

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		LEAVE BLANK (NARA use only)	
		JOB NUMBER <b>NI-563-08-39</b>	
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD, COLLEGE PARK, MID 20740-6001		Date Received <b>8/18/08</b>	
1. FROM (Agency or establishment) <b>Department of Homeland Security</b>		NOTIFICATION TO AGENCY	
2. MAJOR SUB DIVISION <b>Management</b>		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request, including amendments is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	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 <b>Office of the Chief Procurement Officer</b>			
4. NAME OF PERSON WITH WHOM TO CONFER <b>Kathy Schultz</b>	5. TELEPHONE <b>202-447-5075</b>	DATE <b>3/3/09</b>	ARCHIVIST OF THE UNITED STATES <b>WITHDRAWN</b>
6. <b>AGENCY CERTIFICATION</b> 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 <u>3</u> 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, <input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE <b>8/11/08</b>	SIGNATURE OF AGENCY REPRESENTATIVE <i>Kathleen A. Schultz</i>	TITLE <b>Senior Records Officer</b>	
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
<b>1</b>	<b>See attached sheet(s) for: Grant Policy and Oversight records</b>		

**U.S. Department of Homeland Security  
Headquarters Records Schedules**

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**Management**

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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.

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

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**1 Catalog of Federal Domestic Assistance (CFDA) Program Records**

Description of Federal Grant programs including authorizing program statutes and regulations.

**Disposition:**

TEMPORARY. Cut-off at end of the fiscal year in which the grant is closed or upon receipt of the final financial status report, whichever is later. Destroy or delete 6 years and 3 months after cutoff.

**2 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. Destroy or delete 10 years after cutoff.

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Headquarters Records Schedules**

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**3 Debarment Case Files**

Consists of documents relating to investigations of Grant recipients resulting in the debarment or 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:**

- a. Case Files  
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  
Destroy when no longer needed for reference or other business, legal or audit purposes.

**4 Grant - Memorandum of Agreement (MOA)/Memorandum of Understanding (MOU)**

Agreement between federal agencies, or divisions/units within an agency or department, or between federal and state agencies, which contains operational requirements for the management of assistance awards, delineate tasks, jurisdiction, standard operating procedures or other matters which the agencies or units are duly authorized and directed to conduct.

**Disposition:**

TEMPORARY. Cut off when agreement is superseded or terminated. Destroy or delete when the last program award is closed out.

**5 Grant Alerts**

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

**Disposition:**

TEMPORARY. Cut off at end of fiscal year in which announcement is published. Destroy or delete when superseded or no longer needed.

**6 Grant and Cooperative Agreement Case Files**

Files containing 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:**

TEMPORARY. Cut off at end of the fiscal year in which the investigation is closed. Destroy or delete 6 years and 3 months after cutoff.

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**7 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 fiscal year. Destroy or delete when the last award is closed out and the requirement documents are no longer needed.

**8 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. Cut off at end of the fiscal year in which the investigation is closed. Destroy or delete 6 years and 3 months after cutoff.