

**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)

HHS

2 MAJOR SUBDIVISION

SSA

3 MINOR SUBDIVISION

Office of Refugee Resettlement

4. NAME OF PERSON WITH WHOM TO CONFER

Ernest P. Lardieri

jh

5 TEL EXT

934-5770

LEAVE BLANK	
JOB NO	
<u>NCI-47-84-4</u>	
DATE RECEIVED	
<u>4-13-84</u>	
NOTIFICATION TO AGENCY	
<small>Approved with the provisions of 4 USC 3332(b)(2) please refer to the instructions on the reverse side of this form. This form may be stamped, disposed, or withdrawn.</small>	
<u>Nov 884</u>	<u>Robert K. Warr</u>
<small>Date</small>	<small>Archivist of the United States</small>

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 14 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	D SIGNATURE OF AGENCY REPRESENTATIVE	E. TITLE
<u>3/1/84</u>	<u>George Deal</u> Dr. George Deal	Department Records Management Officer

7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
	Comprehensive Records Retention and Disposition Schedule for the Office of Refugee Resettlement (attached):		
I.	General Program Administration Records		
II.	Budget Management Files		
III.	Policy and Analysis Files		
IV.	Operational Files		
	<p>Changes are by telephone agreement between Linda Henry, NCD, and Johnny Hodge, SSA, 10/16/84. LH</p>		

48

*sent agency copy 11/23/84 CLO*

**MASS DATA CHANGE SHEET NOT REQUIRED**

*sent copies to FRC, NNS, NNS, NNS 11/23/84 CLO*

# INSTRUCTIONS

## General Instructions

Use Standard Form 115 (obtainable from supply depots of the Federal Supply Service General Services Administration) and the continuation sheet Standard Form 115a (obtainable from the Records Disposition Division Office of Federal Records Centers, National Archives and Records Service Washington, D.C. 20408) to obtain authority to dispose of records or to request permanent retention of records. Detach the fifth copy from the set and keep as your reference copy. Submit the first four copies of the set to the National Archives and Records Service. One copy will be returned to the agency as notification of items that are authorized for disposal. Items withdrawn or not approved for disposal will be so marked. Each SF 115 requiring Comptroller General concurrence must be accompanied by notification of approval from GAO.

## Specific Instructions

Entries 1, 2, and 3 should show what agency has custody of the records that are identified on the form and should contain the name of the department or independent agency and its major and minor subdivisions.

Entries 4 and 5 should help identify and locate the person to whom inquiries regarding the records should be directed.

Entry 6 should be signed and dated on the four copies by the agency representative. The number of pages involved in the request should be inserted.

Box A should be checked if the records may be disposed of immediately. Box B should be checked if continuing disposal authority is requested or if permanent retention is requested. Only one box may be checked.

Entry 7 should contain the numbers of the items of records identified on the form in sequence, i.e., 1, 2, 3, 4, etc.

Entry 8 should show what records are proposed for disposal.

Center headings should indicate what office's records are involved if all records described on the form are not those of the same office or if they are records created by another office or agency.

An identification should be provided of the types of records involved if they are other than textual records, for example, if they are photographic records, sound recordings, or cartographic records.

An itemization and accurate identification should be provided of the series of records that are proposed for disposal or retention. Each series should comprise the largest practical grouping of separately organized and logically related materials that can be treated as a single unit for purposes of disposal. Component parts of a series may be listed separately if numbered consecutively as a 1b, etc., under the general series entry.

A statement should be provided showing when disposal is to be made of the records, the

If immediate disposal is requested of past accumulations of records, the inclusive dates during which the records were produced should be stated.

If continuing disposal is requested for records that have accumulated or will continue to accumulate the retention period may be expressed in terms of years, months, etc., or in terms of future actions or events. A future action or event that is to determine the retention period must be objective and definite. If disposal of the records is contingent upon their being unclassified, or otherwise reproduced or recorded on machine-readable media, the retention period should read "Until ascertained that reproduced copies or recordings have been made in accordance with GSA regulations and are adequate substitutes for the paper records." Also, the provisions of FPMR § 101-11.5 should be observed.

Entry 9 should be checked if samples are submitted for an item. However, samples of the records are not required unless they are requested by the NARS appraiser. If an item has been previously submitted, the relevant job and item number should be entered.

Entry 10 should be left blank.

Ernest P. Lordean  
SSA Records Officer

2/28/84  
Date

H. Gary Mount  
ORR Representative

2/28/84  
Date

MRM 07

Schedule 15 Office of Refugee Resettlement (ORR) Files

The records described herein are created and maintained by ORR headquarters and regional offices (ROs) in the administration and funding of the refugee resettlement program, a joint Federal/State program which provides a broad range of assistance and services to refugees.

<u>Item</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
I. <u>GENERAL PROGRAM ADMINISTRATION RECORDS</u>		
1.	A. <u>Administrative Files</u>	
	Files created or maintained by most ORR headquarters offices and ROs in the performance of their assigned functions.	Destroy 2 years after close of the calendar year in which dated.
	1. Official file copies of outgoing correspondence relating to office functions.	<u>Note:</u> Documents in the files that require additional action or that relate to ongoing projects may be retained for 2 years after the action or project is completed.
	2. Comments on draft reports, studies and proposals prepared by other offices.	
	3. Comments on proposed legislation.	
	4. Employee suggestion evaluations.	
	5. Program and management reports, such as overtime and staffing reports, workload and production reports, highlights, activity reports and other reports prepared to submit narrative or statistical data to management offices. Excluded are reports specifically identified elsewhere in this schedule or Schedule 1.	
2.	B. <u>Correspondence Control Logs</u>	
	Correspondence control logs reflecting the assignment and disposition of incoming controlled correspondence.	Close out at the end of the calendar year and destroy 1 year thereafter.
3.	C. <u>Working Files</u>	
	Nonessential working papers retained for reference purposes by staff members. Included are extra copies of official file material, supporting or background material used in developing official files but not needed as part of the official file, studies or similar material not acted upon,	Destroy when 2 years old or when no longer needed for reference, whichever is earlier.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

papers used as local administrative aids and other papers which do not serve as the basis for official action.

4. D. Policy Precedent Files

1. Policy Precedent Files

Policy memorandums, interpretations (answers to policy questions), clarifications and similar records accumulated by ORR headquarters components responsible for program policy development. The records serve as precedent for future program actions. These records may be maintained by ORR offices or within ORR's central files.

Permanent. <sup>Cut off</sup> Review files at the close of each calendar year. Transfer records when ~~older than 5 years~~ <sup>old</sup> to the Federal Records Center (FRC). Offer to the National Archives ~~10 years thereafter~~ when 15 years old. (NC1-47-79-8-II-A-1) in 10 year blocks

Files 2. Policy Precedent Background

Background materials created in the formulation of ORR program policies. These materials relate to issues of eligibility, fiscal and administrative policy and entitlement. These documents include copies of policy memorandums, correspondence, drafts, component comments, background studies and related reference materials.

Review files at the close of each calendar year. Destroy documents which do not have continuing relevancy after 2 years. (NC1-47-79-8-II-A-2)

5. E. Legislative Records

1. Program Analysis Files

Files accumulated in the ongoing review and analysis of the effectiveness of present refugee resettlement programs and in planning ways and means for improving those programs. The files are retained by subject matter category and include copies of memorandums and bill reports, position papers, studies, plans, proposals and comments.

Review files annually and destroy material which does not have continuing relevance.

6. 2. Legislative Language and Specification Files

Retained copies of proposals for changes in refugee resettlement laws and related material. The documents contain proposed legislative language, supporting statements, alternative proposals and other information. Included in the files are related clearance comments.

Review files annually and destroy material which does not have continuing relevance.

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7.

3. Background Books

Binders containing material prepared for use by ORR officials in testifying before congressional committees on a given piece of legislation or issue. The material provides background information on the legislation or issue and an analysis of the implications for refugee resettlement.

Cutoff file every 5 years.  
Permanent. Transfer to FRC when 5 years old. Offer to the National Archives when 20 years old.  
File arrangement: CHRONOLOGICAL in 10 year blocks  
On-hand volume: 1.5 cu ft  
FRC volume: NONE  
Annual accretion: .5 cu ft

8.

4. Bill Files

Copies of bills introduced in Congress pertaining to refugee resettlement or related programs and associated background material. Included are copies of any introductory remarks by members of Congress, bill reports, analyses and cost estimates, committee reports and similar documents.

1. Record Copy  
Destroy when 20 years old.  
~~Permanent. Offer to the National Archives when no longer needed for reference.~~  
File arrangement: CHRONOLOGICAL  
On-hand volume: 12 cu ft  
FRC volume: NONE  
Annual accretion: 4 cu ft

2. Other Documents

Close out file when new Congress is seated and destroy 2 years thereafter.

~~F. Regional Work Plans~~

~~The files are used for developing regional performance plans and appraisals for regional personnel. These plans consist of general elements, staff days, target dates, travel and tangible outputs during the fiscal year (FY).~~

~~Destroy 3 years after date of appraisal or when no longer needed, whichever is sooner (GRS 1/23a(5)).~~

~~G. Performance Plans (for General Managers)~~

~~Merit pay performance plans, monitoring records and related correspondence documenting performance appraisals. Also included are profile packages which are interim performance reviews and analyses which contain supporting documentation for high or low appraisals. Files are maintained for ORR headquarters and regional personnel.~~

~~Destroy 3 years after date of appraisal or when no longer needed, whichever is sooner (GRS 1/23a(5)).~~

9.

H. Official Correspondence Files

Official file copies of correspondence originating from the Office of the Director and associated background material (copies of incoming material, comments, drafts, etc.).

Permanent. Transfer to FRC 3 years after the close of the calendar year in which dated. Offer to the National Archives when 20 years old. 10 years GED  
File arrangement: CHRONOLOGICAL in 10 year blocks  
On-hand volume: 6.8 cu ft  
FRC volume: NONE  
Annual accretion: 2.26

DESCRIPTION OF RECORDS

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II. BUDGET MANAGEMENT FILES

10.

A. Budget Estimate and Justification Files

These files consist of budget estimates and associated justification statements used in the preparation of the annual budget submission to the Department of Health and Human Services (HHS) and the Office of Management and Budget (OMB). Note: Part of ORR's budget is included in SSA's budget. Included are Forms SSA-413, Summary of Estimates for Personal Services and Other Objects of Expenditure; OAAD-417, Worksheet for Detail of Personal Services by Position; SSA-419, Worksheet for Detail of Personal Services by Subclass; SSA-421, Summary of Estimates for Travel and Transportation of Persons; SSA-422, Conferences and Meetings; SSA-425, Summary of Estimates for Transportation of Things; SSA-426, Summary of Estimates for Rent, Communications and Utilities Services; SSA-427, Estimates for Rental of Space; and equivalent or related documents.

Transfer to FRC 5 years after close of budget year. Destroy when 15 years old.

11.

B. ORR Budget Document

This annual budget submission is submitted directly to HHS and OMB and outlines position, staff power and funding requirements for all programs administered by ORR. The submission is 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., appropriation 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) justification and explanations; and (4) other documents required for budget examination and analysis.

Cut off file after 5 years and transfer to FRC. Destroy when ~~30~~ years old.

15 GED  
*neo*

DESCRIPTION OF RECORDS

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12. C. Budget Hearing Documents

These documents are used by ORR officials in testifying at budget hearings conducted by HHS, OMB and Congress. They provide background information on the ORR submission in general, as well as detailed explanations and justifications.

Cut off file after 5 years and transfer to FRC. Destroy when ~~30~~ years old.

15 GED  
*neo*

13. D. Budget Instructions and Decision Files

These files consist of copies of instructions (e.g., manuals, directives, circulars), decisions, analyses and other official publications of HHS, OMB and the Treasury Department relating to budget preparation and execution. They are retained for reference purposes.

Destroy when superseded or obsolete.

14. E. Outlay Plan Files

Documentation concerning ORR's outlay plans, which are estimates/plans of ORR's cash flow for the current FY. These are prepared and updated quarterly by ORR and submitted to HHS for submission to OMB, as required by OMB Circular A-112. Included in the file are the computer-generated reports which are initially received from HHS, supporting documentation worksheets and related correspondence. The reports contain information on initial, cumulative and monthly outlays, impact of congressional action, impact of OMB adjustments, impact of HHS adjustments and revised total cumulative and monthly outlays.

Transfer to FRC 5 years after the close of FY. Destroy when ~~10~~ years old.

10 GED  
*neo*

15. F. Mission Budget Submission

A budget document submitted to Congress annually which contains a budgetary submission by mission or achievement rather than by program. It provides information which is submitted to HHS to be incorporated into the HHS combined report. The submission contains projections and policy statements concerning ORR's position and outlays for a particular mission for current and 5-year time periods. Included in the submission files are tables, narratives, correspondence and related background reports.

Transfer to FRC 5 years after the close of FY. Destroy when ~~15~~ years old.

10 GED  
*neo*

16. G. Fifty-State Table Report

An annual report required by Congress which details State-by-State the amounts of monies expended in all of ORR's programs in each State. The report is submitted to HHS for incorporation into a combined HHS report. The report includes information for three FYs (actual, continuing resolution and budget request) for various program categories, such as formula grants/State agencies, project grants/contract programs and refugee assistance programs. Information in the report files consists of tables, worksheets, computer printouts, HHS instructions and related documentation.

Transfer to FRC 5 years after the close of FY. Destroy when 10 years old.

10 GED

ACA

H. Allotment Allowance Files

Files documenting the preparation and issuance of allotment allowances to ORR. Documents are maintained by FY for administrative and program budgets and consist of correspondence and associated allotment charts and related records. These files provide the authority to obligate funds and are issued on a quarterly basis. Record copies are maintained by ORR.

1. Record Copy

Destroy 2 years after the close of the FY (GRS-5-6).

2. Other Copies

Destroy when administrative value ceases.

I. Apportionment Files

Files documenting requests that ORR submits to HHS and OMB for the authority to allot funds. Records are maintained by FY for each administrative and program budget area, and consist of SF-132, Apportionment and Reapportionment Schedule, showing ORR's requests and HHS' and OMB's justifications and approvals, and related correspondence. Record copies are maintained by ORR.

1. Record Copy

Destroy 2 years after the close of the FY (GRS-5-6).

2. Other Copies

Destroy when administrative value ceases.

J. Summary of Accrued Commitments and Obligations

This report is submitted to OFR by ORR. It lists actual expenditures year-to-date by object and subobject class and contains projections for the use of resources for the remainder of the year. Included is data entry Form SSA-3773, Schedule of Commitments/Obligations, or its equivalent. The report is used in monitoring budget execution.

1. Feeder Reports

Destroy when 1 year old.

2. ORR Record Copy

Destroy 3 years after the close of the FY (GRS-5-5b).

3. Form SSA-3773

Destroy after entry of data have been verified.



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17.

K. Legislative and Regulation Reference Files

Files documenting the costing of legislative proposals or regulations to determine if a particular law or regulation will result in significant savings or costs to ORR. Included are proposed laws or regulations, cost estimate worksheets, memorandums, questionnaires for additional information and related records.

Destroy when 5 years old.

III. POLICY AND ANALYSIS FILES

18.

A. Reports

1. Report to Congress - Refugee Resettlement Program

A report submitted directly to Congress on the refugee resettlement program. The report is submitted after the end of each FY. Each report contains:

1. Record Copy

Permanent. Offer ~~copy of current report annually~~ to the National Archives. in 10 year  
File arrangement: CHRONOLOGICAL blocks when  
On-hand volume: 1 and 1/4 cu ft  
FRC volume: 0  
Annual accretion: 1/8 cu ft 10 years old.

a. an updated profile of the employment and labor force statistics for refugees who have entered under the Refugee Resettlement Act since May 1975, as well as a description of the extent to which refugees received the forms of assistance or services;

b. a description of the geographic location of the refugees;

c. a summary of the results of the monitoring and evaluation during the period for which the report is submitted;

d. a description of the activities, expenditures and policies of ORR, the activities of States, voluntary agencies and sponsors and the Director's plans for improvement of refugee resettlement;

e. evaluations of the extent to which the services provided are assisting refugees in achieving economic self-sufficiency, achieving ability in English and achieving employment commensurate with their skills and abilities;

2. Other Copies

Destroy when no longer needed in current operations.

DESCRIPTION OF RECORDS

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- f. any fraud, abuse or mismanagement that has been reported in providing services or assistance;
- g. a description of any assistance provided by the Director;
- h. a summary of the location and status of unaccompanied refugee minors admitted to the United States; and
- i. a summary of the information compiled and evaluated.

19. 2. Special Reports to Congress

These are other reports required or requested by Congress from time to time on refugee resettlement program matters.

1. Record Copy

Permanent. ~~Transfer to FRC when 5 years old.~~ Offer to the National Archives when 10 years old.  
 File arrangement: *chronological* in 10 year blocks  
 On-hand volume: 3 cu ft  
 FRC volume: NONE  
 Annual accretion: .35 cu ft

2. Other Copies

Destroy when no longer needed for administrative purposes.

20. B. Regulations

Program regulations that have been published in the Code of Federal Regulations (CFR). They are filed by subject and regulation number. The files contain pending and completed draft proposals, concurrences from ORR components and the Office of the General Counsel, policy memorandums, public comments and Federal Register publications.

~~Permanent.~~ Transfer to FRC 10 years after publication in the CFR. ~~Offer to the National Archives~~ when 15 years old.  
 File arrangement: *Chronolog. card*  
 On-hand volume: 3 cu ft  
 FRC volume: NONE  
 Annual accretion: .35 cu ft

1. Action Transmittals  
(Program Instructions)

Record copies of formal issuances containing ORR instructions to the States. These transmittals require State actions on program matters. They may deal with any program topic. The action transmittals include the subject, regulation references, program applicability with any attachments, related issuances, effective date and action required.

1. Record Copies

Permanent. Transfer to FRC when no longer needed in current operations. Offer to the National Archives 10 years thereafter.  
 (NC1-47-79-8-II-C-1-b)

2. Other Copies

Destroy when superseded or obsoleted.

DESCRIPTION OF RECORDSAUTHORIZED DISPOSITION2. Informational Transmittals

Record copies of formal issuances transmitting administrative and program instructional information to States. Informational transmittals may cover any administrative or program topic. Records are maintained in a numbered series by year.

1. Record Copies

Destroy 3 years after publication date. (NC1-47-79-8-IV-C-1-c)

2. Other Copies

Destroy when superseded or obsoleted.

C. ORR Operating Systems Files

These files are used for collecting and compiling statistics and reports on the refugee resettlement program. They include data base files on individual refugees and entrants entering the United States. This information is used to prepare and publish various statistical reports.

21. 1. Machine Readable Recordsa. Master Files - Refugee DataSystem

An automated data base which combines data collected on refugees before they enter the United States with data supplied by the refugees after their entry into the United States. Refugees entering the United States bring records from their overseas screening, which are collected at the port of entry and become the basis for ORR's recordkeeping system. ORR creates an automated record on each entering refugee and later verifies it against records from the Intergovernmental Committee for Migration (ICM).

1. Master File

Permanent.  
~~Disposition not authorized at this time.~~  
Offer duplicate of master file to the National Archives every 5 years.

2. Processing Tapes

Return to service 90 days after update of master file.

b. Permanent Resident Alien22. Subsystem

This subsystem of the Refugee Data System contains information supplied by the Department of Justice in conjunction with refugee applications for resident alien status. ORR compiles and summarizes this information.

1. Master File Destroy when agency use ceases.

~~Disposition not authorized at this time.~~  
~~Offer duplicate of master file to the National Archives every 5 years.~~

2. Processing Tapes

Return to service 90 days after update of master file.

c. Processing Files(1) Input/Source File

23. Consists of data keyed from input source documents for updating the master file(s) to generate the error and acceptance reports.

Return to service 30 days after verification of acceptance of data onto the master file(s) or after verification of acceptance of data on subsequent related file.

(2) Reject File

24. Contains data that cannot be entered into the Refugee Data System. This information is retained until additional or correct data can be obtained, allowing acceptance onto the master file(s).

Retain for 30 days after verification of acceptance.

2. Input Source Documentsa. American Council of Voluntary Agencies (ACVA) Form 1

25. ACVA Form 1 (or its equivalent) is completed at the foreign refugee processing centers. One copy is reviewed by the Center for Disease Control, HHS, while another copy is used by ORR headquarters to open a record in the Refugee Data System. This form contains the name, alien number, date of birth, sex, place of birth, port of entry, family relationship and nationality of individuals and identifies sponsoring agency(ies) and family units traveling together. These forms are also used in statistical studies because all data are not keyed.

~~Permanent~~. Transfer to FRC when <sup>1</sup> year old. ~~Offer to National Archives when 10 years old. Destroy when 25 years old.~~  
 File arrangement: <sup>CHRONOLOGICALLY</sup> BY PORT OF ENTRY then  
 On-hand volume: 39 cubic feet  
 FRC volume: NONE  
 Annual accretion: 12 cubic feet

b. ICM "Nominal Rolls" Form

26. This form reports the number of migrants arriving in the United States, individual sponsoring agency(ies), alien number, name, family position, sex, date of birth, nationality and flight information. This information is merged with the existing data base of the Refugee Data System.

~~Permanent~~. Transfer to FRC when <sup>1</sup> year old. ~~Offer to National Archives when 10 years old. Destroy when 25 years old.~~  
 File arrangement: CHRONOLOGICAL  
 On-hand volume: 60 cubic feet  
 FRC volume: NONE  
 Annual accretion: 12 cubic feet

c. Permanent Resident Alien Data Collection Forms

27. This file consists of Immigration and Naturalization Service Form I-643, Health and Human Services Statistical Data, as well as superseded Form I-485(c), Demographic Data to Accompany Application for Creation of a Record of Lawful Admission for an Indo-China Refugee, or their equivalents. The forms are completed when the refugee has acquired permanent resident alien status.

Destroy after data have been entered into the system and verified as correct.

DESCRIPTION OF RECORDSAUTHORIZED DISPOSITION3. Processing Documents

28.

a. Transaction (Utility)Reports

These transaction (utility) reports are generated during various merging operations. They report error conditions which are created when data are not accepted and are used to verify data entry. When an error condition is found, corrective action is taken, e.g., a correction form is completed and the data is reentered and verified.

Destroy 6 months after data have been reentered.

29.

b. Correction Form

These are forms completed to correct errors or discrepancies identified by the transaction reports in the Refugee Data System.

Destroy 1 month after data entry.

30.

c. Acceptance Report

This report indicates acceptance of error corrections. The acceptance report is audited against the transaction report.

Destroy 6 months after data have been reentered.

IV. OPERATIONAL FILESA. Financial Files

31.

1. Project Officer's ContractFiles

Working copies of contracts and associated background documentation for the procurement of goods and nonpersonal services related to the refugee resettlement program. Also included are copies of evaluations and studies, audit requests, reports and closeouts of various ORR programs. Documents in the files include requests for proposal, technical evaluations, cost reports, contractor reports and related records. Record copies of contract files are maintained by OMBP.

Destroy 2 years after expiration of the contract.

32.

2. Annual Plan of Proposed Contract Evaluation Files

The file consists of draft plans and the final plan submitted to the Assistant Secretary for Planning and Evaluation, as well as the approval letter from the Assistant Secretary.

Destroy when 3 years old.

DESCRIPTION OF RECORDSAUTHORIZED DISPOSITION3. Purchase Order Files

Copies of purchase orders under \$10,000 and related supporting documents (requisitions, receiving reports, etc.). Included are copies of Form SF-147, Order for Supplies and Services, or its equivalent. The documents are maintained in purchase order number sequence.

Destroy 3 years after final payment (GRS.3.4.a(2)).

B. State Plans and Performance Reports1. State Plans

These are files of the plans submitted by the States for participation in the refugee resettlement program. The State plan provides assurances for compliance with the regulations of the program. Additionally, the plan reflects how the State will meet the needs of refugees within its jurisdiction by providing services and assistance and may include, but is not limited to, case assistance, medical assistance, social services, education and health screening. The States are reimbursed by ORR for costs incurred in administering the refugee resettlement program.

~~permanent.~~  
 GED ~~Permanent. --- Transfer to FRC 10 years after~~  
~~100 termination or supersession of the Destroy~~  
 agreement. Offer to the National Archives  
 10 15 years after termination or  
 supersession.

GED  
 New File arrangement: ALPHABETICAL  
 On-hand volume: 6 cubic ft  
 FRC volume: - 0 -  
 Annual accretion: 2 cubic ft.

2. State Administered Grant Files

Files documenting State administered grants to provide social services, cash and medical assistance to refugees. The records include budget information, award notices, progress reports, letters of credit, correspondence, cost allocation plans, State estimates, quarterly performance expenditure reports, final expenditure report and other related documents.

Transfer to FRC 18 months after close out of grant. Destroy 6 years 3 months after close of fiscal year in which grant expires.

3. State Performance Reports

These reports are prepared by ROs and States. Quarterly, annual and other periodic reports from ROs, States and possessions pertaining to financial assistance, including estimated and actual expenditures for program information on case load.

1. Quarterly and Periodic Reports

Destroy when 3 years old.

2. Annual Reports

Destroy when 5 years old.

DESCRIPTION RECORDSAUTHORIZED DISPOSITIONC. Categorical Grant Files-36. 1. Annual National Discretionary Funds Plan Files

These files are the working documents for categorical project grant activities and grants for social services that are not State administered. The plan becomes the supporting documentation for developing, announcing, competing and managing the Annual National Discretionary Grant Program. Also included is related background material, such as decision memorandums approving the plan and a copy of the approved plan.

Destroy 18 months after close out of the grant.

37. 2. Categorical Grant Files

Grants made in support of an individual project in accordance with legislation which permits a grantee agency to administer such grants. The file includes the ORR program announcement, State proposals and official file copies of application evaluation documentation and correspondence.

Transfer to FRC 18 months after close out of grant. Destroy 6 years 3 months after close of fiscal year in which grant expires.

38. 3. On-Site Reports and State Reports

Reports of inspection surveys made by various ORR components of grantees and potential grantees (includes State volunteer agencies and nonprofit corporations and other corporate bodies) to ascertain financial management and performance capabilities. Included are monitoring visit survey reports by State grantees of performance of ORR's subgrantees.

1. Record Copy

Maintain as part of the grant file. Dispose of in accordance with the instructions for the grant file.

2. Other Copies

Destroy when no longer needed for reference.

39. D. Program Monitoring Guidelines

This operating manual containing instructions and/or procedures is prepared by ORR's Central Office for the ROs in monitoring the State administered programs. Additionally, the guidelines are used to assist the State in self-monitoring.

1. Record Copies

Permanent. Offer to the National Archives in ~~5-year increments~~. 10 year blocks when  
File arrangement: N/A 10 years old.  
On-hand volume: 1 manual - 60pp  
FRC volume: N/A  
Annual accretion: N/A

2. Other Copies

Destroy upon obsolescence or supersession.

DESCRIPTION OF RECORDSAUTHORIZED DISPOSITION40. E. Case Files

These case files on individual unaccompanied minors contain correspondence with ORR ROs, the Department of State, public and private volunteer agencies, relatives of the refugees and others. The files contain periodic progress reports from the sponsoring agency. Additionally, the files may contain such information as name and address of refugee, mother's given name, date of birth, alien or social security number and sponsor.

Destroy 5 years after receipt of final progress report.

41. 1. Cuban-Haitian Task Force Subject Files

Alphanumeric subject files relating to the administrative and program aspects of the Cuban-Haitian program. The files consist of correspondence, memorandums, reports, reference materials and legislation. They deal with privacy issues, provider agency participation and documentation of funding, housing, education and other related issues pertaining to providing financial assistance to the entrants. This material, however, is not part of the contract file.

Transfer to FRC. Destroy May 1994.

~~2. Newspaper Records~~

~~This three-language newspaper contained articles of interest to refugees and was printed and distributed via subscription by a contractor. The newspaper was published from August 1975 to 1977.~~

~~Permanent. The newspapers have been accessioned into the National Archives.~~