REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

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 Human Development Services

3 MINOR SUBDIVISION
   Office of Management Services, DAS

4 NAME OF PERSON WITH WHOM TO CONFER
   Betty Putnam

5 TELEPHONE EXT
   245-2882

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 11 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

   GAO concurrence ☐ is attached, or ☐ is unnecessary

7 DATE
   11/27/84

8 DESCRIPTION OF ITEM
   PROGRAM RECORDS:
   Administration on Aging; Administration for Children, Youth and Families; Administration on Developmental Disabilities; and Administration for Native Americans.

   Recind Disposition Authorities -
   - NC1-439-80-1
   - NC1-439-77-3
   - NC1-439-77-4
   - NN 172-31
   - NN 172-161
   - NC1-439-77-5

   The following items 1 through 23 are to supersede the above rescinded disposition authorities.
STUDIES/PROJECTS

1. CONTRACTS
   (Maintained by Program Offices)
   Record/Subject Content - Sole source justification, request for proposal (RFP), summary of evaluation of proposals, pre-award memos and notes, notice of contract award, contract, project work schedule, EEO compliance, security clearances, monitoring notes, invoice approvals, requests for time extensions or additional funds, audit reports and actions, termination notices, contract close out check list and summary report.

   Disposition - Transfer to Records Center 1 year after termination or completion.

   Destroy 6 years and 3 months after termination or completion.

2. CONFERENCES AND WORKSHOPS
   Record/Subject Content - Program concept, program development and plans, announcements and invitations, speaker assignments, program agenda and schedules, travel and hotel arrangements, meeting place arrangements, reports, reviews and evaluations.

   Disposition - Destroy 2 years after completion of conference or workshop.

3. Grants
   (Maintained By Program Offices)
   Record/Subject Content - Application (SF-424) budget information, project abstract, award announcement, grantee performance and status reports, financial reports, guidelines and instructions, request for and action on project definition changes, monitoring notes, audit reports, final project report, grant closing notice.
   (includes formula and block grants).

Superseded
Job Citation
NN-172-161
Items 16, 21, 22, 23 & 59.
NC1-439-77-4
Item 3.
NC1-439-77-3
Item 3.
NN-172-31
Item 3.
GRS3/4
3. Grants continued

Disposition - a. Official files, excluding those duplicating records in the Grants Accounting Files in Item 13:

Transfer to FRC 1 year after completion or termination. DESTROY 6 years and 3 months after completion or termination.

b. Working files

DESTROY 3 years after termination or completion.
Disposition - Transfer to Records Center 1 year after termination or completion.

Destroy 6 years and 3 months after termination or completion.

Formula Grants
(Maintained by Program Offices)

Disposition - Send to Records Center 1 year after termination.

Destroy 6 years and 3 months after termination.

Block Grants
Record/Subject Content - Notice of availability of funds for state expenditure, states pre-expenditure plans, notice of receipt of plans, application and assurance memoranda, evaluation reports, summary reports, state and regional office correspondence.

Arrangement - By year, then alphabetically by program, the state/territory, then agency or institution (if applicable).

Disposition - Permanent. Transfer to Records Center 1 year after termination. Offer to the National Archives when 10 years old in 5 year blocks.

Destroy 6 years and 3 months after termination.

Approximate Annual Volume - 3 cubic ft.
Volume on hand about 6 cu. ft. from 1902 to 1964.
46. **FINAL PROJECT REPORTS**

**Record/Subject Content** - One copy of each final project report resulting from a grant or contract.

**Arrangement** - By year of grant or contract completion, then by grant or contract number.

**Disposition** - Permanent. Transfer to the Records Center 2 years after the completion of the grant or contract. Offer to the National Archives when 10 years old in 5 year blocks.

**Approximate Annual Volume** - 7 cubic feet.

56. **HDS Operating Plans**

**Record/Subject Content** - Requests to program and support groups for planning data submissions, request for advice, request for delays, program and support groups operating plans, evaluations and comments, revisions and additions to plans, status and performance reports.

**Arrangement** - By year, then alphabetically by HDS Group and numerically by regional office.

**Disposition** - Permanent. Transfer to Records Center 3 years after completion of Plans. Offer to National Archives when 10 years old in 5 year blocks.
DESTROY when no longer needed.

**Approximate Annual Volume** - 2 cubic feet.

66. **NOTICES - ALLOTMENT OF FUNDS, ANNOUNCEMENTS, MEETINGS**

**Record/Subject Content** - Statement of need for Notice, draft of Notice, comments and changes, concurrences and clearances, Federal Register copy of Notice.
Disposition - Transfer to Records Center 2 years after publication in Federal Register.

Destroy when 7 years old.

70. REGULATIONS - DEVELOPMENT, PROMULGATION, REVISION
(Maintained by Program Offices)

Record/Subject Content - Copies of Congressional Bills and Acts, Congressional reports related to Regulation, Regulation outline and draft, in-house and inter-agency comments, OMB approval, Federal Register Notice and request for comments, comments and responses, hearing notices, hearing arrangements, hearing minutes and summary, impact analysis, flexibility analysis, press releases, newspaper and magazine articles, final draft and comments, Federal Register copy of Regulation.

Arrangement - Numerically by CFR number, then part, then section (if necessary).

Disposition - Permanent. Transfer to Records Center 1 year after publication in the Federal Register. Offer to the National Archives when 10 years old in 5-year blocks. Destroy in office when no longer needed.


816. Program Performance and Evaluation

Record/Subject Content - Summaries of grant and contract activities (quarter/annually), major accomplishment and highlights, commendations and awards, project descriptions, summaries of grant and contract audits, statistical measurements of project and program accomplishments, examples of program benefits, dollar inputs vs benefits denied, planned program changes, new initiatives and strategies, reports to Congress and the President, copies of major publications, copies of completed grant and contract reports.

Superseded Job Citation

NCl-439-77-3
Item 1.

NN-172-161
Items 27, 46, 47, 48, 49, 53 & 54
NCl-439-77-4
Item 6.
NCl-439-77-3
Items 1 & 5.
Arrangement - By Year, then alphabetically by subject.

Disposition - Permanent. Transfer to Records Center when 3 years old. Offer to National Archives when 10 years old in 5 year blocks.

Approximate Annual Volume - 3 cubic feet.

Statistical and Research Records

Record/Subject Content - Research reports, position papers and statistical compilations prepared in the administration.

Arrangement - A. Retain 1 copy of each whether published or unpublished by date. B. File feeder reports received from states and other sources used to complete reports and statistics in separate folders by date.

Retention - Two years after completion or termination.

Disposition - Permanent. A. Retain 1 copy of each whether published or unpublished by date. Transfer to Records Center two years after completion. Offer to National Archives when 10 years old in 5 year blocks. B. File feeder reports received from states and other sources used to complete reports and statistics in separate folders by date. Dispose of 3 years after receipt.

Approximate Annual Volume - 6 cu. ft.
contract award, contract, project work schedule, EEO compliance, security clearances, monitoring notes, invoice approvals, requests for time extensions or additional funds, audit reports and actions, termination notices, contract close out check list and summary report.

Disposition - Transfer to Records Center 1 year after completion of contract. Destroy 6 years and 3 months after completion or termination.

II 76. DISCRETIONARY GRANT PRE-APPLICATIONS

Record/Subject Content - Pre-application (SF-424), concept paper, reviewer comments and evaluation, award/rejection notices, memoranda and correspondence.

Disposition - Destroy 1 year after file break.

II 74. DISCRETIONARY GRANT APPLICATIONS (Resulting from Pre-application process or direct solicitation.)

Record/Subject Content - Application (SF-424), budget information, project abstract, evaluation notes and comments, award/rejection notices, memoranda and correspondence.

Disposition - Transfer to Records Center 1 year after completion of grant. Destroy 6 years and 3 months after completion.

13 76. Grants

Record/Subject Content - Application (SF-424), budget information, project abstract, award announcement, grantee performance and status reports, financial reports, guidelines and instructions, request for and action on project definition changes, monitoring notes, audit reports, final project report, grant closing notice, and correspondence. (includes formula and block grants)
Disposition - Transfer to Records Center 1 year after completion of grant. Destroy 6 years and 3 months after completion.

**Formula Grants**

Record/Subject Content - Notice of grant award, Federal Allotment Computation Schedule, Report of Federal Action (SF-424), Financial Status Report (SF-269), quarterly estimates of expenditures and approvals, audit reports, memoranda and correspondence, copies of state laws (enabling legislation), regional office reports.

Disposition - Transfer to the Records Center 1 year after the end of the grant year. Destroy 6 years and 3 months after termination or completion.

**Block Grants**

Record/Subject Content - Notice of availability of funds for state expenditure, states pre-expenditure plans, notice of receipt of plans, application and assurance memoranda, evaluation reports, summary reports, state and regional office correspondence.

Disposition - Transfer to the Records Center 1 year after the end of the grant year. Destroy 6 years and 3 months after completion or termination.

PUBLIC AFFAIRS

**Record/Subject Content** - One copy of each publication, film or tape issued by or under contract to HDS.

**Arrangement** - By media, by year, then alphabetically by title.
Disposition - Permanent. Transfer to the Records Center 1 year after printing and distribution. Offer to the National Archives when 10 years old in 5 year blocks.


BUDGET AND FINANCE

BUDGET DEVELOPMENT AND FORMULATION

Record/Subject Content - Budget estimates and justifications, staffing requirements, space requirements, research and development data, receipt estimates, language sheet, statements of programs and performances, summary of grant and contract activity, data processing costs, object classification schedules, draft and final copies of HDS budget submission, rejection appeals, evaluations and comments.

Arrangement - By Fiscal Year, then alphabetically by subject.

Disposition - Permanent. Transfer to the Records Center 2 years after the close of the Fiscal Year. Offer to the National Archives when 10 years old in 5 year blocks.

Destroy when no longer needed.


ASSISTANT SECRETARY'S OFFICE

ASSISTANT SECRETARY'S CHRONOLOGICAL FILE

Record/Subject Content - Provides a day-to-day commentary (history) on the issues, events, and operations of the Office of Human Development Services, consists of memos, correspondence, policy statements, and reports issued by the Assistant Secretary. The Assistant Secretary does not maintain an administrative or management file.
Arrangement - By year, the month, the day.

Disposition - Permanent. Break file at the end of year and transfer to Records Center 2 years later. Offer to the National Archives when 10 years old in 5 year blocks.


Council Appointments and Meetings

Record/Subject Content - Notice of Council appointments, resignations and removals, agendas and minutes of Council and subcommittee meetings, special Council reports and recommendations.

Arrangement - Alphabetically by subject.
Disposition - Permanent. Break file at the end of 4 years. Keep in office 1 additional year, then send to the Records Center. Offer to the National Archives when 10 years old in 5 year blocks.

Approximate Volume - 1 cubic foot.
Volume on hand about 5 cu. ft. from 1975 to 1984.

Record Copies of Annual Reports, Project Reports and Publications

Record/Subject Content - One copy of each Annual Report produced by the Council for the President and/or Congress, one copy of each report resulting from a grant or contract or task force, one copy of each publication produced by the Council.

Arrangement - Alphabetically by subject.

Disposition - Break file at the end of 4 years. Keep in office 1 additional year, then send to the Records Center. Offer to the National Archives when 10 years old in 5 year blocks.

Approximate Volume - 3 cubic feet.
Volume on hand about 9 cu. ft. from 1975 to 1984.

OFFICE OF POLICY AND LEGISLATION

CONGRESSIONAL HEARINGS

Record/Subject Content - Announcement and schedule of hearings, hearing plans and arrangements, briefing papers, lists of proposed questions and suggested answers, prepared statements, notes and comments, transcripts, newspaper and magazine clippings, press releases, evaluation and summary of hearings, committee reports.

Arrangement - By year and date, then alphabetically by committee name.