# Request for Records Disposition Authority

**To:** NATIONAL ARCHIVES & RECORDS ADMINISTRATION  
8601 ADELPHI ROAD, COLLEGE PARK, MID 20740-6001  

**1 FROM (Agency or establishment):**  
Department of Homeland Security  

**2 MAJOR SUB DIVISION:**  
Management  

**3 MINOR SUBDIVISION:**  
Grants and Policy Oversight  

**4 NAME OF PERSON WITH WHOM TO CONFER:** Kathy Schultz  
**5 TELEPHONE:** 202-447-5075  

**6 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 on the attached page(s) are not needed now 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, under the provisions of Title 8 the GAO Manual for Guidance of Federal Agencies,  

- [ ] is not required  
- [ ] is attached, or  
- [ ] has been requested  

**DATE:** 6/1/09  
**SIGNATURE OF AGENCY REPRESENTATIVE:** Kathy Schultz  
**TITLE:** Senior Records Officer  

**7 ITEM NO:**  
**8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION:** See attached sheet(s) for: Grants and Policy Oversight Program Records  

**9 GRS OR SUPERSEDED JOB CITATION:**  

**10 ACTION TAKEN (NARA USE ONLY):**  

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**LEAVE BLANK (NARA use only):**  
**JOB NUMBER:** NJ-563-09-12  
**Date Received:** 7/7/09  
**NOTIFICATION TO AGENCY:**  
In accordance with the provisions of 44 USC 3303a, the disposition request, including amendments is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.
Grant Policy and Oversight (GPO) is the focal point to advance compliance with policy and legislative mandates and enhance compliance oversight.

GPO is responsible for policy development, oversight, research and analysis, innovation, and improvement of the Department's grants and assistance award process. GPO works collaboratively with other DHS offices to develop a data-driven, integrated overview of the grants and assistance award process Department-wide in order to shape grant and assistance award policy, oversight, and improvement activities.

- Develops and disseminates DHS grants and assistance award management policies, regulations, and procedures, as well as provides leadership and support for reform, innovation and improvement in DHS grants and assistance award management.
- Reviews assistance award management methods and procedures of components to assure consistency with applicable laws and regulations, and with DHS policies.
- Researches current and innovative grants management practices in order to design and develop new models for improving the grants and assistance award process within the Department and government-wide committees.
- Develops and disseminates descriptive reports for internal and external customers on DHS grant and other assistance awards.

Unless otherwise noted, all disposition instructions are media neutral; they apply regardless of the media or format of the records.

1 Customer Service Correspondence
Contains letters from the private sector regarding vendors that are marketing/selling information on how to apply for grants, information that can be obtained at no cost from the local library or by accessing CFDA.gov and Grants.gov.

Disposition:
TEMPORARY Cut off at end of calendar year in which received. Destroy or delete 10 years after cutoff.
2 Debarment/Suspension Case Files

Suspension from receiving assistance from DHS, case files may include, but are not limited to, copies of Inspector General reports, attorney recommendations for action, suspension notifications, hearing transcripts, briefs and motions, final determinations and settlement agreements for debarment and for suspension cases and other related documents

Disposition:

b Case Files
TEMPORARY Cut off when the case is closed or the debarment period or voluntary exclusion period is completed, whichever is later Destroy or delete 6 years 3 months after cutoff

b Other related records
TEMPORARY Destroy when no longer needed for reference or other business, legal or audit purposes

3 Grant Alerts

Program announcements, related notices and regulations, disseminated to the awarding office from GPO

Disposition:

TEMPORARY Cut off at end of fiscal year when the last award is closed out Destroy 3 years after cutoff

4 Grant Guidance Reference Files / Notebooks

Procedural or policy manuals, handbooks and other agency guidance containing regulations and guidance on Federal Grants awarded

- Annual CFDA Program Descriptions
- Assistance Award Program Manuals
- Audit Files (OMB Circular A-133, OIG, GAO)
- Budget and Appropriation Acts
- Legislative Responses (Comments submitted for response to Legislative inquiries)

Disposition:

TEMPORARY Cut off at end of the fiscal year in which the review is completed Destroy or delete 3 years after cutoff, or upon completion of subsequent review, whichever is later

5 Grants Monitoring Files

Files include, but are not limited to copies of the general announcement, Federal Register Notice, applications, assurances, and certifications, correspondence, evaluations and review reports, information related to the proposal or award process, proposal recommendations and revisions, and financial and budgetary reports, both periodic and final associated with an audit or monitoring/oversight investigation

Disposition:

TEMPORARY Destroy when no longer needed for reference or other business, legal or audit purposes

TEMPORARY Cut off at end of fiscal year when the last award is closed out Destroy 3 years after cutoff

TEMPORARY Destroy when no longer needed for reference or other business, legal or audit purposes

TEMPORARY Cut off at end of the fiscal year in which the review is completed Destroy or delete 3 years after cutoff, or upon completion of subsequent review, whichever is later

Disposition:

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6 Program Approval Case Files

Files containing documentation to support the program approvals under Delegations of Financial Assistance Authority provided by the Secretary. Documentation includes proposals or applications, requisitions, award documents, project reports, studies, assurances, correspondence, other records relating to receipt, review, award, evaluation, status, and monitoring of grants and cooperative agreements, and project budget used for audit or monitoring/oversight investigations.

Disposition:

a. Approved

TEMPORARY. Cut off at the end of the fiscal year after last award for the grant. Destroy 6 years and 3 months after cutoff.

b. Disapproved

TEMPORARY. Cut off at the end of the fiscal year. Destroy 3 years after cutoff.