REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See instructions below)

TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NARA)
WASHINGTON, DC 20408

1 FROM (Agency or establishment) U S Department of Education	
2 MAJOR SUBDIVISION Office of Management	
3 MINOR SUBDIVISION Regulatory Information Management Services	

4 NAME OF PERSON WITH WHOM TO CONFER	5 TELEPHONE
Sherry D Smith	(202) 401-0902

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 ___10___ page(s) are not now needed for the business of 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,

☒ is not required, ☐ is attached, or ☐ has been requested

DATE	SIGNATURE OF AGENCY REPRESENTATIVE	TITLE
5/27/2009	*J.ll Shaver for Sherry Smith*	Director, Records Management & Privacy Division/ Departmental Records Officer

7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
1	ED 254 Grant Administration and Management Files WITHDRAWN 1/13/2011 to be updated by the agency and resubmitted	**NC-12-75-1, Item 20a** (ED/RDS, Part 10, Item 3a) **NC-12-75-1, Item 31b** (ED/RDS, Part 10, Item 13b) **NC-12-75-1, Item 25** (ED/RDS, Part 10, Item 7) **NC-12-75-1, Item 27** (ED/RDS, Part 10, Item 9) **NC-12-75-1, Item 20a** (ED/RDS, Part 10, Item 3a) **NC-12-75-1, Item 20b** (ED/RDS, Part 10, Item 6a) **NC-12-75-1, Item 20b** (ED/RDS, Part 10, Item 3b) **NC-12-75-1, Item 23** (ED/RDS, Part 10, Item 5) **GRS, Item 13** (ED/RDS, Part 10, Item 13a) **NC-12-75-1, Item 25** (ED/RDS Part 10, Item 8) **NC-12-75-1, Item 18a** (ED/RDS, Part 10, Item 1a) **NC-12-75-1, Item 18b** (ED/RDS, Part 10, Item 1b) **NC-12-75-1, Item 22** (ED/RDS, Part 10, Item 4) **NC-12-75-1, Item 24c** (ED/RDS, Part 10, Item 6c)	

SCHEDULE LOCATOR NO.: 254

DRAFT DATE: 09/03/09

TITLE: Grant Administration and Management Files

PRINCIPLE OFFICE: Department-wide   WITHDRAWN

NARA DISPOSITION AUTHORITY:

DESCRIPTION:

This schedule documents the various records created from the administration and management of discretionary and formula grants throughout their lifecycle

DISPOSITION INSTRUCTIONS:

a   Discretionary Grant File Records and Related Records

   A discretionary grant is an award of financial assistance in the form of money, or property in lieu of money, by the Federal government to an eligible grantee, usually on a basis of a competition review process This series applies to discretionary grants and related records, cooperative agreements, earmarks, research grants, scholarships and fellowships

   1   Grant competition files

   Records consist of all information, decisions or documentation related to a specific grant program competition or a group of multiple competitions within a grant program competition Files may include notices published in the Federal Register (Federal Register Notices), program regulations, relevant statutes, review agreements, rosters application logs, review package and waivers, Application Technical Review Plan, funding slate, and other documents outlined in the Discretionary Grants Handbook

   TEMPORARY

   Merge with last closed grant file under the same competition and follow the disposition instructions of the applicable official grant file

      a   HEP Legacy System – Field Reader System (FRS) Master Data Files

      This system is a database that contains information about potential field readers System data includes names, addresses, social security numbers, and expertise of these potential readers

1

b TRIO Programs Competition Database Master Data Files

System collects and maintains documentation for programs such as Talent Search, Educational Opportunity Centers, Student Support Services, Upward Bound and Child Care Access Means Parents in School The system collects proposals for the grant requests from GAPS (see Item c of this schedule) Q To what does this cross reference direct the reader? The system also receives data from the Field Reader System (FRS)

TEMPORARY

For Items a 1(a) and a 1(b), destroy/delete 5 years after grant closure, completion of monitoring, or audit resolution, if audited, whichever is later

2 Official discretionary grantee file (official grant file folder)

The discretionary grant case file includes the original application, required forms, grant award notifications, annual grant performance reports, correspondence, decisions or any document that has been identified as part of the official grant file outlined in the Discretionary Grants Handbook

TEMPORARY

Destroy/delete 5 years after grant closure, completion of monitoring, or audit resolution, if audited, whichever is later

a Smaller Learning Communities On-line Reporting System (SLCR) Master Data Files

This system contains school demographic information, information from the grant application and a list of the structures and strategies each school is implementing

b Graduate Assistance in Areas of National Need (GAANN) Program Assessment System Master Data Files

This system captures long and short-term performance data that monitor the funds allocated to recipient institutions, tracks the time-to-degree completion, and graduation rates of GAANN fellows   System data includes individual student data, financial data, graduation rate data, and employment data of all GAANN fellows

c Gaining Early Awareness and Readiness for Undergraduate Programs (GEAR UP) Master Data Files

This database is used to create Annual Performance Reports and Final Performance Reports The system contains GEAR UP grantee performance and financial data

d Grants Electronic Monitoring System (GEMS) Master Data Files

This system monitors the Office of Postsecondary Education's (OPE) grants Basic grant information is retrieved from GAPS

e HEP Legacy System Title III, Part A and Title V – Grant Eligibility Applications Master Data Files

This database determines eligibility of Title III, Part A and Title V grant applicants The system is also used to apply for non-Federal cost share requirements for campus based programs

f HEP Legacy System Title III, Part B – Historically Black Colleges and Universities (HBCU) formula Grant Processing Master Data Files

This database compiles, stores, and calculates grantee data (e g , number of Pell Grant recipients attending the application institution during the school year, number of applicant institutions during the school year, type of institution—either private or public, 2- or 4-year institution, Data Universal Numbering System (DUNS) number, and PR award number used to generate annual grant awards for the HBCU program

g IDUES Performance Management System Master Data Files

This is a web-based system that supports the collection and processing of performance reports for Title III and Title V grantees

h International Resource Information System (IRIS) International Education Program Service (IEPS) Master Data Files

This is a web-based system that supports the collection and processing of grantee performance reports

i Jacob K Javits Fellowship Database Master Data Files

This database contains applicant information such as applicant contact information, social security number, score, and ranking The system also assesses the financial need of applicants

j TRIO Programs Annual Performance Reports (APR) Data Collection and Processing Applications Master Data Files

This is a web-based system that supports the collection and processing of performance data as required by OPE Performance data consists of aggregate student data such as participant identification and project status Individual student data consists of social security number, date of birth, gender and race/ethnicity

3

k Web-based System for National Institute on Disability and Rehabilitation Research (NIDRR) Annual Performance Reporting Forms Master Data Files

This is a web-based system that supports the collection and processing of performance reports for NIDRR grantees

l Rehabilitation Services Administration (RSA) Management Information System Master Data Files

This is a web-based system that supports the collection and processing of RSA grantee performance reports

m. Office of Vocational and Adult Education (OVAE) and Consolidated Annual Report Web-Based Data Collection Master Data Files

This is a web-based system that supports the collection and processing of OVAE grantee performance reports

TEMPORARY

For Items a 2(a)-a 2(m), destroy/delete 5 years after grant closure, completion of monitoring, or audit resolution, if audited, whichever is later

3 Professional development grantee file

TEMPORARY

Destroy/delete 5 years after completion of service obligation or grant repayment

b Formula Grant Files and Related Records

Formula grants are grants which the Department has been directed by Congress to make to grantees, for which the amount is established by a formula based on certain criteria which are written into the legislation and program regulations, directly awarded and administered in the Department's program offices

1 Official formula grant files

Formula grant files consist of documents such as grant award documents, consolidated state applications, budget information, program oversight and monitoring reports, compliance reviews, performance reports, waivers, audits, audit resolutions, and related correspondence

TEMPORARY

Destroy/delete 5 years after closure of grant, completion of monitoring, audit resolution, or until the grant program has been reauthorized, whichever is later

a Teacher Quality Enhancement Title II Scholarship and Administration Reporting System (TSAR) master data files

This system tracks the progress of recipients in the scholarship program over several semesters System data includes social security numbers and names of project participants

b Impact Aid System (IAS) master data files

The Office of Elementary and Secondary Education uses IAS to electronically manage grants and payments for the Impact Aid program The system supports the application process and eligibility determinations, calculates payments, and generates financial transactions for payments made to local education agencies (LEA) System data includes payment information, information about LEAs and aggregated data about number of students educated by an LEA associated with federal properties

TEMPORARY

For items b 1(a) and b 1(b), destroy/delete 5 years after closure of grant, completion of monitoring, audit resolution, or until the grant program has been reauthorized, whichever is later

2 Formula grant program file

The grant program file consists of information, decisions, or documentation related to a specific grant program, or a group of related programs The file includes authorizing legislation, program legislation (if any), Federal Register notices, legal opinions or policy decisions, application packages, technical review plan, etc

TEMPORARY

Destroy/delete 5 years after closure of grant or monitoring activities and audit resolution, or until the grant program has been reauthorized, whichever is later

a PELL Grant Cost Estimation Model master data files

This system contains individual student data on a sample of aid applicants and Pell Grant recipients The data is used to estimate program cost and distribution impacts such as budget estimations and to conduct policy analysis

TEMPORARY

For items Destroy/delete 5 years after closure of grant or monitoring activities and audit resolution, or until the grant program has been reauthorized, whichever is later

c <u>Education Central Automated Processing System (EDCAPS) GAPS/G5 Application Master Data Files</u>

System supports pre- and post-award grant processing including application processing, grant payment processing, accounts receivable management, cost management, grant review, grant monitoring, and closeout System prepares financial statements and reconciliation of account balances, budget formulation, and execution

TEMPORARY

Destroy/delete 5 years after grant closure, completion of monitoring, or audit resolution, if audited, whichever is later

d <u>IES Application Processing and Peer Review Management System (APPRMS) Master Data Files</u>

There are two components of this major application a grant application processing component and a peer review management component The grant application processing component receives copies of IES applications from the GAPS system, files these applications by CFDA number, and tracks them by topic, goal, and panel assignment The peer review management component assigns application copies to specific panels for peer review and allows authorized reviewers to access and review the applications and submit written critiques and scores for the applications This system is accessible to the public via the web-based Peer Reviewer Information Management Online (PRIMO) system

e <u>Historical Grants Files</u>

These records are historical grants files which document groundbreaking educational studies or research, which have a significant impact on the Department of Education or the field of education

1 <u>Historical discretionary grants files</u>

PERMANENT

Transfer to the National Archives 5 years after grant closure, completion of monitoring, or audit resolution, if audited, whichever is later

2   Historical formula grants files

PERMANENT

Transfer to the National Archives 5 years after grant closure, completion of monitoring, audit resolution, or until the grant program has been reauthorized, whichever is later

f   Final Grant Products

1   Routine products

These are products submitted by the grantee for informational purposes or to fulfill grant performance requirements Product formats may consist of, but are not limited to CDs, audio-visual material and bound textual documents

TEMPORARY

Maintain with official grant file or until no longer needed for reference, whichever is later

2   Historically significant products

These are products submitted by the grantee for informational purposes or to fulfill grant performance requirements which are of enduring value These are products which document groundbreaking educational studies, research or other contribution to the Department of Education or field of education Product formats may consist of, but are not limited to CDs, audio-visual material and bound textual documents

PERMANENT

Transfer to the National Archives along with Historical Grants File records

g   Program Performance Reports to Congress

Consists of reports prepared for transmittal by the Department to Congress and/or the President in accordance with the mandates of all education legislation Reports present the objectives, accomplishments, evaluation or study results of the programs, a summary of outstanding education problems in order of priority, recommendations for proposed legislation necessary in solving the problems, and plans for program activities

1   Final Report

PERMANENT

Follow disposition instructions for ED 065 Reports to Congress and/or the President cut off annually and transfer to National Archives 5 years after cut off

2 Working Files

TEMPORARY

Cut off annually upon transmittal to Congress or the President. Delete/destroy 5 years after cut off

a. Title II State Reporting System Master Data Files

This is a web-based system that supports the collection and processing of annual state reports. The Secretary uses this data to prepare annual performance reports on teacher quality, which are sent to Congress and the public

TEMPORARY

Cut off annually upon transmittal to Congress or the President Delete/destroy 5 years after cut off

h. Ineligible, Unsuccessful, Withdrawn, or Declined Grant Applications

Consists of grant applications and fellowships, which are unsuccessful, withdrawn, or declined

TEMPORARY

Destroy/delete 3 years after rejection or withdrawal.

i Unsolicited Applications

Consists of applications submitted to the Department in writing and solely on the applicant's own initiative, without prior formal or informal solicitation by any Federal government official

1 Applications awarded funding

TEMPORARY

Follow disposition instructions for Item a 2, Official Discretionary Grantee Files, of this schedule.

2 Applications not awarded funding

TEMPORARY

Follow disposition instructions for Item h, Ineligible, Unsuccessful, Withdrawn, or Declined Grant Applications, of this schedule

j Certifications of Accreditation and Related Records

These certifications establish or verify eligibility of institutions for Federal grant or loan programs.

1 Official file of certification of accreditation

TEMPORARY

Destroy/delete when obsolete or superseded.

2. Related correspondence

TEMPORARY

Destroy/delete when 2 years old.

k. Duplicate Copies Maintained for Reference Purposes and That Do Not Serve as the Record Copy

TEMPORARY

Destroy/delete no later than one year after grant closure

IMPLEMENTATION GUIDANCE: Follow the disposition instructions in ED 086 Information Systems Supporting Materials for system software; input/source records, output and reports, and system documentation

ARRANGEMENT/ANNUAL ACCUMULATION:

PREVIOUS DISPOSITION AUTHORITY:

ED 254 a.1 Official discretionary grant file (official grantee file folder) supersedes
   NC-12-75-1, Item 20a (ED/RDS Part 10, Item 3a)
   NC-12-75-1, Item 31b (ED/RDS Part 10, 13b)
   NC-12-75-1, Item 25 (ED/RDS Part 10, Item 7)
   Nc12-75-1, Item 27 (ED/RDS Part 10, Item 9)

ED 254 b.1 Official formula grant files supersedes:
   NC-12-75-1, Item 20a (ED/RDS Part 10, Item 3a)
   NC-12-75-1, Item 24a (ED/RDS Part 10, Item 6a)

ED 254 e.1 Historical discretionary grant file (official grant file folder) supersedes
   NC-12-75-1, Item 20b (ED/RDS Part 10, Item 3b)

ED 254 e 2 Historical formula grant file supersedes:

NC-12-75-1, Item 20b (ED/RDS Part 10, Item 3b)

ED 254 f.1 Routine products supersedes.
NC-12-75-1, Item 23 (ED/RDS Part 10, item 5)

ED 254 h. Ineligible, Unsuccessful, Withdrawn, or Declined Grant Applications supersedes.
  GRS, Item 13, (ED/RDS, Part 10, Item 13a)
  NC-12-75-1, Item 25 (ED/RDS Part 10, Item 8)

ED 254 j 1 Official file of certification of accreditation supersedes.
  NC-12-75-1, Item 18a (ED/RDS Part 10, Item 1a)

ED 254 j 2 Related correspondence supersedes
  NC-12-75-1, Item 18b (ED/RDS Part 10, Item 1b)

ED 254 I Duplicate Copies Maintained for Reference Purposes and That Do Not Serve as the Record Copy supersedes
  NC-12-75-1, Item 22 (ED/RDS Part 10, Item 4)
  NC-12-75-1, Item 24c (ED/RDS Part 10, Item 6c)

SPECIFIC LEGAL REQUIREMENTS:

American Recovery and Reinvestment Act of 2009
Elementary and Secondary Education Act of 1965, as amended
Individuals with Disabilities Education Act
Education Department General Administrative Regulations (EDGAR)
The Higher Education Act of 1965, as amended
Carl D. Perkins Career and Technical Education Act (Perkins) Workforce Investment Act, Pub L. 105-220

SPECIFIC RESTRICTIONS:

Privacy Notice 18-12-01   Title VI Foreign Language and Area Studies Fellowships (FLAS)
Privacy Notice 18-12-03   Jacob K Javits Fellowship System
Privacy Notice 18-12-04   Title VI International Research and Studies Program (IRS)
Privacy Notice 18-12-06   Teacher Quality Recruitment Scholarship System
Privacy Notice 18-14-02   Fellowships for Indian Students--Applications and Awards
Privacy Notice 18-15-01   Bilingual Education Graduate Fellowship Program
Privacy Notice 18-03-02   Education's Central Automated Processing System (EDCAPS)

LINE OF BUSINESS: Grants