

INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-292-90-003

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 Items are either obsolete or have been superseded by newer NARA approved records schedules.

Description:

Items 1 and 2 were not appraised in this schedule.

Items 3 through 7 and 11 are superseded by GRS 1.2, item 020 (DAA-GRS-2013-0008-0001).

Item 8 is superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001).

Items 9 and 10 are superseded by GRS 1.1, item 080 (DAA-GRS-2017-0005-0001).

The agency concurred with these supersessions on July 13, 2021.

Date Reported: 07/13/2021

INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

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

N1-292-90-3

DATE RECEIVED

5/17/90

1 FROM (Agency or establishment)

NOTIFICATION TO AGENCY

Department of Health and Human Services

2 MAJOR SUBDIVISION

Family Support Administration

3 MINOR SUBDIVISION

Office of Financial Management

4 NAME OF PERSON WITH WHOM TO CONFER

5 TELEPHONE EXT

DATE

ARCHIVIST OF THE UNITED STATES

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 8 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

C SIGNATURE OF AGENCY REPRESENTATIVE

D TITLE

5/11/90

A Prentice Barnes, Sr.

DHHS Records Management Officer

7
ITEM
NO8 DESCRIPTION OF ITEM
(With Inclusive Dates or Retention Periods)9 GRS OR
SUPERSEDED
JOB
CITATION10 ACTION
TAKEN
(NARS USE
ONLY)

This schedule supersedes that part of Social Security Administration and Office of Child Support Enforcement, NC1-47-81-9, NC1-292-84-1 and Office of Community Services NC1-381-80-1 programs now maintained by the Family Support Administration.

Copies sent to Agency, NW-W, NNT, NCF 10/25/94

FSA/OFM Records Retention Schedule

<u>Description of Records</u>	<u>Authorized Disposition</u>
1. <u>Unsuccessful Grant Applications</u> - Applications, correspondence and other records relating to unsuccessful (rejected or withdrawn) applications	- Destroy 3 years after rejection or withdrawal (GRS 3 - Item 13)
2. <u>Grant Administrative Files</u> - Correspondence and/or subject files relating to routine operations and daily activities in administration of the grant Program.	- Destroy when 2 years old (GRS 3-Item 14)
3. <u>State Administered Formula Grant Files</u> - Files documenting State administered formula grants under the FSA programs. The records include budget information, award notices, computation data, program and financial reports, letters of credit, and cost allocations. Also included are decision letters from Regional Administrators. These records are retained for reference and may be needed as supporting documentation in State appeals or litigation initiated by States to recover funds.	- Close out file the end of the budget year. Transfer to FRC 24 months after close out. Destroy when 10 years old (GRS 3, Item 14: Note) NCI-47-84-4/33 NCI-292-84-1/1
4. <u>Block Grant files for States, Territories and Indian Tribes</u> - Files documenting State, Territory and Indian Tribe block grants under the FSA programs. Records include obligating documents, grant application and/or State plans, statutory assurances and certifications, program and financial reports and related materials to the management of the grant; and grant close-out documents.	- Transfer to FRC 18 months after close out of the grant. Destroy 6 years 3 months after close of the fiscal year in which grant expires. (GRS 3, Item 14: Note) NCI-381-80-1 NCI-47-84-4/34

<u>Description of Records</u>	<u>Authorized Disposition</u>
<p>5. <u>State Project Grant Files</u> Grants made in support of an individual project in accordance with legislation which permits a grantee agency to administer such grants. Records include FSA programs announcements, State proposals, application evaluation and related materials.</p>	<p>- Transfer to FRC 18 months after close out of grants. Destroy 6 years 3 months after close of fiscal years in which grants expires. (GRS-3, Item 14: Note) NCI-47-84-4</p>
<p>6. <u>Discretionary Grant Files</u> These files are the working documents for FSA categorical grants which are not State administered under the FSA programs. The records include copies of the application, evaluation documentation, award notice, program and financial reports. Records also include documents prepared in grant close-out.</p>	<p>- Transfer to FRC 18 months after close out of grant. Destroy 6 years, 3 months after close of fiscal year in which grant expires (GRS-3, Item 14: Note) NCI-47-84-4/36</p>
<p>7. <u>Research and Demonstration Project Grant Files</u> Files documenting the project which are Federal grants (demonstration grantse) to States who volunteer to conduct study programs. The records are filed by project (by State or Contractor)a The files contain applications and correspondence, notation of approval or disapproval, comments of FSA components, copies of decision memorandums to establish programs, progress reports, and final project reports.</p>	<p>- Transfer to FRC 18 months after close out of grant. Destroy 6 years 3 months after close of fiscal year in which grant expires. (GRS-3, Item 14: Note) MRM. 07 Sch. 6/106</p>

<u>Description of Records</u>	<u>Authorized Disposition</u>
<p>8. <u>Grantee Revolving Loan Fund Accounts</u> These are revolving loan funds established and administered by grantee as part of the approved work program of a FSA 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 FSA 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 definitions of the point at which the federal oversight of the fund will no longer be required.</p>	<p>- Transfer to FRC 18 months after close out of grant. Destroy 6 years, 3 months after close of fiscal year in which grant expires. (GRS-3, Item 14; Note);</p>
<p>9. <u>Claims Collection Files Related to Grantees</u> These records are related to FSA efforts to collect claims owed by FSA 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 other significant correspondence supporting the FSA claim against the grantee.</p>	<p>- Hold 3 years after the federal claim collection activity has been successfully completed or terminated and then destroy at the end of the 3rd year. (GRS-3, Item 14; Note)</p>

<u>Description of Records</u>	<u>Authorized Disposition</u>
<p>10. <u>Deferral and Disallowance Files</u> Files maintained in State order documenting the deferral or disallowance of State submitted expenditures. Expenditure items generally are disallowed because the items are not covered under the Social Security Act or regulations. Deferral or disallowance actions may be appealed and can result in litigation for recovery of funds. Contents of the files include regional office review reports and recommendations; correspondence with States and internal correspondence; and related records.</p>	<p>- Close out at end of the budget year or when all avenues of appeal or recommendations have been exhausted whichever is later</p> <p>- Transfer to FRC 18 months after close out. Destroy when 6 years 3 months old. (GRS-3, Item 14.)</p> <p>NCI-292-84-1/2</p>
<p>11. <u>Audit Files</u> Records relating to both management and financial audits of FSA grantees operations including notifications of forthcoming audits, nonrecord copies of draft and final reports, comments on findings and recommendations, findings of appeal board and pertinent documentation supporting the findings of the appeals board.</p>	<p>- Destroy 2 years after audit closure. (GRS-3, Item 14; Note)</p> <p>MRM-07, Sch 6, Item 8</p> <p>NCI-292-84-1/9</p>
<p>12. <u>Budget Estimates & Justification Files</u> Files consist of FSA budget estimates and associated justification statement submitted annually to ASMB. The files are used in the preparation of the annual FSA budget submission to the Department of Health and Human Services</p>	<p>- Destroy 5 years after the close of the budget year. (GRS-5, Item 4; Note)</p> <p>NCI-292-84-1/3</p>

Description of RecordsAuthorized Disposition

and the Office of Management and Budget (OMB). Included are copies of Quarterly Budget Estimates; Summary of Estimates for Travel and Transportation of Persons; Summary of Estimates for Transportation of Things; Summary of Estimates of Rent, Communication and Utilities Services; and equivalent or related documents. Also included are working papers, correspondence, and background materials.

13. FSA Budget and Document Files
Files contain copies of annual FSA budget submission to HHS and OMB outlining position, manpower and funding requirements for all programs administered by FSA. Submissions are composed of: (1) summary statements (i.e., statements of appropriations and expenditures, statements of receipts, statements of numbers of personnel, schedules of accrued assets and liabilities and narrative statements summarizing the principal features of the budget request; (2) detailed material on appropriations and funds (i.e., language sheets, schedules of amounts available for appropriation, program and financing schedules, narrative statements on program and performance, and schedules of object classification and personnel summary; (3) justifications and explanations; (4) other documents required for budget examination and analysis. Official record copies are maintained by other Federal components.

- Destroy 10 years after the budget year. (GRS-5, ~~Item 4: Note~~)

NCI-292-84-1/4

<u>Description of Records</u>	<u>Authorized Disposition</u>
<p>14. <u>Budget Hearings Documents</u> These documents are used by FSA officials in testifying at budget hearings conducted by HHS, OMB and the Congress. They provide background information on the FSA budget submission in general, as well as detailed explanations and justifications of specific sections thereof.</p>	<p>CUT OFF AT THE CLOSE OF THE BUDGET YEAR.</p> <p>- Transfer to FRC when 10 years old. (GRS-5, Item 4: Note) DESTROY WHEN 20 YEARS OLD.</p> <p>NCI-292-84-1/5</p>
<p>15. <u>Budget Instructions and Decision Files</u> These files consist of instructions (e.g., manuals, directives, circulars), decision, analysis, and other official publications of HHS, OMB and the Treasury Department relating to budget preparation and execution. They are retained for reference purposes.</p>	<p>- Destroy when superseded or obsolete. (GRS, Item 5: Note)</p> <p>NCI-292-84-1/6</p>
<p>16. <u>Budget Reports File</u> Files contain various reports on the various FSA fiscal appropriations and appointments. Examples include:</p> <p>* <u>Operating Plans</u> - Schedule of Commitments/Obligations. This report lists actual expenditures for the first quarter, and projects monthly expenditures for the remainder of the year by object and subobject classification code.</p> <p>* <u>Monthly Transaction Reports</u> This report is prepared by PHS, Division of Finance, and provides FSA with a detailed account of total Agency expenditures by object and subobject classification code.</p>	<p>CUT OFF AT THE END OF THE BUDGET YEAR.</p> <p>- Destroy 5 years thereafter. (GRS-5, Item 4: Note)</p> <p>NCI-292-84-1/7</p>

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<u>Description of Records</u>	<u>Authorized Disposition</u>
17 <u>Budget Execution Files</u> Files contain records created and accumulated in monitoring budget execution. Included are logbooks, data printouts, working papers and other relevant material. Since these records reflect FSA actual expenditures, they may be used as background data for budget activities (i.e. budget preparation)	- Destroy 5 years after the close of the budget (GRS-5, Item 4, Note) NCI-292-84 - 1/8