

FEDERAL ENTITY CEASED OPERATIONS

Schedule Number: NC-012-75-001

Federal entities may cease operations when they are established as a temporary entity, are abolished, or functions are transferred to state or local government or private control.

Description:

The Office of Education was established within the Department of the Interior, effective July 1, 1930, by the Department of the Interior Appropriation Act for Fiscal Year 1931 (46 Stat. 281), approved May 14, 1930. The Office was assigned to the Federal Security Agency by Reorganization Plan No. I of 1939, July 1, 1939; to the newly created Department of Health, Education, and Welfare (HEW) by Reorganization Plan No. 1 of 1953, effective April 11, 1953. The Office of Education was abolished on May 4, 1980, by the Department of Education Organization Act (93 Stat. 668), October 17, 1979, with functions transferred to the Department of Education.

Date Reported: 07/23/2020

FEDERAL ENTITY CEASED OPERATIONS

INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: NC-012-75-001

All items in this schedule are inactive. Items are either obsolete or have been superseded by newer NARA approved records schedules.

Description:

This schedule is obsolete because the Federal entity that created them has ceased operations. Supersessions for some specific items are:

Item 1a was superseded by N1-441-97-001

Item 2a was superseded by N1-441-08-017, item a and N1-441-08-018, item a; and N1-441-10-001

Item 2b was superseded by N1-441-97-002 and N1-441-97-003

Item 3 was superseded by N1-441-97-002

Item 4 was superseded by N1-441-97-001

Item 5 was superseded by N1-441-08-020

Item 6 was superseded by N1-441-08-001

Item 7 was superseded by N1-441-08-001

Item 13a was superseded by N1-441-09-015

Item 13b was superseded by N1-441-09-015

Item 13c was superseded by N1-441-09-015

Item 15a was superseded by N1-441-09-023

Item 18a was superseded by N1-441-11-001

Item 18b was superseded by N1-441-11-001

Item 19a was superseded by N1-441-09-012

Item 19b was superseded by N1-441-09-012

Item 19c was superseded by N1-441-09-012

Item 20a was superseded by N1-441-11-001

Item 20b was superseded by N1-441-11-001

Item 21 was superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)

Date Reported: 06/14/2022

NC-012-75-001

INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

Item 22 was superseded by N1-441-11-001 and N1-441-09-012

Item 23 was superseded by N1-441-08-012 and N1-441-11-001

Item 24c was superseded by N1-441-11-001 and N1-441-09-012

Item 25 was superseded by N1-441-11-001

Item 27 was superseded by N1-441-11-001

Item 30a was superseded by N1-441-09-012

Item 30b was superseded by N1-441-09-012

Item 31b was superseded by N1-441-11-001

**REQUEST FOR AUTHORITY
TO DISPOSE OF RECORDS**

61 items (See Instructions on Reverse) *RG-12*

TO GENERAL SERVICES ADMINISTRATION
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408

1. FROM (AGENCY OR ESTABLISHMENT)

Department of Health, Education, and Welfare

2. MAJOR SUBDIVISION

Office of Education

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER

Mr. Ellsworth Sacks

5. TEL EXT

245-8314

6. CERTIFICATE OF AGENCY REPRESENTATIVE

LEAVE BLANK	
DATE RECEIVED AUG 27 1974	JOB NO NC - 12-75-1
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 "with-drawn" in column 10	
<u>10-4-74</u> (Date)	<u>acting</u> <i>William B. Smith Jr.</i> Archivist of the United States

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 _____ page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified

Aug 19, 1974 Ellsworth Sacks OE RECORDS OFFICE
(Date) (Signature of Agency Representative) (Title)

7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10 ACTION TAKEN
	<p align="center"><u>Records Control Schedule</u></p> <p align="center"><u>Office of Education</u></p> <p>The attached records control schedule supersedes the former Office of Education Schedule (issued as section B-400 of the HEW records control manual) and all amendments to it. In conjunction with the HEW <u>Department Staff Manual on Records Management</u>, and the <u>General Records Schedules</u>, which are approved by the Archivist of the United States, this records control schedule provides complete coverage of OE records in Washington, D.C., and in the Regional Offices.</p> <p>The HEW staff manual includes information on identifying record and non-record material, and must be consulted to make this records control schedule fully effective.</p> <p>Items designated as "Permanent" will be offered to the Archives of the United States after the prescribed period of time.</p>		

9/6/74- GAO concurrence has been requested.

Copy to Agency 10/10/74 CR

I. General Correspondence and Administrative Files

This section relates to the correspondence and administrative files of the Office of Education as well as organizational manuals, charts, issuances, and publicity records.

1. Office of the Commissioner

2A A. Those portions of the general correspondence and administrative files which document the formulation of national education policy, and the establishment, direction, and review of the primary missions of OE. This includes budget statements, digests, or briefing papers; correspondence with other agencies, congress, and/or congressional committees. Permanent. The OE Records Officer will offer these records to the Archives no later than ten years after a commissioner leaves office.

B. Correspondence relating to routine administrative programs and activities, and housekeeping administrative matters not covered by the General Records Schedules (included in Health, Education, and Welfare Department Staff Manual on Records Management.) Destroy after 2 years. Do not send to Record Center.

2. Deputy Commissioner Level (Staff and Line)

2A A. Those portions of the general correspondence and administrative files which document the development, supervision, and evaluation of program areas of each Deputy Commissioner, including narrative and statistical reports which are consolidated at the Deputy level.

Permanent. The OE Records Officer will offer to the Archives no later than ten years after file cut-off date.

B. Correspondence relating to routine administrative programs and activities, and housekeeping administrative matters not covered by items in the General Records Schedules.

Destroy after 2 years. Do not send to Record Center.

3. Management Staff Office (Agency coverage)

A master set of all organizational charts, manuals, issuances, and publications.

Permanent. The OE Records Officer will offer to the Archives twenty years after they become obsolete.

4. Public Affairs Staff Office

One complete set of formal informational publications, such as press releases, OE press conference transcripts, official speeches and any indexes thereto.

Permanent. The OE Records Officer will offer to Archives ten years after release.

5. Legislative Staff Office

Legislative History Files consisting of a record copy of hearings, bills, or statutes pertaining to proposed legislation on which OE testified.

Permanent. Offer to Archives after twenty years.

6. Division Level and Above

One records copy of agendas, resolutions, or final reports of national and international conferences in which OE participated.

Permanent. OE Records Officer will offer to Archives 10 years after conference.

7. Division Level and Below at Headquarters, and All Regional Offices

All correspondence and subject files not covered by items in the General Records Schedule or other items in this schedule.


Destroy after 2 years. Do not send to Records Center.

II. Research Project and Management Study Records


This section relates to records pertaining to management study projects; statistical analyses of OE programs or state and local educational systems; and grant or contract research and statistical studies. Final Project Reports may take the form of published or unpublished narrative and statistical reports; audiovisual production (films).

8. Project Design and Procedure Descriptions.

A. When included in final project report, destroy on issuance of final report.

 B. Not included in final project report, retain with the report (see item 12).

9. Project Correspondence

 A. Which alters the scope or basic purpose of the project, retain with final report. (See Item 12).

B. Which serves to administer the project, including progress reports. Destroy 2 years after completion of the project.

C. Program Contract Case File

Dispose of in accordance with GRS 3, "Procurement and Supply Records", item 4, on contracts and related correspondence.

10. Completed Survey Forms

These are forms used to collect data for statistical studies.

A. Survey Forms for recurring reports.

Hold until completion of the next subsequent report, then destroy.

B. Survey Forms for non-recurring reports.

Destroy upon verification of transfer to machine readable form; or upon completion of report.

11. Machine Readable Records - see General Records Schedule 20, "Data Automation Program Records" especially Part III, Erasable Media.

12. Final Project Reports

1G
1H
A. A complete set of all published or unpublished reports, including management, technical, and statistical reports.

Permanent. Offer to Archives when 10 years old.

IF
B. Audiovisual Projects - Record set of all films produced by, or for OE including final script and names of individuals involved in production (See also item 8). (For further information on transfer of audiovisual materials see DHEW Records Management Staff Manual Chapter 4-90-40.) Permanent. Offer to Archives when 10 years old.

III. Student Assistance Program Records

The distribution of Federal monies as grants, or interest payments, in support of Student Loan programs is a major function of OE. There are two categories of loans. First are the Basic Grant Programs in which the government allocates money directly to institutions of higher learning on the basis of a pre-established formula. The second group is insured loans. The government is a guarantor of loans, from various institution (banks, universities, state agencies,) to students and underwrites a certain amount of the interest payments on the loans.

Another form of Federal involvement administered under the Insured Loans program are reinsurance contracts, which provide for reimbursement by the Federal government to the States on uncollectible loans.

13. Institution Files for Basic Grants Programs

This group of records documents the participation of an institution in the Basic Grant programs. Included are applications, audits, and annual request for funds.

A. Basic application and Audits

Destroy 5 years after the end of institutional participation in program, or after final audit of institutional program, whichever is sooner.

B. Annual Request for Funds and Payment Records

Dispose 5 years after final payment or after audit, whichever is sooner.

C. All other records or correspondence with the institution for the administration of the program.

~~Destroy when administrative purposes have been served or after 2 years, whichever is sooner.~~

see letter from GAO

14. Institution Files for Insured Loan Programs

This group of records documents the participation of institution (usually banks) in Insured Loan Programs. Included are applications and audits, various administrative reports, and requests for interest payments.

A. Applications and audits.

Destroy 5 years after end of an institutions participation in program, or after final audit of institution whichever is sooner.

B. Request for Federal interest payment

Destroy when 5 years old or after audit whichever is sooner.

15. Individual Files for Insured Loan Programs

Document participation of individual students in loan program.

A. Approved applications and certification - OE copy

Destroy after microfilming in accordance with GSA Regulations 41 CFR 101-11.507.

B. Microfilm of applications

Destroy three years after repayment or cancellation of loan.

C. Unapproved applications.

Destroy at close of fiscal year in which application was made.

D. Machine readable records - see General Records Schedule 20,

"Data Automation Program Records" especially Part III Erasable Media.

16. Uncollected Loans - Original file folder transferred to OE when lending institution is unable to collect. When loan is determined uncollectible GAO must be consulted for disposition instructions.

17. Reinsurance Contract Program Records

A. Contracts - OE copy

Destroy 3 years after expiration of contract.

B. Payment Records

Dispose in accordance with General Records Schedule 6, "Accountable Officer's Accounts".

C. Administrative correspondence

Destroy after 2 years.

IV. Grant & Loan Programs Records

The most common type of program in OE is the disbursement of Federal monies through various grant and loan programs. Some programs are administered from the Washington office, and some by the regional offices. Therefore a determination must be made by OE personnel as to where the official grant administration records are kept for each program. All fiscal aspects of grant or loan transactions are documented by the fiscal staff office in Washington, DC.

Formula grant programs distribute money according to a formula established by the basic legislation of each program. The formula may be based on population, ethnic distribution, presence of federal activities, etc. In Discretionary Grant programs OE determines the grantee and the dollar amount of the specific grant more subjectively. Certain records pertaining to Construction Grant Programs are accorded longer retention periods due to specific legal requirements to retain written guarantees made by States or institutions.

18. Certifications of Accreditation, and Related Correspondence

These certifications establish, or verify eligibility of educational institutions for Federal grant or loan programs.

A. Official file of Certifications of Accreditation

Destroy when obsolete or superseded.

B. Related correspondence

Destroy when two years old.

19. Certifications of Federal Property Ownership and Related Correspondence

These certifications establish or verify eligibility of an institution or local educational agency for Federal grant or loan programs.

A. Property Folder (including correspondence)

Destroy 3 years after completion of last project relating to property.

B. Real Estate Inventories

Destroy when obsolete, or superseded.

C. Correspondence not affecting Federal Status

Purge from Property Folders annually and destroy.

20. Grant Administration Records for Formula and Discretionary Grant Programs

Included are progress reports and other correspondence related to grant.

This item does not include fiscal records (see item 21).

A. Destroy 5 years after final payment to grantee, or after audit whichever is sooner, except as stated in B below:

12B B. Retain permanently a sample of significant grants (for example grants mentioned in OE annual report, or of public note) to be selected by OE and not to exceed 1% of all grants in a given year. Offer to the National Archives 5 years after final payment or after audit whichever is sooner.

21. Fiscal Records

Payment records maintained by the Fiscal Staff office.

Dispose of in accordance with General Records Schedule 6, "Accountable Officer's Accounts."

(Non-Record)*

22. Duplicate Copies of Grant or Loan Administration Records

These are information copies maintained in offices other than the office, or regional location, primarily responsible for administering a grant program. Destroy when convenient, but no later than one year after final grant payment.

10A

23. Records Set of Final Products of Grants

These include, but are not limited to, final published technical reports, textbooks; audiovisual items such as films, slides or tapes.

Permanent. Offer to Archives when 10 years old.

24. State Plans

These are plans submitted annually by the various states which describe what the state proposes to do with potential federal money. They often recapitulate previous year reports.

A. Original copy

Dispose after 5 years, or after program audit whichever is first, except;

11C

B. Retain permanently state plans of Alabama, California, Illinois, Massachusetts, New York, New Mexico, Kansas, and Texas for every fifth fiscal year beginning FY 1975.

C. Duplicate copies

Destroy when convenient, but no later than after two years.

25. Correspondence Relating to the Selection of Panelists (Discretionary Grants)

Destroy when 5 years old.

26. Proposals or Plans Not Resulting in Grant Awards (Discretionary)

Destroy one year after receipt.

27. Approved Fellowship Administration Records, and Payment Records

Most fellowships are administered through institution of higher education and are similar in many respect to Grants. (Same as items 20, 21, and 22 above.)

28. Unsuccessful, Withdrawn, or Declined Fellowship Program Applications

Including correspondence with institution, cost estimate and working files.

Destroy 1 year after submission to OE.

29. Lists or Indices of Individuals Participating in Fellowship Programs

Dispose after administrative values have ceased, or after ten years whichever is sooner. Do not retire to FRC.

30. Certification of Right to Construct, Maintain, and Operate Facilities

Assurances or certification that local educational agency, or institution of higher learning has right to construct and maintain, and will continue to operate facilities to be constructed with Federal money for the period provided by law.

A. For Construction Grants related to Higher Education facilities

Destroy when 50 years old.

B. For Construction Grants related to Areas affected by Federal activities (P. L. 81-815--)

Destroy when 20 years old.

C. For all other construction grants

Destroy 5 years after final payment, or after audit whichever is sooner.

31. Application and grant administration correspondence other than described in item 30, including construction project information and payment records.

A. Applications determined to be ineligible

Destroy at the end of the fiscal year for which application was made.

B. Applications and correspondence for projects which are eligible

Same as items 20, 21, 22, and General Records Schedules where applicable.

32. Loan Administration Records

These records include applications, determinations of eligibility, payment records, annual financial reports, related papers and correspondence which document OE Loan Programs for construction and equipment purchases.

A. Ineligible and rejected applications

Destroy 6 months after determination of ineligibility.

B. Approved applications, and all related Loan administration correspondence for repaid or cancelled loans.

Destroy 3 years after date of repayment, or cancellation.

C. Uncollected loans

Transfer to the General Accounting Office as soon as loan is determined uncollectible.

V. International Education

OE has as a primary program coordination of international programs and activities which stimulate and support exchange, training, and research. For the most part the records of these programs are described in IV - Grant Files. However, there are some advisory activities unique to this program area.

33. Records of Evaluation of Foreign Academic Credentials

These are evaluations of persons who have studied abroad; advisory evaluations.

Dispose after five years.

34. UNESCO Technical Assistance Applicant Files

A. OE records of applicants for UNESCO positions.

Dispose when administrative values have ceased, however no later than completion of tour to duty. Do not retire to FRC.

B. Correspondence related to recruitment.

See item 7 above.