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| REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse) | | LEAVE BLANK (NARA use only) | |
| TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408 | | JOB NUMBER N1-302-93-3 | DATE RECEIVED 3-23-93 |
| 1. FROM (Agency or establishment) ACTION | | NOTIFICATION TO AGENCY | |
| 2. MAJOR SUBDIVISION Office of Management & Budget | | 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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10 | |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 Administrative & Management Services | | | |
| 4. NAME OF PERSON WITH WHOM TO CONFER Evelyn D. Grimes Records Officer | 5. TELEPHONE 606-5246 | DATE 10-14-93 | ARCHIVIST OF THE UNITED STATES WITHDRAWN |

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 now needed 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,

is not required; is attached; or has been requested.

| | | |
|----------------|---|--------------------------|
| DATE 3/4/93 | SIGNATURE OF AGENCY REPRESENTATIVE <i>Evelyn D. Grimes</i> | TITLE Records Officer |
|----------------|---|--------------------------|

| 7. ITEM NO | 8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION | 9. GRS OR SUPERSEDED JOB CITATION | 10. ACTION TAKEN (NARA USE ONLY) |
|------------|---|-----------------------------------|----------------------------------|
| | SEE ATTACHED SHEETS | | |

1. Program Evaluation Data File

Files containing raw data (surveys, questionnaires, field notes, etc.), computer types and diskettes, and codebooks.

Disposition: Cut-off every 3 years, retire to FRC. FRC will hold 5 years and destroy.

2. Training Evaluations

Files relating to evaluations of agency training activities, such as needs-assessment, PSO's, etc.

Disposition: Cut-off every 3 years, retire to FRC. FRC will hold 5 years and destroy.

3. Management Studies

These are files that relate to analyses of agency management functions.

Disposition: Cut-off every 3 years, retire to FRC. FRC will hold 5 years and destroy.

4. Files Management Plan

This form provides a comprehensive and efficient system for maintenance and disposition of records.

Disposition: Destroy when a new plan is approved.

5. Accessibility Self-Evaluation Reports (Grantees)

These are self-evaluation reports conducted by grantees identifying areas of compliance/non-compliance with Section 504 of the Rehabilitation Act of 1973, as amended.

Disposition: Hold 2 years and destroy.

Superseded Citation: NI 362-91-21

6. DOJ Implementation Plans

Annual reports/plans to DOJ on implementation of agency's civil rights compliance program for grantees and for federally conducted programs re: disability. Includes reports on complaints filed by volunteers, employees, of grantees, and other beneficiaries of the grantees' programs and activities.

Disposition: Destroy 3 years after report/plan expires.

7. HHS Annual Reports

Annual reports to HHS on implementation of nondiscrimination by grantees based on age. Includes reports on complaints, based on age filed by volunteers, employees of grantees, and other beneficiaries of the grantees' program and activities.

Disposition: Destroy after 3 years.

8. EEOC Annual Statistical Reports

Annual statistical reports to EEOC on complaints filed by and counseling of Federal employees and applicants for Federal employment.

Disposition: Destroy after 3 years.

9. Evaluations

Periodic evaluations of the agency's employment practices for adverse effects on minorities, women or individuals with disabilities.

Disposition: Destroy after 3 years.

10. Accessibility Certifications

Certifications by sponsors on accessibility of programs and activities to individuals with disabilities, including corrective action commitments if needed.

Disposition: Hold until termination of the grant. Destroy after 1 year.

11. Special Emphasis Committee

Plans, correspondence, and reports of the Special Emphasis Committee, including those related to presentation of annual Multi-Cultural Festival.

Disposition: Destroy after 2 years.

12. Civil Rights Policy Statements

Policy statements issued by the Director or other top management officials on support of nondiscrimination in agency practices, including employment.

Disposition: Destroy after 3 years.

13. Statements for Special Observances

Statements issued by Director or other top management officials to commemorate, e.g.. Hispanic Heritage Month, Women's History Month, or Martin Luther King's Birthday.

Disposition: Destroy after 2 years.

14. Discrimination Complaint Case Files (Volunteers), Employees of Grantees, & Other Beneficiaries of Grantees' Programs and Activities

Agency's files containing complaints, with related correspondence, reports, exhibits, withdrawal notices, copies of decisions, and other records. Cases resolved within the agency or by a U.S. Court.

Disposition: Destroy 4 years after resolution of case.

15. EO Counseling Files

Agency's file containing Counselor's Reports, with related correspondence, reports, exhibits, and other records, including a Notice of Final Interview if matter not resolved during counseling. If formal complaint is filed, the counseling file is incorporated into the discrimination complaint case file.

Disposition: Destroy 2 years after issuance of Counselor's report.

16. Special Volunteer Program Grant Project Files

This file contains competitive announcements, project applications, grant award notices, project progress reports, final reports, correspondence, and related program information. Files are maintained by region and by grant type.

Disposition: Cut-off at end of year, hold 5 years and destroy.

17. Grant Appeals of Disallowed Cost

Agency's files containing the copy of the audit, memo of Resolution Decision by the Grants Officer and the IG, Notice of Grant Cost Disallowed, Grantee's written appeal, Grant Officer's recommendation, file notes, Appeal Officer's decision and other items such as Appeal Officer's request for more information from the Regional Office or the State Office, when applicable.

Disposition: These files will be closed 3 years after the final appeal (unless a court appeal has been filed); hold for 5 years and destroy.

18. Program Directories

Includes the complete mailing address, phone number, and name of each project sponsor, project director and the ACTION Program's State Director.

Disposition: Once these directories become obsolete or are superseded, hold for 10 years before destroying.

Superseded Citation: NI 362-91-2

19. Position Papers and Backup Speech Material

This material has been prepared for the Director and other staff officials on subjects of current interest.

Disposition: PA will cut off at the end of the year, hold 2 years, then destroy.

Superseded Citation: NC 174-189 item 117

20. Federal Women's Program Committee

These are minutes and related papers of each of the Federal Women's Program Advisory Committee Meetings. They are filed by subject by fiscal year. Quarterly reports will be produced containing an account of committee activities during each quarter.

Disposition: Cut-off minutes at end of year, hold 2 years and destroy. Cut-off quarterly reports at end of fiscal year, hold 3 years and destroy.

21. VISTA Payroll Computer Printout (Headquarters)

The computer printout of the payroll for the Headquarters and Regional offices arranged by payroll period.

Disposition: Fiscal Services will hold the report in its entirety for 2 years and retire to FRC. FRC will retain 10 additional years and destroy.

Superseded Citation: NC 174-189 item 130

22. VISTA Payroll Computer Printout (Regional)

This is the computer printout of the payroll for the Regional office as furnished by the Washington office.

Disposition: Regional Offices will hold 3 years and destroy.

Superseded Citation: NC 174-189 item 130

23. Check Issue Report

This is a listing of Volunteer's names, addresses and check issue amounts arranged in Social Security Numbers by Region.

Disposition: Fiscal Services will hold this report for 2 years and retire to FRC. FRC will retain 10 additional years and destroy.

24. Unemployment Compensation

Filed by State, Notices of unemployment compensation claims, responses from ACTION to the State, and other correspondence.

Disposition: Destroy when 3 years old.

25. Employee Relations Case Files

These files consist of adverse actions, background material, and correspondence. These files are based on disciplinary or adverse actions taken against an ACTION employee. Arranged in 2 tabbed folders, one considered the office file and the other the appeal file. Both files are essentially the same.

Disposition: Permanent. (A) Labor & Employee Relations Branch will hold 10 years and retire to the FRC. (B) All other offices will hold 5 years and destroy.

26. Personnel Security Clearance Files

These files contain a record of investigations of personnel employed by ACTION or persons seeking employment with ACTION. Investigative reports conducted by the FBI and OPM are returned to originator. ACTION investigative reports remain with the case.

Disposition: Personnel will place closed cases in the inactive file, hold 3 years and retire to FRC. FRC will hold 27 additional years and destroy.

27. Company Files (Overhead Rates)

This is an alphabetic file of contractors containing background information regarding the contractor, including copies of audits, financial statements and standing, correspondence, and printed material.

Disposition: The Contracts Branch will hold 6 years and 3 months after final payment and then destroy.

Superseded Citation: NC 174-189 item 142

28. Contract Files

These case files contain all documentation on each contract. They are filed by contract number. Each contract file contains contract and amendments, clearances and negotiations, funding payment schedule, and copy of voucher.

Disposition: Place contracts under \$25,000 in a closed case file upon final payment. Destroy 6 years and 3 months after final payment.

Superseded Citation: NC 362-75-1 item 3

29. Unsuccessful Bidders

Bids received upon advertisement of contract which were not accepted.

Disposition: Grants and Contracts Branch will hold until contract completion date and then destroy.

Superseded Citation: NC 174-189 item 141

30. Purchase Orders

These files contain copies of SF 147, 148, and 44, plus information about final payment.

Disposition: Retain files for 1 year after award or final payment and then destroy.

Superseded Citation: NC 362-75-1 item 7

31. Semiannual Reports

IG semiannual reports to Congress, submitted to the Director for periods ending March 31 and September 30 that include: (1) a description of significant problems and deficiencies disclosed during the reporting period with a summary of OIG recommendations for corrective actions; (2) the results of significant audits and investigations; (3) information on audit followup including tracking decisions on disallowed costs and collection of funds due the Government and (4) a summary of matters referred for prosecution.

Disposition: Permanent. Cut-off every fiscal year, hold for 2 years and send to the FRC.

32. Pamphlets and Brochures

Contain information that will alert ACTION staff, grantees, and contractors about required Federal procedures and responsibilities.

Disposition: Permanent. Cut-off every fiscal year, hold for two years and send to the FRC.

33. IG General Correspondence

Pertaining to audits, intent to audit and memoranda of resolution (MORD).

Disposition: Cut-off at the end of year. Destroy.

34. Director's Semiannual Report to Congress (Management Report)

Report submitted by the Director to Congress (along with the IG's Semiannual Report). This report responds to the comments in the IG's report and it also reports on audits.

Disposition: Permanent. Cut-off every year fiscal year, hold for 2 years and retire to the FRC.

35. Vendor Accounts

These files contain bills and payments of ACTION agency-wide services such as SLUC, WATS, etc.

Disposition: Destroy when 3 years old.

36. Government Travel & Transportation Credit Card Reports

This file consist of the following reports: (1) Corporate Delinquency Report - contains the past due accounts of ACTION employee's transportation bills for card holders; (2) Corporate Account Activity Summary - contains the monthly report on ACTION's Employees charges, credits and net amount of transportation costs; (3) Diners Corporate Projected Renewal Report - A monthly summary of ACTION employee's renewal dates and (4) Corporate Account List - A summary of a current listing of ACTION employees diners club number, address, social security number and expiration date.

Disposition: Destroy after 6 months.

37. Relocations

This file contains individual folders on all ACTION employees who have incurred transportation and relocation cost.

Disposition: Destroy after 3 years.

38. Government Travel & Transportation Credit Card Central Billing Account Users

This file contains the monthly bills of ACTION employees' transportation costs for charges made to the central billing account.

Disposition: Hold for 6 months and destroy.

39. Government Travel & Transportation Credit Card Applications

This file contains all completed applications and all correspondence related to individual applications for a Government Travel * Transportation Credit Card.

Disposition: Hold for 6 months and destroy.

40. Printout of Long Distance Telephone Calls-Outgoing

These printouts of outgoing long distance calls are broken down by branch and filed in chronological order after certification as to correctness.

Disposition: Destroy 6 months after receipt of current month printout unless under investigation.

Superseded Citation: NC 174-189