

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		JOB NUMBER NR N1-454-00-1	
TO: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received 12-29-00	
1. FROM (Agency or establishment) Inter-American Foundation		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	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 Office of Programs			
3. MINOR SUBDIVISION Office of the Vice President for Programs			
4. NAME OF PERSON WITH WHOM TO CONFER Pam Palma	5. TELEPHONE NUMBER (703) 306-4342	DATE 1-15-01	ARCHIVIST OF THE UNITED STATES <i>J. W. Carl</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 ___ 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 Dec. 29, 2000	SIGNATURE OF AGENCY REPRESENTATIVE <i>Pam Palma</i>		TITLE <i>management Analyst</i>
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
1)	<u>Closed Out Grant Case Files</u>	NC1-454-84-1/1	
2)	<u>Rejected/Withdrawn Projects</u>		
<del>3)</del>	<u>Interim Grant Monitoring Reports</u>		
<del>4)</del>	<u>Financial Audit Files</u>	NC1-454-85-2/1	
<del>5)</del>	<u>Electronic Copies</u>		
SEE ATTACHED SHEET(S)			

copy to: agency, NWMD, NWMW 1/25/01 clb

## Appendix 1, Inter-American Foundation Records Disposition Schedule

### Office of Programs Grant Records

#### *Item Number and Description of Records.*

#### 1. CLOSED OUT GRANT CASE FILES.

These records consist of materials relative to approved/obligated IAF grassroots development projects in Latin America and the Caribbean. Records present a complete picture of each development project, from initiation at the time the grant agreement is signed, to grant termination (arranged by project code number and country). The unique project identification code generally consists of the first two letters of the country name followed by a three-digit number. Grant records contain information that document the experimental nature of IAF's mandate as an alternative to traditional foreign aid programs.

When the grant is formally approved ("Committed"), all pertinent documents are compiled into the official Grant Case File, which is stored in a file cabinet designated for grants approved in the particular country. Subsequent documentation such as signed grant agreement, monitoring, financial, and other reports relating to the project are inter-filed in this official Grant Case File as they are received. The IAF closes a Grant Case File within six months after the grant expires to allow time to receive and incorporate the final audit and monitoring reports as part of the record. The contents of grant case files include the following:

- A. Case File: grant application or proposal, public announcement, record copies of the project review and analysis (PAR) documents, official grant approval memoranda, the legal grant agreement with all appendices and amendments, final progress reports completed by the grantee, final project monitoring reports, final independent audit reports. May also include, but is not limited to, substantive correspondence regarding administrative and technical aspects of the project (e.g., correspondence that influenced the course of action on a project, interim monitoring reports, materials published as a product of the grant).
- B. Working/Background Papers: internal correspondence (e.g. between Foundation Representation and Regional Director) on pre- and post-approval administrative and logistical aspects of grant management, interim progress reports, duplicate materials, etc.

Annual Accumulation: 20 Cu. Ft.

**Associated Documentation**: General Counsel's Working Files; Finance Office Working

**Subject To Foia**: Yes.

**Inclusive Dates**: 1971 to date.

**Annual Accumulation**: 3' cubic

**Cut-Off**: End of fiscal year (September 30) in which grant expires.

**Condition**: Good.

**Format:** Paper.\*

**Arrangement:** Grant Case Files are shelved by project number, then by country.

**Access Points:** Each Grant Case File is composed of five sections in an accordion file. The contents of the sections are: 1) Grant approval memoranda, legal grant agreement documents in English and Native language, public statement, grant blurb, approval memoranda for grant amendments, legal grant amendment documents in English and native language; 2) Post-approval correspondence with grantee, amendment requests, reminder letters to grantees to submit overdue reports; 3) Grantee financial report forms, IAF reports received/disbursement request forms, correspondence with grantee on financial matters, extra copies of grant audit reports; 4) Narrative grantee progress reports, site visit reports, pertinent publications and news articles; and 5) Original grantee proposal and related pre-approval correspondence, project analysis and recommendation record (PAR), project team review notes and related memoranda. Successive accordion files are created to house section files if the records exceed the storage capacity of the original accordion file.

**Finding Aids:** Grant Evaluation and Management System database and Program Office log books.

**Originating Office:** Office of Programs.

**Official File Location:** Active Country Grant Files, Office of Programs.

**Location Of Other Copies:** Finance Office working files, Audit Office working files, General Counsel's working files.

**Former Disposition:** NARA NC1-454-84-1/1.

**Disposition:**

A) Grant Case Files referred for close-out: Permanent. Transfer to the agency OHR/Central Records Office within six months of grant expiration or when all required final reports incorporated into record, whichever is sooner. Transfer to WNRC within one year after the case has been closed. Transfer to NARA when 10 years old.

B) Working/Background Papers: Destroy prior to closed-out case file transfer to the agency OHR/Central Records Office, or within six months of grant expiration, whichever is sooner.

**Contact:** OHR/Central Records Office: Pam Palma.

## 2. **REJECTED/WITHDRAWN GRANT PROPOSAL FILES.**

These records include the original proposal for grassroots development projects from applicant organizations in Latin America and the Caribbean for which no formal agreement has been signed. Records present a brief summary of each proposed project and correspondence documenting the reasons for rejection or cancellation. The files are arranged by project code number and country. A file is closed when the project is rejected by the IAF review committee, or when the proposal is withdrawn by written notification from the proponent organization.

**Annual Accumulation:** 2 Cu. Ft.

**Associated Documentation:** No.

**Subject To FOIA:** Yes.

**Inclusive Dates:** Rejected and Withdrawn, 1971 To Date.

**Annual Accumulation:** 5'cubic.

**Cut-Off:** Close of Fiscal Year (September 30) in which Proposal is Rejected/Withdrawn.

**Condition:** Good.

**Format:** Paper.\*

**Arrangement:** By project number, then by country.

**Access Points:** Rejected & Withdrawn proposal files include the original grantee proposal, related correspondence with IAF, and memoranda documenting the reasons for rejection or withdrawal. These records are generally contained within a single section of the file.

**Finding Aids:** Grant Evaluation & Management System database, Program Office log books.

**Originating Office:** Office of Programs.

**Official File Location:** Rejected/Withdrawn Country Files, Office of Programs.

**Location Of Other Copies:** N/A.

**Former Disposition:** NARA NC1-454-84-1/1.

**Disposition:** Permanent. Transfer to the agency OHR/Central Records Office within six months of grant expiration or when all required final reports incorporated into record, whichever is sooner. Transfer to WNRC within one year after the case has been closed. Transfer to NARA when 10 years old.

**Contact:** OHR/Central Records Office: Pam Palma.

### 3. INTERIM GRANT MONITORING REPORTS.

These records include interim monitoring reports on grant activities prepared by the In-Country Support (ICS) contractor for the country in which the project is based. A copy of the final monitoring report is included in the Grant Case File. The ICS monitoring report file also contains copies of contract administration reports on items such as contract expenditures and disbursements as well as correspondence between the contractor and the IAF. These materials are duplicates of documents contained in the original contract files maintained by the Agency Procurement Office. The files are arranged by project code number and by country. The IAF closes an Interim Grant Monitoring Report File when a Grant Case File is closed, or within six months after the grant expires.

Annual Accumulation: 5 Cu. Ft.

**Associated Documentation:** No.

**Subject To FOIA:** Yes.

**Inclusive Dates:** 1971 To Date.

**Annual Accumulation:** 5' Cubic.

**Cut-Off:** End of fiscal year (September 30) in which grant expires.

**Condition:** Good.

**Format:** Paper.\*

**Arrangement:** are shelved by project number, then by country.

**Access Points:** Interim Grant Monitoring Files include 1-2 annual grant status reports prepared by the In-Country Support (ICS) contractor. These records are generally contained within a single file section.

**Finding Aids:** Grant Evaluation & Management System, Program Office log books.

**Originating Office:** Office of Programs.

**Official File Location:** Grant Country Files, Office of Programs.

**Location Of Other Copies:** Final report copy inter-filed in Grant Case File.

**Former Disposition:**

**Disposition:**

~~Interfiled~~: Cut off projects at end of fiscal in which grant expires, transfer to Federal Records Center annually, and destroy after three years.

**Contact:** OHR/Central Records Office: Pam Palma.

#### 4. FINANCIAL AUDIT FILES.

These records include interim and final audit reports on expenditures of grant funds for project activities. They contain valuable financial information in original and copy form. The grant audits are conducted by independent audit firms contracted by the Agency in the country where the project is based. Generally, IAF projects are subjected to annual audits through the duration of the grant period. A duplicate of the final audit report is inter-filed in the Grant Case File. The files are arranged by project code number and by country. The IAF closes a Financial Audit File when a Grant Case File is closed, or within six months after the grant expires.

Annual Accumulation: 2 Cu. Ft.

**Associated Documentation:** No.

**Subject To FOIA:** Yes.

**Inclusive Dates:** 1971 To Date.

**Annual Accumulation:** 2' Cubic.

**Cut-Off:** End of fiscal year (September 30) in which grant expires.

**Condition:** Good.

**Format:** Paper.\*

**Arrangement:** are shelved by project number, then by country.

**Access Points:** Grant Financial Audit Files include annual audit status reports prepared by the audit firm based in the country where the project is based. Each grant is assigned a separate file, and the audit records are generally contained within a single section of the file.

**Finding Aids:** Grant Evaluation & Management System, Auditor's log books.

**Originating Office:** Agency Auditor (Executive Office).

**Official File Location:** Grant Financial Audit Files, Executive Office.

**Location Of Other Copies:** Final report copy inter-filed in Grant Case File.

**Former Disposition:** NC1-454-85-2/1.

**Disposition:**

Cut off projects at end of fiscal in which grant expires, transfer to Federal Records Center annually, and destroy after six years and three months.

**Contact:** OHR/Central Records Office: Pam Palma.

#### 5. ELECTRONIC MAIL AND WORD PROCESSING SYSTEM COPIES.

Electronic copies of records that are created on electronic mail and word processing systems are used solely to generate a record-keeping copy of the records covered by the other items in this

schedule. This also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- a) Copies that have no further administrative value after the record-keeping copy is made. This includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the record-keeping copy.

Disposition: Destroy/delete within 180 days after the record-keeping copy has been produced.

- b) Copies used for dissemination, revision, or updating that are maintained in addition to the record-keeping copy.

Disposition: Destroy/delete when dissemination, revision, or updating is completed.