

M. N. C. D. 7 Aug 80

### REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS

(See Instructions on Reverse)

LEAVE BLANK	
DATE RECEIVED	JOB NO
8-12-80	NCL-90-80-1
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	
11-25-80	<i>[Signature]</i>
(Date)	Archivist of the United States

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

1. FROM (AGENCY OR ESTABLISHMENT)  
Department of Health and Human Services

2. MAJOR SUBDIVISION  
Public Health Service

3. MINOR SUBDIVISION  
Health Resources Administration

4. NAME OF PERSON WITH WHOM TO CONFER  
Kay Clarey

5. TEL EXT  
436-7240

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

8/4/80 Jacquelyn L. Tolson PHS Records Officer  
 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
11	Grants, Contracts, and Cooperative Agreements		
11-1	<u>Policies and Procedures</u> Document the development and implementation of policy and procedural changes in the agency's management of grants, contracts, and cooperative agreements. <u>a. Permanent. Office of Record.</u> Retain 15 years after becoming obsolete or superseded, and offer to the National Archives. <u>b. Other Offices.</u> Destroy when obsolete or superseded.	<i>appendix B-341 (all items)</i>	
11-2	<u>Grant Application Clearance Files</u> Requests for clearance of proposed grant application forms and instructions from all agency components. Includes justification of modifications and final approved forms and instructions. <u>Non-Permanent. Office of Record.</u> Retain 3 years after approval or disapproval and destroy.		

*34 items*

*Closed Out: 12-5-80: K.T.D.  
Copy sent to Agency, All FRCs, NNF & NNB*

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7 ITEM NO	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
11-3	<p><u>Grant and Loan Certification Files</u></p> <p>Certifications which establish or verify eligibility of educational institutions for Federal grant or loan programs.</p> <p><u>Non-Permanent. Office of Record.</u> Destroy when obsolete or superseded.</p>		
11-4	<p><u>Grant and Loan Administration Records</u></p> <p>Include grant applications, determinations of eligibility, payment records, annual financial reports, related papers, and correspondence which documents HRA loan programs for construction and equipment purchases.</p> <p>A. Ineligible, rejected, and unfunded applications.</p> <p><u>Non-Permanent. Office of Record.</u> Retain 1 year after determination and destroy.</p> <p>B. Approved applications and all related correspondence.</p> <p>Retain 3 years after termination and destroy.</p> <p><u>Other Offices.</u> Retain 2 years after termination and destroy.</p> <p>C. Uncollected loans.</p> <p><u>Office of Record.</u> Transfer to the General Accounting Office when loan is determined uncollectible.</p> <p>D. No longer used. Incorporated into items 11A, 11B, and 11C.</p>		
11-5	<p><u>Grants and Contracts Audit Reports</u></p> <p>Reports of audits. Includes audit findings, comments from grantees or program officials and resolutions accepted by the Department.</p> <p><u>Non-Permanent. Office of Record.</u> Retain 6 years after final resolution and destroy.</p>		

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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
11-6	<p><u>Unsuccessful Grant Applications and Contract Proposals</u></p> <p>Includes applications and proposals with supporting materials relative to their study and review.</p> <p>A. Proposals which were not solicited.</p> <p>(1) Routine proposals.</p> <p><u>Non-Permanent. Office of Record. Retain 1 year after notice to offeror and destroy.</u></p> <p>(2) Proposals of continuing interest to the program.</p> <p>Destroy when no longer needed for reference purposes.</p> <p>B. Proposals received as a result of a published Request for Proposal.</p> <p>Retain 1 year after notice to offeror and destroy.</p> <p><u>Other Offices. Destroy when no longer needed for reference purposes.</u></p>		
11-7	No longer used. Incorporated into item 11-6.		
11-8	<p><u>Audit Report Control Index</u></p> <p>Record maintained for reference of agency. Includes PHS-5177, Audit Report Control Record.</p> <p><u>Non-Permanent. Office of Record. Destroy when no longer needed for operations.</u></p>		
11-9	<p><u>Report of Expenditures Adjustment and Audit</u></p> <p>Files of claims on indirect costs adjustments of grantees.</p> <p><u>Non-Permanent. Office of Record. Retain 6 years after resolution of claim and destroy.</u></p>		

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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
11-10	<p><u>Negotiated Indirect Cost Rates</u></p> <p>File of negotiated indirect cost rates for non-profit and commercial contractors.</p> <p><u>Non-Permanent. Office of Record.</u> Superseded material may be destroyed when no longer needed for operations.</p>		
11-11	<p><u>Cost Advisory Contracts</u></p> <p>Files arranged by contractor name and sequential contract number. Includes working copies of contract files and documentation of site audits and other activities.</p> <p><u>Non-Permanent. Office of Record.</u> Retain 5 years after audit is completed and destroy.</p>		
11-12	<p><u>Cost Advisory Central</u></p> <p>Files on contractors which include data on accounting acceptability, financial capability and activities with this agency.</p> <p><u>Non-Permanent. Office of Record.</u> Retain 2 years after activity with contractor ends and destroy.</p>		
11-13	<p><u>Cancelled RFC's and RFP's</u></p> <p>Files consist of Requests for Contract for which Request for Proposals may have been advertised but was cancelled prior to award.</p> <p><u>Non-Permanent. Office of Record.</u> Retain 1 year after request is cancelled and destroy.</p>		
11-14	<p><u>Prospective Minority Contractors</u></p> <p>File of contractors by name which describes specialties and capabilities.</p> <p><u>Non-Permanent. Office of Record.</u> Retain 1 year after contractor is not considered a potential bidder, and destroy.</p>		

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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
11-15	<p><u>Special and Final Reports or Products of Grants and Contracts</u></p> <p>Includes published or unpublished reports, textbooks, curricula, or audiovisual items such as film, slides, or tapes. When special or final reports are required, they generally contain background, problems, findings and recommendations.</p> <p>A. Significant reports or products of grants and contracts (having historical or research value as determined by the program office and project officer) <i>not to exceed 1 percent of all grants and contracts in a given year.</i></p> <p>(1) <u>Permanent.</u> <u>Office of Record.</u> Retain 15 years from date of report and offer to the National Archives.</p> <p>(2) <u>Other Offices.</u> Destroy when no longer needed for reference purposes.</p> <p>B. Other reports or products.</p> <p><u>Non-Permanent.</u> <u>Office of Record.</u> Retain 5 years from date of report and destroy when no longer needed for reference purposes.</p>		
11-16	<p>No longer used. Incorporated into item 11-15.</p>		
11-17	<p><u>Contract File</u> (General Records Schedule #3, Item 4(a) 1-3.)</p> <p>Includes Request for Contract, Request for Proposal, Summary of Negotiations, Contract, Vouchers, and papers related to procurement planning, award, administration, payment, audit and closing.</p> <p>A. Transactions of more than \$10,000 and construction contracts exceeding \$2,000 and dated after July 26, 1974.</p> <p><u>Non-Permanent.</u> <u>Office of Record.</u> Retain 6 years and 3 months after audit (closing), and destroy. Retire closed files in fiscal year block to FRC.</p>		

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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><u>Program Office.</u> Retain 1 year after audit (closing), and destroy.</p> <p><u>Other Offices.</u> Destroy when no longer needed for reference purposes.</p> <p>B. Transactions of \$10,000 or less and construction contracts under \$2,000 dated after July 25, 1974; and transactions of \$2,500 or less dated prior to July 26, 1974.</p> <p><u>Office of Record.</u> Retain 3 years after audit (closing), and destroy.</p> <p><u>Program Office.</u> Retain 1 year after audit (closing), and destroy.</p> <p><u>Other Offices.</u> Destroy when no longer needed for reference purposes.</p> <p>C. Transactions of more than \$2,500 dated prior to July 26, 1974.</p> <p><u>Office of Record.</u> Retain 6 years after audit (closing), and destroy.</p> <p><u>Program Office.</u> Retain 1 year after audit (closing), and destroy.</p> <p><u>Other Offices.</u> Destroy when no longer needed for reference purposes.</p> <p>D. Transactions of a program which awards contracts for similiar work to the same contractor on a regular basis (such as the Area Health Education Centers).</p> <p><u>Office of Record.</u> Retain 6 years after audit (closing), and destroy.</p> <p><u>Program Office.</u> Retain 1 year after program ends or contract is awarded to another entity and destroy.</p> <p><u>Other Offices.</u> Destroy when no longer needed for reference purposes.</p>		