

Request for Records Disposition Authority

Records Schedule Number DAA-0292-2019-0009

Schedule Status Approved

Agency or Establishment Administration for Children and Families

Record Group / Scheduling Group Records of the Administration for Children and Families

Records Schedule applies to Major Subdivision

Major Subdivision Office of Refugee Resettlement

Schedule Subject Records of the Office of Refugee Resettlement Unaccompanied Alien Children Program and Refugee Program

Internal agency concurrences will be provided No

Background Information The Office of Refugee Resettlement (ORR) provides benefits and services to assist the resettlement and local integration of specific eligible populations. The ORR Unaccompanied Alien Children Program provides temporary custody and care to unaccompanied alien children, as defined in the Homeland Security Act, 6 U.S.C. 279(g)(2). The Division of Refugee Programs provides benefits and services to assist the resettlement and local integration of specific eligible populations, including Refugees, Asylees, Cuban/Haitian Entrants, Victims of Trafficking with a Certification or Eligibility Letter from the U.S. Department of Health and Human Services (HHS), Lawful Permanent Residents (LPRs) who have held one of these statuses in the past, Iraqi and Afghan Special Immigrants, and Amerasians.

This records schedule was created in order to increase the retention period and/or change the final disposition for many of the series listed that were previously scheduled in 2016. Due to the recent immigration crisis, it became necessary to review and update the disposition instructions for these records since the last schedule was approved in 2016 (DAA-0292-2016-0012). These updates will ensure that the records are either kept permanently or retained for the appropriate amount of time in order to provide access for researchers and protect the legal rights of citizens.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
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9	5	4	0
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GAO Approval

Outline of Records Schedule Items for DAA-0292-2019-0009

Sequence Number	
1	Unaccompanied Alien Children Program
1.1	Unaccompanied Alien Children Case Management Database Disposition Authority Number: DAA-0292-2019-0009-0001
1.2	Unaccompanied Alien Children Case Files Disposition Authority Number: DAA-0292-2019-0009-0002
1.3	Unaccompanied Alien Children Program Policy Precedent Files Disposition Authority Number: DAA-0292-2019-0009-0003
1.4	Unaccompanied Alien Children Program Monitoring Protocol and Reports Disposition Authority Number: DAA-0292-2019-0009-0004
1.5	Decision Memos Disposition Authority Number: DAA-0292-2019-0009-0005
2	Division of Refugee Programs
2.1	Refugee Arrivals Database System (RADS) formerly known as (iRADS) Disposition Authority Number: DAA-0292-2019-0009-0006
2.2	ORR Monitoring Reports for Refugee Programs Disposition Authority Number: DAA-0292-2019-0009-0007
2.3	Division of Refugee Programs Policy Precedent Files Disposition Authority Number: DAA-0292-2019-0009-0008
3	Reports to Congress Disposition Authority Number: DAA-0292-2019-0009-0009

Records Schedule Items

Sequence Number	
1	<p>Unaccompanied Alien Children Program The ORR Unaccompanied Alien Children program provides temporary custody and care to unaccompanied alien children who do not have an immigration status.</p>
1.1	<p>Unaccompanied Alien Children Case Management Database Disposition Authority Number DAA-0292-2019-0009-0001</p> <p>A case management database containing data and records for unaccompanied alien children (UAC). The information stored in the database includes, but are not limited to, data and records relating to UAC demographic and historical information; placement and transfer; assessments; case management and clinical services; medical services; educational services; legal services; home study and post release services; sponsor and/or family member demographics and assessments; release and discharge records; incident reports; and program capacity.</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes</p> <p>Do any of the records covered by this item exist as structured electronic data? Yes</p> <p>GRS or Superseded Authority Citation DAA-0292-2016-0012-0022</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cut off the end of the fiscal year UAC is released from ORR/UAC Program custody.</p> <p>Retention Period Destroy no sooner than 50 year(s) after cutoff but longer retention is authorized</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>
1.2	<p>Unaccompanied Alien Children Case Files Disposition Authority Number DAA-0292-2019-0009-0002</p>

Case files for unaccompanied alien children (UAC) maintained by ORR care provider grantees, who are local and nationwide nonprofits and for-profit organizations. Case files include, but are not limited to, the records relating to placement and transfer, release/discharge, case management, immigration/legal, educational, contact/visitation logs, substance abuse treatment, juvenile delinquency/criminal, medical, psychological/psychiatric, clinical-assessments, serious incident reports, home study reports, and post-release services.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

GRS or Superseded Authority Citation DAA-0292-2016-0012-0023

Disposition Instruction

Cutoff Instruction Cut off at the end of the fiscal year UAC is released from ORR/UAC Program custody.

Retention Period Destroy no sooner than 50 year(s) after cutoff but longer retention is authorized

Additional Information

GAO Approval Not Required

Unaccompanied Alien Children Program Policy Precedent Files

Disposition Authority Number DAA-0292-2019-0009-0003

Office of Refugee Resettlement (ORR) Unaccompanied Alien Children Program policies, procedures, guidance, information collections, and similar records accumulated by the ORR headquarters components responsible for program policy development. These records operationalize the program's statutory and regulatory obligations; dictate the responsibilities of grantee, contractor, and Federal staff; and serve as precedent for future program actions. Included under this item are the program's policy guide, procedures manual, guidance documents issued separately from the policy guide or procedures manual, forms, checklists, frequently asked question documents, and any memorandums related to these records that may serve as an administrative record. Also included under this item are the Future Assessment Swift Track Placement (FAST) tool and Know Your Rights (KYR) Videos. The FAST is a scoring document for Unaccompanied

1.3

Alien Children referred with criminal charges or behavioral issues; this tool was superseded by a similar scoring mechanism in November 2018. KYR Videos are child-friendly video presentations that explain the immigration court process and unaccompanied children's rights under federal law and regulations, including information about special immigration juvenile status and other forms of legal relief. KYR Videos are still in use and are updated as federal laws and regulations change.

Final Disposition Permanent

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

GRS or Superseded Authority Citation
DAA-0292-2016-0012-0006
DAA-0292-2016-0012-0007
DAA-0292-2016-0012-0018

Disposition Instruction

Cutoff Instruction Cut off at the end of the fiscal year guidance is superseded and/or rescinded.

Transfer to the National Archives for Accessioning Transfer to the National Archives 15 year(s) after Cutoff

Additional Information

First year of records accumulation 1980

What will be the date span of the initial transfer of records to the National Archives? From 1980 To 2004

How frequently will your agency transfer these records to the National Archives? Every 1 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	20 GB	20 GB
Paper	18 Cubic feet	2 Cubic feet
Microform		

	Hardcopy or Analog Special Media		
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1.4

Unaccompanied Alien Children Program Monitoring Protocol and Reports

Disposition Authority Number **DAA-0292-2019-0009-0004**

Any tools used to monitor the compliance of Unaccompanied Alien Children Program grantees and contractors with applicable legal statutes, rules and regulations, policy, procedures, guidance, and instructions. The reports that result from monitoring activities include evaluations of programmatic compliance; internal protocols, guiding documents, and checklists; and strengths and weaknesses. The reports may also contain corrective actions.

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **No**

GRS or Superseded Authority Citation **DAA-0292-2016-0012-0016**

Disposition Instruction

Cutoff Instruction **Cut off at the end of the calendar year.**

Retention Period **Destroy 15 year(s) after Cutoff**

Additional Information

GAO Approval **Not Required**

1.5

Decision Memos

Disposition Authority Number **DAA-0292-2019-0009-0005**

Memoranda that include detailed information required to make a decision on an issue that needs to be elevated to the level of Director, Deputy Director, Acting Assistant Secretary, or any other higher level of authority within the Administration for Children and Families.

Final Disposition **Permanent**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in **No**

electronic format(s) other than e-mail and word processing?

GRS or Superseded Authority Citation **DAA-0292-2016-0012-0019**

Disposition Instruction

Cutoff Instruction **Cut off the end of the calendar year.**

Transfer to the National Archives for Accessioning **Transfer to the National Archives 15 year(s) after Cutoff**

Additional Information

First year of records accumulation **1991**

What will be the date span of the initial transfer of records to the National Archives? **From 1991 To 2004**

How frequently will your agency transfer these records to the National Archives? **Every 1 Years**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	100 MB	100 MB
Paper	5 Cubic feet	5 Cubic feet
Microform		
Hardcopy or Analog Special Media		

2

Division of Refugee Programs

The Division of Refugee Programs provides benefits and services to assist the resettlement and local integration of specific eligible populations, including refugees; asylees; Cuban/Haitian Entrants; Iraqi or Afghan Special Immigrants; Amerasians; Lawful Permanent Residents (LPRs) who have held one of those statuses in the past, and in most cases, spouses and unmarried children under 21 of those holding such statuses.

2.1

Refugee Arrivals Database System (RADS) formerly known as (iRADS)

Disposition Authority Number **DAA-0292-2019-0009-0006**

The Internet Refugee Arrivals Database System (RADS) is used for collecting and compiling statistics and reports on the refugee resettlement program. ORR receives an automated record on each refugee, Special Immigrant Visa holder,

Asylee, Cuban/Haitian Entrant, and victim of trafficking entering the United States and uses these records to determine those served by ORR programs. RADS files also include applications for placement into the Unaccompanied Refugee Minors (URM) program, documentation of eligibility determinations and placement decisions for children entering the URM program plus supporting documentation, correspondence with or information from public and private agencies, information on client needs, reports of client placement, changes and progress during URM program participation, and updates regarding progress during a period following termination. These records are captured in the following: Discrete Arrived reports; Discrete Served reports; URM Applications submitted through RADS; URM Applications approved through RADS; URM case records; ORR-3 reports; ORR-4 reports; and all attachments to any URM case record.

Final Disposition Permanent

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

GRS or Superseded Authority Citation
DAA-0292-2016-0012-0003
DAA-0292-2016-0012-0004
DAA-0292-2016-0012-0005
DAA-0292-2016-0012-0014

Disposition Instruction

Cutoff Instruction Cutoff at the end of the calendar year

Transfer to the National Archives for Accessioning Transfer to the National Archives 15 year(s) after cut off

Additional Information

First year of records accumulation 1990

What will be the date span of the initial transfer of records to the National Archives? From 1990 To 2004

How frequently will your agency transfer these records to the National Archives? Every 1 Years

	Estimated Current Volume	Annual Accumulation
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Electronic/Digital	30 GB	2 GB
Paper		
Microform		
Hardcopy or Analog Special Media		

2.2

ORR Monitoring Reports for Refugee Programs

Disposition Authority Number **DAA-0292-2019-0009-0007**

Any tools used to monitor compliance of Office of Refugee Resettlement (ORR) programs with applicable legal statutes, rules and regulations, policy, procedures, guidance, and instructions. The reports may be used to recommend corrective action, evaluate programmatic compliance, protocols, guiding documents, checklists, strengths and weaknesses, etc.

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **No**

GRS or Superseded Authority Citation **DAA-0292-2016-0012-0002**

Disposition Instruction

Cutoff Instruction **Cut off at the end of the fiscal year in which the grant period expires**

Retention Period **Destroy 3 year(s) after cut off**

Additional Information

GAO Approval **Not Required**

2.3

Division of Refugee Programs Policy Precedent Files

Disposition Authority Number **DAA-0292-2019-0009-0008**

Office of Refugee Resettlement (ORR) state letters, Policy memorandum, interpretations (answers to policy questions), clarifications, policy letters, Dear Colleague letters, information memos, and similar records accumulated by ORR

headquarters components responsible for program policy development. The records serve as precedent for future program actions.

Final Disposition Permanent

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

GRS or Superseded Authority Citation DAA-0292-2016-0012-0007

Disposition Instruction

If this item has multiple sections, indicate here records to which this section apply Non-electronic Textual Records

Cutoff Instruction Cutoff files at the close of each calendar year.

Transfer to the National Archives for Accessioning Transfer to the National Archives 15 year(s) after cutoff

Additional Information

First year of records accumulation 1980

What will be the date span of the initial transfer of records to the National Archives? From 1980 To 1989

How frequently will your agency transfer these records to the National Archives? Unknown
Paper records are eligible for direct transfer to the National Archives upon approval of this schedule.

	Estimated Current Volume	Annual Accumulation
Electronic/Digital		
Paper	15 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

Disposition Instruction

If this item has multiple sections, indicate here records to which this section apply

Electronic Records

Cutoff Instruction

Cutoff files at the close of each calendar year.

Transfer to the National Archives for Accessioning

Transfer to the National Archives 15 year(s) after cutoff

Additional Information

First year of records accumulation 1990

End year of records accumulation 2005

What will be the date span of the initial transfer of records to the National Archives?

From 1990 To 2005

How frequently will your agency transfer these records to the National Archives?

Unknown

Transfer eligible electronic records directly to the National Archives upon approval of this schedule. All other records will be transferred every year.

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	120 GB	
Paper		
Microform		
Hardcopy or Analog Special Media		

Reports to Congress

Disposition Authority Number **DAA-0292-2019-0009-0009**

ORR provides an Annual Report to Congress for each fiscal year to the Committees on the Judiciary of the House of Representatives and of the Senate in compliance with the Refugee Act of 1980 (Pub. L. 96-212, 8 U.S.C. 1523). The report is also published on the ORR website. The report includes statistics and information about refugee resettlement services and programs that assist refugees and other ORR-served populations on the path to becoming fully integrated members of their communities. The report features data and summarizes monitoring activities to evaluate how refugees have gained economic

self-sufficiency, English language proficiency, and integration into communities during their early years of resettlement; a summary of the location and status of unaccompanied alien refugee children admitted to the United States; and other ORR activities, expenditures, and policies over the reporting period. ORR also provides reports to Congress as requested ad hoc. Ad hoc reports are most often requested for the Unaccompanied Alien Children's Program and cover a variety of topics related to program operations.

Final Disposition Permanent

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

GRS or Superseded Authority Citation DAA-0292-2016-0012-0008
DAA-0292-2016-0012-0013

Disposition Instruction

Cutoff Instruction Cut off one year after the report is issued.

Transfer to the National Archives for Accessioning Transfer to the National Archives 15 year(s) after Cutoff

Additional Information

First year of records accumulation 1980

What will be the date span of the initial transfer of records to the National Archives? From 1980 To 2004

How frequently will your agency transfer these records to the National Archives? Every 1 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	50 GB	50 GB
Paper	3 Cubic feet	3 Cubic feet
Microform		
Hardcopy or Analog Special Media		

Agency Certification

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

Signatory Information

Date	Action	By	Title	Organization
10/03/2019	Certify	Nancy Eickelmann	IT Specialist	Office of Administration - Office of the Chief information Officer
07/27/2020	Return for Revision	Carla Simms	Archives Specialist	National Archives and Records Administration - Records Management Operations
08/19/2020	Return for Revision	Carla Simms	Archives Specialist	National Archives and Records Administration - Records Management Operations
08/19/2020	Return for Revision	Carla Simms	Archives Specialist	National Archives and Records Administration - Records Management Operations
09/09/2020	Submit For Certification	Audrey Story	Director, Portfolio Management, and Governance	OCIO - ACF
09/09/2020	Certify	Audrey Story	Director, Portfolio Management, and Governance	OCIO - ACF
09/17/2021	Submit for Concurrence	Carla Simms	Archives Specialist	National Archives and Records Administration - Records Management Operations
09/21/2021	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
09/22/2021	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration

09/23/2021	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist
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