

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		JOB NUMBER <b>N1-5AD-06-5</b>	
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD; COLLEGE PARK, MD 20740-6001		Date received <b>8/12/06</b>	
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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	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 <b>6/27/08</b>	ARCHIVIST OF THE UNITED STATES <i>Allen Weinstein</i>
<p>6 AGENCY CERTIFICATION</p> <p>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 11 pages 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,</p> <p><input checked="" type="checkbox"/> is not required      <input type="checkbox"/> is attached, or      <input type="checkbox"/> has been requested</p>			
DATE <b>8/9/2006</b>	SIGNATURE OF AGENCY REPRESENTATIVE <i>Crystal 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7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)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  <b>These records are media neutral unless otherwise noted.</b>		

7. Item No.	8. Description of Item and Proposed Disposition	9. GRS or Superseded Job Citation	10. Action Taken (NARA Use Only)
1	<p><u>Multistate Research Project Case Files</u></p> <p>Case files document the review and approval of multistate research projects. The Agricultural Research, Extension, and Education Reform Act of 1998 (AREERA) amended the Hatch and Smith-Lever Acts to require that institutions receiving agricultural research and extension formula funds under those two Acts must expend a certain amount of those funds on multistate activities</p> <p>Records include but are not limited to proposals; progress and final reports; and correspondence.</p> <p>NOTE: See separate disposition authority for case files for individual research projects. Also see separate disposition authority entitled "Formula-Fund Budgets, Reports, and Approval Letters" for multistate research fund financial reports.</p> <p>a Record Copies of Case Files.</p> <p>Disposition. Temporary Close case file when project is closed out Cut off closed files at the end of the fiscal year Transfer to Federal Records Center 3 years after cutoff Destroy 15 years after project is closed out</p> <p>b <del>Other Copies of Records:</del></p> <p><del>Disposition: Temporary Destroy/delete when no longer needed</del></p>	<p>N1-164-87-1, Item 1 or CSRS 3070-2, Item 1000-2-1-2</p> <p><i>Non-Record</i></p>	
2	<p><u>Panelist Conflict-of-Interest and Confidentiality Certification Forms.</u></p> <p>Records document panel members' certification that they have read and understood the agency's conflict-of-interest and confidentiality guidelines for participating in peer reviews of applications for competitive grant funding</p> <p>Records include but are not limited to signed forms.</p> <p>The disposition instructions apply to records regardless of physical form or characteristics Records may be maintained in any format on any medium</p> <p>Disposition. Temporary. Close file after the panel adjourns. Cut off all closed files at the end of the fiscal year. Destroy/delete 3 years after cutoff</p>		

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3	<p><u>Research Misconduct Investigation Records</u></p> <p>Records document investigations into alleged research misconduct by employees of the USDA; employees of non-federal entities receiving USDA funding through procurement contracts, grants, cooperative agreements, or any other funding instruments; individual consultants, or reviewers of applications who are not USDA employees and do not receive formal appointments. In most cases, the Agency refers allegations of misconduct to the awardees' institution, however, the Agency may choose not to defer to the institution and conduct the initial inquiry, the investigation, and/or the adjudication process itself. Final decisions may be appealed.</p> <p>Records include but are not limited to logs and case files containing reports and correspondence documenting the allegation, methods and procedures used to gather and evaluate information, outcome of the inquiry and/or investigation, and sanctions and corrective actions.</p> <p>a Finding of No Misconduct.</p> <p>Disposition: Temporary. Close case file after final or appealed decision or action. Cut off closed files at the end of the fiscal year. Destroy/delete 3 years after cutoff</p> <p>b Finding of Misconduct</p> <p>Disposition: Temporary. Close case file after all sanctions imposed are fulfilled. Cut off closed files at the end of the fiscal year. Destroy/delete 3 years after cutoff</p> <p>c Finding of Misconduct with Sanction of Permanent Debarment from Receiving Agency Funding</p> <p>Disposition: Temporary. Close case file after final or appealed decision or action. Cut off closed files at the end of the fiscal year. Destroy/delete 50 years after cutoff</p>		
4	<p><u>Portfolio Assessment Records.</u></p> <p><i>Records Description</i></p> <p>Records document the Agency's review of the effectiveness of its programs in accordance with the Government Performance and Results Act of 1993. The process begins with the Agency's internal assessment and description of its programs. Then, the Agency organizes its programs into portfolios of related work. Finally, the Agency convenes a panel of external subject matter experts who evaluate and score the portfolios based on a standardized set of criteria.</p>		

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	<p>Records include but are not limited to reports, presentations, score sheets, and correspondence</p> <p><i>Records Disposal Instructions</i></p> <p>a. Portfolio Assessment Records. Include but are not limited to Agency self-review documents, Agency presentations, panel reports of recommendations and comments, final panel score sheets, and internal reviews and self-score sheets</p> <p>Disposition: Temporary. Cut off at the end of the fiscal year. Destroy/delete when 15 years old.</p> <p>b. Substantive drafts and working files.</p> <p>Disposition: Temporary. Cut off at the end of the fiscal year Destroy/delete 1 year after final version produced</p> <p><i>Records Management Guidance</i></p> <p>Use 035 for records on the Agency's IT portfolio Use 038 for PART reports to OMB Use 042 for the record copies of summaries, histories, papers, and other records created to document the impacts, progress, and history of long-standing Agency programs, particularly of Extension programs These records may be used in assessing Agency program performance</p>		
5	<p><u>Performance Assessment Rating Tool (PART) Records.</u></p> <p><i>Records Description</i></p> <p>Records document the Agency's review and assessment of its programs in response to Office of Management and Budget (OMB) directives to Federal agencies OMB directs agencies to review their programs using the Program Assessment Rating Tool (PART). The PART standardizes the performance reporting on government programs that is required by the Government Performance and Results Act of 1993</p> <p>Records include but are not limited to reports and performance measures.</p> <p><i>Records Disposal Instructions</i></p> <p>a. PART Records Include but are not limited to PART reports, feedback, annual update reports, quarterly reports and correspondence</p>		

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	<p>Disposition: Temporary Cut off at the end of the fiscal year. Destroy/delete when 10 years old.</p> <p>b Performance Measures</p> <p>Disposition Temporary. Cut off at the end of the fiscal year. Destroy/delete 5 years after performance measure is obsolete.</p> <p>c. Substantive drafts and working files.</p> <p>Disposition. Temporary. Cut off at the end of the fiscal year. Destroy/delete 1 year after final version produced.</p> <p><i>Records Management Guidance</i></p> <p>Use 037 for portfolio assessment records.</p>		
6	<p><u>Calendar and Scheduling Records</u></p> <p>Records document the dates and times of meetings; trips; and other activities by Agency employees serving in an official capacity.</p> <p>Records include but are not limited to calendars, including calendars maintained within e-mail software, appointment books; schedules, logs, and diaries</p> <p>NOTE. This item excludes materials determined to be personal papers.</p> <p>a. Calendar and scheduling records for the Agency Administrator</p> <p>Disposition: PERMANENT. Cut off at the end of each fiscal year Transfer paper AND electronic calendars to the National Archives 3 years after cutoff Transfer electronic calendars in accordance with National Archives' guidance for transferring electronic records</p> <p><del>b Calendar and scheduling records for all other Agency employees and contractors.</del></p> <p><del>Disposition: Temporary Cut off at the end of each fiscal year. Destroy/delete when 2 years old.</del></p>	<p><i>Covered by</i></p> <p>GRS 23, Item 5</p>	
7	<p><u>Plan of Work, Annual Report of Accomplishments and Results, and Annual Update Report</u></p> <p>The Plan of Work report is a requirement of the Agricultural Research, Extension, and Education Reform Act of 1998 (AREERA) The report documents the states' projected intentions for using the formula funds that the</p>		

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	<p>state will receive through the Hatch Act, the Evans-Allen Act, the Smith-Lever (3b&amp;c) Act, and the National Agricultural Research, Extension, and Teaching Policy Act (NARETPA) Each state submits a Plan of Work report to the Agency during first year of a multi-year reporting period. States may also (but are not required to) annually submit an Update Report updating the information in the Plan of Work</p> <p>Annually, each state is required to submit to the Agency a report of Accomplishments and Results, which describes whether the state used the formula funding in the way they had projected</p> <p>Records include but are not limited to reports and correspondence</p> <p>NOTE: This disposition authority applies to reports submitted to the Agency prior to the implementation of the Plan of Work system Reports submitted through the Plan of Work system should be managed according to "Plan of Work (POW) System."</p> <p>a Final Plan of Work; Annual Report of Accomplishments and Results, Annual Update Report, signed reviewer checklist, and signed reviewer recommendation (submitted during 1999-2007 for the 2000-2006 Plan of Work cycle).</p> <p>Dates of Plan of Work records in the National Archives. 1968-1975, 1979-1983</p> <p>Disposition. PERMANENT Cut off files at the end of the 2000-2006 cycle Scan paper records to PDF format. Convert electronic records to PDF format Transfer PDF records to the National Archives in accordance with National Archives' guidance for transferring PDF records 5 years after the end of the 2000-2006 cycle.</p> <p>Volume. Electronic files equivalent to 7 c f Annual Accumulation: Electronic files equivalent to 1 cubic foot.</p> <p>b Approval Documents. Includes letter and summary of recommendations returned to institution Directors regarding their Plan of Work</p> <p>Disposition: Temporary. Cut off files at the end of the 2000-2006 cycle. Destroy 10 years after the end of the 2000-2006 cycle.</p> <p>c. Reviewer's Working Files</p> <p>Disposition Temporary Destroy when document being reviewed is finalized</p>	<p>N1-33-90-1 (ES 3070-1), Item 1000-3-1</p>	

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5	<p><u>Plan of Work (POW) System</u></p> <p>The Plan of Work report is a requirement of the Agricultural Research, Extension, and Education Reform Act of 1998 (AREERA) The Plan of Work report is submitted annually to the Agency by each state The report documents the states' projected intentions for using the formula funds that the state will receive through the Hatch Act, the Evans-Allen Act, the Smith-Lever (3b&amp;c) Act, and the National Agricultural Research, Extension, and Teaching Policy Act (NARETPA) Annually, each state also submits to the Agency a report of Accomplishments and Results, which describes whether the state used the formula funding in the way they had projected.</p> <p>NOTE. Prior to 2006, states submitted these reports to the Agency in narrative form in paper format and/or via e-mail. Starting in 2006, the states submitted the reports in data form through the web-based Plan of Work system. This disposition authority applies to reports submitted in 2006 and beyond. Reports created prior to 2006 should be managed according to "Plan of Work, Annual Report of Accomplishments and Results, and Annual Update Report."</p> <p>a. <u>System Input</u>. Includes data submitted by state institutions through web-based application</p> <p>Disposition. Temporary. Destroy/delete when data are superseded.</p> <p>b. <u>System Content</u> Includes Plan of Work and Annual Accomplishments and Results Data</p> <p>Disposition. Temporary. Destroy/delete when 3 years old.</p> <p>c. <u>System Output</u></p> <p>1. Final Plan of Work and Annual Report of Accomplishments and Results, 2006 - onward.</p> <p>Electronic snapshots of the data in the Plan of Work system are captured annually to produce the Plan of Work and Accomplishments and Results reports</p> <p>Disposition. PERMANENT Transfer PDFs to the National Archives annually in accordance with National Archives' guidance for transferring PDF records</p> <p>2 Working Copies of Plans of Work and Annual Reports of Accomplishments and Results</p>	<p>N1-33-90-1 (ES 3070-1), Item 1000-3-1</p>	

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	<p>Disposition: Temporary. Destroy/delete when no longer needed</p> <p>3 Approval Documents.</p> <p>Includes printouts from system containing reviewer's commentary and signature and letters to institution director's regarding their Plan of Work.</p> <p>Disposition: Temporary. Cut off at the end of the fiscal year. Destroy/delete 10 years after cutoff</p> <p>d. <u>System Documentation.</u></p> <p>1 Development Documentation Includes test plans, system requirements and specifications, quality assurance procedures, quality guidelines, configuration management plans, detailed design documents, use cases, and other related materials</p> <p><del>(a) Working copies and drafts.</del></p> <p><del>Disposition: Temporary. Delete/destroy when final produced.</del></p> <p><del>(b) Final copies.</del></p> <p><del>Disposition: Temporary. Delete/destroy 1 year after system is superseded or obsolete.</del></p> <p>2 System Monitoring and Maintenance Documentation. Includes records created to test system performance and monitor system usage. These include, but are not limited to, log-in files, audit logs, error logs, and alert logs, and system usage files, and related documentation.</p> <p>Disposition: Temporary Delete/destroy earliest log entry when log is full</p> <p>3. User Manuals, Handbooks, and Other Related Documentation</p> <p>(a) Working copies and drafts</p> <p>Disposition: Temporary Delete/destroy when final produced.</p> <p>(b) Final copies</p> <p>Disposition: Temporary Delete/destroy when superseded or obsolete</p>	<p>Covered by GRS 20 Item 11</p> <p>Covered by GRS 20 Item 11</p>	



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9	<p><u>4-H Youth Enrollment Reports</u></p> <p>Reports document youth enrollment in 4-H clubs and activities at the state (including American Samoa, District of Columbia, Guam, Micronesia, Northern Mariana Islands, Puerto Rico, and Virgin Islands), regional, and national levels.</p> <p>Records include but are not limited to the following the “Annual 4-H Youth Development Enrollment Report,” fact sheets, market share reports, various statistical reports on the 4-H program, and other related documents.</p> <p>The disposition instructions apply to records regardless of physical form or characteristics. Records may be maintained in any format on any medium</p> <p>NOTE: Electronic 4-H Enrollment data housed in the Research, Education, and Economics Information System (REEIS) are scheduled under a separate disposition authority for REEIS.</p> <p>a. Record Copies of 4-H Enrollment Reports.</p> <p>Dates of 4-H Enrollment Reports in National Archives 1910-1986.</p> <p>Disposition</p> <p>1 <u>Electronic</u>: PERMANENT Cut off reports at the end of the fiscal year Transfer PDF reports to National Archives in accordance with National Archives’ guidance for transferring PDF records</p> <p>Dates of electronic reports not yet transferred to the National Archives: 2003, 2005-onward</p> <p>2 <u>Paper</u>. PERMANENT. Transfer paper reports upon approval of schedule.</p> <p>Volume. 1 c f Annual Accumulation: 1 report Dates of paper reports not yet transferred to the National Archives. 1987-2002</p> <p>b Substantive drafts and working files</p> <p>Disposition. Temporary. Destroy 1 year after final report produced.</p>	N1-33-90-1 (ES 3070-1), Item 1000-2-1c	

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10	<p><u>Program Management Records</u></p> <p>Records document the ongoing management of Agency mission-related (i.e. research, education, and extension) programs and routine projects within programs. Records also include administrative programs.</p> <p>Records include but are not limited to correspondence; memoranda; project management documents; routine planning documents; staff meeting documents, such as agendas, background papers, attendance lists, and meeting minutes or summaries, routine office procedures; and reports covering general policy and program matters, research, oversight reviews, interagency activities, and other similar topics</p> <p>The disposition instructions apply to records regardless of physical form or characteristics. Records may be maintained in any format on any medium</p> <p>a Program management records held by senior officials including the Administrator; Associate and Assistant Administrators, Deputy Administrators; Directors; and Advisors.</p> <p>Disposition. Temporary Close file at the end of the activity, project, or topic. Cut off closed files at the end of the fiscal year. Destroy/delete 10 years after cutoff.</p> <p>b Program management records held by employees other than the senior officials identified above.</p> <p>Disposition. Temporary Close file at the end of the activity, project, or topic. Cut off closed files at the end of the fiscal year. Destroy/delete 5 years after cutoff.</p> <p><i>Records Management Guidance</i></p> <p>Specific types of reports covered by this authority include:</p> <ul style="list-style-type: none"> <li>• Trip reports</li> <li>• NPL liaison reports</li> <li>• General reports produced by IPAs or shared faculty (unless the reports address a function covered by another disposition authority, such as budgeting)</li> </ul>		
11	<p><u>Program Development Records</u></p> <p>Records document the development of new agricultural research, education and extension policies and programs, major shifts in the focus of existing policies and programs; and new initiatives. In general, records describe program priorities and objectives and program evaluation and planning efforts.</p>		

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	<p>Records include but are not limited to correspondence and memoranda, issue papers and reports covering policy, strategy, program control, and legislative priorities, published and unpublished directives and policy guidance documents; and related records documenting the development of agricultural research, education, and extension programs, program priorities and objectives, program evaluation and planning.</p> <p>Program Development records are generally held by senior officials including the Administrator, Associate and Assistant Administrators, Deputy Administrators, Directors; and Advisors</p> <p>a. Records in paper format</p> <p>Disposition: PERMANENT. Close files at the end of the activity, project, or topic. Cut off closed files at the end of the fiscal year. Transfer files to Federal Records Center 5 years after cutoff. Transfer files to the National Archives 10 years after cutoff</p> <p>b. Records in electronic format.</p> <p>Disposition: PERMANENT. Close files at the end of the activity, project, or topic. Cut off closed files at the end of the fiscal year. Convert electronic records to PDF or other electronic format accepted by the National Archives. Transfer files to National Archives annually after cutoff. Delete agency copies of files when no longer needed for reference</p> <p><i>Records Management Guidance</i></p> <p>Use this disposition authority for summaries, histories, papers, and other records created to document the impacts, progress, and history of long-standing Agency programs, particularly Extension programs.</p> <p>Use 015 for grant, special grant, or cooperative agreement case files. Use 041, Program Management Files for records that document the ongoing management of a program or project. Use 068 for published and unpublished policies and procedures</p>		
12	<p><u>Internal Agency Committees</u></p> <p><i>Records Description</i></p> <p>Records document the organization, discussions, and decisions of internal Agency committees, including committees focused on issues directly related to</p>		

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	<p>the Agency mission and committees focused on issues <u>not related</u> to the Agency mission</p> <p>Examples of committees responsible for making science or program policy decisions related to the Agency mission include committees tasked with reviewing/making policy or studying reorganizations, such as the PACE (Program Administrative Cooperation Effort) Committee</p> <p>Examples of committees making administrative policy decisions related to the Agency mission include committees tasked with recommending new actions, or developing multi-year plans.</p> <p>CIO-sponsored or -led committees are those for which the Agency Chief Information Officer (CIO) has designated sponsorship, leadership, or recordkeeping responsibilities</p> <p>Examples of committees not related to the Agency mission include committees tasked with organizing events, overseeing volunteer activities; or employee recreational activities</p> <p>Records include but are not limited to committee charters, committee operating policies, membership rosters, other organizational documents, agendas; meeting minutes, summaries or transcripts; committee reports; background papers, administrative committee records; and other related documents</p> <p>The disposition instructions apply to records regardless of physical form or characteristics. Records may be maintained in any format on any medium.</p> <p><i>Records Disposal Instructions</i></p> <p>a. Committee Organization Records Includes committee charters, operating policies; membership rosters; and other documents related to committee organization</p> <p>(1) Organization records of committees responsible for making science or program policy decisions related to the Agency mission</p> <p>(a) Records in paper format</p> <p>Disposition: PERMANENT Close files when committee is terminated. Cut off the end of the fiscal year Transfer files to Federal Records Center 5 years after cutoff. Transfer files to the National Archives 10 years after cutoff</p>		

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	<p>(b) Records in electronic format</p> <p>Disposition PERMANENT. Close files at the end of the fiscal year. Cut off at the end of the fiscal year. Transfer files to the National Archives annually after cutoff. Delete agency copies when no longer needed for reference</p> <p>(2) Organization records for all other committees including those responsible for making administrative policy decisions or decisions solely focused on information technology.</p> <p>Disposition. Temporary. Cut off when committee is terminated. Destroy/delete 2 years after committee is terminated</p> <p>b. Committee Meeting Minutes, Reports, and Other Records Includes agendas; meeting minutes; summaries or transcripts, committee reports; background papers, administrative committee documents, and other related documents.</p> <p>(1) <del>Records of committees responsible for making science or program policy decisions related to the Agency mission.</del></p> <p>(a) <del>Records in paper format</del></p> <p><del>Disposition PERMANENT. Close files when committee is terminated. Cut off the end of the fiscal year. Transfer files to Federal Records Center 5 years after cutoff. Transfer files to the National Archives 10 years after cutoff.</del></p> <p>(b) <del>Records in electronic format</del></p> <p><del>Disposition PERMANENT. Close files at the end of the fiscal year. Cut off at the end of the fiscal year. Transfer files to the National Archives annually after cutoff. Delete agencies copies when no longer needed for reference.</del></p> <p>(2) <del>Records of committees responsible for making administrative policy decisions related to the Agency mission.</del></p> <p><del>Disposition: Temporary. Cut off at the end of the fiscal year. Destroy/delete 10 years after cutoff.</del></p> <p>(3) <del>Records of CIO sponsored or CIO led committees.</del></p>	<p><i>Covered by GRS 26 Item 2</i></p> <p><i>Covered by GRS 26 Item 2</i></p> <p><i>Covered by GRS 26 Item 2</i></p>	

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	<p><del>Disposition: Temporary. Cut off at the end of the fiscal year. Destroy/delete 10 after cutoff.</del></p> <p>(4) <del>Records of committees responsible for making decisions not related to the Agency mission.</del></p> <p><del>Disposition: Temporary. Cut off at the end of the fiscal year. Destroy/delete 5 years after cutoff.</del></p> <p><i>Records Management Guidance</i></p> <p>Use 044 for records of external and interagency committees. Use 054 for staff meeting records.</p>	<p><i>Covered by GRS 27 Item 5</i></p> <p>GRS 27, Item 5</p> <p>GRS 26, Item 1a</p>	<p><i>Covered by GRS</i></p>