

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of Total Disposition Items | Number of Permanent Disposition Items | Number of Temporary Disposition Items | Number of Withdrawn Disposition Items |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 Pending</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

Blueprint drawings and construction files

Disposition Authority Number **DAA-0378-2014-0013-0002**

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.

Final Disposition **Temporary**

Item Status **Pending**

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 460**

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 6 year(s) after cutoff.**

Additional Information

GAO Approval **Not Required**

1.3

Project Management Files

Disposition Authority Number **DAA-0378-2014-0013-0003**

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

Final Disposition **Temporary**

Item Status **Pending**

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 453**

Disposition Instruction

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 Pending

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 Pending

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in No

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 Pending

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 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 Pending

Is this item media neutral? Yes

4

5

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

Pending

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

| | | |
|---|---|--|
| | Item Status | Pending |
| | 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 |
| 8 | 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 | Pending |
| | 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 |
| 9 | 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 Pending

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

10

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 Pending

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

11

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 **Pending**

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 |

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|------------|--------------------------|------------------|---|--|
| 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 |