

REQUEST FOR RECORDS DISPOSITION AUTHORITY		LEAVE BLANK (NARA use only)	
To NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD, COLLEGE PARK, MD 20740-6001		JOB NUMBER <i>N1-439-09-2</i>	
1 FROM (Agency or establishment) Department of Health and Human Services		Date Received <i>7/1/09</i>	
2 MAJOR SUB DIVISION Administration on Aging		NOTIFICATION TO AGENCY In accordance with the provisions of 44 U S C 3303a, the disposition request, including amendments is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
3 MINOR SUBDIVISION Center for Policy and Management			
4 NAME OF PERSON WITH WHOM TO CONFER Harry Posman			
5 TELEPHONE 202-357-3540		DATE <i>7/1/09</i>	ARCHIVIST OF THE UNITED STATES <i>[Signature]</i>
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 of the GAO Manual for Guidance of Federal Agencies, <input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE <i>6/25/09</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>Yvonne X. Wilson</i> Yvonne Wilson		TITLE DHHS Records Management Officer
7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	Records for Administration on Aging, Center for Policy and Management Unless specifically stated otherwise in the description or the retention, all items are media-neutral and apply to paper, electronic, microform, or other media in which records may exist See attached sheet	NARA Job No N1-439-06-3	

Administration on Aging
Center for Policy and Management

Deputy Assistant Secretary

1. Schedules of Daily Activities

Electronic calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities by the Deputy Assistant Secretary while serving in an official capacity, including records related to activities when functioning as agency Chief Financial Officer and Chief Information Officer. Records containing information relating to official activities are incorporated into official files

Disposition: **Temporary** Cut off at the end of the calendar year in which created Destroy 3 years after cutoff. (Supersedes N1-439-06-3, item 1)

2. Executive Office Files

Documents received and responded to in major roles as Deputy Secretary, including Chief Financial Officer and Chief Information Officer.

Disposition: **Temporary**. Cut off at the end of the calendar year when created or received. Destroy 5 years after cutoff. (Supersedes N1-439-06-3, item 2)

Office of Management Analysis and Resources

3. Administrative Policies, Procedures, and Reports

Records reflecting the policies and procedures established for administrative operations throughout AoA. Included are administrative policies and procedures, reports, action papers, summaries, digests, presentations, interpretations, clarifications, evaluations, conclusions, recommendations, evidence of staff coordination, and decisions

Disposition: **Temporary** Place in an inactive file when the directive is rescinded, superseded or obsolete. Cut off inactive file at the close of FY. Destroy after 5 years (Supersedes N1-439-06-3, item 14)

4. Organization Analysis Files

Copies of records which effect changes in the organization, functions, or relationships of components of AoA. Included are approved/disapproved organizational and staffing plans and charts, delegations of authority, reorganization plans, functional or mission statements, and directly related papers.

Disposition: **Temporary**. Cut off at the end of the fiscal year in which created Destroy 3 years after cutoff. (Supersedes N1-439-06-3, item 15)

5. ~~Human Resource Service/Personnel Files~~

~~Copies of AoA personnel records which relate to the supervision and management of AoA employees (separate from the Official Personnel Folders which are maintained by the Rockville Human Resources Center and covered under General Records Schedule 1), including service record cards, personnel correspondence, offers of employment, transfer information, employee record cards,~~

~~position classification information; position description; appeals, interview information; performance rating board case information, training transcript, employee individual development plans; awards (including recommendations, approved nominations pertaining to agency sponsored cash and noncash awards such as incentive awards, within grade merit increases, suggestions, and outstanding performance); length of service and sick leave awards; letters of commendation and appreciation; notification of personnel actions; and other related documents and/or materials.~~

~~Disposition: Temporary Destroy 3 years after employee separates from service or transfers to another agency. (Apply existing authority: N1-439-06-3, item 13)~~

~~6. Time and Attendance Records~~

~~Documents and forms that establish authority to change, update and or amend employee's timecard in any way. Official documents that justify court or military leave to be granted~~

~~Disposition: Temporary. Destroy after GAO audit or when 6 years old, whichever is sooner. (GRS 2, items 6, 7 and 8)~~

~~7. Special Employment Program Files/Training Files~~

~~Files on participants in special employment programs, Upward Mobility, Junior Fellows, Management Intern, and HHS Fellows, Executive Leadership, etc.~~

~~Disposition: Temporary. Destroy when 5 years old or 5 years after completion of a specific training program (Supersedes N1-439-06-3, item 18) (GRS 1, item 29a1)~~

~~8. Work/Life Program Files~~

~~General reference files of Work/Life Program information sessions, brown bags, benefits, and other related documents and/or materials.~~

~~Disposition: Temporary. Destroy when 3 years old. (Apply existing authority: N1-439-06-3, item 19)~~

9. Working Files

Working and duplicate copies of documents created in the process of developing materials within the Office of Management Analysis and Resources including, but not limited to, work force analysis, administrative policies and procedures and position descriptions.

Disposition: Temporary. Destroy when no longer needed for administrative purposes. (Supersedes N1-439-06-3, item 21)

Office Budget and Finance

10. Budget Formulation Files

Records are retained for each of the three most current budgets in paper and electronic formats. These include the budget being developed (BY), the budget for the current year (CY), and the budget for the prior year (PY). The official file for each of these budgets should include a final copy of the following documents: Departmental Submission, Secretary's Budget Council Briefing Materials, OMB Submission, Congressional Justification of Estimates, Appropriations Briefing Book, Answers to Questions Provided by the Congress for the Record, Requests for Reprogramming and Congressional

Responses, and Tables or other formal recordings of appropriations provided related to the budget requests.

Disposition: **Temporary**. Cut off at the end of the BY for which the records were created Destroy 3 years after cutoff, or when no longer needed. (Supersedes N1-439-06-3, item 4)

11 **Financial Management Files**

Records related to corrective actions resulting from Departmental top down audit finding and of Federal Managers Financial Integrity Act (FMFIA) review results and certifications to the Department

Disposition: **Temporary**. Cut off at the end of the BY for which the records were created. Destroy 3 years after cutoff, or when no longer needed. (Supersedes N1-439-06-3, item 5)

Office of Grants Management

12. **Grant Award Files**

The official grant award file should consist of successful application materials, including an original signed application (SF424), budget information (SF 424A), assurances (SF 424B) and other materials, representations and disclosures, as required by AoA and/or the NOFA; financial assistance award approval/negotiation sheet; financial assistance award and/or obligating documents; standard terms and conditions; technical review and budget analysis; signed reviewer comments, score sheets, summary forms, grant monitoring statements and/or documentation, reporting requirement documents such as financial status reports and program progress reports; any program commitment documents; correspondence relating to award, state plan (formula only); any AoA internal evaluations, risk assessments; performance assessments; any sub-recipient reports, copies of financial award deliverables/products (such as evaluations, studies, reports, publications, posters, brochures, flyers or any other related documents and/or materials as required); termination or suspension notices; budget revisions and amendments; grant extensions; closing documents and property inventory documents; any Inspector General reports or other documentation of actions from other HHS administrative or investigative arms and resulting compliance actions; audit findings; any appropriate outside materials that may impact the grant award; and other related documents and/or materials. In those cases of a cooperative agreement, the grant file will contain all documents listed in the grant award files including an original signed cooperative agreement indicating the involvement of AoA in the development and execution of the activities of the project and description of the training, technical assistance and support to be provided Also includes awards that are renewed or continued, cancelled, suspended, or otherwise terminated. (Applies to all grant award types covered by this schedule.)

a **Discretionary Awards**

Disposition: **Temporary**. Cut off at end of project period in which all grant file elements are closed out. Hold on-site for 6 years, 3 months. Destroy 6 years and 3 months after cutoff (Supersedes N1-439-06-3, item 6)

b. **Formula Awards**

Disposition: **Temporary**. Cut off at end of project period in which all grant file elements are closed out Hold on-site for 6 years, 3 months. Destroy 6 years and 3 months after cutoff (Supersedes N1-439-06-3, item 7)

c. **Disaster Awards**

Disposition: **Temporary.** Cut off at end of project period in which all grant file elements are closed out. Hold on-site for 6 years, 3 months. Destroy 6 years and 3 months after cutoff. (Supersedes N1-439-06-3, item 8)

d. **Grant Guidance**

Disposition. **Temporary.** Cut off at end of project period in which all grant file elements are closed out. Hold on-site for 6 years, 3 months. Destroy 6 years and 3 months after cutoff. (Supersedes N1-439-06-3, item 9)

e. **Unsuccessful Applications**

Disposition: **Temporary.** ~~Destroy 3 years after rejection or withdrawal.~~ (Supersedes N1-439-06-3, item 10) (GRS 3, item 13)

13. **Program Support Files**

Routine program award support files that should contain program announcement, federal register announcement, program legislation, terms and conditions, reporting requirements, selection criteria, reviewer instructions, application and decision memo, designation of grants officer, and other related support documents and/or materials.

Disposition: **Temporary** Destroy when 3 years old. (Supersedes N1-439-06-3, item 11)

14. **Working Files**

Early and intermediate versions of materials generated in the development of the grant award, financial award and program support files.

Disposition: **Temporary.** Destroy upon closeout of the grant or when no longer needed, whichever is sooner. (Supersedes N1-439-06-3, item 12)

Office of Administrative and Technology Services

~~15. **Routine Procurement Files/Acquisition Management Files**~~

~~Copies of procurement and supply records documenting acquisition of goods and non-personal services, controlling the volume of stock on hand, reporting procurement needs, and related supply. Files also contain a range of procedure, from small purchases to complicated prime contractor and subcontractor operations. The key procurement file is maintained by HHS PSC. AoA maintains copies of the formal contract or informal purchase order or lease instruments and all related papers such as copy of purchase document, specifications, bids, schedules of delivery, the initiating requisition invoices, and other related documents and/or materials.~~

~~Disposition: **Temporary.** Destroy when 3 years old. (Apply existing authority. N1-439-06-3, item 16)~~

~~16. **Printing, Binding, Duplication, and Distribution Records Reprographics**~~

~~Copies of records pertaining to requests for service, control, production and distribution of individual jobs or projects (this material normally consist of requisitions requesting service and registers or of similar media utilized to control the receipt of requisitions and to record the production, distribution,~~

~~and cost analysis within the operating units), and correspondence and report files reflecting the activities of the unit responsible for handling, printing, binding, duplication, and distribution matters with AoA.~~

~~Disposition: **Temporary** Destroy when 3 years old. (Apply existing authority. N1-439-06-3, item 17)~~

17. Working Files

Working and duplicate copies of documents created in the process of developing materials within the Office of Administrative and Technology Services including, but not limited to, routine administrative files in relation to procurement

Disposition: **Temporary.** Destroy when no longer needed for administrative purposes. (Supersedes N1-439-09-6, item 21)