

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER <i>71-540-06-3</i>	
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD; COLLEGE PARK, MD 20740-6001		Date received <i>2-23-2006</i>	
1 FROM (Agency or establishment) U S Department of Agriculture		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	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 Research, Education, and Economics (REE) Mission Area			
3 MINOR SUBDIVISION Cooperative State Research, Education, and Extension Service (CSREES)			
4. NAME OF PERSON WITH WHOM TO CONFER Crystal Zeh	5 TELEPHONE NUMBER 202-401-5924	DATE <i>2/21/06</i>	ARCHIVIST OF THE UNITED STATES <i>Alta Warrick</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 <u>6</u> 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 checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached, or <input type="checkbox"/> has been requested			
DATE February 21, 2003	SIGNATURE OF AGENCY REPRESENTATIVE <i>Crystal R. Zeh</i>		TITLE Records Management Officer
7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	See attached		
<i>cc Agency NR NUMB NUMM</i>			

Item No.	Description of Item and Proposed Disposition	GRS or Superseded Job Citation	Action Taken (NARA Use Only)
1	<p><u>Funded Award and Agreement Case Files (Non-Formula).</u></p> <p>Case files document each award made to support agricultural research, education, or extension under the Agency's various programs, except formula-funded programs.</p> <p>Case files include but are not limited to the following: applications, peer review documentation, agreements, correspondence, site visit reports, progress and final technical reports, and final financial reports.</p> <p>Closeout is the administrative process which determines that all applicable administrative actions and all work required of the award have been completed by both the awardee and the Agency. Closeout of the award file occurs after the award is terminated or completed.</p> <p>These instructions apply to the records regardless of their format. Records may be maintained in any format on any medium.</p> <p>Arranged by state and award number.</p> <p>NOTE: Case files for projects funded with formula funds under the Hatch Act, McIntire-Stennis Act, Smith-Lever Act, or Animal Health and Disease Act are scheduled under a separate disposition authority.</p> <p>a. Official Funded Award Case Files.</p> <p>Disposition: Temporary. Cut off at the end of fiscal year in which the award is closed out. Transfer to Federal Records Center. Destroy/delete 15 years after the end of the fiscal year in which the award is closed out.</p> <p>b. Other Copies of Funded Award Case Files.</p> <p>Disposition: Temporary. Cut off at the end of fiscal year in which the award is closed out. Destroy/delete at the end of the fiscal year in which the award is closed out.</p>	Superseded job citation: N1-164-92-1, Item 3	
2	<p><u>Unfunded Application Case Files.</u></p> <p>Case files contain unfunded applications. Applications may not be funded because the application was not accepted for review, the application was withdrawn from consideration, or the application was declined for funding during the review process.</p>		

Item No.	Description of Item and Proposed Disposition	GRS or Superseded Job Citation	Action Taken (NARA Use Only)
	<p>Case files include but are not limited to the following: applications; correspondence; and peer review documentation, if applicable.</p> <p>These instructions apply to the records regardless of their format. Records may be maintained in any format on any medium.</p> <p>Arranged by program and proposal number.</p> <p>a. Official Unfunded Case Files.</p> <p>Disposition: Temporary. Cut off at the end of the fiscal year in which the application is declined, withdrawn, or not accepted for review. Destroy/delete 3 years after the end of the fiscal year in which the application is declined, withdrawn, or not accepted for review.</p> <p>b. Other Copies of Unfunded Case Files.</p> <p>Disposition: Temporary. Cut off after the application is declined, withdrawn, or not accepted for review. Destroy/delete after the application is declined, withdrawn, or not accepted for review.</p>	GRS 3, Item 13	
3	<p><u>Formula-Fund Allocation Records.</u></p> <p>Records document the allocation of appropriated research and extension formula funding among institutions, such as 1862, 1890, and 1994 land-grant institutions, which are authorized by law to receive the funding.</p> <p>Records include but are not limited to the following: correspondence, allocations, and supporting documents.</p> <p>These instructions apply to the records regardless of their format. Records may be maintained in any format on any medium</p> <p>Disposition: Temporary. Destroy/delete when grant program is no longer authorized.</p>		
4	<p><u>Formula-Fund Budgets, Reports, and Approval Letters (State Files).</u></p> <p>Records fulfill the Agency's reporting requirements for disbursement and monitoring of research and extension formula funding at state institutions such as State Agricultural Experiment Stations; 1862, 1890, and 1994 land-grant institutions; schools of forestry; schools of veterinary medicine; etc. Records consist of reports and budgets submitted to the Agency by state</p>		

Item No.	Description of Item and Proposed Disposition	GRS or Superseded Job Citation	Action Taken (NARA Use Only)
	<p>institutions, as well as approval or denial letters from the Agency to the state institutions eligible to receive research and/or extension formula funds. Records may contain information regarding the state institutions' plans for spending the formula funds, or they may identify state matching funds required to receive the Federal formula funding.</p> <p>Records include but are not limited to the following: estimated and actual reports; estimated and actual budgets; checklists; and correspondence.</p> <p>Specific records covered under this disposition authority may include but are not limited to:</p> <ul style="list-style-type: none"> • Multistate Research Fund budget reports; • Smith-Lever budgets; • Certifications of Offset and Entitlement forms; • Financial supplements to the Annual Report of Accomplishments and Results; • Expanded Food and Nutrition Education Program (EFNEP) budgets; • Integrated Pest Management (IPM) budgets, • Renewable Resources Education Act (RREA) budgets; • CSREES 2008, Assurance Statements (extension); • Certification Regarding Lobbying forms; • Primary Contact Person forms; • SF 269, Financial Status Reports; • Plan of Work and Plan of Work Update receipt and/or approval letters; and • Program of Research approval letters. <p>These instructions apply to the records regardless of their format. Records may be maintained in any format on any medium.</p> <p>a. Official Records.</p> <p style="padding-left: 40px;">Disposition: Temporary. Cut off at the end of the fiscal year. Transfer to Federal Records Center when 5 years old. Destroy/delete when 15 fiscal years old.</p> <p>b. Other Copies.</p> <p style="padding-left: 40px;">Disposition: Temporary. Destroy/delete when no longer needed for reference.</p>	<p>Superseded job citation: N1-33-90-1, ES 3070-1: Item 2000-2-1</p>	

Item No.	Description of Item and Proposed Disposition	GRS or Superseded Job Citation	Action Taken (NARA Use Only)
5	<p><u>Fiscal Management and Accounting Records.</u></p> <p>Records document the accounting of funds disbursed from the Agency to recipients to support agricultural research, education, or extension under the Agency's various programs.</p> <p>Records include but are not limited to the following:</p> <ul style="list-style-type: none"> • SF 224 Reconciliation Files, • C-REEMS 757 Disbursement & Obligation Approval Forms; • Daily Disbursements Reconciliation Files; • Batch and Manual Authorizations; • IPAC Billing; • Reimbursable Agreements Reconciliation Files; • Obligation Files; • Final Financial Report (SF 269) Files; • Canceling/Expiring Funds Files, • Federal Assistance Award Data System (FAADS) Reports; <p>and other similar items listed in GRS 6, Item 1a.</p> <p>These instructions apply to the records regardless of their format. Records may be maintained in any format on any medium.</p> <p>Disposition: Temporary. Cut off when account closed. Destroy 6 years and 3 months after cutoff.</p>	<p>Superseded job citation: N1-33-90-1, ES 3070-1; Items 2210-1; 2220; 2230; 2240; 2240-1; 2240-1-2; & 2270.</p> <p>GRS 6, Item 1a</p>	
6	<p><u>Electronic Mail and Word Processing Records.</u></p> <p>Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by this item. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revising, or disseminating</p> <p>a. Copies of records covered by above items that have no further administrative value after the recordkeeping copy is made Includes</p>		

Item No.	Description of Item and Proposed Disposition	GRS or Superseded Job Citation	Action Taken (NARA Use Only)
	<p>copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to procure the recordkeeping copy.</p> <p>Disposition: Temporary. Destroy/delete within 180 days after the recordkeeping copy has been produced.</p> <p>b. Copies for disseminating, revising, or updating that are maintained in addition to the recordkeeping copy.</p> <p>Disposition: Temporary. Destroy/ delete when disseminating, revising, or updating is completed.</p>		