

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

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| LEAVE BLANK | |
| JOB NO | <i>NCL-235-84-1</i> |
| DATE RECEIVED | <i>1-17-84</i> |
| 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the disposal request including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10 | |
| Date | <i>4/12/84</i> <i>Robert H. Stone</i> 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
Office of Community Services

3 MINOR SUBDIVISION
Office of Management Services

4 NAME OF PERSON WITH WHOM TO CONFER
**Tom Williams or
Kate Jackson**

5 TEL EXT
653-2010

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

- A** Request for immediate disposal.
- B** Request for disposal after a specified period of time or request for permanent retention.

| | | |
|--------------------------------------|--|---|
| C DATE Revised 9/28/83 | D SIGNATURE OF AGENCY REPRESENTATIVE <i>Thomas F. Williams</i> Thomas F. Williams | E TITLE Director, Office of Management Services |
|--------------------------------------|--|---|

| | | | |
|-----------|--|--------------------|-----------------|
| 7 ITEM NO | 8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods) | 9 SAMPLE OR JOB NO | 10 ACTION TAKEN |
|-----------|--|--------------------|-----------------|

**RECORDS RETENTION AND DISPOSAL SCHEDULE
OFFICE OF COMMUNITY SERVICES**

I. A. Grantee Files Related to OCS CSBG Grants

These records are related to grantees funded by OCS pursuant to the Community Services Block Grant Act (CSBG) from FY 1982 onward. These grantees are 1) States, Territories and Indian Tribes receiving block grants through the CSBG; 2) grantees receiving CSBG discretionary grants; and 3) grantees that received "transition funding" in FY 1982 to cover the period between the end of their CSA funding and the time that their State assumed CSBG responsibility for funding grantees under the block. These records are those developed after October 1, 1981 and are related solely to OCS CSBG funding of these grantees. CSA funding of any of these grantees is subject of records described in Part A.

*all changes concurred in
JF Williams, OMS, OCS 11 items*

*Agency sent 11-19-84 by DMW
NEW sent 4-19-84 by DMW
April 4-1984*

1. Grantees receiving block grants (States, Territories, and Indian Tribes)

Minimum content required: Grant obligating document(s); grant application and/or State plan accepted by OCS; statutory assurances and certifications accepted by OCS; grantee financial reports and other reports required by OCS; amendments or conditions related to the OCS funding; critical correspondence related to management of the grant; and documents prepared in close-out of the grant including final audit, audit determinations, and findings of any audit appeals filed by the grantee.

Disposition: ~~Cut-off 5 years after effective date of grant. Transfer to FRC. Destroy when 9 years old.~~

Cut-off at grant closeout. Transfer to FRC when 3 years old. Destroy when 9 years old.

2. Grantees receiving CSBG Discretionary Grants

Minimum content required: Grant application; OCS obligating document(s); special conditions and amendments to the grant; significant correspondence related to the management of the grant; financial and other reports required from the grantee; and documents prepared in close-out of the grant including final audit, audit determination, and findings of any audit appeals filed by the grantee.

Disposition: Cut-off at grant close-out. Transfer to FRC when 3 years old. Destroy when 7 years old.

3. Grantees receiving FY 1982 CSBG Transition Funding

Minimum content required: DHHS/OCS grant obligating documents; grant application; special conditions and amendments related to the transition grants; significant correspondence related to management of the grant; financial and other reports required of the grantee; where applicable, SF 314 documents permitting carry-over of pre-1982 CSA funding balances into FY 1982 transition grant; where applicable, Tripartite Agreement permitting carry-over of OCS transition balances to be used by the grantee as part of its CSBG funding from the State; documents prepared in closing out transition grantees, including final audit(s), audit determinations, and findings of any audit appeals filed by the grantee.

Disposition: Cut-off at close-out.
Transfer to FRC when 1 year old. Destroy
when 5 years old.

B. Grantee Property Records

These records are related to property acquired by grantees with federal grant funds from CSA. These records include property inventories and disposition instructions issued by CSA and OCS for all property in which the federal government retains a continuing interest.

Disposition: Hold in central property file at OCS headquarters. Dispose of per GRS 3, items 2b and 2c.

C. Audit Appeals

These records are related to the resolution of grantee appeals of OCS' audit determinations. They include the audit(s); audit determination letter(s); findings of the OCS appeals board; and pertinent documentation supporting the finding of the appeals board. These records are developed for all CSA grantee audit appeals.

Disposition: ^{Destroy when} Hold ~~for~~ six years and three months ~~old~~.

D. OCS Claims Collection Files Related to Grantees

These records are related to OCS efforts to collect claims owed by CSA grantees to the federal government. Claims may be filed, for example, for payment of unexpended grant balances, interest owed to the federal government, proceeds from liquidation of assets acquired with grant funds, and payment of amounts equal to costs disallowances resulting from audits and appeals, if any. These records will include audit determination letters, appeals board findings, audited statements, and any significant correspondence supporting the OCS claim against the grantee.

Disposition: ^{Destroy when} ~~Hold for~~ six years and three months ~~old~~.

E. Finance Records

These are the CSA/OCS records related to all funds obligated and disbursed to a grantee during its CSA funding. These records, by grantee, include records of payment and the grantee's financial reports required by grant conditions and regulations.

Disposition: ^{Destroy when} ~~Hold for~~ six years and three months ~~old~~.

II. Records Related to Revolving Loan Funds

These records are related to the administration of revolving loan fund accounts supported with federal CSA or OCS funds. These records will include case files on recipients of direct loans made by CSA or OCS through the Rural Development Loan Fund (RDLF) and/or Community Development Credit Union (CDCU) Programs. These records also include case files related to revolving loan fund accounts established with funds provided in CSA grant awards when federal oversight of the loan funds is required for a period beyond the OCS closeout of the CSA grantee.

A. RDLF and CDCU Loans

These are direct loans made by OCS or CSA to individual organizations. The loan record will include at a minimum: the executed loan documents with terms and conditions of the loan, and any amendments to these agreements; significant correspondence related to the administration of the loan; borrower's financial reports and other reports required by the terms of the loan; and record of repayment of the loan.

Disposition: Cut-off at expiration of loan Transfer to FRC when 3 years old. Destroy when ~~7 years old~~ ^{6 years and 3 months old}.

B. Grantee Revolving Loan Fund Accounts

These are revolving loan funds established and administered by grantees as part of the approved work program of a CSA grant. These records will be developed only for grantees that are administering loan accounts requiring continued federal oversight for a period beyond the close-out of the CSA grant. These records will include at a minimum: documents describing the purposes, criteria and terms and conditions under which the grantee will administer a revolving loan fund, and the definition of the point at which the federal oversight of the fund will no longer be required.

Disposition: Cut-off at close-out.

Transfer to FRC when 3 years old after Federal oversight is no longer required. Destroy 6 years and 3 months after Federal oversight is no longer required.

III. Legal Counsel Files *no longer required.*

These are records of the Office of Legal Counsel within the Director's office. Records are developed for three subject areas: Miscellaneous subject files; case files; and claims. There is no minimum content required in any of these subject areas. Records will contain as fully as possible the necessary documentation to support the federal government's interest in resolution of issues related to the subject matter.

Disposition: ~~X~~^A Miscellaneous subject files: Hold at OCS for 3 years. Destroy when three years old unless review by legal counsel indicates that continued retention at OCS for one more year is required.

B. ~~X~~ Case files: These are records related to cases brought by or against CSA and/or OCS.

~~A~~ Cut off when case is closed. Transfer to FRC when 3 year old. Destroy when 6 years and 3 months old.

~~B. At the time that records are prepared for transfer to the FRC, OCS may review the record to recommend it instead for retention by the Archives as a permanent record.~~

IV. Budget Documents

These are records related to budget preparation, presentation, and apportionment. This subject area is covered in the General Records Schedule #5. General Records Schedule #5 requires submission of a SF 115 Schedule for the following two items:

- # 1 -- Budget Policy Files
- # 2 -- Budget Estimates and Justification Files.

Definition of the content of these items is found in the General Records Schedules.

Disposition: Cut-off at the end of the budget year for which they were prepared. ~~Hold for~~ six years and three months ~~old~~.

Destroy when

All other OCS records will be disposed of according to the ~~General Record Schedules~~.

Handbook on Files Maintenance and Records Disposition for the Office of the Secretary, Dept. of Health and Human Services, to which is appended a copy of the General Records Schedule.