

# REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS

(See Instructions on Reverse)

NC 1 copy

TO GENERAL SERVICES ADMINISTRATION,  
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, D.C. 20408

1 FROM (AGENCY OR ESTABLISHMENT)  
U.S. Department of Agriculture

2 MAJOR SUBDIVISION  
Farmers Home Administration

3 MINOR SUBDIVISION  
State Office

4 NAME OF PERSON WITH WHOM TO CONFER  
Olin R. Hall

5 TEL EXT  
72839

6 CERTIFICATE OF AGENCY REPRESENTATIVE

LEAVE BLANK	
DATE RECEIVED MAY 6 1976	JOB NO NC 1 - 96-76-2
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disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10	
6-2-76 Date	James B. Rhoads Archivist of the United States

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 36 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified

May 3 1976 Albert J. Geiger  
(Date) (Signature of Agency Representative)

Director, Business Services Division  
(Title)

7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
	<p>Attached is a combined filing instruction (FmHA Instruction 152.1, "Management of State Office Records") and records disposition schedule for records maintained in 42 State Offices of the Farmers Home Administration (FmHA). This schedule is shown as Exhibit A to the filing instruction and supersedes all previously approved records schedules of FmHA and its predecessor agencies.</p> <p>This Agency makes a variety of direct, insured, or guaranteed loans and grants to individuals, associations, partnerships, corporations, and public bodies in rural areas. In addition to the 42 State Offices mentioned above, it has 1750 county offices, a Finance Office in St. Louis, Missouri, and a National Office in Washington, D. C.</p> <p>State Offices provide overall direction of FmHA program operations at the State level. Records maintained at this level, other than the official personnel files, are mainly reference files needed for daily activity.</p> <p>The retention period shown for each file code meets the administrative, legal, and financial needs of the primary users. None of the State Office records are considered permanent.</p> <p>A copy of this combined filing instruction and records disposition schedule is being submitted to the General Accounting Office for its concurrence.</p>		

Copy to Agency 6-3-76 AD  
Copy to NCW 6-8-76 AD

362 items

STATE OFFICE FILE CODES, FILE HEADINGS,  
AND RETENTION REQUIREMENTS

- 0 - ADMINISTRATION: ~~RETAIN 3 FYs.~~ DESTROY WHEN 3 YEARS OLD
- 003 - INTERAGENCY RELATIONS: ~~RETAIN 3 FYs.~~ DESTROY WHEN 3 YEARS OLD
- 004 - FmHA CONFERENCES: (Excludes request for and issuance of travel orders for which the "16G" series will be used. ~~RETAIN 2 FYs.~~  
DESTROY WHEN 2 YEARS OLD
- 004A - STATE AND DISTRICT FmHA CONFERENCES: ~~RETAIN one FY.~~  
DESTROY WHEN 1 YEARS OLD
- 004A1 - STATE STAFF CONFERENCES: ~~RETAIN one FY.~~  
DESTROY WHEN 1 YEARS OLD
- 004B - NON-FmHA CONFERENCES: ~~RETAIN one FY.~~  
DESTROY WHEN 1 YEARS OLD
- 004B1 - OTHER FEDERAL AND STATE AGENCY CONFERENCES: ~~RETAIN 1 FY.~~
- 004C - FOREIGN NATIONAL TRAINING PROGRAM: ~~RETAIN 2 FYs.~~  
DESTROY WHEN 2 YEARS OLD
- 005 - NOTARIES PUBLIC: RETAIN all CURRENT designations. Other "005"  
records ~~RETAIN 2 FYs.~~ DESTROY WHEN 2 YEARS OLD
- 006 - CIVIL DEFENSE - NATIONAL EMERGENCY PLANNING: ~~RETAIN 3 FYs.~~  
DESTROY WHEN 3 YEARS OLD
- 006A - COORDINATION OF FEDERAL-STATE CD ACTIVITIES: ~~RETAIN 3 FYs.~~
- 006B - USDA CD ORGANIZATION--ASSIGNMENTS AND PLANNING: ~~RETAIN 3 FYs.~~
- 006C - USDA EMERGENCY BOARDS: (Regional, State and County)  
This includes membership, assignments, planning, minutes of meetings, and reports EXCEPT reports on Disaster Designations. RETAIN latest membership listing. Other records, ~~RETAIN 3 FYs.~~
- 006C1 - HANDBOOKS, DIRECTORIES, DIRECTIVES, ETC.: May be maintained in binder for use of the Chief, Farmer Programs. ~~RETAIN until superseded.~~  
*Destroy when*
- 01 - FmHA ORGANIZATION: ~~RETAIN 3 FYs.~~ DESTROY WHEN 3 YEARS OLD
- 013 - FmHA STATE OFFICE ORGANIZATION: Includes District Directors. RETAIN organization charts until revised. Other material, ~~RETAIN 3 FYs.~~
- 014 - FmHA COUNTY OFFICE ORGANIZATION: ~~RETAIN 3 FYs.~~
- 015 - DIRECTORY OF OFFICES: RETAIN latest directory.

02 - MANAGEMENT: ~~RETAIN 3 FYs.~~ DESTROY WHEN 3 YEARS OLD

021 - STATE ISSUANCE WORK DOCKETS: This is limited to State issuance "work docket" papers only as defined in FmHA Instruction 021.2. The appropriate control codes 021A through 021F should be used for each "work docket" as applicable. General Counsel opinions may be retained until that specific item is again revised.

021A - FmHA STATE "PN" DOCKETS: ~~RETAIN 3 FYs.~~

021B - FmHA STATE INSTRUCTION DOCKETS: Maintained in numerical order by State Instruction number. ~~RETAIN 3 FYs.~~

021C - FmHA STATE INSTRUCTION TABLE OF CONTENTS AND ADMINISTRATION LETTER DOCKETS: ~~RETAIN 3 FYs.~~

021D - FmHA STATE BULLETIN AND TABLE OF CONTENTS DOCKETS: ~~RETAIN 3 FYs.~~

021E - FmHA STATE GUIDE LETTERS AND TABLE OF CONTENTS DOCKETS: ~~RETAIN 3 FYs.~~

021F - FmHA STATE FORM AND FMI AND TABLE OF CONTENTS DOCKETS: ~~RETAIN 3 FYs.~~

022 - AUTHORITY REDELEGATION AND DESIGNATION OF ACTING OFFICIAL (GENERAL):

~~DESTROY WHEN 5 YEARS OLD~~ *Destroy 5 yrs. after*  
Position Delegations and Redelegations - ~~RETAIN 5 FYs~~ after

revoked or revised, or position is eliminated.

*Destroy*  
Special Delegations and Redelegations - ~~RETAIN 5 FYs~~ after

(1) date specified in delegation; (2) delegate is separated,

or removed from position with which the delegation is identified;

(3) delegation is invalidated by regulations or other procedural issuances; or (4) delegation is revoked, or revised.

*Destroy*  
Designation of Acting: ~~RETAIN 3 FYs~~ after termination date

of the designation. (Continuing designations by County

Supervisors of acting County Supervisors will remain in effect

until revoked in writing or the designated employee is separated

or removed for any reason) DESTROY WHEN 3 YEARS OLD

- 022A STATE DIRECTOR: ~~RETAIN~~ <sup>Destroy</sup> as prescribed in "022")
- 022B STATE OFFICE STAFF: (Includes District Directors): ~~RETAIN~~ <sup>Destroy</sup>  
as prescribed in "022")
- 022C COUNTY OFFICE STAFF: (By County Office) ~~RETAIN~~ <sup>Destroy</sup> as prescribed  
in "022"
- 022D DETAILED EMPLOYEES: (Limited to details without "acting"  
designations.) ~~RETAIN~~ <sup>Destroy</sup> one fiscal year after the end of the  
fiscal year in which the detail terminated.
- 023 - EMPLOYEE SUGGESTION PROGRAM (GENERAL): Includes reports.  
~~RETAIN 2 FYs.~~ DESTROY WHEN 2 YEARS OLD
- 023A - EMPLOYEE SUGGESTIONS (PENDING): When an employee  
suggestion has been adopted or rejected, it will  
be refiled under control code 023A1.
- 023A1 - EMPLOYEE SUGGESTIONS (ADOPTED AND REJECTED):  
POSITION 1: Rejected Suggestions and related  
papers. ~~RETAIN~~ <sup>Destroy</sup> 2 FYs after rejection.  
POSITION 3: Adopted Suggestions and related  
papers. ~~RETAIN~~ <sup>Destroy</sup> 2 FYs after adoption.
- 023B - SUGGESTIONS AND AWARDS COMMITTEE: RETAIN current membership  
record. Other material ~~RETAIN 2 FYs.~~
- 025 - ADMINISTRATIVE BOND RECORDS: ~~RETAIN~~ <sup>DESTROY WHEN 2 YEARS OLD</sup> bond records for separated  
employees and employees removed from bonded positions 6 FYs from  
the end of the FY in which employee was separated or removed.  
All other bond records - ~~RETAIN until~~ <sup>Destroy after</sup> 10/1/79.
- 026 - WORK MEASUREMENT SYSTEM AND STUDIES: Includes reports. ~~RETAIN~~  
~~2 FYs.~~ DESTROY WHEN 2 YEARS OLD
- 028 - POSITION MANAGEMENT: ~~RETAIN 3 FYs.~~  
DESTROY WHEN 3 YEARS OLD

03 - BUDGETS: ~~RETAIN 3 FYS.~~

DESTROY WHEN 3 YEARS OLD

031 - BUDGET ESTIMATES: (Preparation and submission) ~~RETAIN 2 FYS.~~

DESTROY WHEN 2 YEARS OLD

031A - ADMINISTRATIVE COSTS ESTIMATES: ~~RETAIN 2 FYS.~~

031B - LOAN FUND AUTHORIZATION ESTIMATES: ~~RETAIN 2 FYS.~~

032 - ALLOTMENTS AND OBLIGATION CONTROLS: ~~RETAIN 2 FYS.~~

032A - ADMINISTRATIVE FUNDS APPROVED: ~~RETAIN 2 FYS.~~ DESTROY WHEN 2 YEARS OLD

032B - LOAN FUNDS APPROVED: (Includes Insured and Guaranteed  
loan Authorities) ~~RETAIN 2 FYS.~~

032B1 - FARMER PROGRAMS LOAN FUNDS APPROVED: (Use Position-type  
filing for specified loan types.) ~~RETAIN 2 FYS.~~

032B2 - RURAL HOUSING LOAN FUNDS APPROVED: (Use position-type  
filing for specified loan types.) ~~RETAIN 2 FYS.~~

032B3 - COMMUNITY SERVICES LOAN FUNDS APPROVED: (Use  
position-type filing for specified loan types.)  
~~RETAIN 2 FYS.~~

032B4 - BUSINESS AND INDUSTRIAL LOAN FUNDS APPROVED:  
~~RETAIN 2 FYS.~~

05 - INTERNAL AUDIT AND INVESTIGATION PROGRAMS: (Use control code 055

for material on GAO audits.) ~~RETAIN 3 FYS.~~ DESTROY WHEN 3 YEARS OLD

051 - AUDIT PROGRAM (OA) (GENERAL): ~~RETAIN 3 FYS.~~

051A - AUDIT OF COUNTY OFFICE (Followed by location (city)  
of County Office.) ~~RETAIN~~ <sup>Destroy</sup> each audit report three  
years after fiscal year in which closed. To include  
all types of special audits.

051B - AUDIT OF STATE OFFICE: ~~RETAIN~~ <sup>Destroy</sup> each audit report three  
years after fiscal year in which closed. (To include  
all types of special audits.)

052 - INVESTIGATION PROGRAM (OI): (This file heading series concerns only those investigation activities set forth in 050 series of FmHA Instructions and will be maintained as specified below.)

052A - BORROWER AND PROGRAM APPLICANT INVESTIGATIONS: Use a separate folder for each of these reports and include on folder tab name(s) of those who were investigated. RETAIN each report on borrowers three years after fiscal year in which closed. ~~RETAIN~~ <sup>Destroy</sup> each report on program applicants one year after fiscal year in which closed.

052B - EMPLOYEE(S) INVESTIGATIONS: Use a separate folder for each of these reports and include on folder tab name(s) of the employees who were investigated. ~~RETAIN~~ <sup>Destroy</sup> each report on CURRENT employees three years after fiscal year in which closed. ~~RETAIN~~ <sup>Destroy</sup> each report on FORMER employees (investigation started after employee separated from FmHA) two years after fiscal year in which closed.

052C - THIRD PARTY OR CONDITION INVESTIGATIONS: (This file heading excludes investigations of job applicants, FmHA current and former employees and program applicants and borrowers.) RETAIN each "third party" or "condition" investigation report two years after fiscal year in which closed.

053 - GAO AUDIT PROGRAM: This includes GAO audit reports. ~~RETAIN~~ <sup>Destroy</sup> each audit report three years after fiscal year in which the audit is considered closed.

- 07 - PUBLICITY PROGRAMS AND NEWS MEDIA (GENERAL): ~~RETAIN one FY.~~  
DESTROY WHEN 1 YEARS OLD
- 071 - DEVELOPMENT AND DISSEMINATION OF INFORMATION FOR PUBLIC CONSUMPTION: Includes publicity exhibits and displays.  
~~RETAIN one FY.~~
- 071A - NEWS CLIPPINGS: This includes all news articles and publications concerning the FmHA mission. ~~RETAIN one FY.~~
- 071B - GUEST APPEARANCES AND INVITATIONS (NON GOVERNMENT):  
~~RETAIN one FY.~~
- 071C - FARM FAMILY OF THE YEAR: ~~RETAIN 2 FYS.~~  
DESTROY WHEN 2 YEARS OLD
- 071D - BUILDING OUR AMERICAN COMMUNITIES: ~~RETAIN 2 FYS.~~  
DESTROY WHEN 2 YEARS OLD
- 072 - INQUIRIES FOR PUBLICATIONS AND PAMPHLETS: ~~RETAIN one FY.~~  
DESTROY WHEN 1 YEARS OLD
- 1 - BUSINESS SERVICES (FUNCTIONS AND ACTIVITIES): Includes FmHA office identification and handling of loan checks and general material pertaining to salary checks and savings bonds. ~~RETAIN one FY.~~  
DESTROY WHEN 1 YEARS OLD
- 103 - MAILING OR DELIVERY OF BONDS AND INTEREST COUPONS: DO NOT DESTROY if pending LOSS CLAIM is involved. DESTROY satisfied loss claims five years after fiscal year of claim settlement.
- 104 - PUBLIC AVAILABILITY OF MATERIALS AND RECORDS: Includes reports. (EXCLUDES material pertaining to exempt records denied and appealed decisions and records sought by compulsory process.) ~~RETAIN 2 FYS.~~ DESTROY WHEN 2 YEARS OLD

- 104A - EXEMPT RECORDS DENIED AND APPEALED DECISIONS: Includes material pertaining to (1) exempt records that have been denied, and (2) those records that have been furnished to the requester after appeal to the Administrator. This folder will also include records sought by compulsory process including subpoenas. ~~RETAIN 5 FYS.~~ DESTROY WHEN 5 YEARS OLD
- 104B - FORMS FmHA 104-1, "PUBLIC INFORMATION TRANSMITTAL AND/OR RECEIPT": ~~RETAIN 2 FYS.~~ DESTROY WHEN 2 YEARS OLD
- 104C - PRIVACY ACT (GENERAL): ~~RETAIN 3 FYS.~~ DESTROY WHEN 3 YEARS OLD
- 105 - TESTING VEHICLE OPERATORS AND PROCESSING DRIVER PERMITS (GENERAL):  
(Use control code 105A for accountability record of permits issued.) ~~RETAIN 3 FYS.~~ DESTROY WHEN 3 YEARS OLD
- 105A - RECORD OF GOVERNMENT-OWNED MOTOR VEHICLE OPERATORS:  
Forms AD-184, "Application for Motor Vehicle Operator's Identification Card"; SF-47 "Physical Fitness Inquiry for Motor Vehicle Operators"; and SF-78, "Certificate of Medical Examination," if applicable.
- CURRENT PERMIT RECORDS: ~~DESTROY~~ <sup>DESTROY</sup> last processed instruments pertaining to current permit. DESTROY when new permit is issued.
- CLOSED PERMIT RECORDS: Rejected or withdrawn applications. or rescinded or canceled permits will be DESTROYED 3 FYS after the applicable event occurs. SF-46, "U. S. Government Motor Vehicle Operator's Identification Card," will be destroyed as prescribed in FmHA Instruction 120.2.



11 - SPACE MANAGEMENT ACTIVITIES (STATE AND COUNTY OFFICES) (GENERAL):

~~RETAIN 3 FYS.~~ DESTROY WHEN 3 YEARS OLD.

110A - STATE ADMINISTRATIVE COMMITTEE: (This includes organization, functions, meetings, and reports.) ~~RETAIN 3 FYS.~~

110B - SERVICE CENTERS: Includes all material pertaining to PROPOSED Service Centers which may be segregated by location. ~~RETAIN 3 FYS.~~

110C - SPACE OCCUPANCY - UTILITY AND COMMERCIAL SERVICES:  
~~RETAIN 3 FYS.~~

110C1 - STATE OFFICE SPACE (Followed by location):

POSITION 1: All correspondence.

~~RETAIN 3 FYS.~~

POSITION 3: All contracts, agreements, and amendments thereto (including special services such as mail, reproduction and health services), and purchase orders for continuing services or for Government-owned property attached to the occupied building. ~~RETAIN~~ <sup>Destroy</sup> contracts and agreements one FY after termination or cancellation. RETAIN current Form AD-380, "Report of Space Used by Building," only.

POSITION 4: Blueprint and floor plans, if any. (Preferably enclosed in envelope.)

CLOSE folder if office is moved to a new location and establish a new 110C1 space folder for new occupancy agreement or contract.

~~DESTROY~~  
~~RETAIN~~

closed space folder one FY after the end of the fiscal year in which closed, EXCEPT remove from closed folder and refile in new space folder the following items, if applicable:

- (1) Any agreement, contract, or purchase order for a utility or other SERVICE which is not canceled, but will continue to be furnished by the applicable vendor.
- (2) Any purchase order covering Government-owned property attached to the occupied premises which is to remain attached as Government property, or any such property to be detached from the occupied premises and reattached as Government property to newly occupied premises.

110C2 - COUNTY OFFICE SPACE (followed by office location):

Use separate folder for each UNIT or SUBOFFICE. Material pertaining to PART-TIME offices will be filed in the unit office folder. CLOSE folder if office is moved to a new location and establish a new 110C2 space folder. Service agreements which would be applicable at the new location will be removed and placed in the new file.

CURRENT SPACE FOLDER:

POSITION 1: All records except those specified under  
Position 3, ~~RETAIN 3 FYS.~~

DESTROY WHEN \_\_\_\_\_ YEARS OLD

POSITION 3: Floor plan, service agreements (including special services such as reproduction, mail and health services), and Form AD-380. RETAIN last floor plan and destroy obsolete floor plan. RETAIN current Service Agreements and DESTROY canceled and superseded agreements one FY after cancellation. RETAIN current Form AD-380 only.

CLOSED SPACE FOLDERS: ~~RETAIN one FY.~~  
DESTROY WHEN 1 YEARS OLD

- 12 - PROPERTY AND SUPPLY MANAGEMENT: ~~RETAIN one FY.~~ DESTROY WHEN 1 YEARS OLD
- 120 - LIABILITY AND ACCOUNTABILITY FOR GOVERNMENT PROPERTY: ~~RETAIN 5 FYs.~~  
DESTROY WHEN 5 YEARS OLD
- 120A - FORMS FmHA 120-2, "IDENTIFICATION CARD ROSTER":  
RETAIN all rosters disclosing outstanding issued cards.  
DESTROY all other rosters one year after all issue entries on each roster sheet have been canceled.
- 120B - ISSUE-RETURN-REPLACEMENT-CANCELLATION OF "ID" CARDS":  
DESTROY ONLY those canceled identification cards as provided in FmHA Instruction 120.2. <sup>Destroy</sup> All correspondence <sup>when</sup> ~~RETAIN one FY.~~ old.
- 121 - SUPPLY MANAGEMENT: ~~RETAIN one FY.~~ DESTROY WHEN 1 YEARS OLD
- 121A - STATE OFFICE SUPPLIES: ~~RETAIN one FY.~~
- 121B - COUNTY OFFICE SUPPLIES: ~~RETAIN one FY.~~
- 122 - EQUIPMENT MANAGEMENT: ~~RETAIN 2 FYs.~~ DESTROY WHEN 2 YEARS OLD
- 122A - STATE OFFICE EQUIPMENT: Includes inventory verification.  
~~RETAIN 2 FYs.~~
- 122B - COUNTY OFFICE EQUIPMENT: Separate County Office folders may be established. Includes inventory verification. ~~RETAIN one FY.~~  
DESTROY WHEN 1 YEARS OLD

123 - REGISTER OF DISPOSAL OF SURPLUS ABSTRACTS OF TITLE:

Destroy upon prior approval of the National Office.

14 - COMMUNICATIONS (GENERAL): ~~RETAIN one FY.~~ DESTROY WHEN 1 YEARS OLD

141 - STATE AND COUNTY OFFICE WRITTEN AND TELEPHONE COMMUNICATIONS:

Includes AD-102, "Telephone Toll-Call Register and Certificate."

~~RETAIN one FY.~~

15 - RECORDS MANAGEMENT: ~~RETAIN 2 FYs.~~ DESTROY WHEN 2 YEARS OLD

151 - MANAGEMENT OF COUNTY OFFICE RECORDS: ~~RETAIN 2 FYs.~~

152 - MANAGEMENT OF STATE OFFICE RECORDS: ~~RETAIN 2 FYs.~~

152A - FILES AND RECORDS TRANSFERRED TO OTHER FEDERAL AGENCIES:

Use control code 232A for request for and transmittals of OPFs. Destroy upon prior approval of the National Office.

152B - FILES AND RECORDS TRANSFERRED TO NATIONAL OFFICE: This

will include lists of files and records previously shipped

NARS  
to ~~U. S. National Archives~~ and those sent to National Office

for further retention in Federal Records Center.  
Destroy upon prior approval of the National Office.

152C - FILES AND RECORDS TRANSFERRED TO SRRC AUTHORITY:

Destroy upon prior approval of the National Office.

152D - FORMS FmHA 150-4, "ANNUAL REPORT ON RECORDS AND FILE

EQUIPMENT INVENTORY": ~~RETAIN one FY.~~

16 - TRAVEL: Includes change of official station. (Use control code "163"  
DESTROY WHEN 1 YEARS OLD

if limited to one traveler.) ~~RETAIN 3 FYs.~~ DESTROY WHEN 3 YEARS OLD

160 - TRAVEL REGULATIONS AND POLICIES: Includes communications from National Finance Center (NFC). However, "Amendment Sheets" from NFC may be filed in numerical order at the end of FmHA

Instruction 160.1 after the required changes are made. ~~RETAIN 3 FYs.~~

160A - GSA MOTOR POOL VEHICLES: (Assignments and usage)

~~RETAIN 3 FYS.~~

160B - FORM AD-616, "TRAVEL VOUCHER," -- COUNTY OFFICE EMPLOYEES:

Copies of Travel Vouchers for County Office employees may be maintained in this folder or wherever best serves the needs of the State Office. Destroy after one FY or at the discretion of the user(s), whichever is earlier.

160C - FORM AD-616, "TRAVEL VOUCHER," -- STATE OFFICE EMPLOYEES:

Copies of Travel Vouchers for State Office employees may be maintained in this folder or wherever best serves the needs of the State Office. Destroy after one FY or at the discretion of the user(s), whichever is earlier.

160D - TRAVEL PROJECTIONS AND EXPENSES INCURRED: Includes Forms

FmHA 160-2, "Travel Projections." ~~RETAIN 3 FYS.~~ Divide

folder as follows: DESTROY WHEN 3 YEARS OLD

POSITION 1: Annual Plan

POSITION 3: Monthly Actual Report

161 - TRAVEL AUTHORIZATION INSTRUMENTS ONLY: Arrange by date. (Use

control code "163" if limited to one traveler.) ~~RETAIN 2 FYS.~~  
DESTROY WHEN 2 YEARS OLD

163 - TRAVEL -- STATE AND COUNTY OFFICE EMPLOYEES: Arrange

alphabetically by name of employee in one or more folders, as needed. When volume warrants, a separate folder will be established for an individual traveler. (For automobile accident case record, use control code 180.) ~~RETAIN 2 FYS.~~

DESTROY WHEN 2 YEARS OLD

18 - TORT (DAMAGE) CLAIMS: (Use OPF folder for employee injury compensation type documents and papers.) ~~RETAIN 3 FYS.~~ DESTROY WHEN 3 YEARS OLD

180 - (NAME OF CLAIMANT(S)): (Use separate folder for each case.)

- (1) LEGAL ACTION CASE will consist of any specific case referred to the Office of the General Counsel (OGC) or other Federal Attorney for processing or handling. Upon receipt of written evidence from the Federal Attorney of closing his file, the case folder will be CLOSED and DESTROYED three years after the fiscal year in which closed.
- (2) ADMINISTRATIVE ACTION ONLY CASE will consist of any specific case which is NOT referred to the OGC or other Federal Attorney for handling. Administrative Action Only case will be closed and Destroyed three years after the fiscal year in which the last written report or document was prepared.

- 2 - PERSONNEL MANAGEMENT PROGRAMS, SERVICES AND ACTIVITIES: ~~RETAIN 3 FYS.~~  
DESTROY WHEN 3 YEARS OLD  
The Official Personnel Folders will be organized and maintained as provided by FmHA Instruction 232.5 and 236.5.

Published List of MODE Abbreviations: This includes AMENDMENT by FmHA. Keep current list and FmHA amendments in procedure-type binder. DESTROY if superseded.

- 200A - RECRUITMENT ACTIVITIES: ~~RETAIN 2 FYS.~~ DESTROY WHEN 2 YEARS OLD

- 200B - FmHA MERIT PROMOTION PLAN PROGRAM: ~~RETAIN 2 FYS.~~  
DESTROY WHEN 2 YEARS OLD

- 200B1 - FORM FmHA 200-1, "FmHA MERIT PROMOTION EVALUATION FORM," AND FORM FmHA 200-2, ELIGIBILITY LIST AND

ROSTER OF ELIGIBLES." A separate folder will be established for each position filled. The folder label will show position title, grade, series and promotion certificate number.

POSITION 1. Form FmHA 200-2 and supplements thereto. A copy of Form FmHA 200-3, "Promotion Certificate, an appropriate vacancy announcement or skills inventory listing, and an informal list of applicants will be filed below Form FmHA 200-2. DESTROY after CSC inspection or two FYS, whichever is earlier.

POSITION 3: Form FmHA 200-1 will be filed in alphabetical order along with any working papers. DESTROY after CSC inspection or two FYs, whichever is earlier.

200B2 - VACANCY ANNOUNCEMENTS UNDER MERIT PROMOTION PLAN:

A separate folder for FmHA announcements may be established when volume warrants.

*Destroy when* POSITION 1: Announcements by other USDA agencies. *old after* ~~RETAIN 6 months or until~~ expiration date, whichever is earlier.

POSITION 3: Announcements by FmHA. DESTROY after CSC inspection or two FYs. whichever is earlier.

200B3 - FORM FmHA 200-3, "PROMOTION CERTIFICATE": Filed in numerical order along with supplements attached to the original certificate which they supplement. DESTROY after CSC inspection or two FYs, whichever is earlier.

200B4 - SF-171 and SF-172 FOR USDA EMPLOYEES: SF-171's, "Personnel Qualifications Statement," and SF-172's, "Supplemental Experience and Qualifications," will be filed by grade level of eligibility in alphabetical order. DESTROY after two FYs or when employee indicates he is not available, whichever is earlier.

200B5 - SF-171 and SF-172 FOR FEDERAL EMPLOYEES OUTSIDE  
USDA: SF-171's and SF-172's will be filed by  
 grade level of eligibility in alphabetical order.  
 DESTROY after one FY or when employee indicates  
 he is not available, whichever is earlier.

203 - PERSONNEL MANAGEMENT REVIEWS AND EVALUATION PROGRAMS (GENERAL):

~~RETAIN 3 FYS.~~ DESTROY WHEN 3 YEARS OLD

203A - FmHA INTERNAL REVIEWS AND EVALUATIONS (PE-PROGRAMS):

~~RETAIN 3 FYS.~~ DESTROY WHEN 3 YEARS OLD

203A1 - FORMS FmHA 203-1 "PERSONNEL MANAGEMENT INFORMATION

SHEET FOR ALL EMPLOYEES," AND FORMS FmHA 203-2,

"PERSONNEL MANAGEMENT INFORMATION CONTINUATION SHEET

FOR SUPERVISORS": <sup>Destroy when</sup> ~~RETAIN~~ Summary 3 FYS <sup>old</sup> ~~RETAIN~~ <sup>when</sup> ~~Destroy~~  
 Forms FmHA 203-1 and FmHA 203-2 <sup>when</sup> one FY <sup>old</sup>.

203A2 - FORMS FmHA 213-2, "POSITION EVALUATION REPORT":

RETAIN all completed Forms during the time the  
 position remains in effect. DESTROY forms for  
 abolished positions one year after abolishment.

203A3 - ANNUAL POST-AUDIT POSITION REPORTS

SECTION 1310(d) COMPLIANCE: ~~RETAIN 3 FYS.~~

203B - CSC INSPECTIONS AND AUDITS: <sup>DESTROY WHEN 3 YEARS OLD</sup>  
 RETAIN last inspection  
 report.



- 203C - OP INSPECTIONS AND AUDITS: ~~RETAIN 3 FYS.~~  
DESTROY WHEN 3 YEARS OLD
- 205 - EQUAL EMPLOYMENT OPPORTUNITY: ~~RETAIN 2 FYS.~~  
DESTROY WHEN 2 YEARS OLD
- 205A - FEDERAL WOMEN'S PROGRAM: ~~RETAIN 2 FYS.~~
- 205B - 16-POINT (SPANISH SPEAKING) PROGRAM: ~~RETAIN 2 FYS.~~
- 205C - ACTION PLANS FOR PROGRESS IN EEO: ~~RETAIN 3 FYS.~~  
DESTROY WHEN 3 YEARS OLD
- 207 - EMPLOYEE CONDUCT, ETHICS, POLITICAL ACTIVITY AND PECUNIARY  
INTEREST: (Complaints used as a basis for a formal  
investigation will be made a part of the investigation case  
record and maintained accordingly.) ~~RETAIN 3 FYS.~~  
DESTROY WHEN 3 YEARS OLD
- 207A - FORMS AD-392, "STATEMENT OF FINANCIAL INTERESTS AND  
OUTSIDE EMPLOYMENT," AND FORMS AD-392A, "STATEMENT  
OF EMPLOYMENT AND FINANCIAL INTERESTS": File alphabetically  
by name of employee in one or more folders as needed.  
DESTROY two years after employee leaves position for which  
such a statement is required, or two years after such  
statement is no longer required by FmHA Instruction 207.4,  
or two years after the employee leaves FmHA, whichever  
is earlier.
- 208 - ADVERSE DISCIPLINARY ACTIONS: ~~RETAIN 3 FYS.~~ DESTROY WHEN 3 YEARS OLD
- 209 - RECURRING DATA REPORTS ON PERSONNEL MANAGEMENT (GENERAL):
- 209A - NUMBERED AND UNNUMBERED RECURRING DATA REPORTS ON PERSONNEL  
MANAGEMENT: (Includes FmHA, USDA, and NFC reports.)  
These reports may be maintained (1) by report in the "209A"  
series. When filed in this series, a folder will be established  
for each report. The first report folder will be coded "209A1,"  
the second will be coded "209A2" - the fifth digit will continue  
in numerical sequence for each report. The subject of the

report will be shown on the folder label following the assigned code (Example: "209A1 - Form AD 338, 'List of Abolished Positions'"); or (2) in any manner that best serves the needs of the State Office. ~~RETAIN one FY.~~

DESTROY WHEN 1 YEARS OLD

21 - POSITION CLASSIFICATION PROGRAM (GENERAL): ~~RETAIN 3 FYs.~~

211A - REQUISITIONING AND CHECK LIST OF JOB SPECIFICATIONS DESTROY WHEN 3 YEARS OLD

MATERIALS: ~~RETAIN one FY.~~ DESTROY WHEN 1 YEARS OLD

211B - POSITION NUMBER SYSTEM AND REGISTER OF POSITION NUMBERS:

This includes USE of position numbers. RETAIN register and DESTROY correspondence after three FYs.

212 - POSITION ESTABLISHMENT AND CLASSIFICATION OF POSITIONS:

~~RETAIN 3 FYs.~~

DESTROY WHEN 3 YEARS OLD

212A - CLASSIFIED STANDARD POSITIONS: ~~RETAIN 3 FYS.~~  
DESTROY WHEN 3 YEARS OLD

212A1 - POSITION DESCRIPTIONS OF UTILIZED "SJ" POSITIONS:

Includes current "Master Facsimile" Forms AD-332,

"Position Description," or equal. RETAIN.

If redescribed, retain only latest "SJ" redescription  
AD-332 or equal.

212A2 - POSITION DESCRIPTIONS OF NON UTILIZED "SJ" POSITIONS:

Includes current "Master Facsimile" Forms AD-332

or equal. RETAIN. If redescribed, retain only latest

"SJ" redescription AD-332 or equal. May be maintained  
in a "Job Specification Manual."

212A3 - OBSOLETE "SJ" POSITIONS: Includes "Master

Facsimile" Forms AD-332, or equal. ~~RETAIN 3 FYS.~~

DESTROY WHEN 3 YEARS OLD

212B - CLASSIFIED NONSTANDARD POSITIONS: ~~RETAIN 3 FYS.~~

DESTROY WHEN 3 YEARS OLD

212B1 - CURRENT NONSTANDARD JOB POSITION FORMS AD-332,

"POSITION DESCRIPTION," RETAIN. (If redescribed,  
retain ONLY latest redescription AD-332 or equal.)

212B2 - ABOLISHED NONSTANDARD JOB POSITION FORMS AD-332,

"POSITION DESCRIPTION," (or equal). ~~RETAIN~~ <sup>Destroy</sup> 5 FYS

after abolished.

219 - MODE ORGANIZATIONAL CODE STRUCTURE: This will include memorandum  
change notices and "classification letters." ~~RETAIN current~~

~~material only.~~ Destroy when obsolete.

22 - LEAVE RECORDING - PAY PLANS - T&A REPORTING - SALARY RATES:

~~RETAIN one FY.~~ DESTROY WHEN 1 YEARS OLD

221 - NFC - MODE PAYROLL OPERATIONS: ~~RETAIN 2 FYS.~~  
DESTROY WHEN 2 YEARS OLD

221A - LEAVE AND PAYROLL OF REGULAR EMPLOYEES: (Excludes

Committeemen) ~~RETAIN one FY.~~ DESTROY WHEN 1 YEARS OLD

221A1 - DUPLICATE FORMS AD 321-2, "TIME AND ATTENDANCE

REPORTS": Use separate folder for each

DESTROY WHEN 3 YEARS OLD

employee. ~~RETAIN three leave years.~~ Use

control code 221A2 for final Forms AD 321-2.

221A2 - FINAL DUPLICATE FORMS AD 321-2 - TERMINATED EMPLOYEES:

~~RETAIN 10 leave years.~~ DESTROY WHEN 10 YEARS OLD

221A3 - FORMS AD-343, "PAYROLL ACTION REQUEST" AND "VERIFICATION

OF ACCOUNT CODES": Forms AD-343 which have been

processed by NFC will be filed in the OPF. ~~RETAIN 2 FYS.~~  
DESTROY WHEN 2 YEARS OLD

221B - COUNTY COMMITTEEMEN COMPENSATION RATES AND PAYROLL OPERATIONS:

~~RETAIN 3 FYS.~~

DESTROY WHEN 3 YEARS OLD

221C - FORMS AD-342, "TRANSMITTAL - TIME AND ATTENDANCE REPORTS":

Includes those on Committeemen. ~~RETAIN one leave~~

year. DESTROY WHEN 1 YEARS OLD

221D - T&A HANDBOOK AMENDMENTS: This includes Page Control Charts

and NFC transmittals. (This material may be kept in a

binder.) ~~RETAIN 2 FYS.~~ DESTROY WHEN 2 YEARS OLD

222 - OFFICE HOURS - HOLIDAYS - NONWORK DAYS: ~~RETAIN one FY.~~

DESTROY WHEN 1 YEARS OLD

23 - EMPLOYMENT OF PERSONNEL: ~~RETAIN 3 FYs.~~ DESTROY WHEN 3 YEARS OLD

230A - EMPLOYMENT RESTRICTIONS AND QUALIFICATIONS FOR EMPLOYMENT:

(Except Committeemen) ~~RETAIN one FY.~~ DESTROY WHEN 1 YEARS OLD

230A1 - CIVIL SERVICE AUTHORITIES: This includes the following

forms to be filed in the position indicated. ~~RETAIN 3 FYs.~~  
DESTROY WHEN 3 YEARS OLD

POSITION 1: SF-39, "Certification Form."

POSITION 3: CSC Forms 303, "Authority to Effect  
Temporary Appointment."

230B - EMPLOYMENT - FUNCTIONS - SEPARATION OF COMMITTEEMEN:

~~RETAIN one FY.~~ DESTROY WHEN 1 YEARS OLD

230B1 - (NAME OF COUNTY OR AREA COMMITTEE OR COUNTY HEADQUARTERS

LOCATION): Use a separate case folder for each  
committee to contain all material on a given committee  
except OPF material. ~~RETAIN 2 FYs.~~

DESTROY WHEN 2 YEARS OLD

230B2 - FmHA COMMITTEE AND OTHER EMPLOYEE CEILING: (Also  
to be used for Committeemen roster or listings.)

~~RETAIN 2 FYs.~~ DESTROY WHEN 2 YEARS OLD

- 230C - APPLICANT SUPPLY SYSTEM (GENERAL): (Keep Forms FmHA 230-1, "Applicant Record Card," in card boxes provided for that purpose. RETAIN only as provided in FPM Chapter 333-A-4.)  
~~RETAIN 2 FYs.~~ DESTROY WHEN 2 YEARS OLD
- 230C1 - RECRUITING LIST: ~~RETAIN 2 FYs~~
- 230C2 - "INFORMAL" APPLICATIONS OR JOB VACANCY INQUIRIES:  
 (If SF-170 or SF-171 is received, refile applicable material under control code 230C3.) ~~RETAIN one FY.~~
- 230C3 - STANDARD FORMS 170, "APPLICATIONS FOR FEDERAL EMPLOYMENT," AND STANDARD FORMS 171, "PERSONAL QUALIFICATIONS STATEMENT": DESTROY WHEN 1 YEARS OLD  
 Arrange on A-Z name basis. Federal Personnel Manual (FPM) Chapter 333 prescribes retention and disposition requirements for SF-170s and SF-171s kept in "applicant supply system" file.
- 230D - EMPLOYMENT OF HANDICAPPED PERSONS: ~~RETAIN one FY.~~ DESTROY WHEN 1 YEARS OLD
- 230E - PROCESSING PERSONNEL ACTIONS UNDER MODE SYSTEM:  
 (Excludes "mass" changes.) ~~RETAIN 2 FYs.~~ DESTROY WHEN 2 YEARS OLD
- 230E1 - MEMORANDUM "MASS" CHANGE ACTIONS UNDER MODE:  
~~RETAIN 2 FYs.~~
- 230E2 - PERSONNEL ACTION JOURNAL RECORDS: ~~RETAIN 2 FYs.~~
- 230E2A - JOURNAL RECORDS FOR COMMITTEEMEN: ~~RETAIN 2 FYs.~~
- 230E2B - JOURNAL RECORDS FOR OTHER THAN COMMITTEEMEN:  
~~RETAIN 5 FYs.~~ DESTROY WHEN 5 YEARS OLD
- 230E3 - MODE TRANSMITTAL FORMS AD-337, AD-431 and AD-494:  
~~RETAIN one FY.~~ DESTROY WHEN 1 YEARS OLD

- 230F - SOURCE MATERIALS ON QUALIFICATIONS: ~~RETAIN 3 FYS.~~  
DESTROY WHEN 3 YEARS OLD
- 230G - SPECIAL YOUTH "OPPORTUNITY" PROGRAMS: ~~RETAIN 3 FYS.~~  
DESTROY WHEN 3 YEARS OLD
- 231 - PROBATIONARY EVALUATION PERIOD: ~~RETAIN 3 FYS.~~  
DESTROY WHEN 3 YEARS OLD
- 232 - OFFICIAL PERSONNEL FOLDER SYSTEMS RECORDS: Includes request  
for and transfer of OPF's. ~~RETAIN one FY.~~  
DESTROY WHEN 1 YEARS OLD
- 237 - MILITARY SERVICE AND VETERAN'S PREFERENCE: ~~RETAIN 2 FYS.~~  
DESTROY WHEN 2 YEARS OLD
- 239 - REDUCTION IN FORCE AND REASSIGNMENT SYSTEM: This includes matters  
on competitive areas and levels. Retention Registers and  
Reemployment Priority Lists. DESTROY 2 FYS after register or  
list is no longer applicable. Other "239" material ~~RETAIN 2 FYS.~~  
DESTROY WHEN 2 YEARS OLD
- 24 - EMPLOYEE TRAINING AND DEVELOPMENT (GENERAL): ~~RETAIN 2 FYS.~~  
DESTROY WHEN 2 YEARS OLD
- 240A - FmHA IN-SERVICE TRAINING AND DEVELOPMENT: ~~RETAIN 2 FYS.~~
- 240B - NON-FmHA IN-SERVICE TRAINING AND DEVELOPMENT: ~~RETAIN one FY.~~  
DESTROY WHEN 1 YEARS OLD
- 240C - OUTSIDE (NONFEDERAL) TRAINING AND DEVELOPMENT: ~~RETAIN one FY.~~  
DESTROY WHEN 1 YEARS OLD
- 240D - TRAINING CENTER - NORMAN, OKLAHOMA: ~~RETAIN 3 FYS.~~  
DESTROY WHEN 3 YEARS OLD
- 240E - COST DATA AND STATISTICS ON "PE" TRAINING: This may include  
copies of Forms AD-281, "Request, Authorization, and Record  
of Training," Form AD-281A, "Cancellation of Request  
Authorization and Record of Training." ~~RETAIN 3 FYS.~~  
DESTROY WHEN 3 YEARS OLD
- 25 - STANDARDS OF PERFORMANCE AND RATING PROGRAM (GENERAL): ~~RETAIN 3 FYS.~~  
DESTROY WHEN 3 YEARS OLD
- 254 - APPEALS - COMMITTEE AND BOARD REVIEWS: This includes processing  
adverse decision appeal notices. ~~RETAIN 3 FYS.~~

254A - APPEAL OF (followed by name): <sup>Destroy</sup> ~~RETAIN~~ 3 FYs after  
the end of the FY in which the last document was  
processed.

259 - STATISTICAL REPORTS ON OUTSTANDING RATING: ~~RETAIN 3 FYs.~~

26 - EMPLOYEE RELATIONS AND SERVICES: Includes career counseling and  
legal assistance available to employees generally and fund raising.  
~~RETAIN 3 FYs.~~ DESTROY WHEN 3 YEARS OLD

263 - INCENTIVE AWARDS PROGRAM (GENERAL): This includes annual  
reports on awards approved. ~~RETAIN 3 FYs.~~

263A - SPECIAL ACHIEVEMENT - CASH AWARDS: ~~RETAIN 3 FYs.~~

263B - SPECIAL ACHIEVEMENT - HONORARY AWARDS: ~~RETAIN 3 FYs.~~

263B1 - CAREER SERVICE AWARDS: This includes length-of-  
service rosters and lists. ~~RETAIN 3 FYs.~~

263C - QUALITY WITHIN-GRADE SALARY INCREASES: ~~RETAIN 3 FYs.~~

267 - EMPLOYEE RELATIONS AND REPRESENTATION (GENERAL): ~~RETAIN 2 FYs.~~

267A - ASSOCIATION OF COUNTY SUPERVISORS: ~~RETAIN 2 FYs.~~ DESTROY WHEN 2 YEARS OLD

27 - LEAVE (GENERAL): Includes annual leave schedules. ~~RETAIN one FY.~~ DESTROY WHEN 2 YEARS OLD

28 - SAFETY AND INJURY COMPENSATION (GENERAL): ~~RETAIN one FY.~~ DESTROY WHEN 1 YEARS OLD

280 - ACCIDENT PREVENTION - SAFETY PROGRAMS AND PROMOTION: RETAIN one FY.

280A - SAFETY COUNCILS AND COMMITTEES: (Membership, designations,  
and functions) RETAIN current listing.

280B - FORMS AD-278, "SUPERVISOR'S REPORT OF ACCIDENT":  
(Originating office copy) ~~RETAIN one FY.~~

280C - REPORTS ON SAFETY PROGRAM: ~~RETAIN one FY.~~

285 - EMPLOYEE INJURY COMPENSATION: ~~RETAIN one FY.~~



29 - RETIREMENT AND INSURANCE (GENERAL): ~~RETAIN 3 FYS.~~ 3 YEARS OLD  
DESTROY WHEN 3

290 - RETIREMENT PROGRAM: This includes retirement counseling.

RETAIN 3 FYS.

294 - HEALTH INSURANCE PROGRAM: This includes latest designations of health benefit certifying officers and counselors. Any other material, ~~RETAIN 2 FYS.~~ DESTROY WHEN 2 YEARS OLD

294A - RECORD COPY - EACH AVAILABLE PLAN: RETAIN current brochures.

3 - FINANCE OFFICE COMPUTER PRINTOUT REPORTS: Computer reports in the 300 series may be maintained: (1) in the "3" series of the operational files, using the first three digits of the report number as the File Code and the full number and subject of the report as the Subject Heading (EXAMPLE: "389 - Form FmHA 389-6, 'Report of Loans Made'"); (2) by subject in the "0", "1", "2", or "4" series of the operational files; or (3) in any manner that best serves the needs of the State Office, unless otherwise required by FmHA instructions. After the report has served its purpose, upon concurrence of the primary user(s), it may be destroyed. In any event, the report should not be retained longer than two fiscal years.

4 - PROGRAM OPERATIONS (GENERAL): ~~RETAIN 2 FYS.~~ DESTROY WHEN 2 YEARS OLD

4A - Individual Applicant/Borrower Case File Records.

DESTROY one FY after the end of the FY in which the last document was processed, EXCEPT those case records involving acquired property in Government Inventory will be DESTROYED one FY after the end of the FY in which the property is sold, or one FY after the end of the FY in which the last document was processed, whichever is later.

4B - Association Applicant/Borrower Case File Records.

DESTROY 3 FYs after final inspection; records initiated after final inspection DESTROY 3 FYs after the end of the FY in which initiated, EXCEPT as follows: (1) DESTROY rejected or withdrawn applications and/or related correspondence 3 FYs after the end of the FY in which the last document was processed. (2) DESTROY all preliminary blueprints and/or drawings upon approval of the final set. (3) Comprehensive Planning Grant and Development Grant records may be DESTROYED three FYs after the end of the FY in which the last document was processed. (4) All other 4B records will be DESTROYED one FY after the end of the FY in which the last document was processed.

400A - STATE GOVERNMENT MANAGEMENT OF \_\_\_\_\_ RRC, PL-499 FUNDS:

Insert in the blank space the abbreviation of applicable State. ~~RETAIN 5 FYs.~~ DESTROY WHEN 5 YEARS OLD

400B - CIVIL RIGHTS COMPLIANCE BY RECEIPIENTS OF FmHA PROGRAM

ASSISTANCE: Includes compliance review reports covered by FmHA Instruction 400.2. ~~RETAIN 7 FYs.~~ DESTROY WHEN 7 YEARS OLD

400C - LOAN DISBURSING SYSTEM (GENERAL): ~~RETAIN 3 FYs.~~

DESTROY WHEN 3 YEARS OLD

- 401 - OPERATIONS REVIEW: May use code in "49" series if kept  
by County Office unit. ~~RETAIN 3 FYS.~~  
DESTROY WHEN 3 YEARS OLD
- 402 - SUPERVISED BANK ACCOUNT SYSTEM: This includes bank designations  
for deposit of loan checks. RETAIN all designations in force.  
Other material ~~RETAIN one FY.~~ DESTROY WHEN 1 YEARS OLD
- 405 - COUNTY OFFICE MANAGEMENT SYSTEM: This includes "Case  
Classification" system. ~~RETAIN one FY.~~  
DESTROY WHEN 1 YEARS OLD
- 406 - WORK ORGANIZATION (WO) GENERAL: ~~RETAIN 2 FYS.~~  
DESTROY WHEN 2 YEARS OLD
- 406A - STATE OFFICE (WO): ~~RETAIN 2 FYS.~~  
POSITION 1 - Annual Plan of Work  
POSITION 3 - Monthly Calendar of Work
- 406B - DISTRICT DIRECTORS (WO): ~~RETAIN 2 FYS.~~  
POSITION 1 - Annual Plan of Work  
POSITION 3 - Monthly Calendar of Work
- 406C - COUNTY OFFICE (WO): ~~RETAIN 2 FYS.~~
- 406D - ANNUAL EVALUATION DISCUSSIONS WITH DISTRICT DIRECTORS:  
~~RETAIN 2 FYS.~~
- 406E - NOTICE OF VISITS, RESERVATIONS AND CANCELLATION THEREOF:  
Limited to personnel of National Office, Finance Office,  
and other agencies. ~~RETAIN one FY.~~  
DESTROY WHEN 1 YEARS OLD
- 406F - NATIONAL OFFICE TRIP REPORTS: ~~RETAIN 2 FYS.~~  
DESTROY WHEN 2 YEARS OLD
- 406G - FORMS FmHA 406-6, "REPORT OF OMA'S COUNTY OFFICE REVIEW":  
(May use code in "49" series if kept by County Office Unit.)  
~~RETAIN 3 FYS.~~ DESTROY WHEN 3 YEARS OLD

408 - SUBDIVISION OF COUNTIES: (For program administration)

This control code is to be used only by Alaska, Puerto Rico and the Virgin Islands. ~~RETAIN 3 FYS~~ or longer upon determination of primary user. DESTROY WHEN 3 YEARS OLD

409 - RURAL DEVELOPMENT: ~~RETAIN 3 FYS~~. (This code may be subdivided consistent with on-going rural development programs.)  
DESTROY WHEN 3 YEARS OLD

409A - GRATUITOUS SERVICE AGREEMENTS: ~~RETAIN 3 FYS~~ after termination of agreement.

409B - RURAL DEVELOPMENT DETERMINATIONS FOR B&I: ~~RETAIN 3 FYS~~.

410 - APPLICATIONS, RECEIVING AND PROCESSING: DESTROY WHEN 3 YEARS OLD  
This includes general material only. ~~RETAIN 2 FYS~~. DESTROY WHEN 2 YEARS OLD

410A - CREDIT REPORTS: ~~RETAIN 2 FYS~~.

410B - INQUIRIES, CONGRESSIONAL (GENERAL): ~~RETAIN 2 FYS~~.

42 - REAL PROPERTY (GENERAL): ~~RETAIN 2 FYS~~. DESTROY WHEN 2 YEARS OLD

422 - APPRAISALS: ~~RETAIN 2 FYS~~.

422A - VALUE DETERMINATION CRITERIA AND FORMS FmHA 422-5,

"APPRAISAL REVIEW": ~~RETAIN 3 FYS~~. DESTROY WHEN 3 YEARS OLD

424 - CONSTRUCTION - DEVELOPMENT - REPAIR (GENERAL): Includes construction complaints. ~~RETAIN~~ construction complaints 2 FYS after complaint is satisfied. ~~Other material, RETAIN 2 FYS.~~ File codes 424A, 424B, and 424C may be subdivided consistent with the need in each State Office to segregate material such as "mobile homes," "manufactured homes," "modular homes," etc.

424A - FARMER PROGRAMS: ~~RETAIN 2 FYS~~. DESTROY WHEN 2 YEARS OLD

424B - RURAL HOUSING: ~~RETAIN 2 FYS~~.

424C - COMMUNITY PROGRAMS: ~~RETAIN 2 FYS~~.

424D - DAVIS-BACON ACT LABOR REQUIREMENTS, AND NONDISCRIMINATION COMPLIANCE WITH CIVIL RIGHTS ACT: Divide folder as follows:

POSITION 1: General material. ~~RETAIN 3 FYs.~~

DESTROY WHEN 3 YEARS OLD

POSITION 3: List of contractors subject to labor

compliance reports. RETAIN current list.

424D1 - LABOR COMPLIANCE REPORTS: ~~RETAIN 2 FYs.~~

DESTROY WHEN 2 YEARS OLD

424E - SUBDIVISION ACCEPTANCE: (Separate folders may be established for each subdivision.) Destroy upon prior approval of the National Office.

425 - REAL PROPERTY TAX SERVICING (GENERAL): May be broken down

between Rural Housing and Farmer Programs if deemed necessary.

~~RETAIN one FY.~~

DESTROY WHEN 1 YEARS OLD

426 - REAL PROPERTY INSURANCE (GENERAL): ~~RETAIN one FY.~~  
DESTROY WHEN 1 YEARS OLD

426A - PROPERTY INSURANCE (NATIONAL FLOOD INSURANCE): This

includes all material pertaining to designated areas

eligible for National Flood Insurance. May be subdivided by area or district, as needed. Destroy 2 FYs after material and designations have been superseded or terminated.

426B - MASTER INSURANCE POLICY: ~~RETAIN~~ <sup>Destroy</sup> one FY after expiration of policy.

427 - TITLE CLEARANCE AND LOAN CLOSING (GENERAL): ~~RETAIN 3 FYs.~~

427A - DESIGNATIONS OF TITLE ATTORNEYS AND TITLE INSURANCE COMPANIES: ~~RETAIN~~ <sup>DESTROY WHEN 3 YEARS OLD</sup> all current designations, indemnification agreements—title insurance companies, and Forms FmHA 427-14, "Agreement to Provide Loan Closing Services," and DESTROY terminated designations and agreements one fiscal year after termination.

43 - PLANNING AND SUPERVISION (GENERAL): ~~RETAIN 2 FYs.~~ DESTROY WHEN 2 YEARS OLD

430A - PLANNING AND SUPERVISION - INDIVIDUALS (GENERAL):

Include and retain current approved Key Farm and Financial Management practices. Other material, ~~RETAIN 2 FYs.~~

430B - PLANNING AND SUPERVISION - ASSOCIATIONS/ORGANIZATIONS

(GENERAL): ~~RETAIN 2 FYs.~~

430B1 - REPORTS, AUDITS AND ANALYSIS (GENERAL): ~~RETAIN 2 FYs.~~

- 44 - LOAN AND GRANT MAKING AND DOCKET PROCESSING (GENERAL): ~~RETAIN 3 FYs.~~  
DESTROY WHEN 3 YEARS OLD
- 440A - RECLAMATION PROJECT FAMILIES AND HOMESTEAD ENTRYMEN  
LOAN ASSISTANCE: ~~RETAIN 3 FYs.~~
- 440B - LOAN ASSISTANCE TO INDIANS (GENERAL): ~~RETAIN 3 FYs.~~
- 440C - FUND ANALYSIS (GENERAL): Fund Analysis forms in the 440 series will be filed in the applicable 4A or 4B case folder or under the applicable control code in the 440C series. ~~RETAIN one FY.~~ DESTROY WHEN 1 YEARS OLD
- 440C1 - FORMS FmHA 443-12, "FARM OWNERSHIP AND INDIVIDUAL SOIL AND WATER FUND ANALYSIS": May use a separate folder for each district, county, or unit office; and, if desired, subdivide instruments within each folder by loan type. ~~RETAIN one FY.~~
- 440C2 - FORMS FmHA 441-7, "OL - EM AND OTHER CREDIT ANALYSIS": May use separate folder for each district, county or unit office. ~~RETAIN one FY.~~
- 440C3 - FORMS FmHA 449-31, "EMERGENCY LIVESTOCK LOAN ANALYSIS": May use separate folder for each district, county or unit office. ~~RETAIN 3 FYs.~~ DESTROY WHEN 3 YEARS OLD
- 440C4 - FORMS FmHA 442-14, "ASSOCIATION PROJECT FUND ANALYSIS": May use separate folder for each district, county or unit office, and, if desired, subdivide instruments within each folder by loan or grant type. ~~RETAIN 3 FYs.~~  
DESTROY WHEN 3 YEARS OLD
- 440C5 - SECTIONS 502 AND 503 "HOUSING FUND ANALYSIS" FORM  
FmHA 444-2: May use a separate folder for each district, county, or unit office, and, if desired, subdivide instruments within each folder by loan type. ~~RETAIN one FY.~~  
DESTROY WHEN 1 YEARS OLD

440C6 - SECTION 504 HOUSING FUND ANALYSIS FORMS FmHA 444-2:

May use a separate folder for each district, county,  
or unit office. ~~RETAIN ONE FY.~~ DESTROY WHEN 1 YEARS OLD

440C7 - SECTIONS 514, 515 and 516 HOUSING FUND ANALYSIS FORMS  
FmHA 444-5:

May use a separate folder for each district, county,  
or unit office, and, if desired, subdivide instruments  
within each folder by loan or grant type. ~~RETAIN ONE FY.~~

440D - STATUS CONTROL SYSTEM FOR APPLICATIONS (ASSOCIATIONS/  
ORGANIZATIONS): ~~RETAIN 3 FYs.~~ DESTROY WHEN 3 YEARS OLD  
(Keep Forms FmHA 440-36, Association or Organization Activity  
Card," in card file. RETAIN 10 FYs after the end of the FY  
in which the loan is paid in full or otherwise satisfied  
EXCEPT when application has been rejected or withdrawn, or  
jurisdiction has been relinquished, and the applicant has  
not reapplied for assistance, ~~RETAIN 3 FYs.~~)

440D1 - ASSOCIATION OR ORGANIZATION ACTIVITY REPORT: Subdivide  
by Congressional District. (Forms FmHA 440-48, "Association  
or Organization Activity Report," will be filed in the  
"4B" case folders.) ~~RETAIN 3 FYs.~~

440E - TRUTH IN LENDING: ~~RETAIN 3 FYs.~~ DESTROY WHEN 3 YEARS OLD

441 - OPERATING AND EMERGENCY LOAN PROGRAMS: ~~RETAIN 2 FYs.~~

441A - OPERATING LOANS: ~~RETAIN 2 FYs.~~ DESTROY WHEN 2 YEARS OLD

441B - EMERGENCY LOANS: ~~RETAIN 2 FYs.~~

441B1 - EM LOAN AREA DESIGNATIONS: This includes  
recommendations and Form FmHA 441-27, "Report  
of Natural Disaster." Use separate folder for  
each Disaster Designation number or each county.  
RETAIN 2 FYs after FY in which "final" "Report of  
EM Loan Application" is made.

442 - ASSOCIATION AND ORGANIZATION LOAN AND GRANT PROGRAMS (GENERAL):  
~~RETAIN 2 FYs.~~ DESTROY WHEN 2 YEARS OLD

442A - DOMESTIC WATER AND WASTE DISPOSAL SYSTEMS: ~~RETAIN 2 FYs.~~

442A1 - COMPREHENSIVE AREA PLANS FOR WATER AND SEWER:  
RETAIN for a period to be determined by the Chief,  
Community Services, or 2 FYs, whichever is later.

DESTROY WHEN 2 YEARS OLD

- 442B - TIMBER DEVELOPMENT: ~~RETAIN 2 FYs.~~
- 442C - SHIFT IN LAND USE TYPE ASSOCIATIONS (GENERAL):  
~~RETAIN 2 FYs.~~
- 442C1 - GRAZING ASSOCIATIONS: ~~RETAIN 2 FYs.~~
- 442C2 - RECREATION ASSOCIATIONS: ~~RETAIN 2 FYs.~~
- 442D - ECONOMIC DEVELOPMENT ADMINISTRATION (EDA) DESIGNATED QUALIFIED AREAS: Designations for Water and Sewer Project Federal Assistance. RETAIN all current designations and DESTROY all terminated, canceled, or withdrawn designations.
- 442E - IRRIGATION, DRAINAGE, AND OTHER SOIL AND WATER CONSERVATION-TYPE ASSOCIATIONS: ~~RETAIN 2 FYs.~~
- 442F - COMMUNITY FACILITIES: ~~RETAIN 2 FYs.~~
- 442G - INDUSTRIAL DEVELOPMENT GRANTS: ~~RETAIN 2 FYs.~~
- 443 - FARM OWNERSHIP AND SOIL AND WATER LOAN PROGRAMS (GENERAL):  
~~RETAIN 2 FYs.~~ DESTROY WHEN 2 YEARS OLD
- 443A - FARM OWNERSHIP LOANS: This includes general material on land subdivision services. Use control code 443A1 for individual land subdivision cases. ~~RETAIN 2 FYs.~~
- 443A1 - SUBDIVISION CASE ON (followed by name of farm or tract): ~~RETAIN~~ two FYs after the acceptance or termination of <sup>Destroy</sup> option(s), or 2 FYs after date of last document, whichever is later.
- 443B - SOIL AND WATER LOANS: ~~RETAIN 2 FYs.~~
- 443C - LAND CONSERVATION DEVELOPMENT LOANS: Appalachian States  
~~RETAIN 2 FYs.~~
- 443D - RECREATION LOANS: ~~RETAIN 2 FYs.~~



- 444 - RURAL HOUSING LOAN PROGRAM (GENERAL): ~~RETAIN 2 FYS.~~  
DESTROY WHEN 2 YEARS OLD
- 444A - MUTUAL SELF-HELP HOUSING PROGRAM: ~~RETAIN 2 FYS.~~
- 444B - FARM LABOR HOUSING PROGRAM: ~~RETAIN 2 FYS.~~
- 444C - RURAL RENTAL HOUSING PROGRAM: ~~RETAIN 2 FYS.~~
- 444C1 - RURAL RENTAL HOUSING (ORGANIZATION): ~~RETAIN 2 FYS.~~
- 444D - RURAL COOPERATIVE HOUSING PROGRAM: ~~RETAIN 2 FYS.~~
- 444E - RURAL HOUSING SITE PROGRAM: ~~RETAIN 2 FYS.~~
- 444F - CONDITIONAL COMMITMENTS FOR RURAL HOUSING LOANS:  
~~RETAIN 2 FYS.~~
- 444G - SELF-HELP TECHNICAL ASSISTANCE: ~~RETAIN 2 FYS.~~
- 444H - INELIGIBLE, SUSPENDED OR DEBARRED PERSONS DEALING WITH  
RH APPLICANTS OR PARTICIPANTS: RETAIN current listing  
and any supplements thereto only.
- 444I - INTEREST CREDIT ASSISTANCE: ~~RETAIN 2 FYS.~~
- 446 - RESOURCE CONSERVATION AND DEVELOPMENT LOAN PROGRAM: ~~RETAIN 2 FYS.~~
- 447 - WATERSHED LOAN PROGRAM (GENERAL): ~~RETAIN 2 FYS.~~  
DESTROY WHEN 2 YEARS OLD
- 447A - WATERSHED WORK PLANS (SCS REPORTS): RETAIN one copy  
of each published work plan report.
- 447B - LEGAL CODES AND ACTS: This includes legal codes and acts  
pertaining only to watershed program. ~~RETAIN until~~ *Destroy when*  
superseded.
- 449 - GUARANTEED LOAN PROGRAM: ~~RETAIN 2 FYS.~~ DESTROY WHEN 2 YEARS OLD
- 449A - BUSINESS AND INDUSTRIAL LOAN PROGRAM: ~~RETAIN 2 FYS.~~
- 449A1 - B&I LOAN SERVICING: ~~RETAIN 2 FYS.~~
- 449B - FARMER PROGRAMS: ~~RETAIN 2 FYS.~~
- 449C - COMMUNITY SERVICES: ~~RETAIN 2 FYS.~~

45 - ACCOUNT SERVICING:450A - BORROWER ADDRESSES: May include Form FmHA 450-6,

"Notice of Transmittal of Form FmHA 450-5." Use

existing "4A" or "4B" if any. ~~RETAIN one FY.~~DESTROY WHEN 1 YEARS OLD450B - FEDERAL STATUTES OF LIMITATION: ~~RETAIN 3 FYS.~~DESTROY WHEN 3 YEARS OLD451 - COLLECTION PROGRAM AND PROCESSING PAYMENTS (GENERAL):~~RETAIN 3 FYS.~~DESTROY WHEN 3 YEARS OLD451A - FORMS FmHA 451-1, "ACKNOWLEDGMENT OF CASH PAYMENTS":

Keep State Office copy in receipt book. VOIDED receipts,

keep original and copy in receipt book. ~~RETAIN 2 FYS.~~DESTROY WHEN 2 YEARS OLD451B - FORMS FmHA 451-2, "SCHEDULE OF REMITTANCES": ~~RETAIN 3 FYS.~~DESTROY WHEN 5 YEARS OLD451C - TRANSMITTING COLLECTIONS: ~~RETAIN 2 FYS.~~DESTROY WHEN 2 YEARS OLD451D - GRADUATION OF BORROWERS TO PRIVATE CREDIT: May use code

in "49" series if kept by County Office Unit.

~~RETAIN 3 FYS.~~DESTROY WHEN 3 YEARS OLD456A - PROCESSING FORMS FHA 456-1, "APPLICATION FOR SETTLEMENT OF INDEBTEDNESS": ~~RETAIN one FY.~~DESTROY WHEN 1 YEARS OLD456A1 - FORMS FHA 456-1 - ONLY ON UNSATISFIED ADJUSTMENT AGREEMENTS:

When adjustment agreement has been paid-in-full or canceled remove applicable Form FHA 456-1 and refile under control code 456A2.

456A2 - FORMS FHA 456-1, "APPLICATION FOR SETTLEMENT OF INDEBTEDNESS":~~DESTROY~~ ~~RETAIN~~ one FY after the year in which the last document or paper was prepared or processed.456B - PROCESSING FORMS FHA 456-2 "CANCELLATION OR CHARGEOFF OF FHA INDEBTEDNESS": ~~RETAIN~~ one FY after the year in which the last document or paper was prepared or processed

- 46 - SECURITY SERVICING: ~~RETAIN 2 FYS.~~ DESTROY WHEN 2 YEARS OLD
- 460 - SPECIAL SERVICING - DELINQUENT AND OTHER PROBLEM LOANS - INDIVIDUALS: May use code in "49" series if kept by county office unit. ~~RETAIN 2 FYS.~~ DESTROY WHEN 2 YEARS OLD
- 461 - MEMBERSHIP AND/OR STOCK CERTIFICATES: (To contain listing of certificate instruments formerly maintained by State Office and returned to County Offices.) RETAIN.
- 462 - CHATTEL SECURITY SERVICING: This includes Forms FmHA 455-15, "Report of Inventory Transactions (Acquired FmHA Security Property.)" ~~RETAIN 2 FYS.~~ DESTROY WHEN 2 YEARS OLD
- 465 - REAL PROPERTY SECURITY SERVICING: ~~RETAIN 2 FYS.~~ DESTROY WHEN 2 YEARS OLD
- 465A - MANAGEMENT AND DISPOSITION OF ACQUIRED REAL PROPERTY: RETAIN 2 FYS.
- 47 - INSURED LOANS-LENDER RELATIONSHIP (GENERAL): ~~RETAIN 2 FYS.~~
- 470A - LENDER PARTICIPATION AND INVESTMENT PLEDGES: Subdivide by name of lender if desired. RETAIN lender "name case" if lender "pledge" constitutes an available investment commitment. Other material, ~~RETAIN 3 FYS.~~ DESTROY WHEN 3 YEARS OLD
- 471 - PROCESSING INSURED ASSIGNMENTS: ~~RETAIN 2 FYS.~~ DESTROY WHEN 2 YEARS OLD
- 49 - REPORTS: Recurring reports may be filed in the "49" series by the applicable control code or by county office unit when report pertains to a particular unit, including reports in the "400" series pertaining to that unit. Memorandum and/or one-time "special" program reports will be filed according to the related subject code.
- 492 - COUNTY OFFICE RECURRING REPORTS (GENERAL): ~~RETAIN 2 FYS.~~
- 492A - FORMS FmHA 492-3, "QUARTERLY COUNTY REPORT": ~~RETAIN ONE FY.~~ DESTROY WHEN 2 YEARS OLD
- DESTROY WHEN 1 YEARS OLD

492B - FORMS FmHA 492A3, "ANNUAL SUPPLEMENT TO QUARTERLY COUNTY REPORT":  
~~RETAIN one FY.~~

492C - FORMS FmHA 492-5, "SEMIANNUAL COUNTY REPORT": ~~RETAIN one FY.~~

492D - FORMS FmHA 492-6, "COUNTY CASELOAD REPORT": ~~RETAIN one FY.~~

492E - FORMS FmHA 492-7, "REPORT OF EM LOAN APPLICATIONS":

Use separate folder for each Disaster Designation Number.

~~RETAIN~~ <sup>Destroy</sup> one FY after end of FY in which "Final" report is made.

492F - TRUTH-IN-LENDING REPORT: ~~RETAIN 2 FYs.~~  
 DESTROY WHEN 2 YEARS OLD

493 - STATE OFFICE RECURRING REPORTS: ~~RETAIN 2 FYs.~~  
 DESTROY WHEN 2 YEARS OLD

493A - FORMS FmHA 492-3, "QUARTERLY COUNTY REPORTS" - STATE

SUMMARY: ~~RETAIN 3 FYs.~~ DESTROY WHEN 3 YEARS OLD

493B - FORMS FmHA 492A3, "ANNUAL SUPPLEMENT TO QUARTERLY COUNTY REPORT":  
~~RETAIN 3 FYs.~~ DESTROY WHEN 3 YEARS OLD

493C - FORMS FmHA 492-5, "SEMIANNUAL COUNTY REPORTS" - STATE  
SUMMARY: ~~RETAIN 3 FYs.~~ DESTROY WHEN 3 YEARS OLD

493D - FORMS FmHA 492-6, "COUNTY CASELOAD REPORT" - STATE SUMMARY:  
~~RETAIN 3 FYs.~~ DESTROY WHEN 3 YEARS OLD

493E - FORMS FmHA 492-7, "REPORT OF EM LOAN APPLICATIONS" - STATE  
SUMMARY: Use separate folder for each Disaster Designation Number. ~~RETAIN~~ <sup>Destroy</sup> 2 FYs after end of FY in which "Final" report is made.

493F - FORMS FmHA 493-7, "COLLECTION ONLY BORROWER ACTIVITY REPORT":  
~~RETAIN 2 FYs.~~ DESTROY WHEN 2 YEARS OLD

494 - FINANCE OFFICE RECURRING REPORTS: (Due to frequency of change, these reports are not listed.) These reports may be filed in the "494" series in numerical order, or as prescribed under Control Code "3". After the report has served its purpose upon concurrence of the primary user(s), it may be destroyed. In any event, the report ~~should not be retained longer than~~ two fiscal years. DESTROY WHEN 2 YEARS OLD

495 - NATIONAL OFFICE RECURRING REPORTS (GENERAL): ~~RETAIN 2 FYS.~~ DESTROY WHEN 2 YEARS OLD

495A - "CASELOAD" REPORT: ~~RETAIN 2 FYS.~~

495B - "USE OF LOAN FUNDS": ~~RETAIN 2 FYS.~~

495C - "STATUS OF LOAN ACCOUNTS": ~~RETAIN 2 FYS.~~

495D - "REAL ESTATE TYPE LIQUIDATIONS - CUMULATED": ~~RETAIN 2 FYS.~~

495E - "MONTHLY REPORT OF FmHA": ~~RETAIN~~ <sup>Destroy</sup> monthly reports <sup>when</sup> one FY old.  
~~RETAIN~~ <sup>Destroy</sup> semiannual reports <sup>when</sup> 1 FY old

495F - "REPORT OF LOAN AND GRANT OBLIGATIONS": ~~RETAIN~~ <sup>Destroy</sup> monthly reports <sup>when</sup> one FY old. ~~RETAIN~~ <sup>Destroy</sup> semiannual reports <sup>when</sup> 2 FYS old.