

Request for Records Disposition Authority

Records Schedule Number DAA-0378-2014-0013

Schedule Status Approved

Agency or Establishment Economic Development Administration

Record Group / Scheduling Group Records of the Economic Development Administration

Records Schedule applies to Major Subdivision

Major Subdivision Regional Affairs

Minor Subdivision Regional Offices

Schedule Subject Records of the six EDA regional offices

Internal agency concurrences will be provided No

Background Information EDA's six regional offices are the front line in assisting stakeholders in the development of applications, selecting projects for grant awards, and administering and monitoring grants in accordance with the public interest and all applicable laws and regulation.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
13	0	13	0

GAO Approval

Outline of Records Schedule Items for DAA-0378-2014-0013

Sequence Number	
1	Approved Construction Grant project Files
1.1	Federal Interest documents Disposition Authority Number: DAA-0378-2014-0013-0001
1.2	Blueprint drawings and construction files Disposition Authority Number: DAA-0378-2014-0013-0002
1.3	Project Management Files Disposition Authority Number: DAA-0378-2014-0013-0003
2	Economic Adjustment Assistance Project Files (non-construction) Disposition Authority Number: DAA-0378-2014-0013-0004
3	Revolving Loan Fund (RLF) Grant Award Files Disposition Authority Number: DAA-0378-2014-0013-0005
4	Revolving Loan Fund (RLF) Revolving Files Disposition Authority Number: DAA-0378-2014-0013-0006
5	Economic Development Districts (EDD) Designations Disposition Authority Number: DAA-0378-2014-0013-0007
6	Planning Program Project Files Disposition Authority Number: DAA-0378-2014-0013-0008
7	Comprehensive Economic Development Strategies Disposition Authority Number: DAA-0378-2014-0013-0009
8	Local Technical Assistance Project Files Disposition Authority Number: DAA-0378-2014-0013-0010
9	Local Technical Assistance Reports and Feasibility Studies Disposition Authority Number: DAA-0378-2014-0013-0011
10	University Center (UC) Project Files Disposition Authority Number: DAA-0378-2014-0013-0012
11	Government Performance and Results Act reports Disposition Authority Number: DAA-0378-2014-0013-0013

Records Schedule Items

Sequence Number	
1	<p>Approved Construction Grant project Files These are the record copies of approved Public Works and Economic Adjustment Assistance construction project files. These files contain the grant application with supporting documents including pre – approval actions, grant award documents and conditions, compliance clearances, environmental reviews, project review actions, post-approval monitoring documents and reports, correspondence, financial documents, audit findings, legal opinions and reviews, and correspondence. By statute, the Federal government has a financial interest in a public works project that purchases or constructs real property until the end of its useful economic life, generally defined as 20 years after award for new construction, 15 years after award for renovations, and ten years after award for equipment. Liens, covenants (grants to institutions of higher education), and Uniform Commercial Code filings (grants for equipment) are recorded in accordance with state or local requirements and a copy is provided to EDA. Construction projects can be funded through either the Public Works or Economic Adjustment Assistance programs.</p>
1.1	<p>Federal Interest documents</p> <p>Disposition Authority Number DAA-0378-2014-0013-0001</p> <p>Records that detail the approved and if applicable amended scope of work for the project including the project summary, approval documents, CD450, any special award conditions, a copy of the official court recording, and close-out documents.</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cutoff closed files at the end of the calendar year.</p> <p>Transfer to Inactive Storage Transfer to FRC 2 years after cutoff.</p> <p>Retention Period Destroy 20 year(s) after cutoff</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>

1.2	<p>Blueprint drawings and construction files</p> <p>Disposition Authority Number DAA-0378-2014-0013-0002</p> <p>Blue prints or other types of drawings involved in various types of public works construction projects transmitted to the regional offices by contractors, construction firms, and the like. Not all changes made during the actual construction are reflected in the drawings submitted.</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No</p> <p>GRS or Superseded Authority Citation NC1-378-79-2 Item 460</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cutoff closed files at the end of the calendar year.</p> <p>Transfer to Inactive Storage Transfer to FRC 2 years after cutoff.</p> <p>Retention Period Destroy 6 year(s) after cutoff.</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>
1.3	<p>Project Management Files</p> <p>Disposition Authority Number DAA-0378-2014-0013-0003</p> <p>Includes progress reports, requests for reimbursements, site visit reports, correspondence related to changes in timelines, RFP approvals, contract approvals, and all remaining documents not covered under federal interest or blueprint and construction</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No</p> <p>GRS or Superseded Authority Citation NC1-378-79-2 Item 453</p> <p>Disposition Instruction</p>

2	Cutoff Instruction	Cutoff closed files at the end of the calendar year
	Transfer to Inactive Storage	Transfer to FRC 2 years after cutoff.
	Retention Period	Destroy 10 year(s) after cutoff
	Additional Information	
	GAO Approval	Not Required
	Economic Adjustment Assistance Project Files (non-construction)	
	Disposition Authority Number	DAA-0378-2014-0013-0004
	Applications, grant award documents, award conditions, progress reports, financial reports, correspondence, grant announcements, post award monitoring documents and reports, and related grant records	
	Final Disposition	Temporary
	Item Status	Active
Is this item media neutral?	Yes	
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No	
Disposition Instruction		
Cutoff Instruction	Cutoff all closed files at the end of the calendar year	
Transfer to Inactive Storage	Transfer to FRC 2 years after cutoff	
Retention Period	Destroy 10 year(s) after cutoff	
Additional Information		
GAO Approval	Not Required	
3	Revolving Loan Fund (RLF) Grant Award Files	
	Disposition Authority Number	DAA-0378-2014-0013-0005
	Applications, grant award documents, award conditions, progress reports, correspondence, grant announcement, post award monitoring documents and reports, and related grant records. Even after EDA closes the grant, EDA maintains an active interest in RLF grants for as long as the recipient maintains an EDA lending program and requires continual performance reporting.	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in	No

4	electronic format(s) other than e-mail and word processing?	
	Disposition Instruction	
	Cutoff Instruction	Cutoff files of terminated RLFs at the end of the calendar year.
	Retention Period	Destroy 10 year(s) after cutoff
	Additional Information	
	GAO Approval	Not Required
	Revolving Loan Fund (RLF) Revolving Files	
	Disposition Authority Number	DAA-0378-2014-0013-0006
	Periodic operating plans, EDA RLF Semi-Annual Financial Report (ED209), EDA RLF Income and Expenses Statement (ED209i), RLF Loan Portfolio list, and related correspondence.	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No	
5	Disposition Instruction	
	Cutoff Instruction	Cutoff files at the end of the calendar year the plan is superseded.
	Retention Period	Destroy 6 year(s) after cutoff
	Additional Information	
	GAO Approval	Not Required
	Economic Development Districts (EDD) Designations	
	Disposition Authority Number	DAA-0378-2014-0013-0007
	Decision memos, designation letters, amendments and related documents used to designate and administer an EDA Economic Development District (EDD). Once designated, EDDs remain eligible for annual grants.	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes

6	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
	Disposition Instruction	
	Cutoff Instruction	Cutoff files at the end of the calendar year the designation is withdrawn or forfeited.
	Retention Period	Destroy 10 year(s) after cutoff.
	Additional Information	
	GAO Approval	Not Required
	Planning Program Project Files	
	Disposition Authority Number	DAA-0378-2014-0013-0008
	Applications, awards, award conditions, progress reports, financial statements, correspondence, post award monitoring documents and reports, and other records related to planning partnership and short term planning grants.	
	Final Disposition	Temporary
Item Status	Active	
Is this item media neutral?	Yes	
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No	
Disposition Instruction		
Cutoff Instruction	Cutoff closed grant files at the end of the calendar year.	
Transfer to Inactive Storage	Transfer to the FRC 2 years after cutoff.	
Retention Period	Destroy 10 year(s) after cutoff	
Additional Information		
GAO Approval	Not Required	
7	Comprehensive Economic Development Strategies	
	Disposition Authority Number	DAA-0378-2014-0013-0009
	Approved Comprehensive Economic Development Strategies (CEDS) and related strategies produced by Economic Development Districts and communities that have been awarded short term planning grants. CEDS are updated every 5 years.	
	Final Disposition	Temporary

8	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
	Disposition Instruction	
	Cutoff Instruction	Cutoff superseded files at the end of the calendar year.
	Retention Period	Destroy 10 year(s) after cutoff.
	Additional Information	
	GAO Approval	Not Required
	Local Technical Assistance Project Files	
	Disposition Authority Number	DAA-0378-2014-0013-0010
	Applications, grant award documents, award conditions, progress reports, financial reports, correspondence, grant announcement, post award monitoring documents and reports and related grant records awarded under the Local Technical Assistance Program.	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No	
GRS or Superseded Authority Citation	NC1-378-79-2 Item 482	
Disposition Instruction		
Cutoff Instruction	Cutoff closed files at the end of the calendar year.	
Transfer to Inactive Storage	Transfer to the FRC 2 years after cutoff.	
Retention Period	Destroy 10 year(s) after cutoff.	
Additional Information		
GAO Approval	Not Required	
Local Technical Assistance Reports and Feasibility Studies		
Disposition Authority Number	DAA-0378-2014-0013-0011	

Final reports and feasibility studies generated through Local Technical Assistance Grants. These frequently provide justifications for subsequent EDA grants.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

GRS or Superseded Authority Citation NC1-378-79-2 Item 484

Disposition Instruction

Cutoff Instruction Cutoff closed files at the end of the calendar year

Retention Period Destroy 10 year(s) after cutoff

Additional Information

GAO Approval Not Required

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University Center (UC) Project Files

Disposition Authority Number DAA-0378-2014-0013-0012

Applications, grant award documents, award conditions, progress reports, financial reports, correspondence, grant announcement, post award monitoring documents and reports, and related grant records awarded under the Local Technical Assistance Program.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

Disposition Instruction

Cutoff Instruction Cutoff closed files at the end of the calendar year

Transfer to Inactive Storage Transfer to FRC 2 years after cutoff

Retention Period Destroy 10 year(s) after cutoff

Additional Information

GAO Approval Not Required

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Government Performance and Results Act reports

Disposition Authority Number **DAA-0378-2014-0013-0013**

Three, six, and nine year requests for performance data and responses fulfilling the requirements of the Government Performance and Reporting Act for various EDA grant programs.

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **No**

Disposition Instruction

Cutoff Instruction **Cutoff files at the end of the calendar year the final report is collected.**

Retention Period **Destroy 5 year(s) after cutoff.**

Additional Information

GAO Approval **Not Required**

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 in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

Signatory Information

Date	Action	By	Title	Organization
11/08/2013	Certify	Malinda Matson	Congressional Affairs Specialist	Economic Development Administration - Legislative Affairs
01/29/2014	Return for Revision	John Hulmston	Senior Records Analyst	National Archives and Records Administration - Records Management Services
01/29/2014	Submit For Certification	Malinda Matson	Congressional Affairs Specialist	Economic Development Administration - Legislative Affairs
01/29/2014	Certify	Malinda Matson	Congressional Affairs Specialist	Economic Development Administration - Legislative Affairs
03/20/2014	Return for Revision	John Hulmston	Senior Records Analyst	National Archives and Records Administration - Records Management Services
03/21/2014	Submit For Certification	Malinda Matson	Congressional Affairs Specialist	Economic Development Administration - Legislative Affairs
03/21/2014	Certify	Malinda Matson	Congressional Affairs Specialist	Economic Development Administration - Legislative Affairs
04/08/2014	Return for Revision	John Hulmston	Senior Records Analyst	National Archives and Records Administration - Records Management Services
04/09/2014	Submit For Certification	Malinda Matson	Congressional Affairs Specialist	Economic Development Administration - Legislative Affairs
04/09/2014	Certify	Malinda Matson	Congressional Affairs Specialist	Economic Development Administration - Legislative Affairs

04/09/2014	Return for Revision	John Hulmston	Senior Records Analyst	National Archives and Records Administration - Records Management Services
04/09/2014	Submit For Certification	Malinda Matson	Congressional Affairs Specialist	Economic Development Administration - Legislative Affairs
04/09/2014	Certify	Malinda Matson	Congressional Affairs Specialist	Economic Development Administration - Legislative Affairs
04/22/2014	Return for Revision	John Hulmston	Senior Records Analyst	National Archives and Records Administration - Records Management Services
04/25/2014	Submit For Certification	Malinda Matson	Congressional Affairs Specialist	Economic Development Administration - Legislative Affairs
04/25/2014	Certify	Malinda Matson	Congressional Affairs Specialist	Economic Development Administration - Legislative Affairs
06/25/2014	Submit for Concurrence	John Hulmston	Senior Records Analyst	National Archives and Records Administration - Records Management Services
06/26/2014	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - Records Management Services
06/26/2014	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
06/27/2014	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist