

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

## **Schedule Number: NC1-439-77-03**

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 7/31/2023

### **ACTIVE ITEMS**

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

All items except those listed below are active

### **SUPERSEDED AND OBSOLETE ITEMS**

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

Item 1 is superseded by NC1-439-85-01 #8

Item 3 is superseded by NC1-439-85-01 #3

Item 5 is superseded by NC1-439-85-01 #5, 8

**REQUEST FOR RECORDS DISPOSITION AUTHORITY**  
(See Instructions on reverse)

*7 items*

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

1 FROM (AGENCY OR ESTABLISHMENT)  
**Department of Health, Education, & Welfare**

2 MAJOR SUBDIVISION  
**Office of Human Development**

3 MINOR SUBDIVISION  
**Office of Native American Programs**

4 NAME OF PERSON WITH WHOM TO CONFER  
**Peggy Lacey**

5 TEL EXT  
**426-8390**

LEAVE BLANK

JOB NO  
**NC1 439 77 3**

DATE RECEIVED  
**27 MAY 1977**

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disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10

*6-21-77* *James B. Rhoads*  
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 4 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 <b>5/16/77</b>	D SIGNATURE OF AGENCY REPRESENTATIVE <i>Russell O. Hess</i> <b>Russell O. Hess</b>	E TITLE <b>Department Records Management Officer</b>
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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
1.	<p><u>General Subject File</u></p> <p>Files broken down by subject consisting of correspondence including White House, Agency Heads and other public inquiry pertaining to the Office of Native American Programs. Guidelines, issuances and reports setting forth policy for the operation of Native American Programs filed alphabetically by subject.</p> <p><u>Authorized Disposition</u></p> <p>(a) <u>Guidelines, issuances relating to ONAP policies (ONAP IS THE OFFICE OF RECORD)</u></p> <p><u>PERMANENT</u></p> <p>Transfer to FRC when 10 years old. Offer to NARS when 20 years old.</p> <p>Estimated annual volume: 6 cubic inches</p> <p>Arrangement: Guidelines, issuances maintained in binders to indicate type of issuance.</p>		

115-107

*Sent to agency, all FCC's, NCW, NAIF, NNB*

STANDARD FORM 115  
Revised April, 1975  
Prescribed by General Services Administration  
FPMR (41 CFR) 101-11.4

*6/22/77*

Office of Native American Programs  
Office of Human Development, D/HEW

(b) Balance of General Subject Files

Break file at end of each year.  
Destroy when 2 years old, or when  
no longer needed for administrative  
purposes.

2. Nonrecord Reference Materials (Resource Files)

Reading files, extra copies of correspondence and other records whether relating to programs or administrative activities, information copies, drafts, working papers, and publications received for reference use.

Authorization

File nonrecord material separate from official records.  
Destroy within 1 year or when no longer needed for reference.

3. Project Grants and Contracts

Financial assistance to public and non-profit private agencies, including but not limited to governing bodies of Indian tribes on Federal and State reservations, Alaska Native villages and Indian organizations in urban or rural non-reservation areas. Contracts for research, evaluation, training and technical assistance, and Inter-Agency Agreements. The files contain applications, approval documents, reports, evaluations, correspondence and final reports. The Division of Grants and Contract Management, OHD, is the office of record.

EXCEPTION: Regional Offices administer Urban Indian Programs, therefore the office of record for these files are all in the Office of Human Development within each region.

Office of Native American Programs  
Office of Human Development, D/HEW

Authorized Disposition:

(a) Official Grant File Transfer to Federal Records Center 1 year after close-out. Destroy 6 years after transfer if audit has not been performed or if an audit was performed and there are no outstanding problems. If a grant is audited and findings indicate adjustment, such grant file shall be transferred to the Federal Records Center 1 year after final disposition of findings and destroyed 6 years after transfer.

Working file Destroy 3 years after final close-out.

(b) Official Contract File Place in inactive file on final payment, transfer fiscal year block to Federal Records Center after 2 years. Destroy 6 years after final payment.

Working file Destroy 3 years after final close out.

4. Disapproved grant applications and contracts including unsolicited proposals

Disapproved, withdrawn or otherwise unsuccessful projects.

Authorized Disposition

Generally applications will not be returned to unsuccessful applicants unless specifically requested by applicant. Copies of unsuccessful proposals will be destroyed in 6 months. A copy of the letter to the unsuccessful applicant with a full explanation of the reasons why the application was not approved or funded shall be destroyed after 2 years.

Office of Native American Programs  
Office of Human Development

5. Plans, Objectives and Budget Information

These are reports containing statement of operational objectives for a given fiscal year, detailed plans describing how these objectives will be achieved, and periodic reports on the progress which has been made toward achieving the objectives. The plans specify the milestones and completion date, the resources required, and the lead component for each objective. Plans are prepared and forwarded and retained by the Office of the Assistant Secretary for Human Development.

Authorized Disposition

Break file at end of 3 years. Hold for one year. Destroy.

CONCURRENCES:

Peggy Lacey 5/12/77  
ONAP Records Liaison Officer

Dorothy J. Butler 3/16/77  
OHD Records Officer

**APPRAISAL REPORT ON DISPOSITION OF RECORDS**

DATE

JOB NUMBER

June 17, 1977

NC1-139-77-3

**SECTION I - APPROVED FOR DISPOSAL**

ITEM(S) FOR WHICH DISPOSAL AUTHORITY IS REQUESTED, IS (ARE) DISPOSABLE BECAUSE IT DOES (THEY DO) NOT HAVE SUFFICIENT VALUE FOR PURPOSES OF HISTORICAL OR OTHER RESEARCH, FUNCTIONAL DOCUMENTATION, OR THE PROTECTION OF INDIVIDUAL RIGHTS TO WARRANT PERMANENT RETENTION BY THE FEDERAL GOVERNMENT.

Excent as indicated in section II.

GENERAL ACCOUNTING OFFICE CONCURRENCE

SEE COMMENTS OR ATTACHED LETTER.

**SECTION II - APPROVED FOR PERMANENT RETENTION**

ITEM(S) THAT IS (ARE) APPROVED FOR PERMANENT RETENTION, FOR THE REASONS INDICATED IN SECTION VII THE AGENCY WILL OFFER THESE RECORDS TO THE NATIONAL ARCHIVES AND RECORDS SERVICE AS SPECIFIED IN THE SCHEDULE.

Item 1-(a).

**SECTION III - APPROVED FOR DISPOSAL AFTER CONVERSION TO MICROFORM**

ITEM(S) FOR WHICH DISPOSAL AUTHORITY IS REQUESTED, IS (ARE) DISPOSABLE BECAUSE THE RETAINED MICROFORM IS AN ADEQUATE SUBSTITUTE FOR THE ORIGINAL RECORDS. THE AGENCY CERTIFIES COMPLIANCE WITH THE STANDARDS SET FORTH IN FPMR 101-11.504.

**SECTION IV - DISPOSAL NOT APPROVED**

ITEM(S) THAT IS (ARE) NOT APPROVED FOR DISPOSAL AT THIS TIME. THE AGENCY WILL RESUBMIT THIS (THESE) ITEM(S) WHEN SUFFICIENT INFORMATION IS AVAILABLE TO DETERMINE THE VALUE OF THESE RECORDS FOR AGENCY AND ARCHIVAL PURPOSES. IF NOT RESUBMITTED WITHIN SIX MONTHS NARS WILL CONTACT THE AGENCY.

**SECTION V - WITHDRAWN**

ITEM(S) THAT HAS (HAVE) BEEN WITHDRAWN AT THE REQUEST OF THE AGENCY.

SIGNATURE OF APPRAISER

*Peter N. Langness*

DATE

*6/17/77*

**SECTION VI - APPROVAL/CONCURRENCES**

APPROVAL



DIRECTOR, RECORDS DISPOSITION DIVISION

*Carmelita S. Ryan*

DATE

*6/17/77*

CONCURRENCES



*Jane F Smith*

NNF

DATE

*6-20-77*

DATE

**SECTION VII - APPRAISER'S RECOMMENDATION**

COMMENTS Item 1-(a) is scheduled for permanent retention because it consists of guidelines and issuances which document the basic policies of the Office of Native American Programs. The Office of Human Development will offer these records to NARS when they are 20 years old.

# MEMORANDUM

DEPARTMENT OF HEALTH EDUCATION, AND WELFARE  
OFFICE OF THE SECRETARY

TO : Mr. Larry Herrmann  
Director, Office of Administrative Services  
GAO

DATE MAY 17 1977

FROM : Mr. Thomas Wadlow  
Director, Records Disposition Division  
NARS  
Department Records Management Officer

SUBJECT Request for Records Disposition Authority

Attached for your concurrence and/or approval is a proposed records disposition schedule for records of the Office of Native American Programs, Office of Human Development, DHEW. The schedule is being resubmitted with amendments made per discussion with NARS; earlier submissions are superseded.

Any questions regarding the schedule may be directed to Peggy Lacey of ONAP on 426-8390. Thank you for your assistance.

*Eugene J. Reed, Jr.*  
for Russell O. Hess

Attachment



# MEMORANDUM

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE  
OFFICE OF THE SECRETARY

To: Peter Laugesen  
General Services Administration  
National Archives & Records Service

May 12, 1977

From: Peggy Lacey *PL*  
Office of Native American Programs  
Office of Human Development  
D/HEW

Subject: Request for Records Disposition Authority

During our telephone conversation on May 6, 1977, the following items were discussed:

- 1) The Intra Department Council on Indian Affairs is no longer a function of the Office of Native American Programs therefore, those conference and committee records are not included in the general subject file.
- 2) No formal annual reports are required from this office. Briefing documents and summary of activities for OMB and Congress are prepared in response to specific questions on an ad hoc basis. Therefore, item 6 is omitted from the schedule.
- 3) The annual volume of final reports for grants is minimal as most of the grants are continuation of funding. Final contract reports have an estimated annual volume of 1 cubic foot.

June 9, 1977

NC1-439-77-3

Director  
Records Disposition Division

Disposition schedule NC1-439-77-3 consists of records of the Office of Native American Programs of the Office of Human Development (DHEW). Our comments on several items follow.

Item 1. The general subject file is in ~~two~~ parts to provide for permanent retention of guidelines and issuances relating to ONAP policies and disposal of the remainder of the file.

Item 5. Records are recommended for disposal because the office of record is the Office of the Assistant Secretary for Human Development. The schedule for this office has not yet been submitted to NARS.

The Office of Native American Programs exists to support the special concerns of American Indians, Alaskan Native\$, and Hawaiian Natives. The principal means of support is funding through grants. As indicated in the attached letter of May 12, 1977, final reports are prepared for grants and total approximately one cubic foot annually.

Permanent retention of issuances and guidelines only seems appropriate and sufficient for purposes of archival research. The scope and functions of ONAP are, of course, comparatively limited. Federal programs of greater impact on native American interests are probably those of the larger agencies and depart-

ments. If NNE prefers permanent retention of the final reports, we can change the disposition instructions to provide for eventual accessioning.

We recommend approval of this disposition schedule.

Peter N. Laugesen  
Records Disposition Division

GENERAL SERVICES ADMINISTRATION  
ROUTING SLIP

TO <sup>6</sup>	CO	R1	R2	R3	R4	R5	R6	R7	R8	R9	R10
NAME/TITLE						CORRESPONDENCE SYMBOL					
1.	<del>To: [unclear]</del>										
2.	Peter Juurinen					100					
3.											
4.											
5.											

- |   |   |   |
|---|---|---|
| <input type="checkbox"/> ALLOTMENT SYMBOL | <input type="checkbox"/> HANDLE DIRECT              | <input type="checkbox"/> READ AND DESTROY |
| <input type="checkbox"/> APPROVAL         | <input type="checkbox"/> IMMEDIATE ACTION           | <input type="checkbox"/> RECOMMENDATION   |
| <input type="checkbox"/> AS REQUESTED     | <input type="checkbox"/> INITIALS                   | <input type="checkbox"/> SEE ME           |
| <input type="checkbox"/> CONCURRENCE      | <input type="checkbox"/> NECESSARY ACTION           | <input type="checkbox"/> SIGNATURE        |
| <input type="checkbox"/> CORRECTION       | <input type="checkbox"/> NOTE AND RETURN            | <input type="checkbox"/> YOUR COMMENT     |
| <input type="checkbox"/> FILING           | <input type="checkbox"/> PER OUR CONVERSATION       | <input type="checkbox"/> YOUR INFORMATION |
| <input type="checkbox"/> FULL REPORT      | <input type="checkbox"/> PER TELEPHONE CONVERSATION | <input type="checkbox"/>                  |
- ANSWER OR ACKNOWLEDGE ON OR BEFORE June 21, 1977
- PREPARE REPLY FOR THE SIGNATURE OF \_\_\_\_\_

REMARKS: Disposition schedule W01-439-77-3  
Comments:  
*NNF has no objection to this proposed schedule  
A.V.B.*

FROM	CO	R1	R2	R3	R4	R5	R6	R7	R8	R9	R10
NAME/TITLE						CORR. SYMBOL		BUILDING, ROOM ETC			
Peter Juurinen						TELEPHONE		DATE			
						707-1590		6/9/77			