

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

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

LEAVE BLANK	
JOB NO	<i>NCI-235-87-2</i>
DATE RECEIVED	<i>2-15-83</i>
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the disposal request including amendments is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10	
<i>Withdrawn</i>	
Date	Archivist of the United States

1 FROM (AGENCY OR ESTABLISHMENT)
Department of Health and Human Services

2 MAJOR SUBDIVISION
Office of Community Services

3 MINOR SUBDIVISION
Office of Management Services

4 NAME OF PERSON WITH WHOM TO CONFER
*Tom Williams or
Kate Jackson*

5 TEL EXT
653-2010

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 9 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 <i>1/31/83</i>	D SIGNATURE OF AGENCY REPRESENTATIVE <i>Dr. George Deal</i> Dr. George Deal	E TITLE Department Records Management Officer
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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
	<p align="center">RECORDS RETENTION AND DISPOSAL SCHEDULE OFFICE OF COMMUNITY SERVICES</p> <p>I. GRANTEE RELATED RECORDS</p> <p>These records are related to grantees of the Office of Community Services and were developed after OCS was established on October 1, 1981. Grantee records groupings are described for 6 major subject areas. These are (A) grantees funded by the former Community Services Administration and closed out by OCS; (B) grantees of OCS funded pursuant to the Community Services Block Grant Act; (C) Grantee Property Records; (D) Audit Appeals; (E) Claims Collection and (F) Financial Records.</p> <p>A. Grantee Files Related to CSA Grantees</p> <p>The Office of Community Services is responsible for closing out over 1,500 grantees of the former Community Services Administration, thereby ending the federal relationship that had been initially established under CSA. These files are related to OCS activities carried out in closing out CSA grantees. Grantees will be</p>		<i>Withdrawn</i>

20 items

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	<p>closed out by 10 OCS Regional Offices and by a headquarters unit in Washington.</p> <p>Close-out activity will be virtually completed by March 31, 1983. Since the 10 OCS Regional Offices are scheduled to close on March 31, 1983, OCS proposes to use the Federal Records Center in Suitland, Maryland, for all files planned for retention at a FRC.</p> <p>1. <u>Program case files</u></p> <p><u>Minimum content required:</u> Close-out Transmittal Memorandum which records that closeout is completed; most recent SF 269/272; documents (e.g., CSA forms 314, 25b, special conditions, correspondence) by which OCS amended, extended, or supplemented grants awarded by CSA; property inventory and disposition instructions; Three-Party Agreements which authorizes the grantee to use unexpended balances as part of its CSBG funding from the State; additional pertinent correspondence related to the grantee between October 1, 1981 and final close-out of the grantee.</p> <p><u>Disposition:</u> (a) On March 31, 1983, retirement to the Federal Records Center of program case files for all CSA grantees closed out as of March 1, 1983. Hold at FRC for 5 years and destroy when five years old.</p> <p>(b) For CSA grantees closed out after March 1, 1983, retirement of the program case file to the Federal Records Center within 6 months of grantee close-out. Hold at the FRC for 5 years and destroy when five years old.</p>		

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	<p>2. <u>Grantee audit files</u></p> <p><u>Minimum content required:</u> Final audit determination letter(s) for audits of CSA funds closed after October 1, 1981; copies of all audit reports of CSA funds closed by OCS after October 1, 1981 and pertinent information and correspondence requested or reviewed in preparation of audit determination letters(s); and copies of Three-party Agreements and/or Certification of Revenues and Expenditures accepted by OCS covering any balances remaining after the final audit of CSA funds.</p> <p><u>Disposition:</u> a) On March 31, 1983, retirement to the Federal Records Center of grantee audit files for all CSA grantees closed out as of March 1, 1983. Hold at FRC for 5 years and destroy when five years old.</p> <p>(b) For CSA grantees closed out after March 1, 1983, retirement of the grantee audit file within 6 months of grantee close-out. Hold at the FRC for 5 years and destroy when five years old. Records retired after March 31, 1983 will be retired by OCS headquarters to the FRC serving the Washington, D. C. area.</p> <p>NOTE: ***** OCS records which are the subject of PART A are those developed after October 1, 1981. In some cases, these records may contain material from CSA grant records that was determined by the program office to be significantly related to OCS records proposed for temporary retention. All other program files related to CSA grantees will be destroyed by OCS at the time that the program case files and grantee audit files are prepared for retirement to the Federal Records Center.</p>		

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	<p><u>EXCEPTION:</u> OCS program staff may choose to hold at OCS headquarters for an additional year after grantee close-out any CSA program and audit files that were developed for a particular grantee. Since it is OCS' objective to minimize storage as much as possible, these files will be kept only when issues related to the funding history of the grantee suggest that there may be continued public inquiry about the CSA grants. Any files held at OCS through this exception will be destroyed five years after close-out or sooner if no longer needed.</p> <p><u>B. Grantee Files Related to OCS CSBG Grants</u></p> <p>These records are related to grantees funded by OCS pursuant to the Community Services Block Grant Act (CSBG) from FY 1982 onward. These grantees are 1) States, Territories and Indian Tribes receiving block grants through the CSBG; 2) grantees receiving CSBG discretionary grants; and 3) grantees that received "transition funding" in FY 1982 to cover the period between the end of their CSA funding and the time that their State assumed CSBG responsibility for funding grantees under the block. These records are those developed after October 1, 1981 and are related solely to OCS CSBG funding of these grantees. CSA funding of any of these grantees is subject of records described in Part A.</p> <p><u>1. Grantees receiving block grants (States, Territories, and Indian Tribes)</u></p> <p><u>Minimum content required:</u> Grant obligating document(s); grant application and/or State plan accepted by OCS; statutory assurances and certifications accepted by OCS; grantee financial reports and other reports required by OCS; amendments or conditions related to the OCS funding; critical correspondence related to management of the grant; and documents prepared in close-out of the grant including final audit, audit determinations, and findings of any audit appeals filed by the grantee.</p>		

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	<p><u>Disposition:</u> Cut-off 5 years after effective date of grant. Transfer to FRC. Destroy when 9 years old.</p> <p>2. <u>Grantees receiving CSBG Discretionary Grants</u></p> <p><u>Minimum content required:</u> Grant application; OCS obligating document(s); special conditions and amendments to the grant; significant correspondence related to the management of the grant; financial and other reports required from the grantee; and documents prepared in close-out of the grant including final audit, audit determination, and findings of any audit appeals filed by the grantee.</p> <p><u>Disposition:</u> Cut-off at grant close-out. Transfer to FRC when 3 years old. Destroy when 7 years old.</p> <p>3. <u>Grantees receiving FY 1982 CSBG Transition Funding</u></p> <p><u>Minimum content required:</u> DHHS/OCS grant obligating documents; grant application; special conditions and amendments related to the transition grants; significant correspondence related to management of the grant; financial and other reports required of the grantee; where applicable, SF 314 documents permitting carry-over of pre-1982 CSA funding balances into FY 1982 transition grant; where applicable, Tripartite Agreement permitting carry-over of OCS transition balances to be used by the grantee as part of its CSBG funding from the State; documents prepared in closing out transition grantees, including final audit(s), audit determinations, and findings of any audit appeals filed by the grantee.</p> <p><u>Disposition:</u> Cut-off at close-out. Transfer to FRC when 1 year old. Destroy when 5 years old.</p>		

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	<p>and any significant correspondence supporting the OCS claim against the grantee.</p> <p><u>Disposition:</u> Hold at OCS for three years after the federal claim collection activity has been successfully completed or terminated and then destroy at the end of the third year.</p> <p>F. Finance Records</p> <p>These are the CSA/OCS records related to all funds obligated and disbursed to a grantee during its CSA funding. These records, by grantee, include records of payment and the grantee's financial reports required by grant conditions and regulations.</p> <p><u>Disposition:</u> Hold for five years and destroy at the end of the fifth full year after grantee close-out.</p> <p>II. Records Related to Revolving Loan Funds</p> <p>These records are related to the administration of revolving loan fund accounts supported with federal CSA or OCS funds. These records will include case files on recipients of direct loans made by CSA or OCS through the Rural Development Loan Fund (RDLF) and/or Community Development Credit Union (CDCU) Programs. These records also include case files related to revolving loan fund accounts established with funds provided in CSA grant awards when federal oversight of the loan funds is required for a period beyond the OCS closeout of the CSA grantee.</p> <p>A. RDLF and CDCU Loans</p> <p>These are direct loans made by OCS or CSA to individual organizations. The loan record will include at a minimum: the executed loan documents with terms and conditions of the loan, and any amendments to these agreements; significant correspondence related to the administration of the loan; borrower's financial reports and other reports required by the terms of the loan; and record of repayment of the loan.</p>		

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	<p>C. <u>Grantee Property Records</u></p> <p>These records are related to property acquired by grantees with federal grant funds from CSA. These records include property inventories and disposition instructions issued by CSA and OCS for all property in which the federal government retains a permanent ^{continuing} interest.</p> <p><u>Disposition:</u> Hold in central property file, at OCS headquarters, as permanent records. ^{Dispose of per GRS 3, items 2b and 2c.}</p> <p>D. <u>Audit Appeals</u></p> <p>These records are related to the resolution of grantee appeals of OCS' audit determinations. They include the audit(s); audit determination letter(s); findings of the OCS appeals board; and pertinent documentation supporting the finding of the appeals board. These records are developed for all CSA grantee audit appeals.</p> <p><u>Disposition:</u> (a) In cases in which the appeals board fully reverses monetary findings against the grantee, the records may be destroyed at the end of the fiscal year in which the appeal was resolved.</p> <p>(b) In all other cases, hold at OCS until the end of the third full fiscal year after the appeal was filed and then destroy. If, after this time, collection efforts have not been completed or terminated, the appeal record must be held at OCS all federal efforts at collection are no longer in process.</p> <p>E. <u>OCS Claims Collection Files Related to Grantees</u></p> <p>These records are related to OCS efforts to collect claims owed by CSA grantees to the federal government. Claims may be filed, for example, for payment of unexpended grant balances, interest owed to the federal government, proceeds from liquidation of assets acquired with grant funds, and payment of amounts equal to costs disallowances resulting from audits and appeals, if any. These records will include audit determination letters, appeals board findings, audited statements,</p>		

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	<p><u>Disposition:</u> Cut-off at expiration of loan Transfer to FRC when 3 years old. Destroy when 7 years old.</p> <p>B. <u>Grantee Revolving Loan Fund Accounts</u></p> <p>These are revolving loan funds established and administered by grantees as part of the approved work program of a CSA grant. These records will be developed only for grantees that are administering loan accounts requiring continued federal oversight for a period beyond the close-out of the CSA grant. These records will include at a minimum: documents describing the purposes, criteria and terms and conditions under which the grantee will administer a revolving loan fund, and the definition of the point at which the federal oversight of the fund will no longer be required.</p> <p><u>Disposition:</u> Cut-off at close-out. Transfer to FRC when 3 years old. Destroy when 7 years old.</p> <p>III. <u>Legal Counsel Files</u></p> <p>These are records of the Office of Legal Counsel within the Director's office. Records are developed for three subject areas: Miscellaneous subject files; case files; and claims. There is no minimum content required in any of these subject areas. Records will contain as fully as possible the necessary documentation to support the federal government's interest in resolution of issues related to the subject matter.</p> <p><u>Disposition:</u> (1) Miscellaneous subject files: Hold at OCS for 3 years. Destroy when three years old unless review by legal counsel indicates that continued retention at OCS for one more year is required.</p>		

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	<p>2) Case files: These are records related to cases brought by or against CSA and/or OCS. <u>A</u> Cut off when case is closed. Transfer to FRC when 1 year old. Destroy when 5 years old. <u>B</u> At the time that records are prepared for transfer to the FRC, OCS may review the record to recommend it instead for retention by the Archives as a permanent record.</p> <p>3) Claims files: These are records related to claims brought by or against CSA or OCS that are not based on grantee funds owed as a result of disallowances or unexpended balances, or interest or proceeds owed as described in Section I, PART E.</p> <p><u>Disposition:</u> Hold at OCS for 3 years after the claim collection activity has been successfully completed or terminated by the federal government. Destroy when 3 years old.</p> <p>IV. <u>Budget Documents</u></p> <p>These are records related to budget preparation, presentation, and apportionment. This subject area is covered in the General Records Schedule #5. General Records Schedule #5 requires submission of a SF 115 Schedule for the following two items:</p> <p># 1 -- Budget Policy Files</p> <p># 2 -- Budget Estimates and Justification Files.</p> <p>Definition of the content of these items is found in the General Records Schedules.</p> <p><u>Disposition:</u> Cut-off at the end of the budget year for which they were prepared. Destroy when 5 years old.</p> <hr/> <p>All other OCS records will be disposed of according to the General Record Schedules.</p>		