

## Request for Records Disposition Authority

Records Schedule Number           DAA-0514-2013-0001

Schedule Status                     Approved

  

Agency or Establishment           Department of Health and Human Services

Record Group / Scheduling Group   Records of the Office of the Assistant Secretary for Health

Records Schedule applies to       Major Subdivision

Major Subdivision                  Office of the Secretary

Minor Subdivision                  Office of the Assistant Secretary for Health/Office of Grants Management

Schedule Subject                   Office of Grants Management Records

Internal agency concurrences will be provided   Yes

Background Information           The Office of Grants Management is responsible for overseeing and monitoring all of the operational business management aspects of the following seven assistance programs

- Office of Adolescent Health
- Office of Disease Prevention and Health Promotion
- Office of Population Affairs
- Office of Minority Health
- Office of the Surgeon General
- Office of Women’s Health
- Office of Global Affairs (the only non-OASH office)

The Office of Grants Management responsibilities comprise over 425 active projects. This includes ensuring that the business and administrative aspects of the receipt, review, negotiation, award and administration of all Office of Assistant Secretary for Health (OASH) assistance awards comply with Federal and Departmental guidelines established for the award and expenditure of Federal funds

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
9	3	6	0

GAO Approval

## Outline of Records Schedule Items for DAA-0514-2013-0001

Sequence Number	
1	Discretionary Grant Program Records
1 1	General Program Information Files
1 1 1	Program Announcement Files Disposition Authority Number DAA-0514-2013-0001-0001
1 1 2	Funding Decision Files Disposition Authority Number DAA-0514-2013-0001-0002
1 1 3	Application Evaluators Lists Disposition Authority Number DAA-0514-2013-0001-0003
1 2	Official Grant Files
1 2 1	Grant Case Files Disposition Authority Number DAA-0514-2013-0001-0004
1 2 2	Grant Final Reports or Final Year Reports
1 2 2 1	Adolescent Family Life Grant Final Reports Disposition Authority Number DAA-0514-2013-0001-0005
1 2 2 2	Family Planning Service Grants Final Reports
1 2 2 2 1	Reports of projects funded under Title X, Sections 1003, 1004, and 1005 f or research, training, information, and education Disposition Authority Number DAA-0514-2013-0001-0006
1 2 2 2 2	Reports of projects funded under Title X, Section 1001 of the Public Health Service Act, closed prior to 1997 Disposition Authority Number DAA-0514-2013-0001-0007
1 2 2 2 3	Reports of projects funded under Title X, Section 1001 of the Public Health Service Act, closed after 1997 Disposition Authority Number DAA-0514-2013-0001-0008
1 2 2 3	All Other Grant Final Reports or Final Year Reports Disposition Authority Number DAA-0514-2013-0001-0009

## Records Schedule Items

Sequence Number	
1	<p><b>Discretionary Grant Program Records</b> These grants are made in support of a specific project in accordance with legislation which permits the grantor agency to exercise judgment in selecting the project, the grantee, and the amount of the award OASH components administering discretionary grant programs are required to generate two distinct types of records</p>
1 1	<p><b>General Program Information Files</b> The office of record for this file will be the OASH agency's program office These records must include Program announcement, program management procedures (such as regulations), funding decision files and lists of application evaluators, and terms and conditions of the grant program</p>
1 1 1	<p><b>Program Announcement Files</b> Disposition Authority Number      <b>DAA-0514-2013-0001-0001</b>  These files include Program announcements, program management procedures (such as regulations), and terms and conditions of the grant program</p> <p>Final Disposition                      <b>Temporary</b> Item Status                                <b>Active</b> Is this item media neutral?            <b>Yes</b> Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?          <b>Yes</b> Do any of the records covered by this item exist as structured electronic data?                            <b>No</b> GRS or Superseded Authority Citation      <b>N1-514-92-1, Item 12 c (1) (a)</b>  Disposition Instruction Cutoff Instruction                        <b>Cut off at the end of FY in which the competition was completed</b> Retention Period                         <b>Destroy 7 year(s) after cutoff</b>  Additional Information GAO Approval                               <b>Not Required</b></p>
1 1 2	<p><b>Funding Decision Files</b></p>

Disposition Authority Number **DAA-0514-2013-0001-0002**

**These files include ranked list of applications with scores and disposition list, and recommended funding amounts or recommendation not to fund**

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data? **No**

**Disposition Instruction**

Cutoff Instruction **Cut off at the end of FY in which the competition was completed**

Retention Period **Destroy 3 year(s) after cutoff**

**Additional Information**

GAO Approval **Not Required**

**Application Evaluators Lists**

Disposition Authority Number **DAA-0514-2013-0001-0003**

**These files include Lists of non-federal and federal expert evaluators who review and score grants applications**

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data? **No**

GRS or Superseded Authority Citation **N1-514-92-1, Item 12 c (1)(b)**

**Disposition Instruction**

1 1 3

	Cutoff Instruction	Cut off at the end of FY in which the competition was completed
	Retention Period	Destroy 3 year(s) after cutoff
	<b>Additional Information</b>	
	GAO Approval	Not Required
1 2	<b>Official Grant Files</b>	
	These records are created and accumulated in the carrying out of discretionary grant programs delegated to OASH for administration. Programs include demonstration grants to develop new approaches to a variety of health-related fields including women's health, minority health, adolescent health, family planning and health. Grants generally are awarded for 3 to 5 years.	
1 2 1	<b>Grant Case Files</b>	
	Disposition Authority Number	DAA-0514-2013-0001-0004
	These files include initial competitive and annual non-competitive continuation applications, notices of grant award, interim and final program progress reports, and financial status reports, and may include evaluation and site visit reports for all official grants programs. Grantees have 90 days after end of grant to complete reporting and liquidate funds. Grants are then closed by verifying that final program and financial reports have been received and funds reconciled.	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	No
	GRS or Superseded Authority Citation	NC1-235-80-1, item 201-27 N1-514-92-1, items 24(a)(2), 24(b)(2), 24(c)(2) N1-468-96-3
	<b>Disposition Instruction</b>	
	Cutoff Instruction	Cutoff each FY Quarter upon closeout of grant (receipt of final program and financial status reports, 12/31, 3/30, 6/30, 9/30)
	Transfer to Inactive Storage	Transfer to a FRC one year after cutoff
	Retention Period	Destroy 6 year(s) and 3 month(s) after cutoff

	<b>Additional Information</b>	
	GAO Approval	Not Required
1 2 2	<b>Grant Final Reports or Final Year Reports</b> These records include report(s) summarizing the entire project for the life of the grant project period Final Year Reports cover the final year of a project period	
1 2 2 1	<b>Adolescent Family Life Grant Final Reports</b>	
	Disposition Authority Number	DAA-0514-2013-0001-0005
	<b>Reports of projects funded under Title XX of the Public Health Service Act</b>	
	Final Disposition	Permanent
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	No
	GRS or Superseded Authority Citation	N1-514-92-1, item 24(a)(1)
	<b>Disposition Instruction</b>	
	Cutoff Instruction	Cutoff each FY Quarter upon closeout of grant (receipt of final program and financial status reports, 12/31, 3/30, 6/30, 9/30)
	Transfer to Inactive Storage	Transfer to a FRC one year after cutoff
	Transfer to the National Archives for Accessioning	Transfer paper records to the National Archives in four year blocks when the most recent records in the block are 15 years old Transfer electronic records in four year blocks when the earliest records in the block are 5 years old, in accordance with NARA transfer guidance (36 CFR 1235.44/ 46/ 48/ 50)
	<b>Additional Information</b>	
	What will be the date span of the initial transfer of records to the National Archives?	From 2006 To 2012
	How frequently will your agency transfer these records to the National Archives?	Every 4 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital		
Paper	10 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

1 2 2 2

**Family Planning Service Grants Final Reports**  
Reports of projects funded under Title X, Sections 1003, 1004, and 1005 for research, training, information, and education

1 2 2 2 1

Reports of projects funded under Title X, Sections 1003, 1004, and 1005 for research, training, information, and education

Disposition Authority Number **DAA-0514-2013-0001-0006**

**Reports of projects funded under Title X, Sections 1003, 1004, and 1005 for research, training, information, and education**

Final Disposition **Permanent**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data? **No**

GRS or Superseded Authority Citation **N1-514-92-1, item 24(c)(1)**

**Disposition Instruction**

Cutoff Instruction **Cutoff each FY Quarter upon closeout of grant (receipt of final program and financial status reports, 12/31, 3/30, 6/30, 9/30)**

Transfer to Inactive Storage **Transfer to a FRC one year after cutoff**

Transfer to the National Archives for Accessioning **Transfer paper records to the National Archives in four year blocks when the most recent records in the block are 15 years old Transfer electronic records**

in four year blocks when the earliest records in the block are 5 years old, in accordance with NARA transfer guidance (36 CFR 1235 44/ 46/ 48/ 50)

**Additional Information**

What will be the date span of the initial transfer of records to the National Archives? **From 2006 To 2012**

How frequently will your agency transfer these records to the National Archives? **Every 4 Years**

	Estimated Current Volume	Annual Accumulation
<b>Electronic/Digital</b>		
<b>Paper</b>	<b>5 Cubic feet</b>	
<b>Microform</b>		
<b>Hardcopy or Analog Special Media</b>		

1 2 2 2 2

**Reports of projects funded under Title X, Section 1001 of the Public Health Service Act, closed prior to 1997**

Disposition Authority Number **DAA-0514-2013-0001-0007**

**Reports of projects funded under Title X, Section 1001 of the Public Health Service Act, closed prior to 1997**

Final Disposition **Permanent**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data? **No**

GRS or Superseded Authority Citation **N1-514-92-1, item 24(c)(1)**

**Disposition Instruction**



Cutoff Instruction                      Cutoff each FY Quarter upon closeout of grant (receipt of final program and financial status reports, 12/31, 3/30, 6/30, 9/30)

Transfer to the National Archives for Accessioning                      Transfer paper records to the National Archives in four year blocks when the most recent records in the block are 15 years old. Transfer electronic records in four year blocks when the earliest records in the block are 5 years old, in accordance with NARA transfer guidance (36 CFR 1235.44/ 46/ 48/ 50)

**Additional Information**

What will be the date span of the initial transfer of records to the National Archives?                      **Unknown**  
**Unknown** Estimated date span is 1991-1996

How frequently will your agency transfer these records to the National Archives?                      **Unknown**  
**Immediately following approval of schedule**

	Estimated Current Volume	Annual Accumulation
<b>Electronic/Digital</b>		
<b>Paper</b>	5 Cubic feet	
<b>Microform</b>		
<b>Hardcopy or Analog Special Media</b>		

1 2 2 2 3

**Reports of projects funded under Title X, Section 1001 of the Public Health Service Act, closed after 1997**

Disposition Authority Number                      **DAA-0514-2013-0001-0008**

**Reports of projects funded under Title X, Section 1001 of the Public Health Service Act, closed after 1997**

Final Disposition                      **Temporary**

Item Status                      **Active**

Is this item media neutral?                      **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?                      **Yes**

1 2 2 3	Do any of the records covered by this item exist as structured electronic data?	No
	GRS or Superseded Authority Citation	N1-514-92-1, item 24(c)(1)
	<b>Disposition Instruction</b>	
	Cutoff Instruction	Cutoff each FY Quarter upon closeout of grant (receipt of final program and financial status reports, 12/31, 3/30, 6/30, 9/30)
	Transfer to Inactive Storage	Transfer to a FRC one year after cutoff
	Retention Period	Destroy 6 year(s) and 3 month(s) after cutoff
	<b>Additional Information</b>	
	GAO Approval	Not Required
	<b>All Other Grant Final Reports or Final Year Reports</b>	
	Disposition Authority Number	DAA-0514-2013-0001-0009
	<b>These records include report(s) summarizing the entire project for the life of the grant project period Final Year Reports cover the final year of a project period</b>	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	No
	GRS or Superseded Authority Citation	NC1-235-80-1, item 201-27 N1-468-96-3
	<b>Disposition Instruction</b>	
	Cutoff Instruction	Cutoff each FY Quarter upon closeout of grant (receipt of final program and financial status reports, 12/31, 3/30, 6/30, 9/30)
	Transfer to Inactive Storage	Transfer to a FRC one year after cutoff
Retention Period	Destroy 6 year(s) and 3 month(s) after cutoff	
<b>Additional Information</b>		

GAO Approval

Not Required

## Agency Certification

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified

## Signatory Information

Date	Action	By	Title	Organization
12/06/2012	Certify	Elaine Pankey	Records Officer	Offices of the Secretary - OCIO
01/09/2013	Return for Revision	Valerie Terray	Archives Specialist	National Archives and Records Administration - Records Management Services
01/10/2013	Submit For Certification	Karen Ballesteros	Records Specialist	Offices of the Secretary - OCIO
01/10/2013	Certify	Elaine Pankey	Records Officer	Offices of the Secretary - OCIO
04/16/2013	Return for Revision	Valerie Terray	Archives Specialist	National Archives and Records Administration - Records Management Services
04/17/2013	Submit For Certification	Elaine Pankey	HHS Office of the Secretary Records Officer	Offices of the Secretary, Assistant Secretary for Administration - Office of the Chief Information Officer
04/17/2013	Certify	Elaine Pankey	HHS Office of the Secretary Records Officer	Offices of the Secretary, Assistant Secretary for Administration - Office of the Chief Information Officer
08/14/2013	Submit for Concurrence	Valerie Terray	Archives Specialist	National Archives and Records Administration - Records Management Services
08/20/2013	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program

08/20/2013	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
08/26/2013	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist