

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b> <i>(See Instructions on reverse)</i>		LEAVE BLANK	
TO: <b>GENERAL SERVICES ADMINISTRATION NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408</b>		JOB NO NCL-439-85-1	DATE RECEIVED 12-18-84
1. FROM (Agency or establishment) Department of Health and Human Services		NOTIFICATION TO AGENCY	
2. MAJOR SUBDIVISION Office of Human Development Services		In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10. If no records are proposed for disposal, the signature of the Archivist is not required.	
3. MINOR SUBDIVISION Office of Management Services, DAS			
4. NAME OF PERSON WITH WHOM TO CONFER Betty Putnam	5. TELEPHONE EXT. 245-2882	DATE 2-18-85	ARCHIVIST OF THE UNITED STATES <i>Frank S. Bunk</i>
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 11 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified, and that written concurrence from the General Accounting Office, if required under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is attached.

A GAO concurrence  is attached, or  is unnecessary

B. DATE 11/27/84	C. SIGNATURE OF AGENCY REPRESENTATIVE <i>George Deal</i> Dr. George Deal	D. TITLE Department Records Management Officer
---------------------	--	--

7 ITEM NO	8 DESCRIPTION OF ITEM <i>(With Inclusive Dates or Retention Periods)</i>	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN <i>(NARS USE ONLY)</i>
	<p>PROGRAM RECORDS:</p> <p>Administration on Aging; Administration for Children, Youth and Families; Administration on Developmental Disabilities; and Administration for Native Americans.</p> <p>Rescind Disposition Authorities -</p> <p>-NCL-439-80-1 NCL-439-77-3 NCL-439-77-4 NN 172-31 NN 172-161 <del>XXXX-XXXX-XXXX-XXXX</del> NCL-439-77-5</p> <p>The following items 1 through 23 are to supersede the above rescinded disposition authorities.</p>		

16 items

Item  
No.

STUDIES/PROJECTS

1. ~~CONTRACTS~~

~~(Maintained by Program Offices)~~

~~Record/Subject Content - Sole source justification, request for proposal (RFP), summary of evaluation of proposals, pre-award memos and notes, notice of contract award, contract, project work schedule, EEO compliance, security clearances, monitoring notes, invoice approvals, requests for time extensions or additional funds, audit reports and actions, termination notices, contract close out check list and summary report.~~

Superseded  
Job Citation  
~~NN-172-161~~  
~~Items 16, 21,~~  
~~22, 23 & 59.~~  
~~NCI-439-77-4~~  
~~Item 3.~~  
~~NCI-439-77-3~~  
~~Item 3.~~  
~~NN-172-31~~  
~~Item 3.~~  
GRS3/4

~~Disposition - Transfer to Records Center  
1 year after termination or completion.~~

~~Destroy 6 years and 3 months after  
termination or completion.~~

2. CONFERENCES AND WORKSHOPS

Record/Subject Content - Program concept, program development and plans, announcements and invitations, speaker assignments, program agenda and schedules, travel and hotel arrangements, meeting place arrangements, reports, reviews and evaluations.

NN-172-161  
Item 13.  
~~NCI-220-83-2~~  
~~Item 1.~~

Disposition - Destroy 2 years after completion of conference or workshop.

3. Grants

(Maintained By Program Offices)

Record/Subject Content - Application (SF-424) budget information, project abstract, award announcement, grantee performance and status reports, financial reports, guidelines and instructions, request for and action on project definition changes, monitoring notes, audit reports, final project report, grant closing notice. (includes formula and block grants).

NN-172-161  
Items 21, 22,  
23, 24 & 59  
NCI-439-77-4  
Item 3.  
NCI-439-77-3  
Item 3.

3. Grants continued

Disposition - a. Official files, excluding those duplicating records in the Grants Accounting Files in Item 13 :

Transfer to FRC 1 year after completion or termination.  
DESTROY 6 years and 3 months after completion or termination.

b. Working files

DESTROY 3 years after termination or completion.

Disposition - Transfer to Records Center  
1 year after termination or completion.

Destroy 6 years and 3 months after  
termination or completion.

Superseded  
Job Citation  
NN-172-31  
Items 3, 7 & 8.  
NCl-439-80-1  
Items 1 & 2.

4. Formula Grants

(Maintained by Program Offices)

Record/Subject Content - Notice of grant  
award, Federal Allotment Computation  
Schedule, Report of Federal Action (SF-424),  
Financial Status Report (SF-269), quarterly  
estimates of expenditures and approvals,  
audit reports, memoranda and correspon-  
dence, copies of state laws (enabling  
legislation).

Disposition - Sent to Records Center 1  
year after termination.

Destroy 6 years and 3 months after  
termination.

5. Block Grants

Record/Subject Content - Notice of  
availability of funds for state expenditure,  
states pre-expenditure plans, notice of  
receipt of plans, application and assurance  
memoranda, evaluation reports, summary  
reports, state and regional office  
correspondence.

~~Arrangement - By year, then  
alphabetically by program, the  
state/territory, then agency or  
institution (if applicable).~~

~~Disposition - Permanent. Transfer to  
Records Center 1 year after  
termination. Offer to the National  
Archives when 10 years old in 5 year  
blocks.~~  
Destroy 6 years and 3 months after termination.

~~Approximate Annual Volume - 3 cubic feet.  
Volume on hand about 6 cu. ft. from 1982  
to 1984.~~

48. FINAL PROJECT REPORTS

Record/Subject Content - One copy of each final project report resulting from a grant or contract.

Superseded  
Job Citation  
NN-172-161  
Item 19.  
NCl-439-77-4  
Item 8.

Arrangement - By year of grant or contract completion, then by grant or contract number.

Disposition - Permanent. Transfer to the Records Center 2 years after the completion of the grant or contract. Offer to the National Archives when 10 years old in 5 year blocks.

Approximate Annual Volume - 7 cubic feet. Volume on hand about 21 cu. ft. from 1981 to 1984.

51.

HDS Operating Plans

Record/Subject Content - Requests to program and support groups for planning data submissions, request for advice, request for delays, program and support groups operating plans, evaluations and comments, revisions and additions to plans, status and performance reports.

NCl-439-77-3  
Item 5

~~Arrangement - By year, then alphabetically by HDS Group and numerically by regional office.~~

~~Disposition - Permanent. Transfer to Records Center 3 years after completion of Plans. Offer to National Archives when 10 years old in 5 year blocks.~~

DESTROY when no longer needed.

~~Approximate Annual Volume - 2 cubic feet. Volume on hand about 6 cu. ft. from 1981 to 1984.~~

68. NOTICES - ALLOTMENT OF FUNDS, ANNOUNCEMENTS, MEETINGS

Record/Subject Content - Statement of need for Notice, draft of Notice, comments and changes, concurrences and clearances, Federal Register copy of Notice.

Disposition - Transfer to Records Center  
2 years after publication in Federal  
Register.

Superseded  
Job Citation

Destroy when 7 years old.

78. REGULATIONS - DEVELOPMENT, PROMULGATION, REVISION  
(Maintained by Program Offices)

Record/Subject Content - Copies of  
Congressional Bills and Acts, Congressional  
reports related to Regulation, Regulation  
outline and draft, in-house and inter-agency  
comments, OMB approval, Federal Register  
Notice and request for comments, comments  
and responses, hearing notices, hearing  
arrangements, hearing minutes and summary,  
impact analysis, flexibility analysis, press  
releases, newspaper and magazine articles,  
final draft and comments, Federal Register  
copy of Regulation.

~~NCL 439-77-3~~  
~~Item 1.~~

~~Arrangement - Numerically by CFR number,  
then part, then section (if necessary)~~

~~Disposition - Permanent. Transfer to  
Records Center 1 year after publication  
in the Federal Register. Offer to the  
National Archives when 10 years old in 5-  
year blocks.~~

→ Destroy in office when no longer needed.  
Approximate Annual Volume - 2 cubic feet.  
Volume on hand about 6 cu. ft. from 1974  
to 1984.

B 10.

Program Performance and Evaluation

Record/Subject Content - Summaries of grant  
and contract activities (quarter/annually),  
major accomplishment and highlights,  
commendations and awards, project  
descriptions, summaries of grant and  
contract audits, statistical measurements of  
project and program accomplishments,  
examples of program benefits, dollar inputs  
vs benefits denied, planned program changes,  
new initiatives and strategies, reports to  
Congress and the President, copies of major  
publications, copies of completed grant and  
contract reports.

NN-172-161  
Items 27, 46,  
47, 48, 49,  
53 & 54  
NCL-439-77-4  
Item 6.  
NCL-439-77-3  
Items 1 & 5.

Arrangement - By Year, then  
alphabetically by subject.

Superseded  
Job Citation

Disposition - Permanent. Transfer to  
Records Center when 3 years old. Offer  
to National Archives when 10 years old  
in 5 year blocks.

Approximate Annual Volume - 3 cubic feet.  
Volume on hand about 11 cu. ft. from  
1980 to 1984.

9.11.

Statistical and Research Records

Record/Subject Content - Research reports,  
position papers and statistical compilations  
prepared in the administration.

~~NN-172-33~~  
~~Item 5~~

Arrangement - A. Retain 1 copy of each  
whether published or unpublished by  
date. B. File feeder reports received  
from states and other sources used to  
complete reports and statistics in  
separate folders by date.

WITHDRAWN

Retention - Two years after completion  
or termination.

Disposition - Permanent. A. Retain 1  
copy of each whether published or  
unpublished by date. Transfer to  
Records Center two years after  
completion. Offer to National Archives  
when 10 years old in 5 year blocks. B.  
File feeder reports received from states  
and other sources used to complete  
reports and statistics in separate  
folders by date. Dispose of 5 years  
after receipt.

Approximate Annual Volume - 6 cu. ft.  
Volume on hand about 30 cu. ft. from  
1973 to 1984.

GRANTS AND CONTRACTS MANAGEMENT (Accounting) RECORDS

10.12. ~~CONTRACTS~~

Record/Subject Content - Sole source  
justification, request for proposal (RFP),  
summary of evaluation of proposals,  
pre-award memos and notes, notice of

~~NC1-439-77-5~~  
~~Item 3.~~  
GRS 3/4

~~contract award, contract, project work schedule, EEO compliance, security clearances, monitoring notes, invoice approvals, requests for time extentions or additional funds, audit reports and actions, termination notices, contract close out check list and summary report.~~

Superseded  
Job Citation

~~Disposition - Transfer to Records Center 1 year after completion of contract. Destroy 6 years and 3 months after completion or termination.~~

11 ~~13~~. DISCRETIONARY GRANT PRE-APPLICATIONS

~~Record/Subject Content - Pre-application (SF-424), concept paper, reviewer comments and evaluation, award/rejection notices, memoranda and correspondence.~~

NN-172-161  
Item 55.

~~Disposition - Destroy 1 year after file break.~~

12 ~~14~~. DISCRETIONARY GRANT APPLICATIONS (Resulting from Pre-application process or direct solicitation.)

~~Record/Subject Content - Application (SF-424), budget information, project abstract, evaluation notes and comments, award/rejection notices, memoranda and correspondence.~~

GRS 3/14

~~Disposition - Transfer to Records Center 1 year after completion of grant. Destroy 6 years and 3 months after completion.~~

13 ~~15~~.

Grants

~~Record/Subject Content - Application (SF-424), budget information, project abstract, award announcement, grantee performance and status reports, financial reports, guidelines and instructions, request for and action on project definition changes, monitoring notes, audit reports, final project report, grant closing notice. and correspondence. (includes formula and block grants)~~

Disposition - Transfer to Records Center  
1 year after completion of grant.  
Destroy 6 years and 3 months after  
completion.

16. Formula Grants

Record/Subject Content - Notice of grant  
award, Federal Allotment Computation  
Schedule, Report of Federal Action (SF-424),  
Financial Status Report (SF-269), quarterly  
estimates of expenditures and approvals,  
audit reports, memoranda and correspondence,  
copies of state laws (enabling legislation),  
regional office reports.

Disposition - Transfer to the Records  
Center 1 year after the end of the grant  
year. Destroy 6 years and 3 months  
after termination or completion.

17. Block Grants

Record/Subject Content - Notice of  
availability of funds for state expenditure,  
states pre-expenditure plans, notice of  
receipt of plans, application and assurance  
memoranda, evaluation reports, summary  
reports, state and regional office  
correspondence.

Disposition - Transfer to the Records  
Center 1 year after the end of the grant  
year. Destroy 6 years and 3 months  
after completion or termination.

PUBLIC AFFAIRS

14 18. PUBLICATIONS ~~AND AUDIO/VIDEO FILM AND TAPE~~  
~~RECORD/HISTORY COPY.~~

Record/Subject Content - One copy of each  
publication, ~~film or tape~~, issued by or under  
contract to HDS,

Arrangement - ~~By media~~, by year, then  
alphabetically by title.

NN-172-161  
Items 10, 26,  
31 & 35.  
NC1-439-78-1  
Item 1.

Disposition - Permanent. Transfer to the Records Center 1 year after printing and distribution. Offer to the National Archives when 10 years old in 5 year blocks.

Superseded  
Job Citation

Approximate Annual Volume - 1 cubic foot. Volume on hand about 4 cu. ft. from 1976 to 1984.

#### BUDGET AND FINANCE

#### 1518. BUDGET DEVELOPMENT AND FORMULATION

Record/Subject Content - Budget estimates and justifications, staffing requirements, space requirements, research and development data, receipt estimates, language sheet, statements of programs and performances, summary of grant and contract activity, data processing costs, object classification schedules, draft and final copies of HDS budget submission, rejection appeals, evaluations and comments.

~~NN-172-161~~  
~~Item 5.~~

~~Arrangement - By Fiscal Year, then alphabetically by subject.~~

~~Disposition - Permanent. Transfer to the Records Center 2 years after the close of the Fiscal Year. Offer to the National Archives when 10 years old in 5 year blocks.~~

→ Destroy when no longer needed.

~~Approximate Annual Volume - 1 cubic foot. Volume on hand about 8 cu. ft. from 1979 to 1984.~~

#### ASSISTANT SECRETARY'S OFFICE

#### 1620. ASSISTANT SECRETARY'S CHRONOLOGICAL FILE

Record/Subject Content - Provides a day-to-day commentary (history) on the issues, events, and operations of the Office of Human Development Services, consists of memos, correspondence, policy statements, and reports issued by the Assistant Secretary. The Assistant Secretary does not maintain an administrative or management file.

Arrangement - By year, the month, the day.

Superseded  
Job Citation

Disposition - Permanent. Break file at the end of year and transfer to Records Center 2 years later. Offer to the National Archives when 10 years old in 5 year blocks.

Approximate Annual Volume - 2 cubic feet. Volume on hand about 6 cu. ft. from 1982 to 1984.

PRESIDENT'S COMMITTEE ON MENTAL RETARDATION  
AND  
FEDERAL COUNCIL ON AGING

~~Rescind Disposition Authority NCI-439-77-5~~

1721.

Legislation, Policy and Program

Record/Subject Content - Council Charter, Executive Orders, Bill and Acts, Regulations, proposed legislation, policy memoranda, initiative statements, position on issues, courses of action, fact sheets, issuances.

NCI-439-77-5  
Item 2.

Arrangement - Alphabetically by subject.

Disposition - Permanent. Break file at the end of 4 years. Keep in office 1 additional year, then send to the Records Center. Offer to the National Archives when 10 years old in 5 year blocks.

Approximate Volume - 1 cubic foot. Volume on hand about 5 cu. ft. from 1975 to 1984.

1822.

Council Appointments and Meetings

Record/Subject Content - Notice of Council appointments, resignations and removals, agendas and minutes of Council and subcommittee meetings, special Council reports and recommendations.

Arrangement - Alphabetically by subject.

Disposition - Permanent. Break file at the end of 4 years. Keep in office 1 additional year, then send to the Records Center. Offer to the National Archives when 10 years old in 5 year blocks.

Superseded  
Job Citation

Approximate Volume - 1 cubic foot.  
Volume on hand about 5 cu. ft. from 1975 to 1984.

19 23.

Record Copies of Annual Reports, Project Reports and Publications

Record/Subject Content - One copy of each Annual Report produced by the Council for the President and/or Congress, one copy of each report resulting from a grant or contract or task force, one copy of each publication produced by the Council.

NC1-439-77-5  
Item 1.

Arrangement - Alphabetically by subject.

Disposition - Break file at the end of 4 years. Keep in office 1 additional year, then send to the Records Center. Offer to the National Archives when 10 years old in 5 year blocks.

Approximate Volume - 3 cubic feet.  
Volume on hand about 9 cu. ft. from 1975 to 1984.

OFFICE OF POLICY AND LEGISLATION

20 24. CONGRESSIONAL HEARINGS

Record/Subject Content - Announcement and schedule of hearings, hearing plans and arrangements, briefing papers, lists of proposed questions and suggested answers, prepared statements, notes and comments, transcripts, newspaper and magazine clippings, press releases, evaluation and summary of hearings, committee reports.

NN-172-161  
Item 29.

Arrangement - By year and date, then alphabetically by committee name.

~~Disposition - Break file at the end of year. Keep in office 1 additional year, then send to Records Center. Offer to the National Archives when 10 years old in 5 year blocks.~~

→ Destroy in office when no longer needed/  
~~Approximate Annual Volume - 1 cubic foot.~~  
Volume on hand about 2 cu. ft. from 1980 to 1984.

I concur in the revisions to this schedule.

Ronald J. Weiss  
NARA Representative

21 Nov 85  
Date

Betty R. Putnam  
Agency Representative

Nov 21, 1985  
Date