

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		JOB NUMBER <i>NI-572-12-3</i>	
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received <i>4/16/12</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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	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 Housing Service			
3. MINOR SUBDIVISION Operations and Management			
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>25 April 2014</i>	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>5</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 checked="" type="checkbox"/> has been requested.			
DATE 02-11-14	SIGNATURE OF AGENCY REPRESENTATIVE <i>Andrea R. Jenkins</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 GRS OR SUPERSEDED JOB CITATION	10.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 572  Rural Utilities – Policy Analysis and Risk Management (PARM)  See attached		

Item Number	Dept File Codes	Subject Code	File Heading/Description	Applicability and Location				RD Disposition Authority	GRS Authority
				Office	Central File	FRC	NARA		

**Rural Utilities Service – POLICY ANALYSIS AND RISK MANAGEMENT (PARM) (Office of the Administrator)**  
**Unless otherwise noted, all items in this schedule are media neutral**

1	RUPT-1	1700.33	PARM (Debt Workout)						
			<p><b>A. Loan application materials</b> support documents including but not limited to construction work plans, load forecasts and risk management studies and analysis in support of new loan application as part of workout/restructuring debt.</p> <p>(1) If borrower remains in RUS program:  <b>Disposition</b> - temporary</p> <p>Retain files in PARM.</p> <p>Cut-off is 6 months after restructuring is completed or when no longer needed for reference, whichever is later. Transfer to Program Office</p> <p>(2) If borrower leaves RUS program:  <b>Disposition</b> – temporary</p> <p>Retain files in PARM for 6 months.</p> <p>Cut-off is 6 months after borrower leaves the RUS program or when no longer needed for reference, whichever is later.</p> <p>Transfer files to Central File immediately after cut-off.</p> <p>DESTROY/DELETE 5 CYs after cut-off.</p>	6 mos.	5			New	

Item Number	Dept File Codes	Subject Code	File Heading/Description	Applicability and Location				RD Disposition Authority	GRS Authority
				Office	Central File	FRC	NARA		
			<p><b>B. Special studies of borrower's operations, equipment, materials or procedures.</b> This also includes any independent consultant analysis, valuation studies of borrowers' system assets and competitive bids and supporting materials in support of application for debt restructuring.</p> <p>(1) If borrower remains in RUS Program: <b>Disposition</b> - temporary</p> <p>Cut-off is at the end of when the project or study is completed. Turn all files over to the operating program.</p> <p>(2) Borrower leaves RUS program: <b>Disposition:</b> Temporary</p> <p>Retain files in PARM.</p> <p>Cut-off is 6 months after borrower leaves the RUS program or when no longer needed for reference, whichever is later.</p> <p>Transfer files to Central File immediately after cutoff.</p> <p>DESTROY/DELETE 5 CYs after cut-off.</p>	6 Mos.	5			New	

Item Number	Dept File Codes	Subject Code	File Heading/Description	Applicability and Location				RD Disposition Authority	GRS Authority
				Office	Central File	FRC	NARA		
			<p><b>C. Monthly, quarterly, and annual reports</b> as required by RUS, including financial statements/forecasts, power supply contracts, development agreements RFPs and requests for RUS approvals. Also, reports and documents required by FSS such as PUC filings, borrower Board minutes, management reports, monthly and quarterly financial reports from borrower to monitor borrower during the workout.</p> <p>(1) If borrower remains in RUS Program: <b>Disposition</b> - temporary</p> <p>Cut-off is at the end of when the project or study is completed. Turn all files over to the operating program.</p> <p>(2) Borrower leaves RUS program: <b>Disposition:</b> temporary</p> <p>Retain files in PARM.</p> <p>Cut-off is 6 months after borrower leaves the RUS program or when no longer needed for reference, whichever is later.</p> <p>Transfer files to Central File immediately after cut-off.</p> <p>DESTROY/DELETE 5 CYs after cut-off.</p>	6 Mos.	5			New	

Item Number	Dept. File Codes	Subject Code	File Heading/Description	Applicability and Location				RD Disposition Authority	GRS Authority
				Office	Central File	FRC	NARA		
			<p><b>D. Final documentation of debt restructuring or buyout agreements.</b> Legal documentation including Proof of Claim, Bankruptcy Court approved plan of reorganization, Order Confirming Plan, and approvals from the state PUC, and documentation with DOJ as required per 7 CFR 1717Y for purposes of having a Record of Decision, Administrative Record and Statement of Policy for eventual return of borrower to Program area.</p> <p>(1) If borrower remains in RUS Program: <b>Disposition</b> - temporary</p> <p>Cut-off is at the end of when the project or study is completed. Turn all files over to the operating program.</p> <p>(2) Borrower leaves RUS program: <b>Disposition:</b> Temporary</p> <p>Retain files in PARM.</p> <p>Cut-off is 1 year after borrower leaves the RUS program or when no longer needed for reference, whichever is later.</p> <p>Transfer files to Central File immediately after cutoff.</p> <p>DESTROY/DELETE 5 CYs after cut-off.</p>	1 yr.	5			New	

Item Number	Dept File Codes	Subject Code	File Heading/Description	Applicability and Location				RD Disposition Authority	GRS Authority
				Office	Central File	FRC	NARA		
			<p><b>E. Post workout documentation</b> as required from restructuring or settlement agreements such as operating reports, monthly and quarterly reports, sales of assets, approvals, filings with the state PUC, rate studies, and any other requested financial documentation requested by RUS.</p> <p>(1) If borrower remains in RUS Program: <b>Disposition</b> - temporary</p> <p>Cut-off is at the end of when the project or study is completed. Turn all files over to the operating program.</p> <p>(2) Borrower leaves RUS program: <b>Disposition:</b> temporary</p> <p>Retain files in PARM.</p> <p>Cut-off is 6 months after borrower leaves the RUS program or when no longer needed for reference, whichever is later.</p> <p>Transfer files to Central File immediately after cutoff.</p> <p>DESTROY/DELETE 5 CYs after cut-off.</p>	6 Mos.	5			New	

Item Number	Dept:File Codes	Subject Code	File Heading/Description	Applicability and Location				RD Disposition Authority	GRS Authority
				Office	Central File	FRC	NARA		
			<p><b>F. Reports, findings, analyses of Risk Management Committee projects and Minutes of the RMC meetings.</b></p> <p>(1) If borrower remains in RUS Program: <b>Disposition</b> - temporary</p> <p>Cut-off is at the end of when the project or study is completed. Turn all files over to the operating program.</p> <p>(2) Borrower leaves RUS program: <b>Disposition:</b> temporary</p> <p>Retain files in PARM.</p> <p>Cut-off is 1 year after borrower leaves the RUS program or when no longer needed for reference, whichever is later.</p> <p>Transfer files to Central File immediately after cutoff.</p> <p>DESTROY/DELETE 5 CYs after cut-off.</p>	1 Yr.	5			New	

Item Number	Dept File Codes	Subject Code	File Heading/Description	Applicability and Location				RD Disposition Authority	GRS Authority
				Office	Central File	FRC	NARA		
			<p><b>G. Outreach presentations and other material encompassing international visitors and special PARM projects.</b></p> <p>(3) If borrower remains in RUS Program: <b>Disposition</b> - temporary</p> <p>Cut-off is at the end of when the project or study is completed. Turn all files over to the operating program.</p> <p>(4) Borrower leaves RUS program: <b>Disposition:</b> temporary</p> <p>Retain files in PARM.</p> <p>Cut-off is 6 months after borrower leaves the RUS program or when no longer needed for reference, whichever is later.</p> <p>Transfer files to Central File immediately after cut-off.</p> <p>DESTROY/DELETE 5 CYs after cut-off.</p>	6 Mos.	5			New	