REQUEST FOR RECORDS DISPOSITION AUTHORITY

JOB NUMBER

N1- 572- 12-3

To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION
8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001

Date received 4/16/12

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.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	5. TELEPHONE NUMBER	DATE	ARCHIVIST OF THE UNITED STATES
Andrea R. Jenkins Andrea.Jenkins@wdc.usda.gov	202 692-0029	25 Apr 2014	

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 ___5___ 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,

☒ is not required   ☐ is attached; or   ☒ has been requested.

DATE 02-11-14	SIGNATURE OF AGENCY REPRESENTATIVE *Andrea R. Jenkins*	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 GRS OR SUPERSEDED JOB CITATION	10.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		

115-109   PREVIOUS EDITION NOT USABLE   **STANDARD FORM 115** (REV. 3-91)
Prescribed by NARA 36 CFR 1228

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

Item Number	Dept File Codes	Subject Code	File Heading/Description	Office	Central File	FRC	NARA	RD Disposition Authority	GRS Authority
1	RUPT-1	1700.33	**PARM (Debt Workout)**						
			A. Loan application materials 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.	6 mos.	5			New	
			(1) If borrower remains in RUS program: **Disposition** - temporary						
			Retain files in PARM.						
			Cut-off is 6 months after restructuring is completed or when no longer needed for reference, whichever is later. Transfer to Program Office						
			(2) If borrower leaves RUS program: **Disposition** – temporary						
			Retain files in PARM for 6 months.						
			Cut-off is 6 months after borrower leaves the RUS program or when no longer needed for reference, whichever is later.						
			Transfer files to Central File immediately after cut-off.						
			DESTROY/DELETE 5 CYs after cut-off.						

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			B. Special studies of borrower's operations, equipment, materials or procedures. 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. (1) If borrower remains in RUS Program: **Disposition** - temporary Cut-off is at the end of when the project or study is completed. Turn all files over to the operating program. (2) Borrower leaves RUS program: **Disposition:** Temporary Retain files in PARM. Cut-off is 6 months after borrower leaves the RUS program or when no longer needed for reference, whichever is later. Transfer files to Central File immediately after cutoff. DESTROY/DELETE 5 CYs after cut-off.	6 Mos.	5			New	

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			C. Monthly, quarterly, and annual reports 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.	6 Mos.	5			New	
			(1) If borrower remains in RUS Program: **Disposition** - temporary						
			Cut-off is at the end of when the project or study is completed. Turn all files over to the operating program.						
			(2) Borrower leaves RUS program: **Disposition:** temporary						
			Retain files in PARM.						
			Cut-off is 6 months after borrower leaves the RUS program or when no longer needed for reference, whichever is later.						
			Transfer files to Central File immediately after cut-off.						
			DESTROY/DELETE 5 CYs after cut-off.						

| | | | D. **Final documentation of debt restructuring or buyout agreements.** 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.

(1) If borrower remains in RUS Program:
Disposition - temporary

Cut-off is at the end of when the project or study is completed. Turn all files over to the operating program.

(2) Borrower leaves RUS program:
Disposition: Temporary

Retain files in PARM.

Cut-off is 1 year after borrower leaves the RUS program or when no longer needed for reference, whichever is later.

Transfer files to Central File immediately after cutoff.

DESTROY/DELETE 5 CYs after cut-off. | 1 yr. | 5 | | | New | |

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			E. **Post workout documentation** 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.	6 Mos.	5			New	
			(1) If borrower remains in RUS Program: **Disposition** - temporary						
			Cut-off is at the end of when the project or study is completed. Turn all files over to the operating program.						
			(2) Borrower leaves RUS program: **Disposition:** temporary						
			Retain files in PARM.						
			Cut-off is 6 months after borrower leaves the RUS program or when no longer needed for reference, whichever is later.						
			Transfer files to Central File immediately after cutoff.						
			DESTROY/DELETE 5 CYs after cut-off.						

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			F. **Reports, findings, analyses of Risk Management Committee projects and Minutes of the RMC meetings.**	1 Yr..	5			New	
			(1) If borrower remains in RUS Program: **Disposition** - temporary						
			Cut-off is at the end of when the project or study is completed. Turn all files over to the operating program.						
			(2) Borrower leaves RUS program: **Disposition:** temporary						
			Retain files in PARM.						
			Cut-off is 1 year after borrower leaves the RUS program or when no longer needed for reference, whichever is later.						
			Transfer files to Central File immediately after cutoff.						
			DESTROY/DELETE 5 CYs after cut-off.						

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			G. Outreach presentations and other material encompassing international visitors and special PARM projects.	6 Mos.	5			New	
			(3) If borrower remains in RUS Program: **Disposition** - temporary						
			Cut-off is at the end of when the project or study is completed. Turn all files over to the operating program.						
			(4) Borrower leaves RUS program: **Disposition:** temporary						
			Retain files in PARM.						
			Cut-off is 6 months after borrower leaves the RUS program or when no longer needed for reference, whichever is later.						
			Transfer files to Central File immediately after cut-off.						
			DESTROY/DELETE 5 CYs after cut-off.						