

Request for Records Disposition Authority

Records Schedule Number **DAA-0468-2012-0008**
 Schedule Status **Appraiser Working Version**

Agency or Establishment **Department of Health and Human Services**
 Record Group / Scheduling Group **General Records of the Department of Health and Human Services**
 Records Schedule applies to **Major Subdivision**
 Major Subdivision **Office of the Secretary**
 Minor Subdivision **Office of the Assistant Secretary for Health (OASH)**
 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 Health
- Office of Global Affairs (the only non-OASH office)

The Office of Grants Management responsibilities comprises 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

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Item Count

| Number of Total Disposition Items | Number of Permanent Disposition Items | Number of Temporary Disposition Items | Number of Withdrawn Disposition Items |
|-----------------------------------|---------------------------------------|---------------------------------------|---------------------------------------|
| 4 | 0 | 4 | 0 |

GAO Approval

Outline of Records Schedule Items for DAA-0468-2012-0008

| Sequence Number | |
|-----------------|--|
| 1 | Discretionary Grant Program Records |
| 1 1 | General Program Information Files |
| 1 1 1 | Program Announcement Files Disposition Authority Number DAA-0468-2012-0008-0001 |
| 1 1 2 | Funding Decision Files Disposition Authority Number DAA-0468-2012-0008-0002 |
| 1 1 3 | Application Evaluators Lists Disposition Authority Number DAA-0468-2012-0008-0003 |
| 2 | Grant Case Files |
| 2 1 | Official Grant Files Disposition Authority Number DAA-0468-2012-0008-0004 |

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Records Schedule Items

| Sequence Number | |
|-----------------|---|
| 1 | <p>Discretionary Grant Program Records 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 as follows</p> |
| 1 1 | <p>General Program Information Files The office of record for this file will be the OASH agency's program office These records must include program announcements, 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>Program Announcement Files Disposition Authority Number DAA-0468-2012-0008-0001 These files include Program announcements, program management procedures (such as regulations), and terms and conditions of the grant program Final Disposition Temporary Item Status Pending Is this item media neutral? Yes WITHDRAWN 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)(a) Disposition Instruction Cutoff Instruction Cut off at the end of FY in which the competition was completed Retention Period Destroy 7 year(s) after cutoff Additional Information GAO Approval Not Required</p> |
| 1 1 2 | <p>Funding Decision Files</p> |

Disposition Authority Number **DAA-0468-2012-0008-0002**

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 **Pending**

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)(a)**

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-0468-2012-0008-0003**

Lists of non-federal and federal expert evaluators who review and score grants applications

Final Disposition **Temporary**

Item Status **Pending**

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

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| | | |
|-----|--|---|
| | 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 |
| 2 | Grant Case Files | |
| | 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. | |
| 2 1 | Official Grant Files | |
| | Disposition Authority Number | DAA-0468-2012-0008-0004 |
| | Include initial competitive and annual non-competitive continuation applications, notices of grant award, program progress reports, and financial status reports, and also includes evaluation and site visit reports. 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 | Pending |
| | 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 WITHDRAWN |
| | 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)(a) |
| | Disposition Instruction | |
| | Cutoff Instruction | Cutoff each FY Quarter upon closeout of grants (receipt of final program and financial status reports) e.g., December 31, March 30, June 30, and September 30 |
| | Transfer to Inactive Storage | Transfer to FRC one year after cutoff |
| | Retention Period | Destroy 6 year(s) and 3 month(s) after cutoff |
| | Additional Information | |

GAO Approval

Not Required

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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 |
|------------|--------------------------|-------------------|---------------------|--|
| 04/06/2012 | Certify | Elaine Pankey | Records Officer | Offices of the Secretary - OCIO |
| 04/19/2012 | Return for Revision | Valerie Terray | Archives Specialist | National Archives and Records Administration - Records Management Services |
| 06/08/2012 | Submit For Certification | Karen Ballesteros | Records Specialist | Offices of the Secretary - OCIO |
| 06/08/2012 | Certify | Elaine Pankey | Records Officer | Offices of the Secretary - OCIO |
| 08/29/2012 | Return for Revision | Valerie Terray | Archives Specialist | National Archives and Records Administration - Records Management Services |
| 09/06/2012 | Submit For Certification | Karen Ballesteros | Records Specialist | Offices of the Secretary - OCIO |
| 09/06/2012 | Certify | Elaine Pankey | Records Officer | Offices of the Secretary - OCIO |

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