

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		JOB NUMBER N1-441-99- 1	
To: NATIONAL ARCHIVES and RECORDS ADMINISTRATION WASHINGTON, DC 20408		DATE RECEIVED 2-17-99	
1. FROM (Agency or establishment) Department of Education		<b>NOTIFICATION TO AGENCY</b>  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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	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 Institutional Participation and Oversight Service			
3. MINOR SUBDIVISION			
4. NAME OF PERSON WITH WHOM TO CONFER Pat Pestka	5. TELEPHONE 202-708-9129	DATE 6-4-99	ARCHIVIST OF THE UNITED STATES <i>John W. Paul</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 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,  <input checked="" type="checkbox"/> is not required; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE 2/12/99	SIGNATURE OF AGENCY REPRESENTATIVE <i>Chiquitta Thomas</i> Chiquitta Thomas		TITLE 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 GRS OR SUPERSEDED JOB CITATION	10.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)
	WNRC Project Records stored at WNRC.  Please see attached.		

JUN 30 1999

MNR

copy to Agency

United States Department of Education  
 WNRC Project  
 RG 441 records stored at the Washington National Records Center

Note: This schedule provides one-time only disposition authority for the specific Department of Education records listed in this records schedule. The disposition is to be applied to accession numbers listed below, located at the Washington National Records Center. This schedule **cannot** be used to provide continuing disposition authority to Department of Education records which may be located elsewhere in agency custody. This schedule does not apply to related unscheduled records located at the Department of Education.

Department of Education  
 Institutional Participation and Oversight Service

Item 1. Eligibility Certification Files, 1977 - 1996.

Accession numbers and box numbers:

Accession Numbers:	Cubic Feet:	Dates:
441-93-0279	12 cf (1 - 12)	1981-1988
441-94-0284	50 cf (1 - 50)	1978-1993
441-95-0269	50 cf (1 - 50)	1984-1993
441-95-0277	50 cf (1 - 50)	1984-1993
441-96-0268	50 cf (1 - 50)	1977-1992
441-97-0276	50 cf (1 - 50)	1982-1996
441-97-0312	115 cf (1 - 115)	1996

Description: The above seven accessions consist of records pertaining to educational institutions' application for recertification to participate in the student financial assistance (SFA) programs authorized by Title IV of the Higher Education Act of 1965 and its amendments, as well as determining and monitoring institutional compliance with the administration of the Title IV programs. The records also include documentation provided by the financial community (institutions, accreditation and state licensing agencies, guaranty agencies and lenders, and auditors) in reference to institutional participation in the Title IV programs. The records in the above accessions are from such Department of Education offices as the Institution and Lender Certification Branch, Division of Eligibility and Certification in the Office of Post-Secondary Education and the Program Compliance Branch, Division of Audit and Program Review in the Office of Student Financial Assistance.

a. *Approvals and Denials:* The records are school recertification approvals and denials. If the school is approved, the files include a program participation agreement. The files indicate that the Office of Post-Secondary Education can withdraw certification/eligibility to participate in Title IV programs if the school ceases operation, loses institutional accreditation, if the eligibility is terminated, or the school withdraws voluntarily. The files in accessions 441-95-0269 and 441-95-0277 are arranged by code number, and include internal memoranda, closed school information tracking forms, correspondence, check-off forms, grant recertification analysis sheets, and school financial statements. These 100 cubic feet are of closed/defunct schools. The records in accession 441-97-0312 are similar. Accession 441-97-0276 consists of a combination of approvals and denials of rabbinical and Jewish school recertification applications.

b. *Fines*: The records in accession 441-96-268 also pertain to the termination of the eligibility of institutions to participate in Title IV programs (Pell Grants, Supplemental Educational Opportunity Grants, College Work study, and the Guaranteed Student Loan Programs). This accession pertains to the collection of fines. The records are arranged in alphabetical order by school, and consists of correspondence, financial analysis, statements from students, and copies of student records. The fines are issued based on the institution's failure to submit audits of its administration of the Federal student financial assistance programs for specific award years in which the schools received Federal money.

c. *Litigation Case Files*: The records in accession 441-94-0284 are litigation case files, arranged in alphabetical order by institution, consisting of correspondence from attorneys, exhibits, copies of court records documenting the termination of funding to schools, the issuance of fines, and the litigation process. The exhibits include copies of Department of Education Inspector General inspection reports, financial records, and student enrollment records.

Disposition for Item 1 a, b, and c: TEMPORARY. Destroy when 15 years old.

Justification: The records in these accessions document the approval or denial of Federal refunding of, and litigation against, post-secondary schools under Title IV of the Higher Education Act of 1965 and its amendments. These records document the administrative, fiscal, and legal processes of the Department of Education in overseeing the issuance and spending of Federal money by post-secondary schools. The 15 year retention from the last year in each accession is sufficient to meet the administrative and fiscal needs of the Department.