

REQUEST FOR RECORDS DISPOSITION AUTHORITY

(See Instructions on reverse)

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

JOB NO

N1-292-87-1

DATE RECEIVED

9-24-87

1 FROM (Agency or establishment)

Department of Health and Human Services

2 MAJOR SUBDIVISION

Family Support Administration

3 MINOR SUBDIVISION

Regional Offices

4 NAME OF PERSON WITH WHOM TO CONFER

Steve Smith

5 TELEPHONE EXT

245-0652

DATE

10/27/87

ARCHIVIST OF THE UNITED STATES

Frank & Burke

NOTIFICATION TO AGENCY

In accordance with the provisions of 44 USC 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disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.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.

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 4 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

9/22/87

C SIGNATURE OF AGENCY REPRESENTATIVE

George Deal
Dr. George Deal

D TITLE

**Department
Records Management Officer**

7
ITEM
NO

8 DESCRIPTION OF ITEM
(With Inclusive Dates or Retention Periods)

9 GRS OR
SUPERSEDED
JOB
CITATION

10 ACTION
TAKEN
*(NARS USE
ONLY)*

This schedule supersedes that part of Social Security Administration schedule NC1-47-81-9 relating to Family Assistance Program records maintained by regional offices.

copies to agency, NCF, NNA, NNF

8 items

Item No

Description of Records

Authorized Disposition

1, Program Policy Records

Records pertaining to the financial assistance and incentive aspects of public assistance. They consist of files relating to AFDC, AFDC emergency assistance and unemployed fathers. These files normally include information regarding eligibility requirements and limitations, program review and consultations, safeguarding the rights of applicants, fraud and recoupment accounting and payments, appeals, cooperation with other agencies, community work and training, compliance issues and other such program-related files.

Close out files at the end of each calendar year or after final resolution on redeterminations and litigations, whichever is later. Transfer 3 years thereafter to the FRC. Destroy ~~after a total of 6 years retention~~ *after close out.*
NC1-47-81-9-IX.A.

2. Grants Records

a. Discretionary (Project) Grants

Grants made in support of an individual project in accordance with legislation which permits the grantee agency to administer such grants. Record materials are to be maintained for each grant awarded. These records include official file copies of application evaluation documentation (including documents concerning review of applications and program records) and correspondence. These records may also include assurances and certifications (for civil rights, protection of human subjects, etc.)

Transfer to the FRC 2 years after project completion. Destroy 8 years after project completion.
NC1-47-81-9-IX.B.1.

b. Formula Grants

Grants provided to specified grantees on the basis of specific formula provided in legislation or regulation. These grants are generally mandatory. There is a file maintained for each annual formula grant awarded. These records include the budget information, award notices, progress reports, letters of credit, correspondence, cost allocation plans and other related documents.

Transfer to the FRC 2 years after close of the FY in which the grant was closed. Destroy 8 years after the FY in which closed.
NC1-47-81-9-IX.B.2.

<u>Item No.</u>	<u>Description of Records</u>	<u>Authorized Disposition</u>
3.	<p><u>State Plan Records</u></p> <p>Record copies of approved State plans, materials submitted by each State, territory and possession pertaining to State administration of public assistance grants-in-aid programs. The files contain copies of State laws, Attorney Generals' opinions, approved assistance plans developed by the States, formal transmittals, plans maintenance data and related material. Also included is the superseded materials. This file is basic for a study of the operations of public assistance programs in the States. These materials may be required as evidence in payment litigation cases of Federal/State agreements on services to be provided by the States.</p>	<p>Permanent. Transfer to the FRC 10 years after termination or supersession of the agreement. Offer to the National Archives 15 years after termination or supersession, <i>17 10 year blocks</i> NC1-47-81-9-IX.C.</p>
4.	<p><u>State Compliance Hearings</u></p> <p>Records consisting of correspondence, briefs, notes and official hearing dockets pertaining to States' plans, practices and procedures which are not in conformity with Federal provisions.</p>	<p>Transfer to the FRC 2 years after closeout. Destroy after a total of 7 years retention. <i>after close out.</i> NC1-47-81-9-IX.D.</p>
5.	<p><u>Management Assistance and Reviews</u></p> <p>Records pertaining to stimulation of State action in achieving selected management objectives and the systems to assure follow-through. They may contain such information as financial reviews and monitoring of State compliance with Federal financial report requirements.</p>	<p>Close out files at the end of each calendar year or after final resolution. Transfer to the FRC 3 years thereafter. Destroy after a total of 6 years retention. <i>after close out,</i> NC1-47-81-9-IX.E.</p>
6.	<p><u>Statistical and Other Operational Reports</u></p> <p>Monthly, quarterly and other periodic reports from States and possessions pertaining to recipients of financial assistance, including estimated and actual expenditures for programs. These include reports prepared by the ROs, also include information on caseload, standards for eligibility determination, disposition of application, fair hearing activities and fraud.</p>	<p>Close out files at the end of the budget year. Destroy when 3 years old. NC1-47-81-9-IX.F.</p>

Item No.

Description of Records

Authorized Disposition

7.

Audit Reports

Reports pertaining to the audit of contracts, grants and internal operating and management procedures relating to programs. The audits are conducted by internal staff, HHS Audit Agency and by GAO. Included in the file are resolutions and supporting documentation.

Destroy when 3 years old.
NC1-47-81-9-IX.G.