

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER NI-540-07-3	
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD; COLLEGE PARK, MD 20740-6001		Date received 5/23/2007	
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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	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 5/23/07	ARCHIVIST OF THE UNITED STATES <i>[Signature]</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>11</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 June 1, 2007	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7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)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		
<i>SA 10/30/07 copies sent to Agency, Nurmawati, NR</i>			

Item No.	Description of Item and Proposed Disposition	GRS or Superseded Job Citation	Action Taken (NARA Use Only)
1	<p><u>Audit, Investigation, and Review Records</u></p> <p>Records document the inspection process and outcome of audits, investigations, and reviews of the Agency’s programs, operations, or procedures or those of its grantees or contractors. The audits, investigations, and reviews may be administratively or financially focused and may be performed either by the Agency; USDA, Office of the Inspector General (OIG); the Government Accountability Office (GAO); or other entities.</p> <p>This authority covers records produced by three major types of audits, investigations, and reviews including:</p> <ul style="list-style-type: none"> • Audits, investigations, or reviews of Agency programs, operations, and procedures performed by USDA, OIG; GAO, or other entities. • Agency-performed audits, investigations, or reviews of the Agency’s grantees. • Complaints received by the Agency and through the USDA, OIG hotline. <p>Records include but are not limited to final reports, work papers (including computer printouts), notes, drafts and working files, correspondence, and other related documents.</p> <p>The Office of Extramural Programs (OEP), Oversight section is responsible for maintaining the record copy files for Agency-performed audits, investigations, or reviews of Agency grantees and hotline complaint case files.</p> <p>The Office of Extramural Programs, Awards Management Branch also maintains record copy site review files.</p> <p>Audits, investigations, or reviews of Agency operations or procedures by external entities such as USDA, OIG and GAO are maintained by the OEP, Oversight staff. Note that USDA, OIG and GAO maintain the record copies of their audits.</p> <p>Agency staff in other units who participated in audits, investigations, or reviews must forward record copy documents to the appropriate OEP branch or office for inclusion in the agency’s official case file.</p> <p>For the purposes of implementing the records disposal instructions, “case closure” occurs when all issues identified during an audit, investigation, or review are resolved to the satisfaction of the auditor and the auditee. If no issues are identified, “case closure” occurs when the audit work papers are completed.</p>		

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	<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. Agency-performed audits, investigations, or reviews of Agency grantees. Includes but is not limited to final reports, institution's response to final report, work papers that support findings in final report, and other correspondence</p> <p>Disposition. Temporary Close file when case is closed. Cut off all closed files at the end of the fiscal year. Transfer to Federal Records Center 1 year after cutoff. Destroy/delete 8 years after cutoff.</p> <p>b. Case files for audits, investigations, or reviews of Agency programs, operations, or procedures that are performed by USDA, OIG; GAO; or other entities.</p> <p>Disposition: Temporary. Close file when case is closed. Cut off all closed files at the end of the fiscal year. Transfer to Federal Records Center 1 year after cutoff. Destroy/delete 8 years after cutoff.</p> <p>c. Case files for hotline complaints.</p> <p>Disposition: Temporary. Close file when case is closed. Cut off all closed files at the end of the fiscal year. Transfer to Federal Records Center 1 year after cutoff. Destroy/delete 8 years after cutoff.</p> <p>d. Drafts of reports and working files [excluding audit, investigation, or review work papers that support findings in final reports. These are covered in Item 1a.]</p> <p>Disposition: Temporary. Destroy/delete when no longer needed.</p> <p><i>Additional Records Management Guidance</i></p> <p>Use 008 for research misconduct investigation records. Use 015 for Program-staff-performed reviews and inspections of individual grant projects. Use 039 for institutional reviews, also known as program or departmental reviews. Use 060 for A-133 audit records. Use 062 for A-123 compliance assessment records.</p>	<p>N1-33-90-1 (ES 3070-1), Items 1710; 1720; and 1720-1.</p> <p>CSRS 3070-2, Items 1710 and 1720.</p>	

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2	<p><u>A-133 Audit Records.</u></p> <p>Records document the Agency’s oversight of the single audits performed by Agency funding recipients. Non-federal entities that expend more than a certain threshold amount of Federal funding in a fiscal year are required by the Single Audit Act and OMB Circular A-133 to audit those funds and submit the audit report and other documentation to a Federal Audit Clearinghouse. The Agency issues a management decision (called a closeout report), which is a written evaluation of the audit finding(s) that may or may not require the funding recipient to take corrective action based on the audit finding(s). The management decision and subsequent correspondence between the Agency and audited funding recipient are not contained within the Federal Audit Clearinghouse.</p> <p>Records include but are not limited to copies of audit reports and other documentation submitted to the Federal Audit Clearinghouse by Agency funding recipients, management decisions and/or closeout reports, and related correspondence.</p> <p>The Office of Extramural Programs, Oversight section is responsible for maintaining the record copy files of A-133 audits.</p> <p>For the purposes of implementing the records disposal instructions, “case closure” occurs when all issues identified during an audit, investigation, or review are resolved to the satisfaction of the auditor and the auditee. If no issues are identified, “case closure” occurs when the audit work papers are completed.</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>Disposition: Temporary. Close file when case is closed. Cut off all closed files at the end of the fiscal year. Transfer to Federal Records Center 1 year after cutoff. Destroy/delete 8 years after cutoff.</p> <p><i>Additional Records Management Guidance</i></p> <p>Use 059 for audits, investigations, or reviews of grantees that are performed by the Agency. Also, use 059 for audits, investigations, or reviews of Agency programs, operations, or procedures that are performed by USDA, OIG or GAO.</p>		

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3	<p><u>Indirect Cost Rate Agreement Negotiation Records.</u></p> <p>Records document the negotiations between the Agency and certain funding recipients to agree upon the recipient's indirect cost rate. The majority of grantees already have cost rates set by their cognizant agency, which is the Federal agency responsible for overseeing and reporting on the grantee's audit of its Federal funds received. This Agency negotiates rates for the grantees for which it is the cognizant agency and that do not already have indirect cost rate agreements</p> <p>Records include but are not limited to: the institution's proposal for an indirect cost rate (or rates if the proposal is for multiple years), the rate agreement which the Agency and the funding recipient organization sign, correspondence, and related documentation.</p> <p>The Office of Extramural Programs, Oversight section is responsible for maintaining the record copy files of Indirect Cost Rate Agreement Negotiation records.</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>Disposition: Temporary. Close file after agreement is finalized. Cut off files after the last year covered by an indirect cost rate agreement. Transfer to Federal Records Center 1 year after cutoff. Destroy/delete 15 years after cutoff.</p>		
4	<p><u>A-123 Records.</u></p> <p><i>Records Description</i></p> <p>Records document Agency adherence with procedures mandated by OMB Circular A-123 for management accountability and control systems and the Federal Managers Financial Integrity Act (FMFIA).</p> <p>Records include but are not limited to Improper Payments Information Act (IPIA) risk assessments; Financial Managers Financial Integrity Act (FMFIA) risk assessments; and any reports, analyses, management control plans, or internal control reviews performed in accordance with the requirements of A-123.</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>		

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	<p>a. Policy, procedures and guidance files. Includes copies of internal directives, external directives such as OMB Circular A-123, and correspondence outlining policy and procedure for performing management reviews.</p> <p>Disposition: Temporary. Destroy/delete when superseded.</p> <p>b. Management control plans. Includes comprehensive plans documenting the Agency's efforts to ensure compliance with OMB Circular A-123.</p> <p>Disposition: Temporary. Destroy/delete when superseded.</p> <p>c. Risk analyses. Includes reports and supporting materials used to document review of program areas for susceptibility to loss of unauthorized use of resources, errors in reports and information, and illegal and unethical actions.</p> <p>Disposition: Temporary. Destroy/delete after next review cycle.</p> <p>d. Annual reports and assurance statements forwarded to USDA for compilation into a single unified report for submission to OMB or Congress</p> <p>Disposition: Temporary. Cut off closed files annually at the end of the fiscal year. Destroy/delete after next reporting cycle.</p> <p>e. Internal control reviews. Includes correspondence, reports, copies of audit findings, and other records that identify program internal control weaknesses, and corrective actions taken to resolve such problems. Since A-123 provides for alternative internal control reviews under OMB Circulars A-76, A-127, or A-130, this item also applies to copies of these reviews, provided they are identified as alternative reviews in the management control plan</p> <p>(1) Office with responsibility for coordinating internal control functions.</p> <p>Disposition: Temporary. Cut off when no further corrective action is necessary. Destroy/delete 5 years after cutoff.</p> <p>(2) Other offices.</p> <p>Disposition: Temporary. Cut off when no further corrective action is necessary. Destroy/delete 1 year after cutoff.</p>	<p>GRS 16, Item 14a</p> <p>GRS 16, Item 14b</p> <p>GRS 16, Item 14c</p> <p>GRS 16, Item 14d</p> <p>GRS 16, Item 14f(1)</p> <p>GRS 16, Item 14f(2)</p>	

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5	<p><u>Rulemaking Records.</u></p> <p>Records document the development and/or revision of Agency rules that establish regulations, policy, and/or procedure. Most Agency rules consist of administrative provisions for the Agency's grant programs and are available to the public for review and comment.</p> <p>Records include but are not limited to advance notices of proposed rulemaking, proposed rules, final rules, and notices of availability; background documents, such as whitepapers and other internal or external documents that provide necessary background to the subject of the docket/file; correspondence or meeting summaries, such as records of communications with outside parties containing relevant information, lists of participants and summary minutes of meetings with external groups, and summaries of telephone conversations containing relevant information; public comments submitted to the Agency and the Agency's responses; supporting materials for administrative requirements (for example, documents relating to the Regulatory Flexibility Act, Executive Order 12866, and other relevant statutes, orders, and policies); and other related documents deemed appropriate for inclusion in the docket/file</p> <p>The Office of Extramural Programs (OEP) is responsible for maintaining the record copy files of rulemaking records. Other Program units with copies of rulemaking records, such as stakeholder input or related correspondence, should ensure that it is contained with OEP's file, if deemed necessary for a complete record. Otherwise, Program units may dispose of their copies and related documentation as nonrecords.</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>Disposition: Temporary. Close file when final rule is published or docket/file is closed. Cut off all closed files at the end of the fiscal year. Transfer to Federal Records Center 1 year after cutoff. Destroy/delete 20 years after cutoff.</p> <p><i>Additional Records Management Guidance</i></p> <p>Use 032 for information collection case files. Use 058 for logs and tracking files relating to approval and posting of documents published in the Federal Register.</p>	N1-33-90-1 (ES 3070-1), Item 3010-2	

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6	<p><u>Memoranda of Understanding.</u></p> <p>Records consist of memoranda of understanding with partnership institutions, other USDA or Federal agencies, state and local agencies, and other public and private institutions to accomplish mutual goals related to the Agency mission.</p> <p>Records include but are not limited to draft memoranda of understanding, final memoranda of understanding, OGC and internal review comments, and related correspondence.</p> <p>The Office of Extramural Programs (OEP) is responsible for the record copies of the final signed MOUs and any associated working files. Other Program units with copies of MOUs or related documentation and correspondence should ensure that it is contained with OEP's file, if deemed necessary for a complete record. Otherwise, Program units may dispose of their copies and related documentation as nonrecords.</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. Final signed MOU.</p> <p>Disposition: Temporary. Cut off when agreement expires or is terminated. Destroy/delete 5 years after cutoff.</p> <p>b. Working files.</p> <p>Disposition: Temporary. Destroy/delete when agreement expires or is terminated.</p> <p><i>Records Management Guidance</i></p> <p>Use 073 for other interagency agreements including cooperative support agreements and reimbursable agreements.</p>	<p>N1-33-90-1 (ES 3070-1), Item 1314a</p> <p>CSRS 3070-2, Item 1314a</p> <p>N1-33-90-1 (ES 3070-1), Item 1314b</p> <p>CSRS 3070-2, Item 1314b</p>	
7	<p><u>Terms and Conditions & Requests for Applications (RFA).</u></p> <p>Records document the development and revision of Agency terms and conditions, which are Agency requirements for grantees in carrying out their awards. Records also document the development of the requests for applications (RFA), which publicize availability of program funding and</p>		

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	<p>communicate application requirements to the public. Terms and Conditions and RFAs are posted to the Agency web site. Additionally, RFAs are posted to grants.gov.</p> <p>Records may include but are not limited to drafts and comments, copies of OGC reviews and opinions, clearance documents, final versions, and correspondence</p> <p>The Office of Extramural Programs (OEP) is responsible for the record copies of Terms and Conditions and RFAs and any working files associated with those records. Other Program units with copies of these documents, drafts, or related records should ensure that it is contained with OEP's file, if deemed necessary for a complete record. Otherwise, Program units may dispose of their copies and related documentation as nonrecords.</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. Terms and Conditions. Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • Final versions of Terms and Conditions • Substantive drafts of Terms and Conditions • Correspondence supporting changes made to Terms and Conditions. <p>Disposition: Temporary. Cut off file when superseded by a new version or when Terms and Conditions document is revised or becomes obsolete. Transfer to Federal Records Center 1 year after cutoff. Destroy/delete 20 years after cutoff.</p> <p>b. Requests for Applications (RFAs).</p> <p>(1) Final RFA file. Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • Final administrator-signed RFA, including the routing slip. • All versions of the RFA that are posted publicly, including those changed after the administrator signs off on the RFA. • Documentation supporting changes made to RFA after the administrator signs off. • Any forms associated with the RFA. <p>Disposition: Temporary. Cut off file when RFA is finalized. Destroy/delete 20 years after cutoff.</p>		

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	<p>(2) Working files.</p> <p>Disposition: Temporary. Cut off file when RFA is finalized. Destroy/delete 5 years after cutoff.</p>		
8	<p><u>OGC Opinions.</u></p> <p><i>Records Description</i></p> <p>Records document USDA, Office of General Counsel (OGC) opinions on Agency issues. USDA, OGC maintains the record copies of these opinions. Copies maintained by the Agency are working copies only.</p> <p>Records may include but are not limited to opinions and correspondence.</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>Disposition: Temporary. Destroy/delete when no longer needed.</p>		
9	<p><u>Rule Comments.</u></p> <p><i>Records Description</i></p> <p>Records document Agency comments on rules proposed by other Federal Agencies, mainly those of the Environmental Protection Agency (EPA). Under 7 U.S.C. 136w(a), the Agency is required to comment on rules proposed by the EPA regarding pesticides.</p> <p>Records may include but are not limited to proposed rules and comments.</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>Disposition: Temporary. Cut off at the end of the fiscal year. Destroy/delete 3 years after cutoff.</p>		
10	<p><u>Policies and Procedures.</u></p> <p>Records consist of the Agency's operating policies and procedures, which clarify, supplement, and/or interpret Federal laws and regulations. Records include memos signed by the Agency Administrator that communicate Agency policy and procedure, policies and procedures that are part of a</p>		

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	<p>policy and procedure transmittal system, and other related policies and procedures. Policies and procedures covered under this authority are established without seeking formal comments from the partnership or the public prior to the release of the policy or procedure.</p> <p>Records may include but are not limited to drafts, comments, final versions, and related correspondence.</p> <p>The unit, section, or office responsible for promulgating a policy or procedure is responsible for the record copy file for that particular policy or procedure.</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. External-facing policy and procedure. Includes record copy of directives and policy guidance documents that are published and/or released to the public and related background materials that are necessary to fully document the development of the guidance.</p> <p>Disposition: Temporary. Cut off when policy or procedure is superseded or cancelled. Transfer to Federal Records Center 1 year after cutoff. Destroy/delete 20 years after cutoff.</p> <p>b. Internal-facing policy and procedure. Includes record copy of directives and policy guidance documents that are not released to the public. Records may also include, but are not limited to:</p> <ul style="list-style-type: none"> • Schedule of Awards • ISTM policies and procedures • CP best management practices • AMB procedures. • OEP Grants Policy and Procedure Transmittals (GPPT) <p>Disposition. Temporary. Cut off when policy or procedure is superseded or cancelled Destroy/delete 5 years after cutoff.</p> <p>c. Not finalized. Includes records relating to policies and procedures that were never finalized.</p> <p>Disposition: Temporary. Destroy/delete 3 years after development abandoned.</p>	<p>N1-33-90-1 (ES 3070-1), Item 1110</p> <p>CSRS 3070-2, Item 1110</p> <p>N1-33-90-1 (ES 3070-1), Item 1110</p> <p>CSRS 3070-2, Item 1110</p>	

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11	<p><u>Reports to USDA, Congress, or OMB.</u></p> <p>Records include routine reports sent to USDA, Congress, OMB, or another oversight entity, which are not covered by another disposition authority. Reports contain information used by the receiving entity to perform oversight duties and track the status of Agency projects or activities. Reports may be sent to various USDA offices for compilation into a departmental report for submission to Congress and/or OMB. Some reports may be submitted directly to databases operated by oversight entities.</p> <p>Records include but are not limited to the unified agenda report and unfunded mandates reports as well as information technology-related reports and/or reports sent to other oversight entities.</p> <p>The unit, section, or office responsible for producing reports covered under this authority is responsible for the record copies of the report.</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>Disposition: Temporary Cut off reports at the end of the fiscal or calendar year, whichever is applicable. Destroy/delete 2 years after cutoff.</p>		