

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		JOB NUMBER <i>11-221-08-1</i>	
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received <i>2/11/08</i>	
1 FROM (Agency or establishment) United States Department of Agriculture Rural Development Operations and Management SSD STOP 0742 1400 Independence Ave , SW Washington, DC 20250-0742		NOTIFICATION TO AGENCY  In accordance with the provisions of 44 U S C 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
2 MAJOR SUBDIVISION Rural Utilities			
3 MINOR SUBDIVISION Rural Utilities Service Telecommunications Programs			
4. NAME OF PERSON WITH WHOM TO CONFER Andrea R. Jenkins <a href="mailto:Andrea.Jenkins@wdc.usda.gov">Andrea.Jenkins@wdc.usda.gov</a>	5 TELEPHONE NUMBER 202 692-0029	DATE <i>6/5/08</i>	ARCHIVIST OF THE UNITED STATES <i>Allen Dent</i>
6 AGENCY CERTIFICATION I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached _____ page(s) are not needed now for the business for this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,  <input type="checkbox"/> is not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE 02/06/08	SIGNATURE OF AGENCY REPRESENTATIVE <i>Andrea R. Jenkins</i> <i>2-6-08</i>		TITLE Rural Development Records Officer
7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	U.S. Department of Agriculture Rural Development Record Group 221  Rural Utilities Service Telecommunications Programs (see attached).		
<i>84 6/12/08 copies sent to Agency, NWMD, NOME, NWMW, NR, NWCT</i>			

Item Number	Dept File Codes	Subject Code	File Heading/Description	Applicability and Location				RD Disposition Authority	GRS Authority
				Office	Central File	FRC	NARA		
<b>Rural Development Utilities Programs - TELECOMMUNICATIONS PROGRAM LOANS AND OPERATIONS</b>									
<b>Unless otherwise noted, all item in this schedule are media neutral</b>									
1	RUPT-1	1700 28	<p><b>General Files (Filed by Subject)</b></p> <p><b>a. Correspondence files</b> maintained by the Rural Development Telecommunications Program (RDTP), which are not otherwise covered within this schedule. The files include correspondence with borrowers, associations, suppliers, manufacturers and other firms or individuals relating to activities of RDTP</p> <p><b>Disposition</b> – temporary Cut off at the end of the 2 CY cycle</p> <p>Maintain in Division office(s) Transfer to the FRC 5 CY's after cutoff</p> <p><b>DESTROY/DELETE 10 CY'S AFTER CUTOFF.</b></p>	Advanced Services Division Broadband Division Northern Division Program Advisor Southern Division					New
			<p><b>b. Field Activities Reports</b> (Form 9) prepared by RDTP employees relating to visits to borrowers, and attendance at meetings of associations, manufacturers, technical societies and training conferences</p> <p><b>(1) Filed by name of employee and used to verify travel.</b></p> <p>Disposition – temporary Cut off at the end of the 2 CY cycle</p> <p>Maintain in Division office</p> <p><b>DESTROY/DELETE 1 CY AFTER CUTOFF, OR UPON COMPLETION OF TRAVEL VERIFICATION, WHICHEVER IS SOONER.</b></p> <p><b>(2) Filed by borrower.</b></p> <p>Disposition – temporary Cut off every 5 years at the end of the CY</p> <p>Maintain on the shared drive for 5 years after cutoff</p>	Northern Division Southern Division					New

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			<b>DESTROY/DELETE 5 CY'S AFTER CUTOFF.</b>						
2	RUPT-2		<p><b>Special Studies and Projects</b> consist of documents relating to special studies and projects pertaining to rural telecommunications systems or the RDTP</p> <p>a <b>Final product.</b> Determine medium of recordkeeping copy</p> <p>(1) <b>If paper.</b></p> <p><b>Disposition – PERMANENT.</b> Cut off at the end of each CY</p> <p>If volume of records warrants, transfer one copy to the FRC 5 CY's after cutoff</p> <p><b>Transfer to the National Archives 10 CY's after cutoff.</b></p> <p>(2) <b>If electronic.</b></p> <p><b>Disposition – PERMANENT.</b> Cut off at the end of each CY</p> <p><b>Transfer one copy to the National Archives immediately after cutoff in accordance with 36 CFR 1228.270.</b></p> <p>b. <b>Correspondence and subject files</b> relating to special studies and projects pertaining to rural telecommunications systems or the Rural Development Utilities Program</p> <p><b>Disposition – temporary</b> Cut off at the end of each CY in which project or study is completed</p> <p>If volume of records warrants, transfer to the FRC 5 CY's after cutoff</p>	Advanced Services Division Program Advisor		5	P	New	
			<b>DESTROY/DELETE 10 CY'S AFTER CUTOFF, OR WHEN NO</b>						

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			<b>LONGER NEEDED FOR REFERENCE, WHICHEVER IS LATER.</b>						
			<p><b>c. Working Papers</b> include materials relating to special studies or projects resulting in the establishment, rescission, or evaluation of agency policy</p> <p><b>Disposition</b> – temporary Place in office non-active file when report or project is completed or 6 months after final action or completion of study Cut off at the end of the CY</p>	Advanced Services Division Program Advisor				New	
			<p><b>DESTROY/DELETE 5 CY'S AFTER CUTOFF.</b></p> <p><b>d. Informal notes, rough drafts, or other documentation which is considered preliminary material.</b></p> <p>Disposition – temporary Cut off when report or project is completed, or 6 months after final action or completion of study</p> <p><b>DESTROY/DELETE IMMEDIATELY AFTER CUTOFF.</b></p>					New	
3	RUPT-3	1735 3 1735 31 1735 32 1738 1 1703 13 1703 14	<p><b>Hardship Loans</b></p> <p><b>RUS Cost-of-Money Loans</b></p> <p><b>Guaranteed Loans</b></p> <p><b>Broadband Access Loans</b></p> <p><b>Distance Learning and Telemedicine (DLT) Combo Loans and Grants</b></p> <p><b>Distance Learning and Telemedicine (DLT) Loans</b></p> <p><b>a. Loan Docket File</b> contains original basic documents of all loans for a borrower, approval and rescission of loans and release of funds, including administrative findings, loan recommendation to Administrator, feasibility study, status of loans, master telephone budget, adjusted telephone budget, adjusted balance sheet, equity requirement determination including request memorandum, and statement of adequacy of borrower's records Also includes balance sheet and operating statement, valuation memorandum, request for pre-loan study, cost allocation for urban and rural engineering memoranda, pre-loan</p>	<p>Advanced Services Division Broadband Division Northern Division Southern Division</p> <p>Advanced Services Division Broadband Division</p>				New	

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			<p>data for telephone system, net toll revenue and rate schedules, connecting company commitments, sketch map of service area, area survey summary, population data, economic report, manager concurrence memoranda, character references, non-duplication report, loan application, applicant concurrence, and any other memoranda, forms and reports required to document the loan (Not all of the documents listed are included in each loan docket ) Make folder when first loan is approved Folder is retained in agency Division's storage space until all funds are advanced</p> <p><b>Disposition – PERMANENT.</b> Cut off at the end of the CY in which all loans are 'Paid in Full' or 'Rescinded'</p> <p>Transfer to the CF 2 CY's after cutoff Transfer from the CF to the FRC 6 CY's after cutoff</p> <p><b>Transfer to the National Archives 25 years after cutoff.</b></p>						
			<p><b>b. Legal Folder</b> contains Public Utilities commission Orders, Organizational Structure, Articles and Bylaws, Sample Stock certificate, Loan Appraisals, evidence and certification of legal Authority, Certificate of Resolutions, Contract, Mortgages, UCC Filings, Opinion of Counsel, Copies of Loan &amp; Security Documents, and Property Schedules This file includes all legal documents (Not all of the documents listed are included in each legal folder )</p> <p><b>Disposition – temporary</b> Cut off at the end of the CY in which all loans are 'Paid in Full' or 'Rescinded'</p>	Broadband Division Northern Division Southern Division				New	
			<p>Transfer to the CF 2 CY's after cutoff Transfer from the CF to the FRC 6 CY's after cutoff</p> <p><b>DESTROY/DELETE 10 CY'S AFTER CUTOFF.</b></p>		4	4			
			<p><b>c. Official Loan Folder</b> includes copies of loan docket, together</p>	Broadband				New	

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			<p>with loan announcement letter (including FAX notification or equivalent) filed on the right side of the folder, and all correspondence with the borrower, its attorney and other RUS offices in support of the loan, release of funds, rescission, disapproved loan, and correspondence pertaining to acquisitions and boundaries, including correspondence, forms and reports relating to the valuation of property owned or to be acquired by RUS telecommunications borrowers filed on the left side of the folder</p> <p><b>Disposition</b> – temporary Cut off at the end of the CY in which all loans are 'Paid in Full' or 'Rescinded'</p> <p><i>CF (8, 5/27/04)</i> Transfer to <del>FRC</del> 2 CY's after cutoff Transfer from the CF to the FRC 6 CY's after cutoff</p> <p><b>DESTROY/DELETE 10 CY'S AFTER CUTOFF.</b></p>	Division Northern Division Southern Division					
			<p><b>d. Operations Contract Folder</b> includes copies of contracts for operation and maintenance, extended area service, trunk leases, floor space, toll traffic and affiliated subsidiaries agreement and all third party contacts, traffic interconnect, service, operations and maintenance, and affiliated services, received with an initial loan application and any subsequent RUS approved contracts</p> <p><b>Disposition</b> – temporary Cut off at the end of the CY in which contracts are superseded or canceled</p> <p>Maintain in Division</p> <p><b>DESTROY/DELETE 2 CY'S AFTER CUTOFF</b></p>	Broadband Division Northern Division Southern Division				New	
			<p><b>e. Operating Reports Folder</b> contains monthly, quarterly and annual financial and statistical reports (including RUS Form 479) of borrower's operations</p>	Broadband Division Northern Division Southern Division				New	

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			<p><b>Disposition</b> – temporary Cut off at the end each CY</p> <p>Maintain in Division office(s) Transfer to the FRC 5 CYs after cutoff</p> <p><b>DESTROY/DELETE 10 CY'S AFTER CUTOFF.</b></p>			5			
4	RUPT-4	1735 3	<p><b>Telecommunications Engineering</b></p> <p><b>a. Engineering Pouch</b> which contains large documents relating to the design and construction of telecommunications facilities including plans and specifications, maps, services (engineering and architectural) contracts, construction contracts, contracts for materials and supplies, force account proposals, loan designs, final inventories, final documents, and final fee statements</p> <p><b>Disposition</b> – temporary Cut off at the end of the CY in which loan fund audit is approved</p> <p>Transfer to the FRC 1 CY after cutoff</p> <p><b>DESTROY/DELETE 5 CY'S AFTER CUTOFF UNLESS RETURN TO BORROWER IS REQUESTED.</b></p>	Northern Division Southern Division		4		New	
			<p><b>b. Loan Support Data</b> includes maps, membership tabulations, engineering studies and other bulky material submitted in support of the loan, including Loan Design Maps used by Telecommunications Divisions in consideration of a loan</p> <p><b>(1) Approved Loan Design.</b></p> <p><b>Disposition – PERMANENT.</b> Cut off at the end of the CY in which loan fund audit of entire loan is completed</p> <p>Maintain files in division</p> <p><b>Transfer to the National Archives 5 CY's after cutoff unless</b></p>					New	

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			<p>return to borrower is requested.</p> <p><b>(2) Disapproved loans.</b></p> <p><b>Disposition</b> – temporary Cut off at the end of the CY in which loan is disapproved</p> <p>Maintain files in division</p> <p><b>DESTROY/DELETE 3 CY'S AFTER CUTOFF UNLESS RETURN TO BORROWER IS REQUESTED.</b></p>					New	
			<p><b>c. Joint Use</b> records include a copy of approved contracts between utility companies for joint or common use of facilities and related correspondence or forms</p> <p><b>Disposition</b> – temporary Cut off at the end of the CY in which contracts are superseded or canceled</p> <p>Maintain files in Division</p> <p><b>DESTROY/DELETE 2 CY'S AFTER CUTOFF</b></p>					New	
5	RUPT-5	1735 3	<p><b>Technical Standards [Committees "A" and "B"] – Telecommunications</b> records contain documents relating to the development of standards and products that meet these standards for the design, construction, operation and maintenance of rural telecommunications systems Technical Standards Committees "A" and "B" determine whether standards and products are acceptable for use in constructing rural telecommunications systems and are published as the "Materials Acceptable for Use on Telecommunications Systems of RUS Borrowers" (Informational Publications 344-2)</p> <p>Dates 1980-present Volume approx 110 linear feet</p>	Advanced Services Division				New	



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			<p>a. If paper.</p> <p><b>Disposition – PERMANENT.</b> Cut off at the end of the CY or sooner if volume is large</p> <p>Retain Files in the Division</p> <p><b>Transfer to the National Archives 11 CY's after cutoff or when no longer needed, whichever is later</b></p> <p>b. If electronic.</p> <p><b>Disposition – PERMANENT.</b> Cut off at the end of the CY</p> <p><b>Transfer to the National Archives immediately after cutoff in accordance with 36 CFR 1228.270.</b></p>				P  P		
6	RUPT-6	1735 3	<p><b>Requisitions and Loan Budget</b> records comprise copy of financial requirement and expenditure statements for advance of loan funds, and the record copy of correspondence relating to approval of requisitions authorization for a borrower's employee to sign financial requirements statements, the original copy of RUS Form 266 (or equal) "compliance assurance," and the original copy of memorandum signed by the Assistant Administrator</p> <p>Files include copy of the loan budget, notice of receipt, consolidated loan budget consisting of individual budget purpose sheets, loan and note control (formerly allocation control), approved budget and encumbrance control for work orders, engineering, construction, operation equipment, and general overhead, normal inventory, copy of letters relating to title clearance, a copy of conditional agreements and stop orders, copy of field activity reports relating to review and approval of funds expenditures, and the record copy of correspondence and forms relating to budgetary adjustments and transfer of funds</p>	Broadband Division Northern Division Southern Division				New	

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			<p><b>Disposition</b> – temporary Cut off every 5 CYs at the end of the CY</p> <p>Retain in division Transfer to FRC 5 CYs after cutoff</p> <p><b>DELETE/DESTROY 10 CYs AFTER CUTOFF.</b></p>			5			
7	RUPT-7	1703 121 1739 1740	<p><b>Distance Learning and Telemedicine (DLT) Grants</b> <b>Community Connect Grants</b> <b>Weather Radio Transmitter Grants</b> <b>Public Television Station Digital Transition Grants</b></p> <p><b>a. Approved Grants(/loans)</b> includes all documents for approval and all correspondence, scoring worksheets, release of funds, grant(/loan) agreement, advance of funds documents, rescission, disapproved grant(/loan) and correspondence, correspondence relating to audit, comments on audit reports, copy of FAR's, contracts, correspondence, summaries of telephone conversation with members of Congress and correspondence with general public, correspondence to federal agencies, performance reports, financial status reports, audits (Not all of the documents listed are included in each grant/loan pouch )</p> <p><b>Disposition – PERMANENT.</b> Cut off file at end of the CY in which the grant/loan is fully advanced and final report received</p> <p>Retain in office</p> <p><b>Transfer to the National Archives 3 CY'S after cutoff.</b></p>	Advanced Services Division Broadband Division Northern Division Program Advisor Southern Division				New	
			<p><b>b. Disapproved Grants(/loans)</b> includes all documents for approval and all correspondence, scoring worksheets, release of funds, grant(/loan) agreement, advance of funds documents, rescission, disapproved grant(/loan) and correspondence, correspondence relating to audit, comments on audit reports, copy of FAR's, contracts, correspondence, summaries of telephone conversation with members of Congress and</p>					New	

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				Office	Central File	FRC	NARA		
			<p>correspondence with general public, correspondence to federal agencies, performance reports, financial status reports, audits (Not all of the documents listed are included in each grant/loan pouch )</p> <p><b>(1) Disapproved loans which are challenged.</b></p> <p><b>Disposition</b> – temporary Cut off at the end of the CY in which final action is taken</p> <p>Retain in office</p> <p><del>DESTROY/DELETE 1 CY AFTER CUTOFF.</del></p> <p><b>(2) Disapproved loans which are not challenged.</b></p> <p><b>Disposition</b> – Temporary Cut off at the end of the CY in which grant/loan is disapproved</p> <p>Retain in office</p> <p><b>DESTROY/DELETE 3 CY'S AFTER CUTOFF.</b></p>						GRS 3, Item 13