REQUEST FOR RECORDS DISPOSITION AUTHORITY

(See Instructions on reverse)

LEAVE BLANK

JOB NO: N1-292-90-3

DATE RECEIVED: 5/17/90

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

1 FROM *(Agency or establishment)*: Department of Health and Human Services

2 MAJOR SUBDIVISION: Family Support Administration

3 MINOR SUBDIVISION: Office of Financial Management

4 NAME OF PERSON WITH WHOM TO CONFER: John B. McDonald for Charleen Tompkins

5 TELEPHONE EXT: 401-9228

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disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10 If no records are proposed for disposal, the signature of the Archivist is not required

DATE: 10/4/91

ARCHIVIST OF THE UNITED STATES: [signature]

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 8 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, if required under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is attached

A GAO concurrence ☐ is attached, or ☒ is unnecessary

B DATE	C SIGNATURE OF AGENCY REPRESENTATIVE	D TITLE
5/11/90	A Prentice Barnes, Sr.	DHHS Records Management Officer

7 ITEM NO	8 DESCRIPTION OF ITEM *(With Inclusive Dates or Retention Periods)*	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN *(NARS USE ONLY)*
	This schedule supersedes that part of Social Security Administration and Office of Child Support Enforcement, NC1-47-81-9, NC1-292-84-1 and Office of Community Services NC1-381-80-1 programs now maintained by the Family Support Administration.		

Copies sent to agency, NN-W, NNT, NCF 10/25/91

115-108

NSN 7540-00-634-4064

STANDARD FORM 115 (REV 8-83)
Prescribed by GSA
FPMR (41 CFR) 101-11.4

FSA/OFM Records Retention Schedule

Description of Records	Authorized Disposition
1. Unsuccessful Grant Applications - Applications, correspondence and other records relating to unsuccessful (rejected or withdrawn) applications	Destroy 3 years after rejection or withdrawal (GRS 3 - Item 13)
2. Grant Administrative Files - Correspondence and/or subject files relating to routine operations and daily activities in administration of the grant Program.	Destroy when 2 years old (GRS 3-Item 14)
3. State Administered Formula Grant Files - Files documenting State administered formula grants under the FSA programs. The records include budget information, award notices, computation data, program and financial reports, letters of credit, and cost allocations. Also included are decision letters from Regional Administrators. These records are retained for reference and may be needed as supporting documentation in State appeals or litigation initiated by States to recover funds.	Close out file the end of the budget year. Transfer to FRC 24 months after close out. Destroy when 10 years old ~~(GRS 3, Item 14: Note)~~ NC1-47-84-4/33 NC1-292-84-1/1
4. Block Grant files for States, Territories and Indian Tribes - Files documenting State, Territory and Indian Tribe block grants under the FSA programs. Records include obligating documents, grant application and/or State plans, statutory assurances and certifications, program and financial reports and related materials to the management of the grant; and grant close-out documents.	Transfer to FRC 18 months after close out of the grant. Destroy 6 years 3 months after close of the fiscal year in which grant expires. ~~(GRS 3, Item 14 : Note)~~ ~~NC1-381-80-1~~ NC1-47-84-4/34

Description of Records	Authorized Disposition
5. State Project Grant Files Grants made in support of an individual project in accordance with legislation which permits a grantee agency to administer such grants. Records include FSA programs announcements, State proposals, application evaluation and related materials.	- Transfer to FRC 18 months after close out of grants. Destroy 6 years 3 months after close of fiscal years in which grants expires. ~~(GRS 3 Item 14: Note)~~ NC1-47-84-4
6. Discretionary Grant Files These files are the working documents for FSA categorical grants which are not State administered under the FSA programs. The records include copies of the application, evaluation documentation, award notice, program and financial reports. Records also include documents prepared in grant close-out.	- Transfer to FRC 18 months after close out of grant. Destroy 6 years, 3 months after close of fiscal year in which grant expires ~~(GRS 3, Item 14: Note)~~ NC1-47-84-4/3b
7. Research and Demonstration Project Grant Files Files documenting the project which are Federal grants (demonstration grants) to States who volunteer to conduct study programs. The records are filed by project (by State or Contractor). The files contain applications and correspondence, notation of approval or disapproval, comments of FSA components, copies of decision memorandums to establish programs, progress reports, and final project reports.	- Transfer to FRC 18 months after close out of grant. Destroy 6 years 3 months after close of fiscal year in which grant expires. ~~(GRS 3, Iitem 14: Note)~~ MRM.07 Sch. 6/10b

Description of Records	Authorized Disposition
8. Grantee Revolving Loan Fund Accounts These are revolving loan funds established and administered by grantee as part of the approved work program of a FSA 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 FSA 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 definitions of the point at which the federal oversight of the fund will no longer be required.	- Transfer to FRC 18 months after close out of grant. Destroy 6 years, 3 months after close of fiscal year in which grant expires. (~~GRS 3, Item 14: Note~~)
9. Claims Collection Files Related to Grantees These records are related to FSA efforts to collect claims owed by FSA 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 and other significant correspondence supporting the FSA claim against the grantee.	- Hold 3 years after the federal claim collection activity has been successfully completed or terminated and then destroy at the end of the 3rd year. (~~GRS 3~~, ~~Item 14: Note~~)

Description of Records	Authorized Disposition
10. Deferral and Disallowance Files Files maintained in State order documenting the deferral or disallowance of State submitted expenditures. Expenditure items generally are disallowed because the items are not covered under the Social Security Act or regulations. Deferral or disallowance actions may be appealed and can result in litigation for recovery of funds. Contents of the files include regional office review reports and recommendations; correspondence with States and internal correspondence; and related records.	- Close out at end of the budget year or when all avenues of appeal or recommendations have been exhausted whichever is later - Transfer to FRC 18 months after close out. Destroy when 6 years 3 months old. ~~(GRS 3, Item 14:~~ NC1-292-84-1/2
11. Audit Files Records relating to both management and financial audits of FSA grantees operations including notifications of forthcoming audits, nonrecord copies of draft and final reports, comments on findings and recommendations, findings of appeal board and pertinent documentation supporting the findings of the appeals board.	- Destroy 2 years after audit closure. ~~(GRS 3, Item 14: Note)~~ MRM-07, Sch 6, Item 8 NC1-292-84-1/9
12. Budget Estimates & Justification Files Files consist of FSA budget estimates and associated justification statement submitted annually to ASMB. The files are used in the preparation of the annual FSA budget submission to the Department of Health and Human Services	- Destroy 5 years after the close of the budget year. ~~(GRS 5, Item 4: Note)~~ NC1-292-84-1/3

Description of Records	Authorized Disposition
and the Office of Management and Budget (OMB). Included are copies of Quarterly Budget Estimates; Summary of Estimates for Travel and Transportation of Persons; Summary of Estimates for Transportation of Things; Summary of Estimates of Rent, Communication and Utilities Services; and equivalent or related documents. Also included are working papers, correspondence, and background materials.	
13. FSA Budget and Document Files Files contain copies of annual FSA budget submission to HHS and OMB outlining position, manpower and funding requirements for all programs administered by FSA. Submissions are composed of: (1) summary statements (i.e., statements of appropriations and expenditures, statements of receipts, statements of numbers of personnel, schedules of accrued assets and liabilities and narrative statements summarizing the principal features of the budget request; (2) detailed material on appropriations and funds (i.e., language sheets, schedules of amounts available for appropriation, program and financing schedules, narrative statements on program and performance, and schedules of object classification and personnel summary; (3) justifications and explanations; (4) other documents required for budget examination and analysis. Official record copies are maintained by other Federal components.	- Destroy 10 years after the budget year. ~~(GRS 5, Item 4: Note)~~ NC1-292-84-1/4

Description of Records	Authorized Disposition
14. Budget Hearings Documents These documents are used by FSA officials in testifying at budget hearings conducted by HHS, OMB and the Congress. They provide background information on the FSA budget submission in general, as well as detailed explanations and justifications of specific sections thereof.	CUT OFF AT THE CLOSE OF THE BUDGET YEAR. - Transfer to FRC when 10 years old. ~~(GRS 5, Item 4: Note)~~ DESTROY WHEN 20 YEARS OLD. ~~NC1-292-84-1/5~~
15. Budget Instructions and Decision Files These files consist of instructions (e.g., manuals, directives, circulars), decision, analysis, and other official publications of HHS, OMB and the Treasury Department relating to budget preparation and execution. They are retained for reference purposes.	- Destroy when superseded or obsolete. ~~(GRS, Item 5: Note)~~ NC1-292-84-1/6
16. Budget Reports File Files contain various reports on the various FSA fiscal appropriations and appointments. Examples include: * Operating Plans - Schedule of Commitments/Obligations. This report lists actual expenditures for the first quarter, and projects monthly expenditures for the remainder of the year by object and subobject classification code. * Monthly Transaction Reports This report is prepared by PHS, Division of Finance, and provides FSA with a detailed account of total Agency expenditures by object and subobject classification code.	CUT OFF AT THE END OF THE BUDGET YEAR. - Destroy 5 years thereafter. ~~(GRS 5, Item 4: Note)~~ NC1-292-84-1/7

Description of Records	Authorized Disposition
17. Budget Execution Files Files contain records created and accumulated in monitoring budget execution. Included are logbooks, data printouts, working papers and other relevant material. Since these records reflect FSA actual expenditures, they may be used as background data for budget activities (i.e., budget preparation).	- Destroy 5 years after the close of the budget ~~(GRS 5, Item 4: Note~~) NC1-292-84-1/8

7 ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARS USE ONLY)
	DIVISION OF GRANTS MANAGEMENT		
1.	Unsuccessful Grant Applications Application, correspondence and other records relating to unsuccessful (rejected or withdrawn) applications. (See Item 7 for OFA R&D applications)	GRS-3 Item 13	
2.	Grant Administrative Files Correspondence and/or subject files relating to routine operations and daily activities in administration of the grant program. - Destroy when 2 years old	GRS-3 Item 14	
3.	State Administered Refugee Resettlement Grant Files Files documenting State administered grants to provide social services, cash and medical assistance to refugees. The records include budget information, award notices, progress reports, letters of credit, correspondence, cost allocation plans, State estimates, quarterly performance expenditure reports, final expenditure reports and other related documents. - Transfer to FRC 18 months after close out of grant. Destroy 6 years 3 months after close of fiscal year in which grant expires.	NC1-47-84-4 Item 34	
4.	Refugee Resettlement Categorical Grant Files a. Annual National Discretionary Funds Plan Files These files are the working documents for categorical project grant activities and grants for social services that are not state administered. The plan becomes the supporting documentation for developing, announcing, completing and managing the Annual National Discretionary Grant Program.	NC1-47-84-4 Item 36	

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARS USE ONLY)
	Also included is related background material, such as decision memorandums approving the plan and a copy of the approved plan. - Destroy 18 months after close out of the grant.		
	b. Categorical Grant Files Grants made in support of an individual project in accordance with legislation which permits a grantee agency to administer such grants. The file includes the program announcement, State proposals and official file copies of application evaluation documentation and correspondence. - Transfer to FRC 18 months after close out of grant. Destroy 6 years 3 months after close of fiscal year in which grant expires.	NC1-47-84-4 Item 37	
5.	Office of Family Assistance (OFA) - State Grant File Files maintained by State and fiscal year showing State quarterly expenditures of budgeted Federal monies. The files contain regional recommendations on amounts to be paid to States for expenditures and supporting documentation, budget estimates, trend analysis, quarterly statements, and other related records. These records are retained for reference and may be needed as supporting documentation in State appeals or litigation litigation initiated by States to recover additional funds. There is no statute of limitations regarding Federal payment of State expenditures and litigation cases may be retroactive. - Close out file at the end of the budget year. Transfer to the FRC 5 years thereafter. Destroy when 20 years old.	MRM.07 Sch. 6 Item 7 (b)(1)	

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARS USE ONLY)
6.	OFA Grant Computation Files Files maintained in State order containing payment forms and supporting documentation for the payment of monies for State expenditures under the AFDC program. Documents in the file include copies of grant award letters forwarded to the State containing awarded amounts; Forms SRS-OA-41, Statement of Maintenance Assistance Expenditures; Form SF-424, Federal Assistance; Form SSA-3751, Computation of Amounts for Public Assistance Grants under Titles I, X, XIV and XVI of the Social Security Act; Form SSA-3754, Accounting Data for Income Security Grants under Title IV.A of the Social Security Act; quarterly statements of expenditures for States using single letter of credit; and maintenance assistance program exhibit pages. These files are maintained for reference purposes and as supporting documentation for State payment appeals and litigation cases. - Close out file at the end of the budget year. Transfer to the FRC 5 years thereafter. Destroy when 20 years old.	MRM.07 Sch. 6 Item 7 (b)(12)	
7.	OFA Research and Demonstration Project Files Files documenting the project which are Federal grants (demonstration grants) to States who volunteer to conduct study programs. The records are filed by project (by State or contractor). The files contain applications and correspondence, notation of approval or disapproval, comments of OFA components, copies of decision memorandums to establish programs, progress reports, and final project reports. Also included in the files are records of disapproved demonstration projects. - (1) Approved Projects (a) Final Report Destroy when 5 years old. (b) Other Documents Destroy 2 years after receipt of final report (2) Disapproved Projects Destroy when 5 years old	MRM.07 Sch. 6 Item 10 (b)	

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARS USE ONLY)
8.	Child Support Enforcement (OCSE) - Non-Discretionary (Formula) Grant Files Documentation of program administration grants provided to all States based on a formula in the Social Security Act. Files include: Forms OCSE-65, Quarterly Application for Grant Award; OCSE-41, Quarterly Statement of Expenditures; OCSE-1, Grant Award Letter, OCSE-2, Grant Award Computation Sheet; and OCSE-34, Quarterly Report of Collections. Also included are decision letters from Regional Administrators and other related documents. These files are maintained for reference purposes and as supporting documentation for State payment appeals and litigation cases. - Close out file at end of the fiscal year or when a decision has been made on the allowability of all State claims or when no longer needed in support of State appeal whichever is later. Transfer to FRC 5 years thereafter. Destroy when 20 years old.	NC1-292-84-1, 1.A	
9.	Community Services Block Grants (CSBG) a. Grantees receiving block grants (States, Territories, and Indian Tribes) Grant obligating documents(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 FSA; amendments or conditions related to the FSA funding; critical correspondence related to management of the grant; and documents prepared in closeout of the grant including final audit, audit determinations, and findings of any audit appeals filed by the grantee.	NC1-381 80-1	

SUPERSEDED

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARS USE ONLY)
	- Cut off 5 yrs after effective date of grant and transfer to FRC - Destroy when 9 years old b. Grantees receiving CSBG Discretionary Grants Grant application; FSA 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. - Cut off closed grant at the end of the fiscal year - Transfer to FRC when 3 years old - Destroy when 7 years old c. Finance Records These are the FSA records related to all funds obligated and disbursed to a grantee during its FSA funding. These records, by grantee, include records of payment and the grantee's financial reports required by grant conditions and regulations. - Cutoff closed files annually. Destroy when 5 years old. d. Grantee Revolving Loan Fund Accounts These are revolving loan funds established and administered by grantees as part of the approved work program of a FSA grant. These records will be developed only for grantees that are administering loan accounts requiring continued federal		

7 ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARS USE ONLY)
	oversight for a period beyond the close-out of the FSA 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 definitions of the point at which the federal oversight of the fund will no longer be required. - Cut off at close-out - Transfer to FRC when 3 years old - Destroy when 7 years old e. <u>Claims Collection Files Related to Grantees</u> These records are related to FSA efforts to collect claims owed by FSA 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 and other significant correspondence supporting the FSA claim against the grantee. - Cut-off closed case file at the end of the fiscal year. A closed case file is one where claim collection activity has been successfully completed or terminated. Destroy when 3 years old. (NC1-381-80-1)		
10.	<u>Deferral and Disallowance Files</u> Files maintained in State order documenting the deferral or disallowance of State submitted expenditures. Expenditures items generally are	NC1-292-84-1, 1.B	

7 ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARS USE ONLY)
	disallowed because the items are not covered under the Social Security Act or regulations. Deferral or disallowance actions may be appealed and can result in litigation for recovery of funds. Contents of the files include regional office correspondence with States and internal correspondence; and related records. - Close out at end of budget year or when all avenues of appeal or recommendations have been exhausted whichever is later. - Transfer to FRC 5 years thereafter. - Destroy when 20 years old		
11.	Audit Files Records relating to both management and financial audits of FSA grantees operations including notifications of forthcoming audits; nonrecord copies of draft and final reports, comments on findings and recommendations, findings of appeal board and pertinent documentation supporting the findings of the appeals board. - OFA - Place in an inactive file after final FSA action on the audit report. Cut off inactive file at the end of the calendar year and destroy 2 years thereafter. - OCS - 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. In all other cases, hold 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 until all federal efforts at collection are no longer in process.	MRM-07 Sch. 6, Item 8	

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARS USE ONLY)
	- OCSE - Transfer to FRC 6 years after audit closure. Destroy when 12 years old.	NC1-292-84-1, 1.9 III	

SUPERSEDED

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARS USE ONLY)
	DIVISION OF BUDGET AND FORMULATION EXECUTION		
12.	Budget Estimates & Justification Files Files consist of FSA budget estimates and associated justification statement submitted annually to ASMB. The files are used in the preparation of the annual FSA budget submission to the Department of Health and Human Services and the Office of Management and Budget (OMB). Included are copies of Quarterly Budget Estimates; Summary of Estimates for Travel and Transportation of Persons; Summary of Estimates for Transportation of Things; Summary of Estimates of Rent, Communication and Utilities Services; and equivalent or related documents. Also included are working papers, correspondence, and background materials. - Cut off file at the end of the budget year. Destroy 6 years after the close of the budget year.	NC1-292-84-1, 3.A	
13.	FSA Budget and Document Files Files contain copies of annual FSA budget submission to HHS and OMB outlining position, manpower, and funding requirements for all programs administered by FSA. Submissions are composed of: (1) summary statements (i.e., statements of appropriations and expenditures, statements of receipts, statements of numbers of personnel, schedules of accrued assets and liabilities, and narrative statements summarizing the principal features of the budget request; (2) detailed material on appropriations and funds (i.e., language sheets schedules of amounts available for appropriation, program and financing schedules, narrative statements on program and performance, and schedules of object classification and personnel summary; (3) justification and explanations; (4) other documents required for budget examination and analysis. Official record copies are maintained by other Federal components. - Destroy when 10 years old	NC1-292-84-1-4.B	

SUPERSEDED

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARS USE ONLY)
14.	Budget Hearings Documents These documents are used by FSA officials in testifying at budget hearings conducted by HHS, OMB, and the Congress. They provide background information on the FSA budget submission in general, as well as detailed explanations and justifications of specific thereof. - Cut off file at close of budget year. Transfer to FRC when 10 years old. SUPERSEDED	NC1-292-84-1-5.C	
15.	Budget Instructions and Decision Files These files consist of instructions (e.g., manual, directives, circulars), decision, analysis, and other official publications of HHS, OMB and the Treasury Department relating to budget preparation and execution. They are retained for reference purposes. - Destroy when superseded or obsolete	NC1-292-84-1-6.D	
16.	Budget Reports File Files contain various reports on the various FSA fiscal appropriations and appointments. Examples include: Operating Plans - Schedule of Commitments/Obligations. This report lists actual expenditures for the first quarter, and projects monthly expenditures for the remainder of the year by object and subobject classification code. Monthly Transaction Reports - This report is prepared by PHS, Division of Finance, and provides FSA with a detailed account of total Agency expenditures by object and subobject classification code. - Close out file at the end of the budget year. Destroy 6 years thereafter.	NC1-292-84-1-7.E	

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17.	Budget Execution Files Files contain records created and accumulated in monitoring budget execution. Included are logbooks, data printouts, working papers and other relevant material. Since these records reflect FSA actual expenditures, they may be used as background data for budget activities (i.e., budget preparation). - Destroy 6 years after the close of the budget. SUPERSEDED	NC1-292-84-1-8.F	