

DAA-GRS-2013-0008

GRS 1.2

Grant and Cooperative Agreement Records

This file contains four documents. The “ERA Version” of the schedule is the official version as it appears in the Electronic Records Archives. Because many find its presentation—heavily fielded to ERA architecture—difficult to navigate, a “Review Version” is placed first in this package. Both versions contain the same information. The Appraisal Memorandum provides additional background explanation and includes the appraiser’s justification for the retention decisions proposed in the schedule. The Crosswalk matches authorities in the draft schedule with current GRS authorities.

| <i>Document</i> | <i>Page</i> |
|--------------------------------|-------------|
| Review Version | 2 |
| Appraisal Memorandum | 5 |
| Crosswalk to current GRS | 9 |
| ERA Version | 10 |

NOTE: This schedule is intended to be used as an alternate review version of a Request for Records Disposition Authority submitted for approval in the Electronic Records Archive (ERA). This version contains the same information that is in ERA with one exception, it has provided hierarchical overview and item numbers. These numbers reflect the manual citation numbers that will appear in the manual version of the GRS published on NARA's website.

REQUEST FOR RECORDS DISPOSITION AUTHORITY

Records Schedule Number: DAA-GRS-2013-0008

Agency or Establishment: General Records Schedules (National Archives and Records Administration)

Records Group: General Records Schedules

Records Schedule applies to: Government-wide

Schedule Subject: GRS 1.2 Grant and Cooperative Agreement Records

Background Information: This schedule covers records created by Federal agency program offices responsible for managing grants and cooperative agreements such as program announcements, application files, case files and similar or related records, state plans, and final products or deliverables. It does not cover records related to financial transactions. Such financial transaction records are covered by GRS 1.1, General Financial Management Records. Nor does this schedule cover policy records documenting the legal establishment, goals, objectives, development, implementation, modification, and termination of agency grant and cooperative agreement programs. The type and significance of these programs vary widely among agencies, so no single disposition can be applied to the records on a Government-wide basis. An agency must submit a records schedule to NARA to cover these records or apply an existing schedule. This schedule also does not cover government-wide systems like GRANTS.GOV and USASPENDING.GOV.

A grant is an award of financial assistance in the form of money, or property in lieu of money, by the Federal Government to an eligible grantee. The principal purpose of such award is to transfer a thing of value from a Federal agency to a State or local government or other recipient to carry out a public purpose of support or stimulation authorized by Federal statute (31 U.S.C. 6304). A cooperative agreement is an award of financial assistance that is used to enter into the same kind of relationship as a grant. It is distinguished from a grant in that it provides for substantial involvement between the grant-making Federal agency and the award recipient in carrying out the activity contemplated by the award (31 U.S.C. 6305). A grant or cooperative agreement shall be used only when the principal purpose of a transaction is to accomplish a public purpose of support or stimulation authorized by Federal statute. Grants are distinguished from contracts, which are used to acquire property or services for the Federal government's direct benefit or use.

1. Grant and Cooperative Agreement Management Records

Pre-award, award, post-award, and closeout records related to the coordination, implementation, execution, monitoring, and completion of specific grant and cooperative agreement programs and individual grants and cooperative agreements, such as:

- Background files
 - Program Announcements
 - Notice of Funding Availability or Funding Opportunity Announcement, including Federal Register notices
 - Requests for Proposals

- Application files
 - Application package (forms, instructions, etc.)
 - Application evaluation criteria
 - Application evaluation panel (composition, correspondence, instructions, etc.)
- Individual case files, including:
 - Correspondence and memoranda concerning program and financial matters
 - Applications, forms, and budget documents
 - Evaluation reports, panelist comments, review ratings or scores
 - Notice of Grant Award or equivalent and grant terms and conditions
 - Amendment requests and actions, if any
 - Periodic and final performance reports (progress, narrative, financial)
 - Audit reports and/or other monitoring or oversight documentation
 - Summary reports and the like
- Management and tracking systems, electronic or manual, used to coordinate various aspects of an agency's grant and cooperative agreement program(s), such as:
 - Application receipt, review, award, and related activities
 - Communication, workflow management, and document routing
 - Post-award and closeout activities
 - Data mining, trend analysis, and reporting
- State plans

Statutes authorizing some grant programs require States to submit plans before receiving grants. In each plan, the State will include an assurance that it will comply with all applicable Federal statutes and regulations in effect with respect to the period for which it receives grant funding.

NOTES:

- (1) If an agency believes certain management records warrant permanent retention, it must submit a records schedule to NARA to cover these records.

EXCLUSIONS:

- (1) Policy records documenting the legal establishment, goals, objectives, development, implementation, modification, and termination of agency grant and cooperative agreement programs are not authorized for disposal. The type and significance of these programs vary widely among agencies, so no single disposition can be applied to the records on a Government-wide basis. An agency must submit a records schedule to NARA to cover these records or apply an existing schedule.
- (2) Records related to financial transactions stemming from activities of agency grants and cooperative agreement programs. Such financial transaction records are covered by GRS 1.1.

a. Official record held in the office of record.

Disposition: Temporary. Destroy 10 years after final action taken on file, but longer retention is authorized if required for business use.

Disposition Authority: DAA-GRS-2013-0008-0001

Media Neutral: Yes

GAO Approval: Required and not received

Supersedes: GRS 3 item 13 (NC1-64-77-5 item 14a)

b. All other copies

Copies used for administrative or reference purposes.

Disposition: Temporary. Destroy when business use ceases.

Disposition Authority: DAA-GRS-2013-0008-0002

Media Neutral: Yes

GAO Approval: Not required

2. Final Grant and Cooperative Agreement Products or Deliverables

The tangible result of a completed grant or cooperative agreement produced/delivered by the recipient to satisfy the purpose of the award. These are maintained separately from other program records and may include materials such as a:

- Report, study, or publication
- Conference paper and/or presentation
- Book, journal article, or monograph
- Training material, educational aid, or curriculum content
- Plan, process, or analysis
- Database or dataset
- Audio, video, or still photography
- Website content or other Internet component
- Documentation related to any other kind of final product or deliverable (for example, documentation about a physical structure or element such as a building, kiosk, trail, or cabin; an instrument, device, or prototype)
- Software or computer code

NOTES:

- (1) Not all grants and cooperative agreements result in tangible products or deliverables. Some deliver services, assistance, training, or other intangible, though still measurable, outcomes.
- (2) If an agency believes the final product or deliverable of a grant or cooperative agreement warrants permanent retention, it must submit a records schedule to NARA to cover these records.

Disposition: Temporary. Destroy when business use ceases.

Disposition Authority: DAA-GRS-2013-0008-0004

Media Neutral: Yes

GAO Approval: Not required



NATIONAL ARCHIVES *and*
RECORDS ADMINISTRATION
8601 ADELPHI ROAD
COLLEGE PARK, MD 20740-6001
www.archives.gov

Date: August 26, 2013
Appraiser: Susan Means, ACNR
Agency: General Records Schedules (GRS)
Subject: DAA-GRS-2013-0008

JM for AMR
8/26/13

INTRODUCTION

Schedule Overview

GRS 1.2 Grant and Cooperative Agreement Records

Additional Background Information

This schedule covers common records related to management of Federal agency grants and cooperative agreements. It replaces previous GRS 3, Procurement, Supply, and Grant Records, item 13, Unsuccessful Grant Application Files. It also substantially expands the scope of grant and cooperative agreement program management records covered. Comments from agencies during our 2012 survey and a subsequent data call to agencies led to the decision to expand coverage to include program management records such as program announcements, application files (successful, unsuccessful, and withdrawn), case files and similar or related records, state plans, and final products or deliverables.

Over 1,000 grant and cooperative agreement programs are administered by some 26 Federal grant-making agencies. These programs span a range of categories:

- Agriculture
- Arts
- Business and Commerce
- Community Development
- Disaster Prevention and Relief
- Education
- Employment, Labor and Training
- Energy
- Environmental Quality
- Food and Nutrition
- Health
- Housing
- Humanities
- Information and Statistics
- Law, Justice and Legal Services
- Natural Resources
- Recovery Act
- Regional Development
- Science and Technology
- Social Services and Income Security
- Transportation

Although there is some variability among agencies, the grant and cooperative agreement management lifecycle consists generally of these phases, processes, and activities:

- Pre-Award –
 - Agency Planning – Based on the statute authorizing the program, OMB apportionment, and funds allocation, an agency develops and issues a Notice of Funding Availability (NOFA) or Funding Opportunity Announcement (FOA)¹ and associated application package, which consists of instructions and requirements, including forms and/or other documentation needed to apply.
 - Application Submission – Potential recipients prepare and submit application packages.
 - Application Review and Selection – Agency reviews application packages for completeness, responsiveness, financial soundness, and “rates” or “scores” each package on the basis of evaluation criteria established in the application package.
- Award – Agency issues award notification (e.g., a Notice of Grant Award or NGA) to successful applicant(s), including terms and conditions and period of performance, and sends notification of non-selection to unsuccessful applicants.
- Post-Award – Agency engages in programmatic and financial monitoring, which includes reviewing performance reports and vouchers, performing on-site monitoring, processing amendment requests, and reviewing audits.
- Closeout – Agency determines that all applicable administrative actions and all required work of the award have been completed by the recipient and the awarding agency, receives final program and financial reports, receives final products or deliverables (if any), performs final financial reconciliations, and closes and files final documentation. Records may include final program and financial reports, summary reports, and final products or deliverables.

This schedule does not cover records related to financial transactions, which are scheduled by GRS 1.1, General Financial Management Records (DAA-GRS-2013-0003). Nor does it cover policy records documenting program establishment, goals, objectives, development, implementation, modification, termination, and outcome. Because the type and significance of programs vary widely among agencies, it is impossible to determine a government-wide disposition for grant program policy records. To cover these records, an agency must submit a records schedule to NARA or apply an existing schedule. This schedule also does not cover government-wide systems like GRANTS.GOV and USASPENDING.GOV.

This schedule was developed with assistance from volunteer representatives from the following agencies: U.S. Election Assistance Commission; Department of Labor, Employment & Training Administration; National Aeronautics and Space Administration, National Science Foundation; Department of Transportation, Federal Transit Administration. The schedule was further refined by comments received from these agencies: Department of Veterans Affairs; Social Security Administration; Department of the Interior, Interior Business Center; DOI Office of the Special Trustee for American Indians; Bureau of Land Management; Department of Justice; National Park Service; Department of Labor; National Endowment for the Humanities; Department of

¹ A publicly available document by which a Federal agency makes known its intention to award discretionary grants or cooperative agreements, usually as a result of competition for funds. Funding opportunity announcements may be known as program announcements, notices of funding availability, solicitations, or other names depending on the agency and type of program (<http://www.grants.gov/help/glossary.jsp>).

Health and Human Services; Library of Congress; Department of Education; Department of Agriculture; and the National Historical Records and Publications Commission.

Overall Recommendation

I recommend approval of the attached schedule.

APPRAISAL

Item 0001: Grant and Cooperative Agreement Management Records: Official record held in the office of record

Input received during the GRS Team's initial data collection (2012 survey of agencies) and subsequently from agencies that responded to our data calls for input specific to grants records suggested that the GRS should be expanded to include the broad range of records produced or received throughout the lifecycle of a grant or cooperative agreement. In addition, NARA reviewed many agency schedules to identify records to include in this item.²

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate

Appraisal Justification:

* Has little or no research value. Records are administrative in nature.

Although some agencies have scheduled management records, including case files, as permanent, most have concluded these records have only temporary value. In our review of agency schedules covering pre-award records, policy records, case files, oversight records, and management and tracking systems, we identified some 146 individual items. Eighteen of these items (about 14 percent) were scheduled as permanent. Of the case files scheduled as permanent, several were limited to case files that met pre-defined criteria for "uniqueness" and others covered now closed government-wide systems. NARA has recently reviewed similar records in our holdings (i.e., initially scheduled by the originating agency as permanent) and determined, based on research use (or lack of) that they do not warrant wholesale permanent retention. Should an agency believe it has management records of historical importance or other unique significance to the history of federal assistance, it can submit a records schedule to NARA.

² N1-048-10-5 (Interior Business Center, DOI); N1-59,95-005, item 1 (Department of State); N1-060-05-05-005 (Office on Violence Against Women, DOJ); N1-95-10-02, item 36 (Forest Service); N1-207-04-003 (HUD); N1-255-94-2, schedule 5, item 37A, and N1-255-94-2, schedule 9, item 14B (NASA); N1-288-06-2, item 1, and N1-288-06-2, item 3 (NEA); N1-288-87-1 and NC1-288-80-2, item 12, and NC1-288-80-2, item 13 (NEH); N1-288-97-1, item 3, and N1-288-97-2, item 1, and N1-288-93-1, item 1b (IMLS); N1-369-00-001, items 1a, 2a, 4a, 5a, and 6a (Employment and Training Administration, DOL); N1-406-94-1, item 1 (Federal Highway Administration); NC1-408-80-1, items 2940(1), 4800(2), 8100(1), 9000(1)a, 9000(1)b1, and 9000(1)b2 (Federal Transit Administration); N1-412-07-34, item 1a, N1-412-06-30, item 1a, N1-412-07-3, items 1a and 1b, and N1-412-06-12, items a1 and 1b (EPA); N1-439-09-002, items 12a, 12b, and 12c (Administration on Aging, HHS); N1-441-11-01, items A1, A2, B1, and 3 (Department of Education); N1-442-02-003, item 1a (Centers for Disease Control and Prevention); N1-443-03-001, item 1 (NIH); N1-468-96-3 (HHS); N1-511-94-1, items i, k, and l (Substance Abuse and Mental Health Services Administration, HHS); N1-512-95-1, item 1, and N1-512-95-2 (Health Resources and Services Administration, HHS); N1-563-09-12, item 5 (Department of Homeland Security); N1-570-04-2, item 1a (Bureau of Transportation Statistics, DOT).

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. Agency retentions for these operational records generally range from 3 to 10 years. Some agencies have scheduled specific series for longer retention, and they are still free to do so. However, a 10 year retention aligns with the 10 year statute of limitations in the False Claims Act (31 U.S.C. 3731(b)), which governs claims related to these records, and is adequate for administrative business needs.

Media Neutrality: Approved

Item 0002: Grant and Cooperative Agreement Management Records: All other copies

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate

Appraisal Justification:

* Has little or no research value. These records are retained for reference and administrative use only by offices other than the office of record.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. These records have localized business use. The disposition instruction allows agencies to determine the most appropriate retention to meet the business needs of the custodial office(s).

Media Neutrality: Approved

Item 0003: Final Grant and Cooperative Agreement Products or Deliverables

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate

Appraisal Justification:

*Has little or no research value. Few agencies have scheduled these records as a separate item. Among agencies that have scheduled them, about half schedule the records as temporary and half as permanent. Half of that group further limit permanent disposition to final products or deliverables identified by the agency as having significant research value (generally defined as historically significant or important or otherwise unique). Further, the history of research use of these records after accessioning by NARA does not support a blanket designation as permanent. Where an agency believes products or deliverables warrant permanent retention, they may submit a records schedule to NARA.

Adequacy of Proposed Retention Period: Adequate from the standpoint of legal rights and accountability. These records have localized business use. The disposition instruction allows agencies to determine the most appropriate retention to meet the business needs of the custodial office(s).

Media Neutrality: Approved

SUSAN MEANS
Appraiser

New GRS 1.2 Crosswalk to Old GRS (DAA-GRS-2013-0008)

| New GRS | | | | Old GRS | | | |
|---------|----------|-----------|----------------------------------|---------|----------|-----------|-----------------------|
| GRS No. | Item No. | Retention | ERA Number/Disposition Authority | GRS No. | Item No. | Retention | Disposition Authority |
| 1.2 | 1a | 10 years | DAA-GRS-2013-0008-0001 | 3 | 13 | 3 years | NC1-64-77-5 item 14a |

Request for Records Disposition Authority

Records Schedule Number DAA-GRS-2013-0008

Schedule Status Appraiser Working Version

Agency or Establishment General Records Schedules (National Archives and Records Administration)

Record Group / Scheduling Group General Records Schedules

Records Schedule applies to Government-wide

Schedule Subject Grant and Cooperative Agreement Records

Internal agency concurrences will be provided No

Background Information This schedule covers records created by Federal agency program offices responsible for managing grants and cooperative agreements such as program announcements, application files, case files and similar or related records, state plans, and final products or deliverables. It does not cover records related to financial transactions. Such financial transaction records are covered by GRS 1.1, General Financial Management Records. Nor does this schedule cover policy records documenting the legal establishment, goals, objectives, development, implementation, modification, and termination of agency grant and cooperative agreement programs. The type and significance of these programs vary widely among agencies, so no single disposition can be applied to the records on a Government-wide basis. An agency must submit a records schedule to NARA to cover these records or apply an existing schedule. This schedule also does not cover government-wide systems like GRANTS.GOV and USASPENDING.GOV.

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or stimulation authorized by Federal statute. Grants are distinguished from contracts, which are used to acquire property or services for the Federal government's direct benefit or use.

Item Count

| Number of Total Disposition Items | Number of Permanent Disposition Items | Number of Temporary Disposition Items | Number of Withdrawn Disposition Items |
|-----------------------------------|---------------------------------------|---------------------------------------|---------------------------------------|
| 3 | 0 | 3 | 0 |

GAO Approval

0001

Outline of Records Schedule Items for DAA-GRS-2013-0008

| Sequence Number | |
|-----------------|--|
| 1 | Grant and Cooperative Agreement Management Records |
| 1.1 | Official record held in the office of record Disposition Authority Number: DAA-GRS-2013-0008-0001 |
| 1.2 | All other copies Disposition Authority Number: DAA-GRS-2013-0008-0002 |
| 2 | Final Grant and Cooperative Agreement Products or Deliverables Disposition Authority Number: DAA-GRS-2013-0008-0003 |

Records Schedule Items

| Sequence Number | | | | | | | |
|------------------------------|--|------------------------------|------------------------|-------------------|-----------|-------------|---------|
| 1 | <p>Grant and Cooperative Agreement Management Records Pre-award, award, post-award, and closeout records related to the coordination, implementation, execution, monitoring, and completion of specific grant and cooperative agreement programs and individual grants and cooperative agreements, such as:</p> <ul style="list-style-type: none"> • Background files <ul style="list-style-type: none"> o Program Announcements o Notice of Funding Availability or Funding Opportunity Announcement, including Federal Register notices o Requests for Proposals • Application files <ul style="list-style-type: none"> o Application package (forms, instructions, etc.) o Application evaluation criteria o Application evaluation panel (composition, correspondence, instructions, etc.) • Individual case files, including: <ul style="list-style-type: none"> o Correspondence and memoranda concerning program and financial matters o Applications, forms, and budget documents o Evaluation reports, panelist comments, review ratings or scores o Notice of Grant Award or equivalent and grant terms and conditions o Amendment requests and actions, if any o Periodic and final performance reports (progress, narrative, financial) o Audit reports and/or other monitoring or oversight documentation o Summary reports and the like • Management and tracking systems, electronic or manual, used to coordinate various aspects of an agency's grant and cooperative agreement program(s), such as: <ul style="list-style-type: none"> o Application receipt, review, award, and related activities o Communication, workflow management, and document routing o Post-award and closeout activities o Data mining, trend analysis, and reporting • State plans <ul style="list-style-type: none"> o Statutes authorizing some grant programs require States to submit plans before receiving grants. In each plan, the State will include an assurance that it will comply with all applicable Federal statutes and regulations in effect with respect to the period for which it receives grant funding. <p>NOTES: (1) If an agency believes certain management records warrant permanent retention, it must submit a records schedule to NARA to cover these records. EXCLUSIONS: (1) Policy records documenting the legal establishment, goals, objectives, development, implementation, modification, and termination of agency grant and cooperative agreement programs are not authorized for disposal. The type and significance of these programs vary widely among agencies, so no single disposition can be applied to the records on a Government-wide basis. An agency must submit a records schedule to NARA to cover these records or apply an existing schedule. (2) Records related to financial transactions stemming from activities of agency grants and cooperative agreement programs. Such financial transaction records are covered by GRS 1.1.</p> | | | | | | |
| 1.1 | <p>Official record held in the office of record</p> <table border="0"> <tr> <td data-bbox="341 1743 755 1774">Disposition Authority Number</td> <td data-bbox="763 1743 1524 1774">DAA-GRS-2013-0008-0001</td> </tr> <tr> <td data-bbox="341 1816 755 1848">Final Disposition</td> <td data-bbox="763 1816 1524 1848">Temporary</td> </tr> <tr> <td data-bbox="341 1869 755 1900">Item Status</td> <td data-bbox="763 1869 1524 1900">Pending</td> </tr> </table> | Disposition Authority Number | DAA-GRS-2013-0008-0001 | Final Disposition | Temporary | Item Status | Pending |
| Disposition Authority Number | DAA-GRS-2013-0008-0001 | | | | | | |
| Final Disposition | Temporary | | | | | | |
| Item Status | Pending | | | | | | |

| | | |
|------------|--|---|
| | <p>Is this item media neutral?</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?</p> <p>Do any of the records covered by this item exist as structured electronic data?</p> <p>GRS or Superseded Authority Citation</p> <p>Disposition Instruction</p> <p>Retention Period</p> <p>Additional Information</p> <p>GAO Approval</p> <p>All other copies</p> <p>Disposition Authority Number</p> <p>Copies used for administrative or reference purposes.</p> <p>Final Disposition</p> <p>Item Status</p> <p>Is this item media neutral?</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?</p> <p>Do any of the records covered by this item exist as structured electronic data?</p> <p>Disposition Instruction</p> <p>Retention Period</p> <p>Additional Information</p> <p>GAO Approval</p> | <p>Yes</p> <p>Yes</p> <p>Yes</p> <p>GRS 3 item 13 (NC1-64-77-5 item 14a)</p> <p></p> <p>Destroy 10 year(s) after final action is taken on file, but longer retention is authorized if required for business use.</p> <p></p> <p>Required and Not Received</p> <p></p> <p>DAA-GRS-2013-0008-0002</p> <p></p> <p>Temporary</p> <p>Pending</p> <p>Yes</p> <p>Yes</p> <p>Yes</p> <p></p> <p>Destroy when business use ceases.</p> <p></p> <p>Not Required</p> |
| <p>1.2</p> | <p>Final Grant and Cooperative Agreement Products or Deliverables</p> <p>Disposition Authority Number</p> <p>The tangible result of a completed grant or cooperative agreement produced/ delivered by the recipient to satisfy the purpose of the award. These are</p> | <p></p> <p></p> <p></p> |
| <p>2</p> | | |

maintained separately from other program records and may include materials such as a:

- Report, study, or publication
- Conference paper and/or presentation
- Book, journal article, or monograph
- Training material, educational aid, or curriculum content
- Plan, process, or analysis
- Database or dataset
- Audio, video, or still photography
- Website content or other Internet component
- Documentation related to any other kind of final product or deliverable (for example, documentation about a physical structure or element such as a building, kiosk, trail, or cabin; an instrument, device, or prototype)
- Software or computer code

NOTES: (1) Not all grants and cooperative agreements result in tangible products or deliverables. Some deliver services, assistance, training, or other intangible, though still measurable, outcomes. (2) If an agency believes the final product or deliverable of a grant or cooperative agreement warrants permanent retention, it must submit a records schedule to NARA to cover these records or apply an existing schedule.

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? Yes

Disposition Instruction

Retention Period Destroy when business use ceases.

Additional Information

GAO Approval Not Required

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 |
|------------|---------------------|------------------|---|---|
| 07/16/2013 | Return to Submitter | Margaret Hawkins | Director of Records Management Services | National Records Management Program - Records Management Services |
| 08/26/2013 | Certify | Margaret Hawkins | Director of Records Management Services | National Records Management Program - Records Management Services |

Executive Summary

Summary

Permanent Item Numbers

Federal Register Notice

Publication Date

Copies Requested 0

Comments Received 0