allocation of a joint return to be refunded. Records accumulated as a result of assisting IRS to process these claims include: IRS Verification Reports, correspondence, worksheets and other related documents.

~~Proposed Disposition~~

~~Retain for 4 years and transfer to FRC. Destroy 4 years thereafter.~~ **Transfer to FRC when 4 years old. DESTROY when 8 years old.**

12. Tax Offset Invoice Master Files

Description

Records created and accumulated in processing fees charged to States by IRS for each offset case made during the collection year. Files contain official record copies of State invoices, copies of SSA

26,

27,

generated Schedules of Collections (Form IRS-224 or its equivalent) and other related material.

Proposed Disposition

~~Retain for 5 years and then destroy.~~ DESTROY WHEN 5 YEARS OLD

28. 13. State Invoice Summary Files

Description

Records maintained on fees charged to States by IRS for each offset case made during the collection year. These fees are billed to each State by OCSE. Files include printouts containing information such as: state codes, invoice numbers, invoice amounts and other related data.

Proposed Disposition

Retain until five years old. Transfer to FRC and destroy 10 years thereafter.

Transfer to FRC when
5 years old. DESTROY
when 15 years old.

29. 14. Tax Offset Correspondence Files

Description

Files contain correspondence pertaining to IRS Tax Offset problem cases.

Proposed Disposition

Retain for five years. Transfer to FRC and destroy 15 years thereafter.

Transfer to FRC when
5 years old. DESTROY
when 20 years old.

30. 15. Special Study and Project Files

Description

Files created from one-time studies or projects conducted by the Special Collections Unit. Included in the files are related correspondence, final reports, workpapers and other

relevant material.

~~Proposed Disposition~~

1. Final Reports, ^{and} Studies, and/or Publications

a. Official Record Copies

Permanent. Transfer to FRC when 6 years old, ~~or when no longer needed for reference purposes, whichever is~~

~~later.~~ Offer to the National Archives when 20 years old, ¹⁷
5 year blocks,

b. Other Copies

Destroy when ~~6 years old or when~~ no longer needed for reference purposes.

2. Other Records

Destroy when 6 years old or when no longer needed for reference purposes.

31, B. IRS Collection (Full Service Records)

1. IRS Monthly Activity Report Files

Description

Monthly activity reports are received from each OCSE Regional Office participating in the Full Service Offset Program. Files include correspondence providing the number of IRS collection applications processed and related reports providing relevant data for each IRS collection application processed.

Disposition

Retain for 5 years. Transfer to FRC and destroy 10 years thereafter.

Transfer to FRC when 5 years old. DESTROY ~~when~~ 15 years old.

32, 2. Full Service Collection Report Files

Description

Collection reports received from SSA, Division of

Finance on a monthly basis. They contain accounting activity for each state participating in the OCSE Full Service Offset Program. Files include SSA collection reports, copies of Internal Revenue Service Activity reports, related correspondence and other relevant material. Official record copies are maintained by SSA, Division of Finance.

~~Proposed Disposition~~

~~Retain for 5 years and then destroy.~~

DESTROY WHEN 5 YEARS OLD