

REQUEST FOR RECORDS DISPOSITION AUTHORITY		LEAVE BLANK (NARA use only)	
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD, COLLEGE PARK, MD 20740-6001		JOB NUMBER <i>71-439-06-3</i> Date Received <i>7-20-2006</i>	
1 FROM (Agency or establishment) Department of Health and Human Services		NOTIFICATION TO AGENCY	
2 MAJOR SUB DIVISION Administration on Aging		In accordance with the provisions of 44 U S C 3303a, the disposition request, including amendments is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
3 MINOR SUBDIVISION <i>Policy and Management</i> Center for Management			
4 NAME OF PERSON WITH WHOM TO CONFER Harry Posman	5 TELEPHONE 202-357-3540	DATE <i>3/8/07</i>	ARCHIVIST OF THE UNITED STATES <i>[Signature]</i>
6 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 on the attached <u>7</u> page(s) are not needed now 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, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, <input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE <i>1/14/06</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>[Signature]</i> for		TITLE DHHS Records Management Officer
7 ITEM NO.	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	Records for Administration on Aging, Center for Management See attached sheet <i>Robert Eckert</i> Robert Eckert Director Freedom of Information Privacy Acts Div. <i>Jeffrey Davis</i> Jeffrey Davis Associate General Counsel	<i>06/28/2006</i> Date <i>7/13/06</i> Date	

Pen & Ink change @ agency request 1/17/08

3/8/07 copies sent to Agency, NWMD, NWME, NWMW, NWCTC

Center for Management*

Deputy Assistant Secretary, Center for Management

1. Schedules of Daily Activities

Electronic calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities by the Deputy Assistant Secretary, Center for Management while serving in an official capacity, excluding materials deemed to be personal. Records containing information relating to official activities are incorporated into official files.

Disposition: **Temporary.** Destroy when 2 years old.

2. Center for Management Files

Executive Officer. Files associated with the Office of Administrative Services, including any documents and/or related materials signed in an official capacity.

Disposition: **Temporary.** Destroy when superseded or obsolete.

Chief Financial Officer. Files associated with budget formulation, budget execution, apportionment and financial management, including any documents and/or related materials signed in an official capacity.

Disposition: **Temporary.** Destroy 3 years after the end of the budget cycle or when no longer needed.

3. ~~Electronic Copies~~

~~Electronic version records created by electronic mail and/or word processing applications for the Deputy Assistant Secretary, Center for Management contained in this schedule.~~

a. ~~Copies that have no further administrative value after the recordkeeping copy is made, includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the record keeping copy, including all e-mail "sent" items directly from the Deputy Assistant Secretary, Center for Management.~~

~~Disposition: **Temporary.** Delete within 180 days after the record keeping copy has been produced.~~

b. ~~Copies used for the dissemination, revision, or updating is complete.~~

~~Disposition: **Temporary.** Delete when dissemination, revision or updating is complete.~~

Office Budget and Finance

1. Budget Formulation Files

Records are retained for each of the three most current budgets in paper and electronic formats. These include the budget being developed (BY), the budget for the current year (CY), and the budget for the prior year (PY). The official file for each of these budgets should include a final copy of the following documents: Departmental Submission, Secretary's Budget Council Briefing Materials, OMB Submission, Congressional Justification of Estimates, Appropriations Briefing Book, Answers to Questions Provided by the Congress for the Record, Requests for Reprogramming and Congressional Responses, and Tables or other formal recordings of appropriations provided related to the budget requests.

4. Disposition: Temporary. Close out at the end of the budget year in which created Destroy 3 years after cutoff or when no longer needed, whichever comes later.

2. Financial Management Files

Records are retained related to corrective actions planned as a result of Departmental top down audit findings and of FMFIA review results and certifications to the Department.

5. Disposition: Temporary. Close out at the end of the budget year in which created Destroy 3 years after cutoff or when no longer needed, whichever comes later.

Office of Grants Management

1. Grant Award Files

The official grant award file should consist of successful application materials, including an original signed application (SF424), budget information (SF 424A), assurances (SF 424B) and other materials, representations and disclosures, as required by AoA and/or the NOFA; financial assistance award approval/negotiation sheet; financial assistance award and/or obligating documents; standard terms and conditions; technical review and budget analysis; signed reviewer comments, score sheets, summary forms; grant monitoring statements and/or documentation; reporting requirement documents such as financial status reports and program progress reports; any program commitment documents; correspondence relating to award; state plan (formula only); any AoA internal evaluations; risk assessments; performance assessments; any sub-recipient reports; ~~copies of~~ financial award deliverables/products (such as evaluations, studies, reports, publications, posters, brochures, flyers or any other related documents and/or materials as required); termination or suspension notices; budget revisions and amendments; grant extensions; closing documents and property inventory documents; any Inspector General reports or other documentation ion of actions from other HHS administrative or investigative arms and resulting compliance actions; audit findings; any appropriate outside materials that may impact the grant award; and other related documents and/or materials. In those cases of a cooperative agreement, the grant file will contain all documents listed in the grant award files including an original signed cooperative agreement indicating the involvement of AoA in the development and execution of the activities of the project and description of the training, technical assistance and support to be provided. Also includes awards that are renewed or continued, cancelled, suspended, or otherwise terminated. (Applies to all grant award types covered by this schedule.)

a. Discretionary Awards

this →
pen-and-ink
change
approved by
agency
Records officer
6-28-2007

6. Disposition: Temporary. Cut off at end of project period in which all grant file elements are closed out. Hold on-site for 3 years. Retire to record center after holding period. Destroy 6 years 3 months after cutoff.

7. **b. Formula Awards**

Disposition: Temporary. Cut off at end of project period in which all grant file elements are closed out. Hold on-site for 3 years. Retire to record center after holding period. Destroy 6 years 3 months after cutoff.

8. **c. Disaster Awards**

Disposition: Temporary. Cut off at end of project period in which all grant file elements are closed out. Hold on-site for 3 years. Retire to record center after holding period. Destroy 6 years 3 months after cutoff.

9. **d. Grant Guidance**

Disposition: Temporary. Cut off at end of project period in which all grant file elements are closed out. Hold on-site for 3 years. Retire to record center after holding period. Destroy 6 years 3 months after cutoff.

10. **e. Unsuccessful Applications**

Disposition: Temporary. Cut off when final announcement of selections are made for competitive programs or after decisions are made not to fund potential program recipients, as appropriate. Destroy 2 years after cut off.

2. Financial Award Deliverables

Evaluations, studies, reports, publications, posters, brochures flyers or any other related documents and/or materials.

~~Disposition: Permanent. Cut off at end of project period in which AoA receives and accepts deliverable and place in an inactive file. Transfer oldest 3 year block of inactive files to the National Archives every third year.~~

3. **Program Support Files**

11. Routine program award support files that should contain program announcement, federal register announcement, program legislation, terms and conditions, reporting requirements, selection criteria, reviewer instructions, application and decision memo, designation of grants officer, and other related support documents and/or materials.

Disposition: Temporary. Destroy when 3 years old

4. **Working Files**

Working copies of files associated with grant award, financial award deliverables, and program support files

12. Disposition: Temporary. Destroy upon closeout of the grant or when no longer needed, whichever is sooner.

~~5. — **Electronic Copies**~~

~~Electronic version records created by electronic mail and/or word processing applications for AoA's Office of Grants Management contained in this schedule.~~

~~a. — Copies that have no further administrative value after the recordkeeping copy is made, includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the record keeping copy.~~

~~Disposition: Temporary. Delete within 180 days after the record keeping copy has been produced.~~

~~b. — Copies used for the dissemination, revision, or updating is complete.~~

~~Disposition: Temporary. Delete when dissemination, revision or updating is complete.~~

Office of Administrative Services

~~1. — **Committee and Conference Files**~~

~~Records relating to establishment, organization, membership, and policy of internal committees. Records documenting the actual working of specific national or regional AOA conferences and committees. May include agenda, minutes, and reports highlighting the significant conclusions, recommendations, opinions and action items which result from the conferences and committees.~~

~~Disposition: Temporary. Destroy when 3 years old.~~

~~2. — **Schedules of Daily Activities**~~

~~Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits and other activities by Federal employees while serving in an official capacity, excluding materials determined to be personal.~~

~~**Director of Center for Management, AoA**~~

~~Disposition: Temporary. Destroy when 2 years old.~~

3. **Human Resource Service/Personnel Files**

Copies of AoA personnel records which relate to the supervision and management of AoA employees (separate from the Official Personnel Folders which are maintained by the Office of Personnel Management and covered under General Records Schedule 1), including service record cards; personnel correspondence; offers of employment; transfer information; employee record cards; position classification information; position description; appeals; interview information; performance rating board case information; awards (including recommendations, approved

13. nominations pertaining to agency-sponsored cash and noncash awards such as incentive awards, within-grade merit increases, suggestions, and outstanding performance); length of service and sick leave awards; letters of commendation and appreciation; notification of personnel actions; and other related documents and/or materials.

Disposition: **Temporary**. Close out when employee separates from service or transfers to another agency. Destroy 3 years after cutoff.

4 **Administrative Policies and Procedures Directives**

Records reflecting the policies and procedures established for administrative operations throughout AoA. Included are administrative action papers, summaries, digests, presentations, interpretations, clarifications, evaluations, conclusions, recommendations, evidence of staff coordination, and decisions.

14. Disposition: **Temporary**. Cut off at end of fiscal year in directive is rescinded, superseded or obsolete. Cut off inactive file at the close of FY. Destroy 10 years after cutoff.

5. **Organization Analysis Files**

Working copies of records which effect changes in the organization, functions, or relationships of components of AoA. Included are approved/disapproved organizational and staffing plans and charts, reorganization plans, functional or mission statements, and directly related papers.

15. Disposition: **Temporary**. Destroy when 3 years old.

6. **Routine Procurement Files/Acquisition Management Files**

Copies of procurement and supply records documenting acquisition of goods and non-personal services, controlling the volume of stock on hand, reporting procurement needs, and related supply. Files also contain a range of procedure, from small purchases to complicated prime contractor and subcontractor operations. The key procurement file is maintained by HHS PSC. AoA maintains copies of the formal contract or informal purchase order or lease instruments and all related papers such as copy of purchase document, specifications, bids, schedules of delivery, the initiating requisition invoices, and other related documents and/or materials.

16. Disposition: **Temporary**. Destroy when 3 years old.

7. **Printing, Binding, Duplication, and Distribution Records Reprographics**

Copies of records pertaining to requests for service, control, production and distribution of individual jobs or projects (this material normally consist of requisitions requesting service and registers or of similar media utilized to control the receipt of requisitions and to record the production, distribution, and cost analysis within the operating units); and correspondence and report files reflecting the activities of the unit responsible for handling, printing, binding, duplication, and distribution matters with AoA.

17. Disposition: **Temporary**. Destroy when 3 years old.

8. **Special Employment Program Files/HHS University Training Files**

Files on participants in special employment programs, Upward Mobility, Junior Fellows, Management Intern, and HHS Fellows, Executive Leadership, etc.

18. Disposition: **Temporary**. Destroy when there is no further administrative need for the record; or 3 years after participant leaves program, whichever is first.

9. **Work/Life Program Files**

19. General reference files of Work/Life Program information sessions, brown bags, benefits, and other related documents and/or materials.

Disposition: **Temporary**. Destroy when 3 years old or when no longer need, which ever is sooner.

10. ~~**Reasonable Accommodation Request Record**~~

~~Information created and maintained while receiving, coordination, reviewing, procession, approving, and reporting request for reasonable accommodation from federal employees and applicants under the Rehabilitation Act of 1973 and Executive Order 13164. A reasonable accommodation is a change in the work environment or in the way things are customarily done that would enable an individual with a disability to enjoy equal employment opportunities.~~

~~Disposition: **Temporary**. Destroy when no longer needed.~~

11. **Continuity of Operation Plan (COOP) Files**

20. Documents and reports, including emergency response plan, development and training.

Disposition: **Temporary**. Close out at end of fiscal year in which study completed. Transfer to storage 3 years after closeout. Destroy case files 10 years after closeout.

12. ~~**Records Management Files**~~

~~All aspects of records management not covered elsewhere in this schedule, such as correspondence, reports, authorizations, and other records that relate to the management of agency records, including such matters as forms, correspondence, reports, mail, and files management; the use of microforms, ADP systems, and word processing; records management surveys; and vital records programs.~~

~~Disposition: **Temporary**. Destroy when 6 years old.~~

13. ~~**Occupational Health and Safety Record Files**~~

~~a. Occupational injury and illness reports.~~

~~Disposition: **Temporary**. Destroy when 5 years old.~~

~~b. Files unrelated to AoA's mission; e.g., related to selecting interior furnishings, organizing events, overseeing volunteer activities or employee recreational activities.~~

~~Disposition: **Temporary**. Destroy when no longer needed for administrative purposes.~~

~~e. Environmental health services records related to maintenance of safe and healthy work environments. For example, records might cover air and water quality, hazards, asbestos and lead, safety training, personal protective equipment, emergency response plan development and training.~~

~~Disposition: Temporary. Destroy when 3 years old.~~

14. **Working Files**

Working copies of files associated with the Office of Administrative Services.

Disposition: **Temporary.** Destroy when no longer needed for administrative purposes.

JL