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Department of Agriculture
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[Electronic FOIA Request Form](#)

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From: Christian, Spencer - FSA, Washington, DC <Spencer.Christian@wdc.usda.gov>
Date: Tuesday, March 14, 2017
Subject: Control Number 2017-FSA-01989-F
Control Number 2017-FSA- 01989-F

This responds to your Freedom of Information Act (FOIA) request received February 6, 2017 and assigned control number 2017-FSA- 01989-F. We assigned your request control number 2017-FSA-01989-F.

Specifically, you requested a digital/electronic copy of the Records Transfer Desk Reference Guide, which is located on the internal FSA intranet site.

In response to your request, we are releasing one electronic file in PDF format to you in full.

The total cost of the processing of your request is \$20.95, calculated as follows:

½ Hour of Professional Search Time @ \$41.90 per hour

However, because we have classified your request as an other-use request, you are entitled to receive the first two (2) hours of search time without charge. Therefore, your fee for the processing of this request is \$0.00.

If you have any questions about any of the issues discussed in this letter, you may contact Spencer Christian at 202-720-0544; by fax at 202-720-4034; by email at Spencer.Christian@wdc.usda.gov; or by mail at 1400 Independence Avenue, SW, Room 4070?S, STOP 0506, Washington, DC 20250.

Sincerely,

Gwen Sparks
Deputy Director, Office of External Affairs
Farm Service Agency

Attachment

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Farm Service Agency Records Management

Records Transfer Desk Reference Guide

December 2010



For questions or assistance, contact:

Kansas City Administrative Services Branch, Information Management Section
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Farm Service Agency, Records Officer: Kevin Ramseur 202.690.1560

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FEDERAL RECORDS BACKGROUND

What is Records Management?

Information is at the center of everything the Farm Service Agency (FSA) does: strategy management, program implementation, research and development, compliance, administrative services, etc. How our Agency manages that information and the official records can directly affect our ability to provide services, comply with regulations, and recover from disaster – in other words, to operate efficiently and effectively.

Responsibilities

All Agency employees and Agency contracted employees are responsible for creating, maintaining, protecting and ensuring final disposition for our Agency records. There are consequences for destroying records prematurely. Responsibilities are outlined in the Federal Records Act, as amended and codified in [Title 44 of the U.S.C. 3101 and 3102](#). Review the [Records Management Links](#) for more information on applicable Records Statutes and Regulations.

Definition of a Record

[44 U.S.C. 3301](#) states that records are “...all books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the U.S. Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of the data in them.”

A record will clearly reflect what was communicated or decided, or what action was taken. It should be able to support the needs of the business to which it relates, and possibly be used for accountability purposes. Records and information are created, captured in some form, maintained, and ultimately destroyed or preserved for posterity.



Creation/Receipt



Maintenance and Use



Preservation and/or
Destruction

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Definition of a Non-Record

Non-record materials are U.S. Government-owned documentary materials excluded from the legal definition of records (above), either by failing to meet the general conditions of record status or by falling into one of the following categories: extra copies preserved for convenience or stocks of extra publications and excess forms (the originals are considered an official record). Examples include: information copies, routing slips, duplicate copies, extra copies, catalogs or trade journals.

When it is difficult to decide whether certain items are records or nonrecord material, please contact the [KC-MSD Records Group](#) personnel.

Records Freeze and Litigation Holds

A Record Freeze prevents destruction of temporary records by their normal disposal schedule because of special circumstances, such as a Court order or investigation. A temporary extension of the approved retention period is required.

The FSA has been operating under records retention freezes and litigation holds since 1999 due to a number of lawsuits. These involve litigations pertaining to Farm Loan Programs, Non-Credit Farm Programs, Tobacco Industry, 2005 hurricanes, and other class actions.

A litigation hold is the procedure for identifying, locating, and ensuring the retention and preservation of all documentary materials that may constitute potentially relevant evidence in pending or reasonably foreseeable litigation. Documentary materials means, collectively, records and non-records, in whatever form or format, including but not limited to, Electronic Stored Information (ESI), data, data compilations, spreadsheets, correspondence, notes, e-mails, writings, drawings, graphs, charts, photographs, sound recordings, images, and any other materials, whether original or duplicative, draft or final versions, partial or complete versions, informal or formal, internal or external, proprietary or nonproprietary.

FSA implements a litigation hold when it must suspend normal disposition actions (e.g., transfer, disposal, recycling, or destruction) related to documentary materials, and must segregate and preserve such materials because of legal, audit, or investigative needs. For further information about the Department-wide litigation hold policy, see DR 3090-001 (May 28, 2008) (<http://www.ocio.usda.gov/directives/doc/DR3090-001.pdf>). For further information on litigation holds regarding Farm Loan Programs, Non-Credit Farm Programs, see Notice AS-2157 for detailed information (http://www.fsa.usda.gov/Internet/FSA_Notice/as_2157.pdf).

Hold Requirements

The requirements of a litigation hold vary from case-to-case and depend on the nature of the claims asserted by the parties, any agreements reached by the parties, and any relevant court orders. Whatever the scope of a litigation hold, preservation must occur regardless of whether the documentary materials may ultimately be withheld as privileged or ultimately determined to be unreasonably burdensome to produce.

Litigation holds impact FSA's established management plan for both **records and non-records**. A hold generally requires that documentary materials be retained for longer periods of time than identified in the normal disposition guidance. In addition, a litigation hold is often broader than a "records freeze", that is, it requires the preservation of materials beyond those that constitute "records" as defined by the Federal Records Act.

Records Transfer Desk Reference Guide

Failure to Comply With a Litigation Hold

Failure to comply with a litigation hold can result in sanctions against the government or disadvantage the government's position in litigation. It can also result in monetary or other contempt sanctions against individuals who failed to take appropriate steps to locate and segregate materials subject to a litigation hold. In extreme cases, agency performance-based action or disciplinary sanction may be warranted under 5 U.S.C. 4301, *et seq*, or 5 U.S.C. 7501, *et seq*.

Destruction of Documentary Materials Subject to a Litigation Hold

An FSA Office shall not delete or destroy any documentary materials, whether records or non-records, that are potentially the subject of a litigation hold or record retention freeze without first obtaining clearance from the USDA Office of the General Counsel (OGC). For questions about the application of a litigation hold to records, the office should contact Kevin Ramseur, FSA-MSD, WDC (202.690.1560). For questions about the preservation of e-mails and other forms of ESI, the office should contact Sue Bussells, Deputy CIO/Director, of Information Technology Services Division (202.720.7796). When requesting guidance under this litigation hold, the FSA Office should provide a detailed description of the materials in question to the appropriate contact person. These designated contacts will consult with OGC and provide the FSA Office with guidance on the disposal or retention of the materials.

What Actions Must Be Taken

All FSA employees and contractors (at County, State, and National Office) are affected by litigation holds and shall, until further notice:

- do not destroy written documents of any sort
- retain electronically created and/or stored documents in their native format.

Example: All e-mails received must be either auto-archived or archived into personal folders.

Supervisors and managers must take steps to ensure that the hold is carried out by employees under their supervision, including issuing periodic reminders about the hold requirements.

Personally Identifiable Information (PII)

The majority of FSA files contain Personally Identifiable Information (PII) which can be used to distinguish or trace an individual's identity. Examples include: names, social security numbers, or medical records. Personally Identifiable Information also includes data that, when combined with other ID info, can be linked to a specific individual. Special considerations are required to best protect PII during record transfers. This guidance reflects appropriate handling according to Privacy Act requirements. Contact the [KC-MSD Records Group](#) if records containing PII are compromised or disclosed during transfer.

Transfer only Inactive and Closed Records

The Agency mandates the transfer of inactive and closed records to the National Archives and Records Administration (NARA), Federal Record Centers (FRC) to best preserve and maintain documentation, as well as to reduce storage in Agency offices. This is especially important since we cannot destroy any records at this time due to the records freezes. NARA operates a network of thirteen FRC's which store Federal records no longer needed to conduct current business and which will be referred to infrequently.

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We Can Get Them Back If Needed

FSA retains legal custody of our records stored at the FRC's and we can request one folder, one box or an entire transfer back by utilizing [Form OF-11](#). The FRC will return by UPS or FedEx (our authorized carriers) using overnight or ground service. The Agency will pay for this reference and shipping service. Another option is to have the FRC [SmartScan](#) our records to us through the government-secured email systems if the needed records are 30 pages or less.

Records which have been closed or cut off for 12 months should be transferred to a FRC, unless needed onsite for audits, investigations or future program services. Refer to the [FRC Listing](#) within this guide to see which facility services your State.

FRC's Are the Only Approved Storage Facilities for Our Records

FSA records may *only* be stored in NARA FRC's. They are the only approved storage facilities for our records.

FEDERAL RECORDS TRANSFERS

Agency Records Transfer Program

[U.S. Department of Agriculture regulation DR3080-001](#) requires each of its agencies to operate a program for the orderly and timely transfer of records to the NARA, FRC. Up until January 14, 2008, records transfer processing occurred through the Kansas City Management Services Division (KC-MSD). To streamline the system and reduce delays, processing can now be performed at the State level, where a State Records Liaison (SRL) will work directly with their FRC to transfer records. This will create a more efficient operation, which will enable moving larger quantities of inactive files out of the offices.

Four Categories of Records

At the FSA, we work with essentially four categories of records:

- **Temporary Records:** Records approved by NARA for destruction, either immediately or after a specified retention period as described in [Exhibits](#). The majority of Federal records are temporary. That means that, even if they are kept for 30 years, they will eventually be destroyed. These can be program and administrative in nature and exist in all formats.
- **Permanent Records:** Records determined by NARA as having sufficient historical or other value to warrant continued preservation by the Federal Government beyond the time they are needed for administrative, legal or fiscal purposes. Permanent records will eventually be accessioned (legally and physically transferred) by the [National Archives](#). Permanent Records may be program or administrative in nature and exist in all formats. FSA permanent records are identified in red throughout the [Exhibits](#).
- **Civilian Personnel Files:** Inactive civilian personnel and medical files are transferred to the National Personnel Records Center (NPRC), Civilian Personnel Records facility (1411 Boulevard, Valmeyer, IL 62295).
- **Temporary and Permanent Electronic Records:** The Agency's Electronic Records Management (ERM) program is under development. Information via the Records Management (RM) intranet webpage will be forthcoming to provide guidance. Inactive temporary and permanent electronic records will eventually be

Records Transfer Desk Reference Guide

transferred in a purely electronic manner, rather than boxed and shipped. NARA is currently developing an electronic archival system that will receive, protect, maintain and store federal electronic records. Should you have questions regarding inactive electronic records, please contact the [KC-MSD Records Group](#) for assistance.

Each type record is transferred in a different manner, according to the Federal record regulations and guidance. This ensures proper protection and usability of the record until destruction is allowed or, in the case of permanent records, forever.

Required Materials for Records Transfers

The FRC's require agencies to use specific types of materials for preparing records transfers.

Boxes are available by request from the KC Warehouse (use items #s specified). To order boxes from the warehouse, use form [FSA-159](#) from the FSA intranet forms website. Order by single boxes (example, 45 boxes). The KC Warehouse fax number is listed on the form.

- **Item #575.1 Standard-size record box** 14-3/4 x 12 x 9-1/2", (GSA #8115-00-117-8249). Boxes exceeding these dimensions will not fit on FRC shelving. Use for paper records stored in legal- or letter-size folders.
- **Item #575.2 Half-size box** (14³/₄" x 9¹/₂" x 4³/₄") used for transferring special media such as tapes or diskettes (8115-00-117-8338).
- **Item #532 Aerial Photography Boxes** (25¹/₂" x 25¹/₂" x 2³/₄") used for transferring maps. The box comes in two parts (a top and a bottom). These boxes meet with FRC shelving requirements.

Other Materials Tape, markers and newsprint are available on the www.gsaadvantage.gov website. You may also wish to purchase the following supplies to prepare your records for shipment to the FRC:

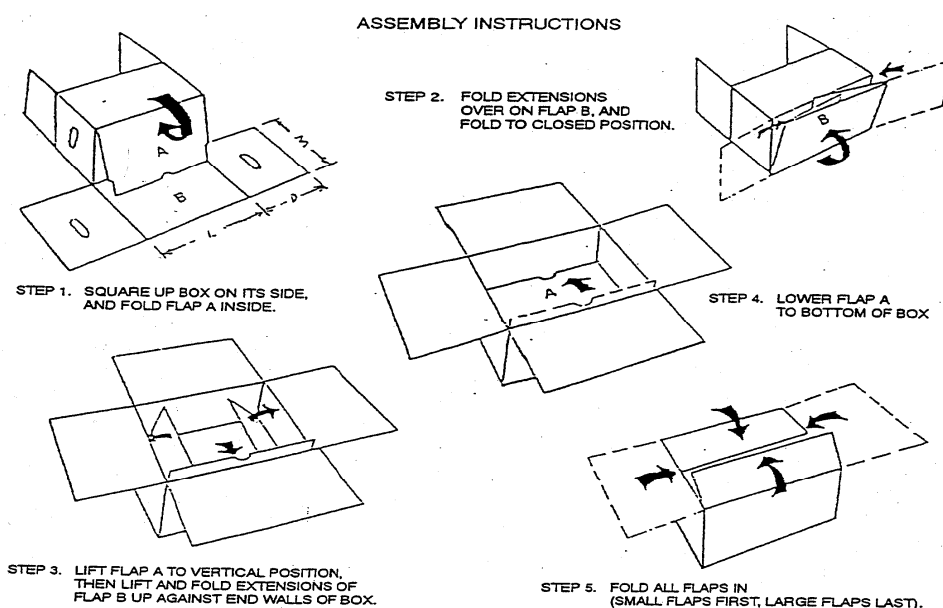
- Clear packing tape (does not obscure numbers)
- Permanent black felt-tip markers
- Blank newsprint or bagged strip-shred waste for wadding and stabilizing files within half-filled boxes
- [U.S. Government Property label](#) (see page 17 of this Guide for guidance)

Sample Label:

<p style="text-align: center;">PROPERTY OF U.S. GOVERNMENT IF FOUND, RETURN TO: USDA - Farm Service Agency ENTER YOUR SITE'S ADDRESS HERE</p>
--

Records Transfer Desk Reference Guide

Federal Records Center Box Assembly Instructions



Preparing Your Records for Transfer

Identify Records Eligible for Transfer

Once records are no longer needed to support a business function, they undergo their final disposition or retention. For temporary records, we either dispose of them in the approved manner (when no Freeze is in place) or transfer them to the Federal Records Centers for temporary storage until disposal is allowed according to approved schedules. Currently all inactive and closed records are transferred to the FRCs due to the [Records Freeze](#). Only [non-record](#) items may be destroyed.

Prepare the Records for Transfer

Preparing records for transfer is the most important step in the transfer process. The records you transfer may serve you or your successors at the Agency as the official historical record of actions, activities, or decisions that you document. Because the records may be needed to understand, evaluate, or defend those actions, the amount of time spent in preparing them will be repaid many times over if you need to retrieve records at a later date. When preparing the records for shipment, take time to organize them by doing the following:

A) Isolate Inactive Records

Isolate inactive and closed records to be transferred to ensure they are not mixed again with other records. Screen the records to remove non-record items.

Records Transfer Desk Reference Guide

B) Group the Records by Transfer

Within each Exhibit you'll find various File Types (left hand column in the Exhibits). Each row within the [Exhibits](#) represents a separate File Type. A File Type is defined as a block of records having the same Disposal Authority and same Retention (disposal date).

Grouping By File Type(s)

Group File Type records together if they meet the following requirements:

- 1) They must be within the same Exhibit #.
- 2) They must have the same Disposal Authority (rightmost or 4th column in Exhibits).
- 3) They must have the same Retention requirements (3rd column in Exhibits).

Using these parameters, many File Types are eligible to be transferred together on one SF-135. You may only have one Disposal Authority per SF-135. Refer to the [Exhibits](#) for proper grouping of records by File Type, Disposal Authority and Retention dates.

Sample Groupings by File Type, Disposal Authority and Retention

ACP, ACP 1, ACP 1-1, ACP 1-3, ACP 1-4, ACP 2, ACP 3, ACP 3-1, ACP 4, some of ACP 4-1, ACP 5-2, ACP 5-3, ACP 5-4, ACP 5-5, ACP 5-6, ACP 5-7, ACP 8, ACP 8-1, ACP 9, ACP 10, ACP 11, ACP 12, ACP 12-1, ACP 12-2, ACP 12-3, ACP 13, ACP 13-1, ACP 13-2, ACP 14, ACP 14-1, ACP 14-2, ACP 14-3, and ACP 15 may all be transferred under Disposal Authority NC1-145-79-2, Item 1a for 5 year retention.

CM 3, CM 4, CM 5, CM 6, CM 7, CM 8, CM 9, CM 10-1, CM 17, CM 18, and CM 18-1 may all be transferred under Disposal Authority NC1-145-81-4 Item 1 for 3 year retention.

Grouping Multi-Year Files That Are Past Their Retention

Many of the records ready for transfer from the State and County Offices are past their normal retention (i.e., you may transfer 2003 and prior Price Support Operations file-types that share the same disposal authority since they are past their 6 year retention). We recommend these files (in this example, 2003 and prior) be combined on a single SF-135 to save on processing charges. Again, check with your State Records Liaison or with the [KC-MSD Records Group](#) if you are unsure how to group multi-year files.

Grouping Disaster Assistance Programs together across many exhibits

You may group all Crop Disaster Program (CDP) files on one SF-135 and all Disaster Assistance Program (DAP) files on a separate SF-135. File in the boxes by year, program, and file type, then by record file. You may only group in multi-years when these records are past their retention period; otherwise, transfer by singular year spans (CY or FY).

CDP

AMLAP Apple Market Loss Assistance Payment Program, page 66

CDP Crop Disaster Program, page 74

CI Crop Insurance Program, page 81

ECP Emergency Conservation Program-Record of Natural Disasters, page 119

EFCRP Emergency Forestry Conservation Reserve Program, page 96/98 (2005/2007 Act)

FLN Florida Nursery, page 77

NAP Noninsured Crop Disaster Assistance Program, page 183

QLP Quality Loss Program, page 78

QLP-AP Quality Loss Program for Apples and Potatoes, page 78

RM Risk Management Program, page 233

RMPI Risk Management Program Integrity, page 237

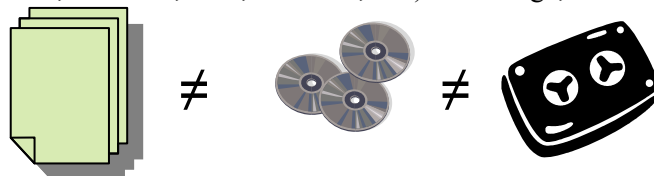
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DAP

AILFP American Indian Livestock Feed Program, page 102
CFP Cattle Feed Program, page 104
CLDAP Crop Loss Disaster Assistance Program, page 103
DAP Disaster Assistance Program, page 100
DAP/LP Disaster Assistance Programs for Livestock Producers, page 105
DDAP Dairy Disaster Assistance Program, page 101
DMLAP Dairy Market Loss Assistance Program, page 112
DRAP Disaster Reserve Assistance Program, page 113
ELAP Emergency Assistance for Livestock, Honey Bees, and Farm-Raised Fish Program, page 252 (2008 Farm Bill)
FCP Flood Compensation Program, page 103
FLRP Foundation Livestock Relief Program, page 169
LAP Livestock Assistance Program, page 102/106
LCP Livestock Compensation Program, page 104
LCP-II Livestock Compensation Program II, page 105
LFP Livestock Feed Program, page 169
LFP Livestock Forage Disaster Program, page 253 (2008 Farm Bill)
LIP Livestock Indemnity Program, page 101/254 (2008 Farm Bill)
PAD Disaster Assistance, page 203
PRP Pasture Recovery Program, page 224
SURE Supplemental Revenue Assistance Payments Program, page 250 (2008 Farm Bill)
TAP Tree Assistance Program, pages 100/249/255 (2008 Farm Bill)

C) Mixed Media

Although FRC's will accept mixed-media records (e.g. videos, cassettes, CDs, diskettes, etc.) for storage, we do not recommend this. Please contact your local FRC before transferring mixed-media records. Describe the non-paper media in item 6(f). Because mixed-media records cannot be recycled without screening, the records center will apply additional charges at the time of disposal.



D) Record Labels

Label each folder or record with a title to indicate the records it contains. If you follow two general rules in labeling folders you will be able to retrieve the exact folder you need without unnecessary confusion. First, give each folder a unique identifier. Use the Agency file plan located on the FSA intranet [Records Management webpage](#), labeling each file with the file code and the title with appropriate span of time (sample: FM:16-8 Claims - FY2001).

E) Organize and Pack the Records

If the records are paper, ensure they are in letter or legal-size folders (accordion, manila, colored or those with metal-prong fasteners). Boxes containing paper may not be accepted for transfer unless the paper records are in folders. Other media must be carefully protected and identified in cases or jackets to properly identify the records.

Group the files sequentially, such as alphabetically or numerically, in ascending order beginning with Box 1 and continuing throughout all boxes in the single transfer. Folders should be packed upright, with the letter-size folders facing the front (numbered end) of the box and legal-size folders facing the left side of the box as you face the front.

Records Transfer Desk Reference Guide

Use the proper size box when packing records. For letter and legal-size material, use standard size boxes. Use half-size boxes only special media such as tapes or diskettes. Contact the FRC for assistance in selecting the proper container for odd-size material.

Do not over pack boxes. Leave approximately one inch of space in each box for working with the files (more if interfiles will be added later). Leave all guides and tabs in the records if they will help FRC personnel service the records.

Remove metal objects such as three-ring notebooks, computer binder strips, large binder clips, etc. Recycle these items within your office. NARA will charge extra if metal objects must be removed when it is time to destroy the records. Folders that include fasteners are acceptable for transfer.

SF-135 Processing and Shipment of Records

The SF-135 contains important information about your transfer that enables the FRC to properly document, store, and service your records. The SF-135 must be sent to your records center for approval before shipping records.

SF-135s may now be submitted electronically through the processing route, which reduces mail time, saves on postage, is more secure, and allows revisions to be made in a timely manner.

At the FSA, the proper method for submission begins with the **County Records Custodian (CRC)** that works with the originating office of the records. Via email, the CRC submits an electronic SF-135 with detailed listing to their **State Records Liaison (SRL)**, who in turn submits the SF-135 via email to the Federal Records Centers. To better understand the processing flow, review the [Records Transfer Process Diagram](#).

Where to Find the SF-135

We encourage each SRL to produce an SF-135 template for their State since Items 1, 2, 3, 5 and 6g will always be the same for each transfer. Otherwise, you may access a blank MS Word [SF-135](#) from the FSA Intranet Forms webpage. Samples are available on the [FSA Records Management Webpage](#).

Processing Instructions

1

CRC: The CRC shall complete and submit an SF-135 (MS Word version), along with a detailed listing of the transfer files to the SRL for review and processing. The CRC should maintain one copy in suspense file until all actions have been completed.

Item 1: Enter the name and address of the FRC to which you are submitting records. See the [FRC listing](#) within this guide for address and contact information.

Item 2: Enter the name of the selected transferring agency official, such as the Administrative Officer or State Executive Director. We do not expect this individual to review all SF-135s for the State, but rather serve as the senior official for record matters for the State. This individual is another person to contact should there be a litigation request, lost shipment, or records-related incident.

Records Transfer Desk Reference Guide

Item 3: Provide the name, office name, address, business telephone number (including area code), and e-mail address of the State Record Liaison to contact about the records.

Sample

Jane Doe, State Records Liaison
Alabama State Farm Service Agency
4121 Carmichael Road, Montgomery, AL 36106-2872
334-279-3500, Jane.Doe@fsa.usda.gov

Item 4: Completed by the FRC.

Item 5: Provide the complete physical address of the State Office. Do not use Post Office boxes.

Items 6 a, b, and c: This three-part number comprises the transfer number (also called the accession number):

- **Item 6(a):** The FSA uses either record group 145 or 161. This number can be found in the first paragraph within each Exhibit.
- **Item 6(b):** Enter the four digits of the current fiscal year, i.e. 2010.
- **Item 6(c):** Once the FRC staff approves the SF-135, they will assign a four-digit sequential number in this column.

Item 6(d): Enter the total number of boxes included in this transfer.

Item 6(e): Enter the inclusive range of numbers (i.e., 1 of 3, 2 of 3, 3 of 3).

AGENCY BOX NUMBERS	SERIES DESCRIPTION (With inclusive dates of records)	RETEN TION
(e)	(f)	(g)
	Alabama, Joseph County Farm Service Agency POC: Jane Doe 334-643-9832 x6 FY2002 PRICE SUPPORT OPERATIONS: Loan Deficiency Payments in Numerical Order.	R
1 of 4	4-136	
2 of 4	137-301	
3 of 4	302-438	
4 of 4	439-505 and 90001 Personally Identifiable Information is included in these records.	

Item 6(f): Complete the Series Description –

1st Paragraph:

- Originator: If the records are from a county office, identify State and then County office name (i.e., Ohio, Jasper County, FSA). If from a Kansas City office, name the originating office (i.e., Kansas City Administrative Services Division / Information Management Section).

Records Transfer Desk Reference Guide

2nd Paragraph:

- Year Span: Describe the inclusive year span to include closing date of the records (i.e., FY2000-2003). State whether these are fiscal year or calendar year records. Note: You may be able to transfer by Program Year or Crop Year, if needed. Check with the KC-MSD Records Group.
- File Type: Use the exact file type name(s) as listed in the File Type column of the Exhibits. For many of the File Types there are two names, one in underlined blue font and one in black font. The name in blue font is the name of the File Type name the FRC understands these records to be according to Agency or General Record Schedules (Disposal Authorities). The name in black font is the File Type name our Agency knows these records by. List BOTH in 6(f) to prevent submission rejection and to help with legal discovery of transferred records. If you are able to send multiple file types based upon the grouping of file types described on page 9, list the name NARA needs to see (underlined and in blue) and then all names our Agency calls the file types (in black), or inclusive File Plan Codes.
- Format Type: Indicate whether non-paper-based or special formatted records, such as microfilm, engineering drawings (because of their special format), electronic media, etc. Include the format type in 6(f) (see www.archives.gov/frc/guide/codes.html for information on specific codes for non-textual record types).
- When government-wide records freezes are instituted, you must include a statement on every Standard Form 135 (SF-135), Records Transmittal and Receipt, indicating whether the records being transferred pertain to active records freezes and holds.

3rd Paragraph:

- First and Last Files: List first and last file names and coincide this information with the Agency Box Numbers in 6(e). If you have room to list the entire transfer detail on the SF-135, such as for a single box in a transfer, you may do so. Otherwise, you will need to submit the detail listing as a separate attachment in MSWord or MSeXcel format.

Item 6(g): Place the letter R in Item 6(g). We use "R" meaning restricted for all transferring Agency records since the majority of our records contain Privacy Act information. Once records become eligible for destruction we must ensure appropriate destruction procedures are performed per Privacy Act guidance.

Item 6(h): Cite the appropriate Disposal Authority listed in the Exhibits which pertain to the specific File Type(s) being transferred. You may list only one Disposal Authority per SF-135.

Item 6(i): Calculate the disposal date by adding retention time to the date the files closed (i.e., FY2001 Emergency Records that have 5 year retention will have a disposal date of 10/2006.) You may wish to utilize a disposal date calculator. Because disposal is accomplished in quarterly cycles (i.e., January, April, July, and October), advance the date to the beginning of the next calendar quarter to obtain the actual date of disposal. For example, if the ending date of your records is September 2006, and the retention period is three years, then the disposal date will be October 2009. Also indicate in this section if the records are past their normal retention date and subject to extended retention, commonly known as a "freeze" on destruction. The "freeze code" is a three-letter designation created by FRC staff to identify the freeze pertinent to the records. The FSA freeze designation is TIL (Tobacco Industry Litigation). Use TIL for disposal dates that fall in the past.

Records Transfer Desk Reference Guide

Item 6(j), 6(k), 6(l), and 6(m) are completed by FRC personnel.

SF-135A Continuation Sheets

You may use continuation sheets if the listing of multiple boxes per transfer goes beyond page one. Properly number the SF-135 to show the number of utilized sheets per accession. Delete any unused pages before submitting the request via email.

Detail Listings

A detail listing must be provided at the time you transmit your SF-135 to the Record Liaison. The listing serves to reflect exactly what records are being transferred to the Federal Records Centers. This manifest serves several purposes. Beyond good records management, the listing comes in handy in case a box is missing or is spilled in transit to understand exactly what files and types of files are affected. Due to privacy concerns, we must be able to identify precisely what information might be at risk, compromised or lost. Additionally, we utilize these listings for legal discovery which means being able to locate record(s) needed for litigation. Without the detail listings, we cannot ensure timely record identification and provision to OGC and governing authorities.

Example of Detailed List:

Alabama, Joseph County Farm Service Agency

POC: Jane Doe 334-643-9832 x6

FY 2005 PRICE SUPPORT OPERATIONS: Loan Deficiency Payments in Numerical Order

Box 1 of 3: 34, 46, 47, 48, 49, 52, 55, 59, 63, 66, 69, 72, 75, 79, 83, 99

Box 2 of 3: 101, 102, 105, 109, 115, 132, 133, 135, 153, 162, 163, 169, 198

Box 3 of 3: 302, 305, 309, 321, 322, 333, 356, 372

2

SRL: The SRL shall review and finalize the SF-135 then submit the form to the applicable Federal Records Center via email. Use the appropriate FRC "transfers" e-mail address listed on the [FRC Listing](#). You will not need to submit detailed listing attachments to the FRC. They receive these when they receive the boxes (once the CRC marks the boxes, they will place the approved SF-135 and detail listing in Box 1 of the transfer prior to shipping).

The SRL should maintain one electronic or paper copy in a filing system. For either filing system, the Kansas City [KC-MSD Records Group](#) recommends creating a taxonomy to retain the pending and final SF-135 copies, detail listings, confirmation of deliveries, and any other documents regarding the transfers.

3

FEDERAL RECORDS CENTER: The FRC will review and, if approved, assign a Transfer (Accession) number. The FRC will provide the updated SF-135 via email to the SRL, authorizing shipment of the transfer.

SF-135s FILE TAXONOMY

Federal Records Center
State
Counties
Status of SF-135

Example

Atlanta GA Federal Records Center
Alabama
Geneva County
Emailed to FRC
FY200 5 Travel
Accession # to County
145-07-0365
Final Location Received
161-07-2345

Records Transfer Desk Reference Guide

4

SRL: The SRL shall save the approved SF-135 version in their suspense file to update their files. Once done, they will forward the approved SF-135 to the CRC and direct them to mark and ship the approved transfer box (es).

5

CRC: The CRC shall finalize the boxes for transfer and ship them to the servicing FRC.
Records must be shipped within 90 days of receiving the approved SF-135.

Mark the Boxes

- After receiving the approved SF-135, write the accession number in the designated printed blocks in the upper left corner. (Find the assigned accession number on the approved SF-135 in columns 6a, 6b, and 6c.) Use a permanent black felt marker and mark numbers 1 ½" to 2" in size and add current fiscal year.
- Write the appropriate agency box number in the upper right corner of each box. Begin with box number 1, and include the total number in the accession, such as 1 of 10, 2 of 10, and so forth.
- Be sure all files **face the front of the box**. Do not over pack the boxes. Leave a 1" to 2" space in each box to allow ease of reference.
- A copy of approved SF-135 and complete detail listing in **box one** of the shipment is required.
- Place a [U.S. Government Property label](#) (template is available on the RM webpage) on the top of the box, away from the shipping label. Do not place this label on the front of the box. NARA does not want anything other than the Transfer # and the box number on the front. This effort complies with [Notice AS-2143](#) for shipping Personally Identifiable Information (PII) through Physical Transportation Systems.
- Seal the boxes with clear mailing tape.
 - Do not** put tape over the accession and box number.
 - Do not** write the accession and box number on the tape used to seal the box.

ACCESSION NUMBER	AGENCY BOX NUMBER
1 4 5 0 4	# 1 OF 5
0 0 0 1	
○	
FRONT	

Ship the Boxes:

Agencies must arrange for the shipment of their records within 90 days after receipt of the approved SF-135. If the transfer cannot be made within this period, promptly advise the FRC. Unexplained delays of more than 90 days will result in the FRC canceling the accession number. The agency will then be required to resubmit the accessioning paperwork, obtain approval for the shipment, and renumber the containers with a new accession number. Currently, NARA charges \$42.00 for each submitted SF-135. Records Liaisons and Custodians should avoid re-processing.

Inquire about shipping requirements before shipping records to any FRC. If the records are being transported a short distance by government vehicle, 50 miles or less, then the flaps of the boxes need only be

Records Transfer Desk Reference Guide

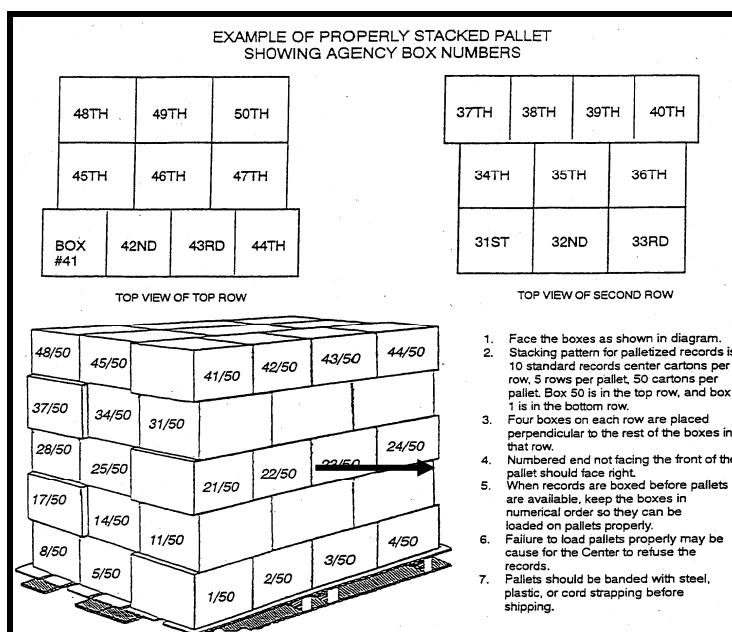
tucked in. In all other instances, especially commercial transportation or shipment via the U.S. Postal Service, the boxes must be sealed with clear packing tape.

Recommended Shipping Methods: The CRC ships the boxes to the FRC, according to guidance and with input from the SRL who might offer details on preferred shipping vendors. Currently, there are four methods for transferring agency records to the FRCs: government vehicle or government-leased vehicle; FRC courier service (if available); authorized ground shipper; and authorized freight shipper. If the boxes are shipped by government vehicle or government-leased vehicle, they must be driven by a government employee or government-contracted employee.

NOTE on Ground Shipments: To ensure your FedEx Account Number falls under the Agency's new Blanket Purchase Agreement, call **800-645-9424** to ask if your existing account has USDA as part of the account name. Having USDA as part of the account name will trigger receiving BPA discounts within their system. You can also use this # to set up new FedEx accounts.

NOTE on Freight Shipments: Though our Agency has found that it is more cost-effective to transfer via ground shipment using current BPA than freight methods, boxes may be shipped on pallets using UPS Freight or FedEx Freight. We encourage you to perform a cost analysis. Check with your servicing FRC regarding pallet requirements. Inquire about pallet stacking and the preferred order of boxes on the pallets. Pallets should be securely banded with shrink-wrap, steel, plastic, or cord strapping before shipping.

Numbering on palletized boxes represents the front of each box.



6

FEDERAL RECORDS CENTER (FRC): Once the FRC receives the boxes and the shipment is accepted, boxes will be put on shelves and location will be recorded for future reference. A signed copy of the SF-135 will be sent to you as an official receipt via email or regular mail (location numbers are no longer required on the SF-135).

Records Transfer Desk Reference Guide

Rejected Shipments:

Shipments arriving at the Federal Records Center out of order, in oversize boxes, improperly taped, or improperly marked may require extensive remedial effort and increased costs. If the issue is caught at the FRC docks at the time of delivery, they will probably be rejected and returned to the Records Custodian at the expense of the Agency. These costs will be the responsibility of the shipping Custodian's office.

7

SRL: The SRL shall retain the official and complete SF-135 (hardcopy or electronic format) for future reference and record. This must occur for proper record accountability. Refer to **Notice AS-2145** (Requirements for SF-135 Processing).

8

CRC: The CRC shall retain the final SF-135 in hardcopy or electronic format for future reference and record.

Requesting Reference Service (OF-11)

Requesting Records

You may access your agency's records by removing them on temporary loan, reviewing them on-site at the FRC, requesting photocopies or electronic scans of the records, or permanently withdrawing the records.

Most reference requests are for **temporary withdrawal** (loan) of agency records. Temporary withdrawals are returned after agency use to the records center for refiling in the FRC. **Permanent withdrawals** are removed and retained by the agency. The agency may only return permanently withdrawn whole boxes by submitting a new SF-135. These records must be submitted in new boxes with a new transfer number.

If you need to have file(s) returned, use Optional Form (OF) 11, Reference Request. Record Custodians should submit the completed OF-11 to their Record Liaison via email, who can electronically submit the form to the appropriate FRC.

When completing the OF-11, an agency must include the following information in the reference request:

1. Transfer number (formerly accession number) (Location numbers is no longer required).
2. Agency box number.
3. Folder name/number (if applicable).
4. The type of request (temporary loan, review, permanent withdrawal, photocopies, SmartScan, etc.).
5. Date.
6. Complete name, address, telephone number, and e-mail address of requestor.
7. For any records requested under the provisions of the Freedom of Information Act (FOIA), the Privacy Act, or due to congressional interest, note the applicable reason in the "Remark" section of the OF 11.

Always indicate if the records are to be permanently withdrawn. Use a separate OF-11 for each folder or box requested unless the request is for permanent withdrawal, which requires separate OF-11s only for breaks in groups of boxes or folders.

Records Transfer Desk Reference Guide

Agencies may telephone FRC's with *emergency requests*. Please note that these emergency requests are billed at a higher rate than regular requests.

Delivery of Requested Files to Agencies

In most cases, properly submitted and complete reference requests will be ready for mailing, pickup, or delivery to the agency one business day after receipt by the FRC.

Refiling

You should return your agency's files to the Federal Records Center when they are no longer needed. Write the word "REFILE" on the white copy of the OF 11 or CIPS request form that accompanied the requested file, and return it to the records center. If the OF 11 is no longer attached, provide a brief note or cover memo annotated "REFILE" and attach it to the file being returned. The memo must also include the same information that was contained on the original OF 11: transfer number and box number.

Do not refold or rebox records recalled from the FRC. They must be returned in the original folders or container to allow accurate refiling. If the box or folder is unusable for shipment, copy the accession/transfer number and box number onto the front of a replacement box.

Requesting Interfiles

Agencies may send documents or folders that were not included in the original transfer to be interfiled into that transfer at the center. The agency must provide the transfer number, charge code and box number, and correct file designation where the interfile should be filed. The FRC will contact agency customers if the new material will not fit into the original box.

Relocation of Records

Occasionally, it becomes necessary to move records within a Federal Records Center. When this happens, NARA will notify agencies of the relocation. A Notice of Transfer Location Change, ([NA Form 13016](#)), is mailed to the agency after the relocation. Following relocation, you should update your agency's file copies of SF-135s to show new location numbers for use in requesting these files in the future. For further information concerning the relocation of records, contact the FRC staff.

Permanent Records Transfer Process

Permanent Agency records are identified in Agency schedules (see [Exhibits](#) for series information and Disposition / Retention). Transfer permanent agency records to your servicing FRC. They will retain these records for 10 years then forward them to the National Archives for permanent retention. The Records Custodian should submit an SF-135 with detailed listing through the Records Liaison, who will coordinate the transfer to the FRC. Permanent records are offered to the National Archives on an annual basis; no month is shown in the Disposal Date field on the SF-135. Place "P" after the offer year.

Civilian Personnel Records: Transactions with the NPRC

[NPRC](#), located in St. Louis, Missouri, is one of the NARA's largest operations. It is a central repository of personnel-related records, both military and civil service. The personnel and medical records of separated

Records Transfer Desk Reference Guide

Federal employees are transferred to the NPRC, Civilian Personnel Records facility (1411 Boulevard, Valmeyer, IL 62295). For information in transferring these records telephone 314-801-9250. Fax material to: 314-801-9269.

SF-135s are not used for the transfer process for Civilian Personnel Records. However, it is recommended that offices prepare an SF-135 and a listing of the OPF's. Note: The SF-135 and listing will be retained by the transferring office for future reference. Retirement of individual folders is based on the date of separation and should occur within 90 to 120 days after the employee separates from Federal service. Civilian personnel records must be retired in Standard Form 66, Official Personnel Folder, or Standard Form 66C, Merged Records Personnel Folder, as appropriate. Civilian medical folders must be retired in the Standard Form 66D, Employee Medical Folder, or for Postal Service employees, the PSIN 067 Employee Medical Folder. All folders must have the name (last, first, middle initial), date of birth, and social security number on the upper right tab.

Civilian Personnel Record Transfers

The forms referenced in this section can be obtained from the following sources:

GSA <http://www.gsa.gov> (SF 66C, SF 66D, SF 127, SF 184);

GSA Advantage www.gsaadvantage.gov (SF 66); and

DTIC www.dtic.mil/whs/directives/infomgt/forms/forminfo/forminfo2309.html (DD 877-1).

Reference Requests

Authorized representatives of Federal and DoD agencies may request civilian records from NPRC. When requesting an OPF, submit Standard Form 127, Request for Official Personnel Folder, in duplicate. A separate SF 127 is required for each requested folder.

Interfiles

Agencies may send Federal employee documents to NPRC's Civilian Personnel Records Center (CPR) for interfile in the OPF. The complete name of employee, social security number, and date of birth is required to place these documents in the appropriate record.

Archives and Records Center Information System (ARCIS):

ARCIS is a new, web-based system under development by NARA. The system will serve as the online portal through which your office will do business with the FRC's.

ARCIS enables Records Managers and Custodians to:

- Conducts all transactions online – reduces paperwork.
- Expedites and track transactions electronically.
- Instant access to information about your records.
- Secure, password encryption, restricted access, ability to restrict access to certain records (example – classified).

ARCIS features:

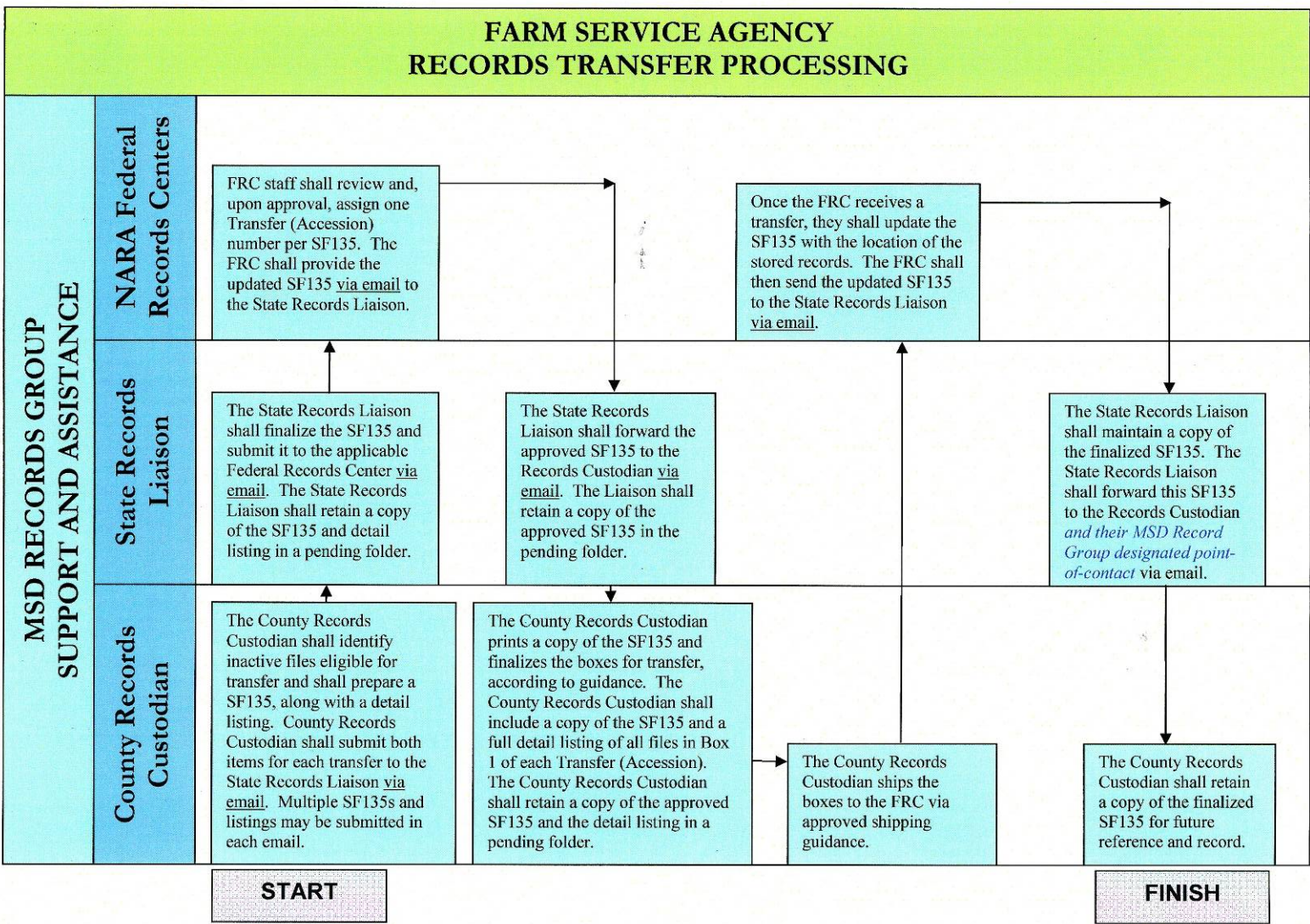
- saved profiles in the system
- address and record group will be filled in automatically each time you log in
- drop down menus provide ease in transactions
- past transactions are saved for tracking purposes
- access to information anytime, anywhere, and from any computer
- information in the system is always up-to-date.

ARCIS Manuals and Tutorials

To download the ARCIS Manuals and preview Tutorials see the following link:

<http://www.archives.gov/frc/training/>

Records Transfer Process Diagram



Sample

RECORDS TRANSMITTAL AND RECEIPT				Complete and send original and two copies of this form to the appropriate Federal Records Center for approval prior to shipment of records. See specific instructions on reverse.				PAGE 1 OF ENTER # OF PAGES					
1. TO (Complete the address for the records center serving your area as shown in 36CFR 1228.150.)				5. FROM (Enter the name and complete mailing address of the office retiring the records. The signed receipt of this form will be sent to this address.)									
Address of the Federal Records Center that services your State				UNITED STATES DEPARTMENT OF AGRICULTURE Farm Service Agency ENTER PHYSICAL ADDRESS OF STATE OR KC LOCAL OFFICE SAMPLE SF-135									
2. AGENCY TRANSFER AUTHORIZATION		TRANSFERRING AGENCY OFFICIAL (Signature and title)								DATE			
		ELECTRONIC SIGNATURE //S//								Enter Date			
		Title of Administrative Officer or State Exec Director											
3. AGENCY CONTACT		TRANSFERRING AGENCY LIAISON OFFICIAL (Name, office and telephone No.)											
		STATE FSA OFFICE OR KANSAS CITY LOCAL OFFICE ADDRESS											
		RECORDS LIAISON POC INFORMATION											
4. RECORDS CENTER RECEIPT		RECORDS RECEIVED BY (Signature and title)		DATE									
		Leave Blank		Leave Blank									
Fold line ▼													
6. RECORDS DATA													
ACCESSION NUMBER			VOLUME (cu. ft.)	AGENCY BOX NUMBERS	SERIES DESCRIPTION (With inclusive dates of records)	RESTRICTION	DISPOSAL AUTHORITY (Schedule and item number)	DISPOSAL DATE	COMPLETED BY RECORDS CENTER				
RG	FY	NUMBER							LOCATION	SHELF PLAN	CONT. TYPE	AUTO. DISP.	
(a)	(b)	(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)	(l)	(m)	
ENTER 145 or 161 AS REQUIRED ENTER CURRENT FISCAL YEAR 161	08		ENTER TOTAL # OF BOXES 4		ENTER STATE/COUNTY FARM SERVICE AGENCY OR OFFICE, COUNTY RECORD CUSTODIAN NAME AND CONTACT INFORMATION A) CALENDAR YEAR (CY) OR FISCAL YEAR (FY) & YEAR SPAN OF RECORDS B) RECORD FILE TYPE (USE TITLE BOLDED OR LISTED IN THE SUBJECT FILES OF THE EXHIBITS) C) HOW THEY ARE FILED (ALPHA, NUMERIC, ETC.) D) INCLUDE IF THE RECORDS CONTAIN PERSONALLY IDENTIFIABLE INFORMATION. EXAMPLE: Alabama, Joseph County Farm Service Agency POC: Jane Doe 334-643-9832 x6 FY 2003 and Prior PRICE SUPPORT OPERATIONS: Loan Deficiency Payments and Commodity Loan Case Files in Numerical Order.	ENTER R FOR RESTRICTED R	ENTER APPLICABLE SCHEDULE and RETENTION SPAN: USE EXHIBITS IN DESK REFERENCE GUIDE EXAMPLE: NC1-161-79-1 Item 11a 6 years	ENTER DISPOSAL DATE AND FREEZE CODE EXAMPLE: 10/2009 TIL					
					1 of 4								4-136
					2 of 4								137-301
					3 of 4								302-438
					4 of 4								439-505 and 90001
NSN 7540-00-634-4093 Previous edition usable Electronic version designed using Microsoft Word 2000 for Windows (USDA-FSA)					135-204	☆U.S. GPO: 1988-491-248/40034		Standard Form 135 (Rev. 7-85) Prescribed by NARA 36 CFR 1228.152					

Sample SF-135A

RECORDS TRANSMITTAL AND RECEIPT (Continuation)			This form is to continue listing of Records Data when space on SF 135 is not adequate. Instructions for completion of SF 135 apply.		TRANSFERRING AGENCY'S NAME ENTER STATE LIAISON'S OFFICE NAME		DATE ENTER DATE	PAGE 1	OF # PAGES
ACCESSION NUMBER			VOLUME (cu. ft.)	AGENCY BOX NUMBERS	SERIES DESCRIPTION (With inclusive dates of records)	RESTRICTION	DISPOSAL AUTHORITY (Schedule and item number)	DISPOSAL DATE	COMPLETED BY RECORDS CENTER
RG	FY	NUMBER							LOCATION
(a)	(b)	(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)
			ENTER TOTAL CF	ENTER BOX #S	ENTER ADDITIONAL TRANSFER INFORMATION	ENTER R FOR RESTRICTED OR N FOR NOT RESTRICTED			
					SAMPLE SF-135A				

NSN 7540-00-634-4093
Previous edition usable
Electronic version designed using Microsoft Word (USDA-FSA)

135-204

U.S. GPO: 1988-491-248/40034

Standard Form 135-A (Rev. 7-85)
Prescribed by NARA
36 CFR 1228.152

Sample OF-11

REFERENCE REQUEST - FEDERAL RECORDS CENTERS				NOTE: Use a separate form for each request.	
SECTION I - TO BE COMPLETED BY REQUESTING AGENCY					
ACCESSION NO. <div style="background-color: #f2f2f2; height: 20px; margin-top: 5px;"></div>		AGENCY BOX NUMBER <div style="display: flex; justify-content: space-around; align-items: center;"> <div style="width: 20px; height: 20px; border: 1px solid black; text-align: center; margin: 2px;">2</div> <div style="width: 20px; height: 20px; border: 1px solid black; text-align: center; margin: 2px;">OF</div> <div style="width: 20px; height: 20px; border: 1px solid black; text-align: center; margin: 2px;">3</div> </div>		RECORDS CENTER LOCATION NUMBER <div style="background-color: #f2f2f2; height: 20px; margin-top: 5px;"></div>	
XXX-XX-XXXX				XX/XX:XX-X-X	
DESCRIPTION OF RECORD(S) OR INFORMATION REQUESTED <div style="height: 40px; border-bottom: 1px solid black;"></div>					
<input type="checkbox"/> BOX					
<input checked="" type="checkbox"/> FOLDER (Include file number and title)					
CONTRACT NO. XXX-XX-XXXX		NAME		DATE	
REMARKS <div style="background-color: #f2f2f2; height: 20px; margin-top: 5px;"></div> AGENCY MESSENGER WILL PICK UP					
NATURE OF SERVICE					
<input type="checkbox"/> FURNISHED COPY OF RECORD(S) ONLY <input type="checkbox"/> PERMANENT WITHDRAWAL <input checked="" type="checkbox"/> TEMPORARY LOAN OF RECORD(S) <input type="checkbox"/> REVIEW <input type="checkbox"/> OTHER (Specify)					
SECTION II - FOR USE BY RECORDS CENTER					
<input type="checkbox"/> RECORDS NOT IN CENTER CUSTODY <input type="checkbox"/> RECORDS DESTROYED				REMARKS	
<input type="checkbox"/> WRONG ACCESSION NUMBER - PLEASE RECHECK <input type="checkbox"/> WRONG BOX NUMBER - PLEASE RECHECK <input type="checkbox"/> WRONG CENTER LOCATION - PLEASE RECHECK <input type="checkbox"/> ADDITIONAL INFORMATION REQUIRED TO IDENTIFY RECORDS REQUESTED <input type="checkbox"/> MISSING (Neither record(s), information nor charge card found in container(s) specified) <input type="checkbox"/> RECORDS PREVIOUSLY CHARGED OUT TO (Name, agency and date):					
		DATE		SERVICE	
				TIME REQUIRED	
				SEARCHER'S INITIALS	
SECTION III - FOR USE BY RECORDS CENTER					
NAME OF REQUESTER <div style="background-color: #f2f2f2; height: 20px; margin-top: 5px;"></div>		TELEPHONE NO. <input type="checkbox"/> FTS DATE		RECEIPT OF RECORDS	
FULL NAME		XXX-XXX-XXXX		XX-XX-XX	
NAME AND ADDRESS OF AGENCY AGENCY ORGANIZATIONAL UNIT ROOM OR STOP CODE MAILING ADDRESS CITY, STATE, ZIP CODE <small>(Include street address, building, room no., and ZIP Code)</small> →				Requester please sign, date and return this form, for file item(s) listed above, ONLY if the block to right has been checked by the Records Center. <input type="checkbox"/> <div style="display: flex; justify-content: space-between;"> SIGNATURE DATE </div>	
(In Washington, D.C. area also include STOP number)					
NSN 7540-00-682-6423 Form designed using Microsoft Word 2000 - USDA-FSA					
OPTIONAL FORM 11 (Rev. 7-87)					
NATIONAL ARCHIVES AND RECORDS ADMINISTRATION 36 CFR 1228.162					
<input type="checkbox"/> ORIGINAL - White <input type="checkbox"/> AGENCY SUSPENSE FILE COPY - Pink <input type="checkbox"/> RECORDS CHARGE OUT COPY - Buff Card Stock					

Records Transfer Desk Reference Guide

Federal Records Center (FRC) Information

Atlanta, GA (Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee)

NARA's Southeast Region

4712 Southpark Boulevard

Ellenwood, GA 30294

770-968-2100

Fax: 770-968-2547

General Transfer Address: atlanta.transfer@nara.gov

General Reference Address: atlanta.reference@nara.gov

Boston, MA (Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, and Vermont)

NARA's Northeast Region

380 Trapelo Road

Waltham, MA 02452-6399

781-663-0123

General Transfer Address: waltham.transfer@nara.gov

General Reference Address: waltham.reference@nara.gov

Chicago, IL (Illinois, Minnesota and Wisconsin)

NARA's Great Lakes Region

7358 Pulaski Road

Chicago, IL 60629-5898

773-948-9001

General Transfer Address: chicago.transfer@nara.gov

General Reference Address: chicago.reference@nara.gov

Dayton, OH (Indiana, Michigan, and Ohio)

NARA's Great Lakes Region

3150 Springboro Road

Dayton, OH 45439-1883

937-425-0672

General Transfer Address: dayton.transfer@nara.gov

General Reference Address: dayton.reference@nara.gov

Denver, CO (Colorado, Montana, New Mexico, North Dakota, South Dakota, Utah, and Wyoming)

NARA's Rocky Mountain Region

Building 48 -Denver Federal Center

Denver, CO 80225

303-407-5740

General Transfer Address: denver.transfer@nara.gov

General Reference Address: denver.reference@nara.gov

Records Transfer Desk Reference Guide

Fort Worth, TX (Arkansas, Louisiana, Oklahoma, and Texas)

NARA's Southwest Region

1400 John Burgess Drive

Fort Worth, TX 76140

817-551-2000

General Transfer Address: FtWorth.transfer@nara.gov

General Reference Address: FtWorth.reference@nara.gov

Kansas City, KS (Iowa, Kansas, Missouri, and Nebraska)

NARA's Central Plains Region

17501 W. 98th Street, Rm 47-48

Lenexa, KS 66219

913-563-7609

General Transfer Address: Lenexa.transfer@nara.gov

General Reference Address: Lenexa.reference@nara.gov

Lee's Summit, MO (New Jersey, Panama Canal Zone, New York, Puerto Rico, the U.S. Virgin Islands)

NARA's Central Plains Region

200 Space Center Drive

Lee's Summit, MO 64064-1182

816-268-8143

General Transfer Address: KansasCityCave.transfer@nara.gov

General Reference Address: LeesSummit.reference@nara.gov

Philadelphia, PA (Pennsylvania, Delaware, West Virginia, Maryland and Virginia)

NARA's Mid-Atlantic Region

14700 Townsend Road

Philadelphia, PA 19154-1025

215-305-2000

General Transfer Address: philadelphia.transfer@nara.gov

General Reference Address: philadelphia.reference@nara.gov

Riverside, CA (Arizona and Southern California)

NARA's Pacific Region

23123 Cajalco Road

Perris, CA 92570-7298

951-956-2000

General Transfer Address: perris.transfer@nara.gov

General Reference Address: perris.reference@nara.gov

San Francisco, CA (Northern California and Nevada)

NARA's Pacific Region

1000 Commodore Drive

San Bruno, CA 94066-2350

650-238-3472

General Transfer Address: SanBruno.transfer@nara.gov

General Reference Address: SanBruno.reference@nara.gov

Records Transfer Desk Reference Guide

Seattle, WA (Alaska, Guam, Hawaii (American Samoa thru Hawaii), Idaho, Oregon, and Washington)

NARA's Pacific Alaska Region

6125 Sand Point Way NE

Seattle, WA 98115-7999

206-336-5115

General Transfer Address: seattle.transfer@nara.gov

General Reference Address: seattle.reference@nara.gov

Suitland, MD Washington National Records Center

4205 Suitland Road

Suitland, MD 20746-8001

301-778-1650

Fax: 301-778-1553

General Transfer Address: suitland.transfer@nara.gov

General Reference Address: suitland.reference@nara.gov

Records Management Definitions

An **Active Record** is a record necessary to conduct the current business of an office.

Documentary materials means, collectively, records and non-records, in whatever form or format, including but not limited to, ESI, data, data compilations, spreadsheets, correspondence, notes, e-mails, writings, drawings, graphs, charts, photographs, sound recordings, images, and any other materials, whether original or duplicative, draft or final versions, partial or complete versions, informal or formal, internal or external, proprietary or nonproprietary.

File means an arrangement of records. The term is used to denote papers, photographs, photographic copies, maps, machine-readable information, or other recorded information regardless of physical form or characteristics, accumulated or maintained in filing equipment, boxes, or machine-readable media, or on shelves, and occupying office or storage space.

Freeze means there are circumstances when records are subject to an audit, investigation, or litigation which prevent them from being discarded until the audit, investigation, or litigation concludes. These situations may occur before or after the records are placed in storage. When government-wide records freezes are instituted, you must include a statement on every Standard Form 135 (SF-135), Records Transmittal and Receipt, indicating whether the records being transferred pertain to active records freezes and holds.

A **Litigation Hold** is the procedure for identifying, locating, and ensuring the retention and preservation of all documentary materials that may constitute potentially relevant evidence in pending or reasonably foreseeable litigation

National Archives of the United States means those records that have been determined by the Archivist of the United States to have sufficient historical or other value to warrant their continued preservation by the Federal Government and that have been transferred to the legal custody of the Archivist of the United States on a Standard Form 258 (Agreement to Transfer Records to the National Archives of the United States).

Non-Record Materials are those Federally-owned informational materials that do not meet the statutory definition of records (44 U.S.C. 3301) or that have been excluded from coverage by the definition. Excluded materials are extra copies of documents kept only for reference, stocks of publications and processed documents, and library or museum materials intended solely for reference or exhibit.

Records Transfer Desk Reference Guide

Permanent Record means any Federal record that has been determined by NARA to have sufficient value to warrant its preservation in the National Archives of the United States. Permanent records include all records accessioned by NARA into the National Archives of the United States and later increments of the same records, and those for which the Disposition is permanent on SF 115s, Request for Records Disposal Authority, approved by NARA on or after May 14, 1973.

Recordkeeping Requirements mean all statements in statutes, regulations, and agency directives or authoritative issuances that provide general and specific requirements for Federal agency personnel on particular records to be created and maintained by the agency.

Recordkeeping System is a manual or automated system in which records are collected, organized, and categorized to facilitate their preservation, retrieval, use, and Disposition / Retention.

Records include all books, papers, maps, photographs, machine readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations or other activities of the Government or because of the informational value of the data in them (44 U.S.C. 3301).

Records Center is defined in 44 U.S.C. 2901(6) as an establishment maintained and operated by the Archivist or by another Federal agency primarily for the storage, servicing, security, and processing of records which need to be preserved for varying periods of time and need not be retained in office equipment or space.

Records Maintenance and Use, as used in subchapter B, means any activity involving location of records of a Federal agency or the storage, retrieval, and handling of records kept at office file locations by or for a Federal agency.

Records Management, as used in subchapter B, means the planning, controlling, directing, organizing, training, promoting, and other managerial activities involved with respect to records creation, records maintenance and use, and records Disposition / Retention in order to achieve adequate and proper documentation of the policies and transactions of the Federal Government and effective and economical management of agency operations.

Records Schedule or Schedule means

- (a) An SF 115, Request for Records Disposal Authority, that has been approved by NARA to authorize the Disposition / Retention of Federal records;
- (b) A General Records Schedule (GRS) issued by NARA; or
- (c) A printed agency manual or directive containing the records descriptions and Retention instructions approved by NARA on one or more SF 115s or issued by NARA in the GRS. (See also the definition Comprehensive schedule.)

Records Storage Facility is a records center or a commercial records storage facility, as defined in this section, i.e., a facility used by a Federal agency to store Federal records, whether that facility is operated and maintained by the agency, by NARA, by another Federal agency, or by a private commercial entity.

Retention means those actions taken regarding records no longer needed for the conduct of the regular current business of the agency.

Records Transfer Desk Reference Guide

Series means file units or documents arranged according to a filing system or kept together because they relate to a particular subject or function, result from the same activity, document a specific kind of transaction, take a particular physical form, or have some other relationship arising out of their creation, receipt, or use, such as restrictions on access and use. This is also called a records series.

Temporary Records are any records which have been determined by the Archivist of the United States to have insufficient value (on the basis of current standards) to warrant its preservation by NARA. This determination may take the form of:

- (a) A series of records designated as disposable in an agency records Disposition / Retention schedule approved by NARA (Standard Form 115, Request for Records Disposal Authority); or
- (b) A series of records designated as disposable in a General Records Schedule. Unscheduled records are records the final Disposition / Retention of which has not been approved by NARA.

Unscheduled Records are those that have not been included on a Standard Form 115, Request for Records Disposal Authority, approved by NARA; those described but not authorized for disposal on an SF 115 approved prior to May 14, 1973; and those described on an SF 115 but not approved by NARA (withdrawn, canceled, or disapproved).

Records Management Links

FSA Records Management Webpage: http://fsaintranet.sc.egov.usda.gov/records_mgmt/RMMainPage.htm

General Records Schedules: www.archives.gov/records-mgmt/ardor/records-schedules.html

NARA: www.archives.gov

Various Records Statutes and Regulations

44 U.S.C. Chapter 29 (Definitions):

http://www.law.cornell.edu/uscode/html/uscode44/usc_sup_01_44_10_29.html

44 U.S.C. Chapter 31 (the Federal Records Act): <http://www.archives.gov/about/laws/#fedag>

44 U.S.C. Chapter 33 (Disposal of Records):

http://www.law.cornell.edu/uscode/html/uscode44/usc_sup_01_44_10_33.html

44 U.S.C. Chapter 35 (the Federal Information Policy): <http://www4.law.cornell.edu/uscode/44/ch35.html>

Public Law 105-277 (the Government Paperwork Elimination Act):

http://www.cio.gov/documents/paperwork_elimination_act.html

5 U.S.C. 552 (Freedom of Information Act): <http://www.gwu.edu/~nsarchiv/nsa/foia.html>

5 U.S.C. 552a (Privacy Act): www4.law.cornell.edu/uscode/5/552a.html

Office of Management and Budget Circular A-130:

<http://www.whitehouse.gov/omb/circulars/a130/a130trans4.html>

36 CFR 1228 Subpart L (Transferring Permanent Records to the National Archives):

<http://www.archives.gov/about/regulations/part-1228/l.html>

Records Transfer Desk Reference Guide

EXHIBITS

Backup, Purge, or Save Tapes/Diskettes			Exhibit 19
This exhibit covers Disposition / Retention instructions for Backup, Purge or Save tapes and diskettes and any resulting documentation.			
File Types 6(f) of SF-135	Type of Material	Retention	Disposal Authority 6(h) of SF-135
Daily State & County Backups	<p>Three or Five carefully labeled tapes are rotated nightly for daily backups.</p> <p>Some offices choose to have one of these pulled for the weekly backup tape (and then one of the weekly as a monthly), which is then taken offsite for retention. A new tape/diskette would then be utilized each time for that sequence backup.</p>	<p>All FSA offices except ND, SD, OK, MT and AL: Reinitialize and re-use each tape in sequential order. Label carefully.</p>	<p><u>OGC direction:</u> The Retention information does not apply to the five States of North Dakota, South Dakota, Oklahoma, Montana, and Alabama. For these States, save the last full backups and implement differential backups (i.e., capturing only changes made to the network drives since the last full backup of all data on the network drives). Follow OCIO and ITSD Guidance.</p>
Weekly State & County Backups	<p>Three or Five carefully labeled tapes are rotated for weekly backups.</p> <p>2-IRM (Para 172C) states to retain the last 3 weekly backups. The fourth weekly backup becomes the monthly backup. Reinitialize and re-use tapes from oldest weekly backup after fourth backup is prepared.</p> <p>6-IRM (Para 39A, page 2-14) has guidance on a weekly system backup stored off-site in a temp-controlled environment such as another Agency or Government site, a safe deposit box at a bank or commercial off-site storage facility with controlled access. It mentions that the local "fireproof" safe rated for paper documents is not considered appropriate storage for backup magnetic media."</p>	<p>All FSA offices except ND, SD, OK, MT and AL: Reinitialize and re-use each tape as directed in 2-IRM and 6-IRM. Label carefully.</p>	<p><u>OGC direction:</u> The Retention information does not apply to the five States of North Dakota, South Dakota, Oklahoma, Montana, and Alabama. For these States, save the last full backups and implement differential backups (i.e., capturing only changes made to the network drives since the last full backup of all data on the network drives). Follow OCIO and ITSD Guidance.</p>

Records Transfer Desk Reference Guide

Backup, Purge, or Save Tapes/Diskettes			Exhibit 19
This Exhibit covers Retention instructions for Backup, Purge or Save tapes and diskettes and any resulting documentation.			
File Types 6(f) of SF-135	Type of Material	Retention	Disposal Authority 6(h) of SF-135
Monthly State & County Backups	2-IRM (Para 172C) states to keep the last 2 monthly backups. The AS400/S36 guide states:		OGC direction: The Retention information does not apply to the five States of North Dakota, South Dakota, Oklahoma, Montana, and Alabama. For these States, save the last full backups and implement differential backups (i.e., capturing only changes made to the network drives since the last full backup of all data on the network drives). Follow OCIO and ITSD Guidance.
Files:	Files must be backed up once a month. Generally one of the weekly backups will serve this purpose.	Retain 2 monthly backups. Reinitialize and re-use tape once retention is satisfied.	
Folders:	Folders files must be backed up once a month.	Retain 2 monthly backups and folder backup (if it’s not on the monthly backup). Reinitialize and re-use tape once retention is satisfied.	
Libraries:	Libraries must be backed up once a month.	Retain the most recent 3 monthly backups and the most recent library backup (if it’s not on the monthly backup). Reinitialize and re-use tape once retention is satisfied.	
IBMSave:	Perform an IBMSave at least once a month, whenever the S36 configuration is changed, whenever system passwords are changed, and when #LIBRARY has been updated.	Retain last two monthly backups in addition to the most recent “special” IBM save (until replaced by a monthly IBM save). Reinitialize and re-use tape once retention is satisfied.	
AS400:	Was previously performed quarterly; however the AS400/S36 Guide states to backup monthly.	Retain the last two full system backups. Reinitialize and re-use once retention is satisfied.	
NOTE: At a minimum, the most recent monthly file, folder, library, IBMSave and full AS400 backup MUST be kept offsite. Also keep any special application offsite if required by the specific backup instructions. Any other backups may also be kept offsite if storage space permits.			

Records Transfer Desk Reference Guide

Backup, Purge, or Save Tapes/Diskettes			Exhibit 19
This Exhibit covers Retention instructions for Backup, Purge or Save tapes and diskettes and any resulting documentation.			
File Types 6(f) of SF-135	Type of Material	Retention	Disposal Authority 6(h) of SF-135
Special Program Backups/Purges/Saves	2-IRM Para. 172C states to keep backups prepared for specific applications according to applicable program handbooks or notices.		
Accounting History Files Purge: 1-FI, Para. 278-279. RG 145: Accounting Administrative Files	<u>A.AN.MST backup tape:</u>	Retention is not listed in 1-FI. Recommend label and send offsite for 18 months with the purge tape then transfer for a 3 year retention.	GRS 6 Item 5b
	<u>A.AN.ARC purge tape:</u>	This is the purged file once A.AN.MST is performed. Retain offsite for 18 months then transfer to FRC for a 3 year retention.	
	<u>ASK520-R001</u>	Printed report generated once the A.AN.MST is purged. Retain AZK520-R001 in a file onsite until no longer needed and transfer to the Federal Records Center under GRS 6 Item 5b for a 3 year retention.	
Assignment/Joint Payment Master and Assignment Payment History Files: 63-FI FM 17-3, Exhibit 41 in 25-AS and the Records Transfer Guide. RG 145: Accounting Administrative Files	Since assignments and joint payment records are maintained in the centralized data base supporting Financial Services, servicing County Offices will no longer need to periodically purge their files of assignment and joint payment history records. However, servicing County Offices shall keep the previously created:		
	<u>A.AZ.100 and A.AZ.200 backup tapes:</u>	Send offsite for 18 months with the purge tape, then transfer to FRC for a 3 year retention.	

Records Transfer Desk Reference Guide

Backup, Purge, or Save Tapes/Diskettes			Exhibit 19
This Exhibit covers Retention instructions for Backup, Purge or Save tapes and diskettes and any resulting documentation.			
File Types 6(f) of SF-135	Type of Material	Retention	Disposal Authority 6(h) of SF-135
<u>Assignment/Joint Payment Master and Assignment Payment History Files: (cont'd)</u> RG 145: Accounting Administrative Files	<u>A.AZ.ARC purge tape:</u>	Send offsite for 18 months.	GRS 6 Item 5b
	<u>Detail Report of Purged Assignment/Joint Payments Records:</u>	Retain AZK520-R001 in a file onsite until no longer needed and transfer to the Federal Records Center under GRS 6 Item 5b for a 3 year retention.	
	<u>A.AG.HST and A.AG.MST backup tapes:</u>	Retention is not listed in 1-FI. Recommend label and send offsite for 18 months with the purge tape then transfer to FRC for a 3 year retention.	
<u>Cash Receipts History: 3-FI, Para. 95</u> RG 145: Accounting Administrative Files	<u>A.AG.ARC purge tape:</u>	This is the purged file once A.AG.HST is performed. Retain offsite for 18 months then transfer to FRC for a 3 year retention..	
	<u>Detail Report of Purged Cash:</u>	3-FI states to keep this report for 18 months. Retain this with the tapes and transfer to the FRC for a 3 year retention..	
<u>CCC Conservation FY Rollover Save: 2-CONSV, Para 623F</u> RG 145: Conservation Reserve Program	<u>File Backup:</u>	Retain the file backup performed during FY rollover for at least 90 days, then transfer to FRC for 5 year retention.	N1-145-88-1 Item 1a
	<u>GRP 4-2 Ledger Reports (EEG235-R003, EEG330-R001 and faxed EEB460-R001s:</u>	Retain these reports for 5 Years. Transfer to the FRC when no longer needed for a 5 year retention.	

Records Transfer Desk Reference Guide

Backup, Purge, or Save Tapes/Diskettes			Exhibit 19
This Exhibit covers Retention instructions for Backup, Purge or Save tapes and diskettes and any resulting documentation.			
File Types 6(f) of SF-135	Type of Material	Disposition / Retention	Disposal Authority 6(h) of SF-135
Claims History Files: 64-FI, Para. 988-990, 1008-1009 Accounting Administrative Files	<u>A.AU.005 and A.AU.300 backup tapes:</u>	Recommend label and send offsite for 1 year with the purged tapes then transfer to the FRC for a 3 year retention.	GRS 6 Item 5b
	<u>A.AV.LCF and A.AV.HST purge tapes:</u>	These are the purged files created once A.AU.005 and A.AU.300 are performed. Retain offsite for 1 year then transfer to the FRC for a 3 year retention.	
Common Receivables and Receivables Producer Histories: 67-FI, Para. 572 and 573. Accounting Administrative Files	<u>A.AQ.HST and A.AQ.PDR backup tapes:</u>	67-FI states to retain the backup tape until the next purge of the receivables history records, however we recommend labeling and sending offsite for 18 months with the purged tape then transfer to the FRC for a 3 year retention.	
	<u>A.AQ.ARC purge tape:</u>	This is the purged file once A.AQ.HST is performed. Retain offsite for 18 months then transfer to the FRC for a 3 year retention.	
Conservation Reserve Program: 1-CRP Para 772; 25-AS, Exhibit 19 RG 145: Conservation Reserve Program	<u>A.EP.C48 / A.EP.C68 backup and purge tapes:</u>	Though 1-CRP utilizes the words “permanent history record” on page 775 on the system screen example, and also states that they should be retained for 2 Fiscal Years following the fiscal year of removal, these backup tapes and diskettes should be transferred to the FRC when no longer needed for a 5 year retention based on the Freeze.	NC1-145-88-1 Item 1a

Records Transfer Desk Reference Guide

Backup, Purge, or Save Tapes/Diskettes			Exhibit 19
This Exhibit covers Retention instructions for Backup, Purge or Save tapes and diskettes and any resulting documentation.			
File Types 6(f) of SF-135	Type of Material	Retention	Disposal Authority 6(h) of SF-135
Conservation Reserve Program: 1-CRP Para 772; 25-AS, Exhibit 19 (cont'd) RG 145: Conservation Reserve Program	<u>Printed Reports:</u>	Three reports are generated when these purges occur. These reports fall under CRP-2 in the Records Transfer Guide Exhibits (as well as 25-AS) and have 5 year retention. These reports should be transferred to the FRC when no longer needed.	NC1-145-88-1 Item 1a
	<u>S.EH.245, S.EC.259, S.EM.305 and T.EU.TBL file RES</u> <u>Conservation FY Rollover Save: (may have been called A.EC.259 in years past).</u>	Retain the following backups for at least 90 days on C tape. C tape containing the T.EU.TBL file and C tape cartridge of each county's files generated according to paragraph 842. These tapes should be transferred to the FRC when no longer needed.	
Conservation Reporting and Evaluation System (CRES) Save: 1-CONSV, Para 856b. RG 145: Conservation Reserve Program	<u>Reports: Sequential Ledger Report EEA425-R007, Sequential LTA Contract / Agreement Report EEA425-R008, and An Allocation Reduction Report EEA460-R001</u>	Three reports will print after the SAVE is performed. These tapes should be transferred to the FRC when no longer needed.	GRS 6 Item 5b
	<u>A.AD.LOG backup tape:</u>	Retention is not listed in 1-FI. Recommend label and send offsite for 18 months with the purge tape then transfer to FRC for a 3 year retention.	
Data Control System History Purge: 6-FI, Para 26. Accounting Administrative Files			

Records Transfer Desk Reference Guide

Backup, Purge, or Save Tapes/Diskettes			Exhibit 19
This Exhibit covers Retention instructions for Backup, Purge or Save tapes and diskettes and any resulting documentation.			
File Types 6(f) of SF-135	Type of Material	Retention	Disposal Authority 6(h) of SF-135
Data Control System History Purge: 6-FI, Para 26. (cont'd) Accounting Administrative Files	<u>A.AD.PRg purge tape:</u>	This is the purged file once A.AD.LOG is performed. Retain offsite for 18 months then transfer for a 3 year retention.	GRS 6 Item 5b
	<u>IRS History Files: 62-FI, Para. 34.</u> RG 145: Producer Payments Reporting Records	County Offices shall purge the IRS history file after transmitting the correct files to the State Office. 62-FI explains to keep the purge of the IRS History File in the County Office for 6 years from the purge date. Transfer the tapes to the FRC when no longer needed for six year retention. NOTE: Schedule is only for three year retention, however administratively close the date of the tape to fulfill the 6 year requirement. (i.e., tape made 12/31/06, admin closed 12/31/09, disposal date 01/2013.)	
Price Support History Tapes/Diskettes 12-PS, Para. 1731 and Records Transfer Guide Exhibit 48 RG 161: Price Support Operations	<u>A.PK.205 / A.PK.208 backup tapes:</u>	These are Price Support loan and non-loan program history recorded on tapes or diskettes. Though 12-PS Para. 1731 utilizes the words "permanent history record" on page 561 on the system screen example, these backup tapes are not permanent but temporary records. Once the tapes are made DO NOT reinitialize for any reason. Store A.PK.205 backup onsite and store A.PK.208 duplicate backup offsite. Send tapes/diskettes to the FRC when no longer needed onsite.	NC1-161-79-1 Item 11a

Records Transfer Desk Reference Guide

Backup, Purge, or Save Tapes/Diskettes			Exhibit 19
This Exhibit covers Retention instructions for Backup, Purge or Save tapes and diskettes and any resulting documentation.			
File Types 6(f) of SF-135	Type of Material	Retention	Disposal Authority 6(h) of SF-135
Production Adjustment: (as listed in the AS400 / S36 Guide) Farm Records	<u>PA Transaction Log Save</u> <u>A.MX.TRS:</u>	Although not found in a Handbook, the AS400 / S36 Guide states that the transaction log save is performed automatically on the first workday of the calendar year and the first workday in June. This save provides an audit trail of several applications on the system. The save used to be for workload but is no longer. The file is saved to tape as A.MX.TRS and shall be retained for six years. The Guide does not say whether to keep this save onsite or off. Transfer to FRC when no longer needed for 5 year retention.	NC1-145-79-2 Item 6a
Subsidiary File Rollover File Savers: 2-PL, Para 5b. Accounting Administrative Files	<u>Pre-rollover Save on Tape:</u>	2-PL explains to keep the subsidiary backup tape for 6 months. The handbook does not say to keep onsite or off. Transfer when inactive to FRC for 3 year retention.	GRS 6 Item 5b

Records Transfer Desk Reference Guide

Backup, Purge, or Save Tapes/Diskettes			Exhibit 19
This Exhibit covers Retention instructions for Backup, Purge or Save tapes and diskettes and any resulting documentation.			
File Types 6(f) of SF-135	Type of Material	Retention	Disposal Authority 6(h) of SF-135
<u>T&A System Backups from PC-TARE:</u> (Notice AS-2140)	<u>3.5 inch Backup Diskettes:</u> Destroy	immediately. PC-TARE was replaced several years ago by the System for Time and Attendance Reporting (STAR). Former procedure for PC-TARE required storing copies of T&A data by pay period on diskettes. Since the official record copy of T&A data is paper, these nonrecords diskettes are approved for destruction. Special disposal is required according to the Privacy Act (5 USC 552a) because T&A data contains personally identifiable information (PII) such as names and Social Security numbers.	
<u>Zip + 4 Update Tape:</u> Accounting Administrative Files	<u>Backup Tape:</u>	The AS400 / S36 System Operations Guide states that this Save is performed after downloading an update to the ZIP + 4 records. The Save is to be retained OFFSITE for 3 months then transfer to the FRC for a 3 year retention.	GRS 6 Item 5b
	NOTE: This requirement has not been identified in any National Level Handbook. If someone knows where this is, please advise the KC-MSD Records Group .		

Records Transfer Desk Reference Guide

Agricultural Conservation Program Files (Inactive)			Exhibit 20
This exhibit covers cost-share assistance to farmers and ranchers in carrying out measures to prevent soil loss from wind and water erosion solve water conservation and water quality problems, conserve wildlife, and preserve forest resources. File materials about CRP, ECP, FIP, RCWP, and WBP under their respective exhibits. Color Code is yellow. Block 6(a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
ACP Agricultural Conservation Program	General material about ACP too broad to be filed under 1 of the more specific files types in this exhibit.	Destroy these files when 5 years old.	NC1-145-79-2 Item 1a
ACP 1 Program Development Agricultural Conservation Program	Correspondence about the development of the program, including objectives, funding allocation, cost-share limitations, approved practices, and data used in preparing the county ACP handbook, including the computer-generated county eligibility status list.		
ACP 1-1 State and National Plans Agricultural Conservation Program	Correspondence about the development of State and national program recommendations as described in plans, guidelines, and State handbook, and other policy documents. This includes materials about the role of the national, State, and county program development groups.		

NOTE: This program is inactive. All 10-year contracts should be complete and closed. Transfer all ACP records immediately.

Records Transfer Desk Reference Guide

Agricultural Conservation Program Files (Inactive)			Exhibit 20
This program covers cost-share assistance to farmers and ranchers in carrying out measures to prevent soil loss from wind and water erosion solve water conservation and water quality problems, conserve wildlife, and preserve forest resources. File materials about CRP, ECP, FIP, RCWP, and WBP under their respective exhibits. Color Code is yellow. Block 6(a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
ACP 1-2 County Plans Directives	Copy of the county plan and handbook and essential correspondence about their preparation, clearance, and final approval.	Destroy 5 years after superseded or obsolete. Permanent. Transfer this copy to FRC when 5 years old.	N1-145-95-1 Item 1a
	Keep the master copy and other reference copies of the county handbook in binders on open shelves.	Destroy these copies when no longer needed for reference.	
	State Offices shall designate 1 final published copy, including amendments, of each State and county handbook for permanent retention.	Permanent. Transfer this copy to FRC when 5 years old.	N1-145-95-1 Item 1a
ACP 1-3 Annual Program Review Agricultural Conservation Program	Program year review of the accomplishments and effectiveness of the county ACP plans.	Destroy these files when 5 years old.	NC1-145-79-2 Item 1a
ACP 1-4 Practice Specifications Agricultural Conservation Program	Correspondence about technical specifications for practices and materials authorized for use in ACP projects. This includes practices developed at all levels of FSA, special practices, and practices for which FS or SCS developed the technical specifications.		

Records Transfer Desk Reference Guide

Agricultural Conservation Program Files (Inactive)

Exhibit 20

This exhibit covers cost-share assistance to farmers and ranchers in carrying out measures to prevent soil loss from wind and water erosion solve water conservation and water quality problems, conserve wildlife, and preserve forest resources. File materials about CRP, ECP, FIP, RCWP, and WBP under their respective exhibits. Color Code is yellow. **Block 6(a) of SF-135 is RG 145**

File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
ACP 2 Interagency Cooperation Agricultural Conservation Program	Correspondence about cooperation between the County Office and other Federal and State agencies, such as the State Forestry Department and FS. This includes memoranda of understanding with soil conservation districts.	Destroy these files when 5 years old.	NC1-145-79-2 Item 1a
ACP 3 Reports and Statistics Agricultural Conservation Program	Reports covering all subjects included under this exhibit that cannot be filed under one of the more specific file types in this exhibit. Subdivide these files as necessary. File voluminous computer printouts in binders on open shelves.		
ACP 3-1 Special Projects Reports Agricultural Conservation Program	Periodic reports on the progress and status of special projects.		
ACP 4 Program Control Agricultural Conservation Program	Correspondence about the control of program activities and funds.		
ACP 4-1 County Allocation Control Ledger Agricultural Conservation Program	The sequential ledger entry report, the detailed ledger used to control program funds, the sequential LTA Contracts/Agreements Report, and related correspondence. Subdivide these files as necessary for programs and projects covered under this subject.	Destroy 5 years after expiration of agreement Long Term Agreements (LTA) Destroy 5 years after expiration of agreement	NC1-145-79-2 Item 1a NC1-145-79-2 Item 1b1

Records Transfer Desk Reference Guide

Agricultural Conservation Program Files (Inactive)			Exhibit 20
This exhibit covers cost-share assistance to farmers and ranchers in carrying out measures to prevent soil loss from wind and water erosion solve water conservation and water quality problems, conserve wildlife, and preserve forest resources. File materials about CRP, ECP, FIP, RCWP, and WBP under their respective exhibits. Color Code is yellow. Block 6(a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
ACP 4-1 County Allocation Control Ledger (Continued) Agricultural Conservation Program	The sequential ledger entry report, the detailed ledger used to control program funds, the sequential LTA Contracts/Agreements Report, and related correspondence. Subdivide these files as necessary for programs and projects covered under this exhibit.	Annual Agreements (ANA): Destroy 5 years after practice is completed.	NC1-145-79-2 Item 1b2
		Contracts, land control payment documents and related records (Case Files): Destroy 5 years after expiration of contract plus the period of extended protection where applicable.	NC1-145-79-2 Item 1c
ACP 4-2 Control Technical Services Referrals Agricultural Conservation Program	FSA-332's automated/non-automated and other correspondence about the control of referrals to SCS and other Agencies.	Destroy these files when 5 years old.	NC1-145-79-2 Item 1b1
ACP 4-3 SCS Transfer of Funds Agricultural Conservation Program	Correspondence about the transfer of funds to SCS for technical assistance.		
ACP 5 Cost-Share Requests (ANA's) Agricultural Conservation Program	General correspondence about requests for cost-sharing under annual agreements too broad to be appropriately filed under 1 of the more specific file types in this exhibit.	Destroy these files when 5 years old.	NC1-145-79-2 Item 1b2
ACP 5-1 Pending COC Consideration Agricultural Conservation Program	ACP-245's received in the County Office but not yet reviewed by COC.	Move to appropriate file after COC review.	

Records Transfer Desk Reference Guide

Agricultural Conservation Program Files (Inactive)			Exhibit 20
This exhibit covers cost-share assistance to farmers and ranchers in carrying out measures to prevent soil loss from wind and water erosion solve water conservation and water quality problems, conserve wildlife, and preserve forest resources. File materials about CRP, ECP, FIP, RCWP, and WBP under their respective exhibits. Color Code is yellow. Block 6(a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
ACP 5-2 Deferred Requests Agricultural Conservation Program	Requests for cost-sharing deferred to a future date.	Destroy these files when 5 years old.	NC1-145-79-2 Item 1a
ACP 5-3 Pending Needs Determination Agricultural Conservation Program	Requests pending determination of need and feasibility by technician. This includes copies of AD-862's forwarded to technical agencies.		
ACP 5-4 Pending Soil Test Results Agricultural Conservation Program	Requests pending receipt of soil test results.		
ACP 5-5 Pending Additional Information Agricultural Conservation Program	Requests pending receipt of additional information of documentation not specified elsewhere in this exhibit.		
ACP 5-6 Pending Reports of Performance Agricultural Conservation Program	Requests pending report from producer on ACP-245 page 2, and certification by FS or SCS on AD-862 that practices approved by COC have been completed and payment is due.		
ACP 5-7 Pending Payment Agricultural Conservation Program	Requests pending issuance of check to producer and entry on the automated ledger report. Issue checks as soon as possible after completion certification by producer and technical agency, if applicable.		
ACP 5-8	Reserved		

Records Transfer Desk Reference Guide

Agricultural Conservation Program Files (Inactive)			Exhibit 20
This exhibit covers cost-share assistance to farmers and ranchers in carrying out measures to prevent soil loss from wind and water erosion solve water conservation and water quality problems, conserve wildlife, and preserve forest resources. File materials about CRP, ECP, FIP, RCWP, and WBP under their respective exhibits. Color Code is yellow. Block 6(a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
ACP 5-9 Appeals Pending Agricultural Conservation Program	Appeals by individual producers of COC Disposition of their request for cost-sharing (ANA) pending reconsideration by COC.	Destroy these files when 5 years old.	NC1-145-79-2 Item 1b2
ACP 5-10 Participant Folders Agricultural Conservation Program	Individual farm folders containing all correspondence about the participation of the farm in ACP and the approval of and payment for request cost-sharing practices.	Destroy these files 10 years after practice is completed for practices with a 10-year lifespan. Destroy these files 5 years after practice is completed for practices with a 5-year or less lifespan.	NC1-145-79-2 Item 1c Note: Indicate on the SF-135 whether the records are 5 year or 10 year contracts and calculate the disposal dates accordingly. Send 5 year and 10 year files on separate SF-135s.
	Disapproved or canceled requests.	Destroy these files when 5 years old.	NC1-145-79-2 Item 1a

Records Transfer Desk Reference Guide

Agricultural Conservation Program Files (Inactive)			Exhibit 20
This exhibit covers cost-share assistance to farmers and ranchers in carrying out measures to prevent soil loss from wind and water erosion solve water conservation and water quality problems, conserve wildlife, and preserve forest resources. File materials about CRP, ECP, FIP, RCWP, and WBP under their respective exhibits. Color Code is yellow. Block 6(a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
ACP 6 Cost-Share Requests (LTA's) Agricultural Conservation Program	General correspondence about requests for cost-sharing under long-term agreements too broad to be appropriately filed under 1 of the more specific file types in this exhibit.	Destroy these files when 5 years old.	NC1-145-79-2 Item 1b1
ACP 6-1 Pending COC Consideration Agricultural Conservation Program	ACP-310's and related ACP-245's received in the County Office and pending a priority rating and review by COC.	Move to appropriate folder after COC reviews.	
ACP 6-2 Register of Requests	ACP-312's for LTA's.	Destroy these files when 5 years old.	NC1-145-79-2 Item 1b1
ACP 6-3 LTA's Pending Conservation Plan of Operations	ACP-310's pending conservation plan of operations.	File with SCS-CPA-011 in ACP 6-4.	
ACP 6-4 Agreement Folders Agricultural Conservation Program	File individual farm folders containing all correspondence about the participation of the farm in LTA and the approval of the payment for requested cost-sharing practices. This includes ACP-311's, ACP-245's, ACP-310's, SCS-CPA-011's, AD-862's, and related correspondence. Maintain original copy of ACP-311 in custody file.	Destroy these files 5 years after the expiration of agreement or after the completion of the practice lifespan of all practices, whichever is later.	NC1-145-79-2 Item 1b1
	Disapproved, canceled, or terminated requests.	Destroy these files when 5 years old.	

Records Transfer Desk Reference Guide

Agricultural Conservation Program Files (Inactive)			Exhibit 20
This exhibit covers cost-share assistance to farmers and ranchers in carrying out measures to prevent soil loss from wind and water erosion solve water conservation and water quality problems, conserve wildlife, and preserve forest resources. File materials about CRP, ECP, FIP, RCWP, and WBP under their respective exhibits. Color Code is yellow. Block 6(a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
ACP 6-5 Appeals Pending Agricultural Conservation Program	Appeals by individual producers of COC Disposition of their cost-share request (LTA) pending reconsideration by COC.	Destroy these files when 5 years old.	NC1-145-79-2 Item 1b1
ACP 7 Pooling Agreement Folders Agricultural Conservation Program	Individual folders for each pooling agreement containing ACP-153's, ACP-245's, AD-862's, and related correspondence.		
ACP 8 Environmental Quality Control Agricultural Conservation Program	Correspondence about the effect of ACP on the environment and measures taken to maintain and improve environmental quality.	Destroy these files when 5 years old.	NC1-145-79-2 Item 1a
ACP 8-1 Environmental Impact Statements Agricultural Conservation Program	Copies of environmental impact statements for ACP projects and related correspondence.		
ACP 9 Naval Stores Conservation Program Agricultural Conservation Program	Correspondence and other records about the conservation of such naval stores as gum, turpentine, and pitch.		
ACP 10 New Program Development Agricultural Conservation Program	Other conservation program development files not covered in this exhibit or Exhibits 21 through 66. Subdivide these files by program name.		

Records Transfer Desk Reference Guide

Agricultural Conservation Program Files (Inactive)

Exhibit 20

This exhibit covers cost-share assistance to farmers and ranchers in carrying out measures to prevent soil loss from wind and water erosion solve water conservation and water quality problems, conserve wildlife, and preserve forest resources. File materials about CRP, ECP, FIP, RCWP, and WBP under their respective exhibits. Color Code is yellow. **Block 6(a) of SF-135 is RG 145**

File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
ACP 11 Special Projects Agricultural Conservation Program	Correspondence about special projects undertaken in designated geographical areas in the county.	Destroy these files when 5 years old.	NC1-145-79-2 Item 1a
ACP 12 SCS Programs and Projects Agricultural Conservation Program	Correspondence about SCS-operated conservation projects in which FSA may have an interest and receive reports and other papers from SCS.		
ACP 12-1 Watershed Program Agricultural Conservation Program	Watershed Program plan of work and related correspondence.		
ACP 12-2 Resource Conservation and Development Projects Agricultural Conservation Program	Correspondence about resource conservation and development projects.		
ACP 12-3 GPCP Agricultural Conservation Program	Correspondence about GPCP.		
ACP 13 Rural Development Agricultural Conservation Program	Correspondence about FSA's role in interagency rural development planning and committees.		
ACP 13-1 Minutes Agricultural Conservation Program	Minutes of county rural development meetings.		
ACP 13-2 Reports Agricultural Conservation Program	Reports about interagency rural development activities. Subdivide these files as necessary.		

Agricultural Conservation Program Files (Inactive)			Exhibit 20
This exhibit covers cost-share assistance to farmers and ranchers in carrying out measures to prevent soil loss from wind and water erosion solve water conservation and water quality problems, conserve wildlife, and preserve forest resources. File materials about CRP, ECP, FIP, RCWP, and WBP under their respective exhibits. Color Code is yellow. Block 6(a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
ACP 14 Water Quality Projects Agricultural Conservation Program	General correspondence and materials about the water quality projects funded under ACP.	Destroy these files when 5 years old.	NC1-145-79-2 Item 1a
ACP 14-1 Water Quality Special Projects Agricultural Conservation Program	Correspondence and materials about the 1-year WQSP's designed to improve water quality and help solve problems caused by agricultural nonpoint source pollution of ground and surface water.		
ACP14-2 Demonstration Projects Demo's Agricultural Conservation Program	Correspondence and materials about the demonstrations that are intended to accelerate adoption of water quality technology in the demonstration areas.		

Agricultural Conservation Program Files (Inactive)			Exhibit 20
This exhibit covers cost-share assistance to farmers and ranchers in carrying out measures to prevent soil loss from wind and water erosion solve water conservation and water quality problems, conserve wildlife, and preserve forest resources. File materials about CRP, ECP, FIP, RCWP, and WBP under their respective exhibits. Color Code is yellow. Block 6(a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
ACP 14-3 Hydrologic Units Agricultural Conservation Program	Correspondence and materials about improvement of water quality in identified agricultural areas.	Destroy these files when 5 years old.	NC1-145-79-2 Item 1a
ACP 15 Water Quality Incentive Projects (WQIP) Agricultural Conservation Program	Correspondence and materials about WQIP that provide incentive payments to achieve the source reduction of agricultural pollutants to enhance and protect surface and ground water quality, ACP-151's, State WQIP Status Reports, and the Water Quality Resource Management plans. Subdivide as needed.		

Average Crop Revenue Election (ACRE)**Exhibit 20.1**

This exhibit covers the ACRE program which provides a safety net based on State revenue losses and acts in place of the price-based safety net of counter-cyclical payments under DCP. Authorized by the 2008 Farm Bill (Food, Conservation and Energy Act of 2008). Color Code is goldenrod.

Block 6(a) of SF-135 is RG 145

File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
ACRE Average Crop Revenue Election (ACRE) 2007-2012	General material about ACRE too broad to be filed under 1 of the more specific file types in this exhibit.	Retain until Disposition is authorized.	Disposition Unauthorized.
ACRE 1 Program Development	Correspondence about the development of the program, including objectives, funding allocations, cost-share limitations, and approved practices		
ACRE 2 Interagency Cooperation	Correspondence about cooperation between the County Office and other Federal and State agencies. This includes memorandums of understanding		
ACRE 3 Reports and Statistics 2007-2012	Reports included under this subject that cannot be filed under 1 of the more specific file types in this exhibit.		

Average Crop Revenue Election (ACRE)**Exhibit 20.1**

This exhibit covers the ACRE program which provides a safety net based on State revenue losses and acts in place of the price-based safety net of counter-cyclical payments under DCP. Authorized by the 2008 Farm Bill (Food, Conservation and Energy Act of 2008). Color Code is goldenrod.

Block 6(a) of SF-135 is RG 145

File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
ACRE 4 Spot Checks 2007-2012	Spot check selections and reports.	Retain until Disposition is authorized.	Disposition Unauthorized.
ACRE 5	Reserved		
ACRE 6	Reserved		
ACRE 7 Producer Folders 2007-2012	Individual folders containing all forms, correspondence and other related documentation about the producer's participation in ACRE.	Retain until Disposition is authorized.	Disposition Unauthorized.
ACRE 8	Reserved		

Records Transfer Desk Reference Guide

Administrative Management Files			Exhibit 21
This exhibit covers correspondence and related materials pertaining to directives, forms, records, printing, and reports management. Color Code is white. Block 6(a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
ADM Administrative Management State/County Admin Correspondence Files	General material about administrative management too broad to be filed under 1 of the more specific file types in this exhibit.	Destroy these files when 3 years old.	NC1-145-81-4 Item 1
ADM 1 Reports and Statistics State/County Admin Correspondence Files	Reports covering all subjects included under this subject too broad to be filed under 1 of the more specific file types in this exhibit. Subdivide these files as necessary. Keep voluminous computer printouts in binders on open shelves.		
ADM 2 Committees and Meetings Minutes of the State Committee Meetings Minutes of the County Committee Meetings	General material about committees and meetings, including arrangements, correspondence, copies of agendas, minutes and related papers. Includes FAC minutes. (Subdivide by committee.)	Destroy these files when 5 years old State County	NC1-145-81-2 Item 1 NC1-145-81-2 Item 2
ADM 3 Records Management	Correspondence about maintaining, transferring and disposing of records, record copy of filing guide. This includes, SF-115s, SF-135s, OF-11s, etc.	Destroy when 6 years old.	GRS 16 Item 7
ADM 4 Directives Management State/County Admin Correspondence Files	Correspondence about the administration, operation, and effectiveness of the Directives Management Program too broad to be filed under one of the more specific file types in this exhibit.	Destroy these files when 3 years old.	NC1-145-81-4 Item 1

Records Transfer Desk Reference Guide

Administrative Management Files			Exhibit 21
This exhibit covers correspondence and related materials pertaining to directives, forms, records, printing, and reports management. Color Code is white. Block 6(a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
ADM 4 National Checklists State/County Admin Correspondence Files	Periodic lists of handbooks and related amendments, notices, forms, and similar issuances from National Office.	Destroy these files when 3 years old.	NC1-145-81-4 Item 1
ADM 4-2 State Checklists State/County Admin Correspondence Files	Periodic lists of handbooks, notices, and other issuances from the State Office.		
ADM 4 Directives	National Offices shall maintain one master copy of approved national-level directives / handbooks / policy and related amendments and notices until obsolete. Handbooks, related amendments, and superseded pages are arranged by numeric-subject designation. Notices are arranged by subject-numeric designation. This includes clearances and related correspondence.	Permanent Transfer to FRC when obsolete and no longer needed for reference.	N1-145-95-1 Item 1a NOTE: This schedule should be revised in the nearest future.

Records Transfer Desk Reference Guide

Administrative Management Files			Exhibit 21
This exhibit covers correspondence and related materials pertaining to directives, forms, records, printing, and reports management. Color Code is white. Block 6(a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
ADM 4 Directives (Continued)	Kansas City Offices shall maintain one master copy of approved KC-level directives / handbooks / policy and related amendments and notices until obsolete. Handbooks, related amendments, and superseded pages are arranged by numeric-subject designation. Notices are arranged by subject-numeric designation. This includes clearances and related correspondence.	Permanent Transfer to FRC when obsolete and no longer needed for reference.	N1-145-95-1 Item 1a
	State Offices shall maintain one master copy of approved national-level directives / handbooks / policy and related amendments and notices until obsolete. Handbooks, related amendments, and superseded pages are arranged by numeric-subject designation. Notices are arranged by subject-numeric designation. This includes clearances and related correspondence.		

Records Transfer Desk Reference Guide

Administrative Management Files			Exhibit 21
This exhibit covers correspondence and related materials pertaining to directives, forms, records, printing, and reports management. Color Code is white. Block 6(a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
ADM 5 Reports Management State/County Admin Correspondence Files	Correspondence about the administration, operation, and effectiveness of the Reports Management Program. This includes the monthly reports calendar.	Destroy these files when 3 years old.	NC1-145-81-4 Item 1
ADM 6 Forms Management Forms Files	Correspondence about the administration, operation, and effectiveness of the Forms Management Program, including control, use, and distribution of existing forms and revision and clearances of proposed forms.	Destroy 5 years after related form is discontinued, superseded or canceled.	GRS 16 Item 3a
ADM 6-1 Forms Supply Management Files	Copies of FSA-159's and related correspondence.	Destroy when 2 years old.	GRS 3 Item 4a
ADM 7 FAX Log Office Administrative Files	FAX log. Notes: File incoming and outgoing messages in applicable subject file folders. All thermal paper facsimiles should be xerographically reproduced on plain paper at the time of receipt. Destroy the thermal paper copies.	Destroy these files when 2 year old. Follow applicable subject Retention instructions.	GRS 23 Item 1
ADM 8 Printing Project Files	General material about printing and duplication.	Destroy these files when 3 years old.	GRS 13 Item 2b

Records Transfer Desk Reference Guide

Automated Data Processing Management Files			Exhibit 22
This exhibit covers correspondence and related materials pertaining to reports, system outputs, security plans, and reports. Color Code is white. Block 6(a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
ADP Automated Data Processing IT Operations Records	Correspondence about ADP too broad to be filed under 1 of the more specific file types in this exhibit.	Destroy these files when 3 years old.	GRS 24 Item 8c
ADP 1 Reports IT Operations Records	Reports covering all subjects included under this subject that cannot be filed under 1 of the more specific file types in this exhibit.		
ADP 2 Security Oversight/Compliance Files	File correspondence and material about ADP security including department, agency, and organizational regulations and guidelines on policy and procedures, security training awareness, system access, etc.	Destroy these files when 5 years old.	GRS 24 Item 1a
ADP 2-1 Security Reports Oversight/Compliance Files	File field office ADP security plan, federal computer incident responses, capability detail report, and FSA-774A's.		
ADP 2-2 Security Plans Oversight/Compliance Files	File plans including annual security review, business continuity plan, risk assessment plan, disaster recovery and contingency plan, loss control plan, backup operations plan, emergency response plan, and FSA-774's.		

Records Transfer Desk Reference Guide

Automated Data Processing Management Files

Exhibit 22

This exhibit covers correspondence and related materials pertaining to reports, system outputs, security plans, and reports. Color Code is white. **Block 6(a) of SF-135 is RG 145**

File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
ADP 2-3 Access/ Authorization	File requests, FSA-13's, and AD-2017's for access, authorization, user names, and passwords, including individuals for databases and all other data repositories (file by employee name).	Destroy these files 6 years after employee separates or resigns.	GRS 24 Item 6a
ADP 2-4 Security Audits Oversight/Compliance Files	File material about GAO and OIG audits by audit number.	Destroy these files 5 years after the audit is closed.--*	GRS 24 Item 8c
ADP 3 Resource Inventory Files Facility, Site and Equipment Service Records	Documents related to information resource inventories including ADP equipment, office automation equipment, and computer software.	Destroy these files when 3 years old.	GRS 24 Item 2
ADP 4 System Printouts IT Operations Records	The following printouts generated by S/36. <ul style="list-style-type: none">• Transmission Exception Lists• CSF Communication Logs• Transmission History on Diskettes• Transmittal Notices• Release Control Table• Volume Table of Contents (VTOC)	Destroy/delete these files when 1 year old.	GRS 24 Item 1a
ADP 5 SCIMS IT Operations Records	Materials and correspondence including e-mails and potential duplicate producer reports.		

Agricultural Foreign Investment Disclosure Files**Exhibit 23**

This exhibit covers policies and procedures pertaining to the requirement that foreign persons who acquire, transfer, or hold interests in agricultural land, report these holdings and transactions to the Secretary of Agriculture. Color Code is white. **Block 6(a) of SF-135 is RG 145**

File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
AFIDA Agricultural Foreign Investment Disclosure Files	Form FSA-153s and related files about foreign investment in U.S. farmland (arrange alphabetically by state) a. AFIDA officer in Central Office	Permanent Transfer to FRC three years after related farmland is reported sold or returned to U.S. citizen(s) or to other persons not subject to the Act. Offer to the National Archives 10 years after related farmland is reported sold or returned to U.S. citizen(s) or to other persons not subject to the Act.	NC1-145-81-6 Item 1a
	b. State Offices	Do not maintain AFIDA files. Destroy copies of reports immediately after review.	NC1-145-81-6 Item 1b
	c. County Offices	Destroy 2 years after the related farmland is reported sold or returned to U.S. citizen(s) or other person(s) not subject to the Act.	NC1-145-81-6 Item 1c

Note: This program is being reviewed and will be updated. Transfer using listed Disposal Authority to the Federal Records Center that services your area.

Agricultural Foreign Investment Disclosure Files**Exhibit 23**

This exhibit covers policies and procedures pertaining to the requirement that foreign persons who acquire, transfer, or hold interests in agricultural land, report these holdings and transactions to the Secretary of Agriculture. Color Code is yellow. **Block 6(a) of SF-135 is RG 145**

File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
AFIDA Agricultural Foreign Investment Disclosure Files	Inquiry letters, penalty files, documents, and general correspondence not specifically related to certain FSA-153's.	Destroy these files when 5 years old.	NC1-145-81-6 Item 1c Please accept these records under this schedule pending approval of SF-115.
AFIDA 1 Foreign Investment (Active File)	<p>FSA-153's and other correspondence about foreign investment in United States agricultural land.</p> <p>State Offices do not maintain these files. Destroy information copies of reports received immediately after review.</p> <p>County Offices keep FSA-153 indefinitely, except when the land is sold or transferred and a corresponding Disposition report is on file, or the entity is no longer a foreign person under the reporting requirement of the Agricultural Foreign Investment Disclosure Act and 7 CFR 781.3 with a corresponding FSA-153 or letter explaining the change in ownership status on file.</p>	Do not transfer active files to the FRC	

Agricultural Foreign Investment Disclosure Files.			Exhibit 23
This exhibit covers policies and procedures pertaining to the requirement that foreign persons who acquire, transfer, or hold interests in agricultural land, report these holdings and transactions to the Secretary of Agriculture. Color Code is yellow. Block 6(a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
AFID 1 / AFIDA 1 Foreign Investment (Active File) <i>Continued</i>	FSA-153's and other correspondence about foreign investment in United States agricultural land.	Do not transfer active files to the FRC	
AFIDA 2 Foreign Investment, (Inactive File) Agricultural Foreign Investment Disclosure Files	<p>File all FSA-153's representing holdings and acquisitions of land which are currently owned by foreign persons in 1 file alphabetically by investor's name for public inspection.</p> <p>When FSA-153 representing a Disposition of land is received it must be matched with the appropriate holding or acquisition FSA-153. If it is determined that only a portion of the acquired land has been transferred, the Disposition FSA-153 must be attached to the appropriate holding or acquisition FSA-153 and filed in the active file.</p> <p>File all FSA-153's and correspondence representing land no longer owned by foreign persons in a separate file alphabetically by investor's name.</p>	Destroy these inactive files 5 years after changing from active to inactive.	NC1-145-81-6 Item 1c Please accept these records under this schedule pending approval of SF-115.

Agricultural Foreign Investment Disclosure Files**Exhibit 23**

This exhibit covers policies and procedures pertaining to the requirement that foreign persons who acquire, transfer, or hold interests in agricultural land, report these holdings and transactions to the Secretary of Agriculture. Color Code is yellow. **Block 6(a) of SF-135 is RG 145**

File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
AFIDA 2 Foreign Investment, (Inactive File) <i>Continued</i> Agricultural Foreign Investment Disclosure Files	<p>FSA-153's and other correspondence about foreign investment in United States agricultural land.</p> <p>When FSA-153 representing a Disposition of land is received and after matched with the holding or acquisition, it has been determined that the entire tract has been transferred, the appropriately attached Disposition and holding or acquisition FSA-153 must be filed in the inactive file.</p> <p>When a letter or documentation is received reporting that an entity is no longer a foreign person under the reporting requirement of the agricultural Foreign Investment Disclosure Act and 7 CFR 781.3, it must be attached to the appropriate holding or acquisition FSA-153 and filed in the inactive file.</p>	Destroy these inactive files 5 years after changing from active to inactive.	<p>NC1-145-81-6 Item 1c</p> <p>Please accept these records under this schedule pending approval of SF-115</p>

Records Transfer Desk Reference Guide

Audits, Investigations, and Program Evaluations Files			Exhibit 24
This exhibit covers correspondence and related documents about external and internal investigations, audits, whistleblowers, and County Office reviews. Color Code is yellow. Block 6(a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
AIP Audits, Investigations, and Program Evaluations Audit Reports	General material about audits, investigations, and program evaluations too broad to be filed under 1 of the more specific file types in this exhibit.	Destroy these files when 3 years old.	NC1-145-79-1 Item 15
AIP 1 Reports Audit Reports	Reports too broad to be filed under 1 of the more specific file types in this exhibit.		
AIP 2 Audits Investigation Reports	Case files of audits of programs, operations, and procedures.	Transfer official correspondence and supporting documentation to ORAS upon notification of closure. Destroy these files 7 years after case is closed.	NC1-145-79-1 Item 16b
AIP 3 Investigations Investigation Reports	Case files and related correspondence of investigations conducted by OIG of possible civil or criminal violations. Includes Workplace Violence case files and Whistleblower case files. Maintain these investigation reports in a locked file cabinet according to 9-AO. Note: File correspondence on Workplace Violence not resulting in an official investigation in INSG 6 / AIP 6.		
AIP 4 County Office Reviews Audit Reports	Work-papers, reports, and related correspondence of reviews of County Office operations by COR.	Destroy these files when 3 years old.	NC1-145-79-1 Item 15

Audits, Investigations, and Program Evaluations Files.**Exhibit 24**

This exhibit covers correspondence and related documents about external and internal investigations, audits, whistleblowers, and County Office reviews. Color Code is yellow. **Block 6(a) of SF-135 is RG 145**

File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
AIP 5 Whistleblower Case Files Investigation Reports	Incoming correspondence, reports, and other *--related documents. Maintain Whistleblower case files in a locked file cabinet according to 9-AO.	Transfer files to ORAS upon completion of review.	NC1-145-79-1 Item 16b
AIP 6 Workplace Violence Audit Reports	General material on workplace violence. Do not file Workplace Violence cases that result in an OIG investigation. See AIP 3.	Destroy these files when 3 years old.	NC1-145-79-1 Item 15

Records Transfer Desk Reference Guide

Apple Market Loss Assistance Payment Program Files			Exhibit 24.5
This exhibit covers the program that provides apple growers with economic assistance for market losses. Color Code is blue. Block 6(a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
AMLAP Apple Market Loss Assistance Payment Program Crop Disaster Program (CDP)	General correspondence about AMLAP too broad to be filed under 1 of the more specific file types in this exhibit.	Cut off all closed files at the end of the year. Retain for 2 years in-house then transfer to Federal Records Center (FRC).	N1-145-05-2 Item 1 (Producer Folders) N1-145-05-2 Item 2 (Reports) (CDP)
AMLAP 1 Producer Folders Crop Disaster Program (CDP)	Individual producer folders containing documentation of the producer's participation in AMLAP. Includes CCC-891, SF-1199A, and other related documents.	Destroy these files when 10 years old.	
AMLAP 2 Reports and Statistics	Reports and statistics. Subdivide as needed.		
AMLAP 3 Spot Checks Crop Disaster Program (CDP)	Spot check, selections, and responses.		

NOTE: These files are *inactive*. Transfer files to the FRC immediately.

Biomass Crop Assistance Program Files			Exhibit 24.6
(BCAP) was authorized by Section 9011 of the Farm Security and Rural Investment Act of 2002, as amended by the Food, Conservation, and Energy Act of 2008. This exhibit covers assistance to producers to: 1) support the establishment and production of eligible crops for conversion to bioenergy in selected projected areas and 2) assist agricultural and forest land owners and operators with collection, harvest, storage and transportation of eligible material to a biomass conversion facility. Color Code is yellow. Block 6(a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
<u>Biomass Crop Assistance Program (BCAP)</u>	General material about BCAP too broad to be filed under 1 of the more specific file types in this exhibit.	Destroy these files when 5 years old.	N1-145-88-1 Item 1a
<u>BCAP 1 Program Development</u>	Correspondence about the development of the program, including objectives, funding, allocations and approved practices.		
<u>BCAP 2 Reports and Statistics</u>	Reports and statistics included under this subject that cannot be filed under 1 of the more specific file types in this exhibit.		
<u>BCAP 3 Interagency Cooperation</u>	Correspondence about the cooperation between the County Office and other Federal and State agencies. This includes memorandums of understanding.		
<u>BCAP 4 Qualified Biomass Conversion Facilities</u>	Individual folders containing all information regarding qualified biomass conversion facilities.	Destroy these files 5 years after the expiration of the biomass conversion facility is no longer qualified.	N1-145-88-1 Item 1b

Note: Updated accordingly to **Notice BCAP-12**

Biomass Crop Assistance Program Files			Exhibit 24.6
This exhibit covers assistance to producers to support the establishment and production of eligible crops for conversion to bioenergy in selected projected areas and assist agricultural and forest land owners and operators with collection, harvest, storage and transportation of eligible material to a biomass conversion facility. Color Code is yellow. Block 6(a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
BCAP 5 Project Areas	Individual folders about project area proposal, approvals, geographic delineation, and other information.	Destroy these files 5 years after the expiration of the project area.	N1-145-88-1 Item 1b
BCAP 6 Participant Folders	Individual folders containing all correspondence about the producer's participation in BCAP including: <ul style="list-style-type: none"> • matching payments • established and annual payments. Note: Maintain original copy of forms in custody files. Maintain AD-1026's with the current farm record. This includes folders for disapproved or canceled contracts.	Destroy these files the later of 5 years after the matching paying was paid or 5 years after the expiration of the contract.	
BCAP 7 Spot Checks	Spot checks, responses, and reports.	Destroy these files when 5 years old.	N1-145-88-1 Item 1a
BCAP 8 Appeals	Appeals by individual producers of the administrative criteria used in developing technical determinations.		

Note: Updated accordingly to Notice BCAP-12

Budget Management Files			Exhibit 25
This exhibit covers general material about the development and control of the County Office budget, State Office travel and equipment limitations, and agreements for reimbursable services, and workload and funding reports. Color Code is white. Block 6(a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
BU Budget Management Files State/County Admin Correspondence Files	General material about Budget Management too broad to be filed under 1 of the more specific file types in this exhibit.	Destroy these files when 3 years old.	NC1-145-81-4 Item 1
BU 1 Reports State/County Admin Correspondence Files	Reports covering all subjects under this exhibit too broad to be filed under 1 of the more specific file types in this exhibit.		
BU 2 County Office Budget State/County Admin Correspondence Files	General material about the County Office budget.		
BU 2-1 Allocations State/County Admin Correspondence Files	FSA-637's, FSA-308's, correspondence, and other related forms about administrative and program allocations, and check limitations. Subdivide by type of allocation if necessary.		
BU 2-2 Equipment Requests State/County Admin Correspondence Files	FSA-637's, FSA-308's, and other related forms about equipment requests.		
BU 2-3 Control Ledgers State/County Admin Correspondence Files	FSA-530's and FSA-531's.		
BU 3 State Office Budget State/County Admin Correspondence Files	General material about the State Office budget.		
BU 3-1 Travel State/County Admin Correspondence Files	FSA-546's, FSA-546-1's, FSA-291's, and other related forms and correspondence.		

Records Transfer Desk Reference Guide

Budget Management Files			Exhibit 25
This exhibit covers general material about the development and control of the County Office budget, State Office travel and equipment limitations, and agreements for reimbursable services, and workload and funding reports. Color Code is white. Block 6(a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
BU 4 Reimbursements State/County Admin Correspondence Files	FSA-193's, AD-672's, AD-742's, AD-838's, AD-499's, FSA-875's, billing requests, other related forms, reports, and correspondence.	Destroy these files when 3 years old.	NC1-145-81-4 Item 1
BU 5 End of the Year Closings State/County Admin Correspondence Files	FSA-545's, FSA-545-1's, reports, and other related forms and correspondence.		
BU 6 Workload and Funding State/County Admin Correspondence Files	General material about workload and funding.		
BU 6-1 Workload and Funding Reports State/County Admin Correspondence Files	County Office Workload and Funding Report - Current FY Preliminary Update Report CFC009-R001 (FSA-55-1)		
	FSA-55-1 Data Exception and Rejection Report CFC013-R001		
	Diskette Display by File Report		
	County Office Workload and Funding Report - Subsequent FY Work Plan Report CFF009-R002 (FSA-55)		
	FSA-55 Data Exception and Rejection Report CFG013-R001		
	FSA-55 and FSA-55-1 Abbreviated Work Item Report for Selected County Offices Report CFC033-R001		

Records Transfer Desk Reference Guide

Budget Management Files.

Exhibit 25

This exhibit covers general material about the development and control of the County Office budget, State Office travel and equipment limitations, and agreements for reimbursable services, and workload and funding reports. Color Code is white. **Block 6(a) of SF-135 is RG 145**

File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
BU 7 Work Measurement State/County Admin Correspondence Files	General material about work measurement and funding.	Destroy these files when 3 years old.	NC1-145-81-4 Item 1
BU 7-1 Work Measurement Reports State/County Admin Correspondence Files	Work Items by Employee and Date - CAC019-R001		
	Preliminary FSA-54 CAC013-R001		
	FSA-54 Summary CAC01103		
	Report of Work Measurement Data Loaded From Suboffice County CAC035-R001		
	Work Item Description CAC023-R001		
	Weekly Time Report CAC015-R001		
	FSA-54 Reporting Form CAF015-R001		
	FSA-54 Summary by County CAF007-R001		
	Work Item Comparison Report CAF001-R001		
	Quarterly Source Data by County - CAF009-R001		

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Boll Weevil Eradication Program Files (Active)			Exhibit 26
This exhibit covers the program designed to eliminate the boll weevil as a pest of cotton and to prevent the recurrence of the boll weevil as a pest of cotton. Color Code is goldenrod. Block 6(a) of SF-135 is RG 161			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
BWEP Boll Weevil Eradication Program Price Support Operations	Correspondence about BWEP too broad to be filed under 1 of the more specific file types in this exhibit.	Destroy these files when 6 years old.	NC1-161-79-1 Item 11a
BWEP 1 Reports and Statistics Price Support Operations	Reports covering all subjects included under this subject that cannot be filed under 1 of the more specific file types in this exhibit.	Files are eligible for transfer when 2 years old or no longer required for business needs and/or referral.	
BWEP 2 Interagency Cooperation Price Support Operations	Correspondence about cooperation between the County Office, APHIS, and other Federal and State Agencies. This includes memorandums of understanding.		
BWEP 3 Producer Folders Price Support Operations	Individual producer folders containing the Cotton Acreage Reporting Form, copy of the aerial photographs, waiver requests, and other related correspondence.		

Records Transfer Desk Reference Guide

County Committee Elections Files			Exhibit 27
This exhibit covers general correspondence and related documents pertaining to COC elections files. Color Code is white. Block 6(a) of SF-135 is RG 145			
File Types 6(f) of SF-1355	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
CCE County Committee Elections List of Eligible Voters	General material about COC elections too broad to be filed under 1 of the more specific file types in this exhibit.	Destroy when 5 years old. Eligible for transfer to FRC when 2 years old.	NC1-145-79-1 Item 23c
CCE 1 Reports and Statistics List of Eligible Voters	Reports too broad to be filed under 1 of the more specific file types in this exhibit.	If any election is contested or any irregularity is indicated retain all election records until further notice.	
CCE 2 Committee Elections List of Eligible Voters	Correspondence about the election of members to COC’s.		
CCE 2-1 LAA Boundaries List of Eligible Voters	FSA-582’s and county or multi-county map indicating LAA boundaries and related correspondence.		
CCE 2-2 County Committee Elections List of Eligible Voters	Forms used for nomination and voting FSA-582, FSA- 669, FSA-669A and FSA- 669B		
CCE 2-3 List of Eligible Voters	List of eligible voters.		
CCE 2-4	(Reserved)		
CCE 2-5	(Reserved)		
CCE 2-6 Election Reports List of Eligible Voters	Election reports submitted on-line, copies of summary ballots forwarded to State Offices, memorandum recommending approval or disapproval of results and election ballots. Subdivide these files by LAA.	Destroy when 5 years old. Eligible for transfer to FRC when 2 years old. If any election is contested or any irregularity is indicated retain all election records until further notice.	NC1-145-79-1 Item 23c
CCE 3 Special Elections List of Eligible Voters	Correspondence and related documents about special elections.	NOTE: Submit these files with List of Eligible Voters.	
CCE 3-1 Election Irregularities List of Eligible Voters	Correspondence and related documents about election irregularities.		

Crop Disaster Program Files			Exhibit 27.5
This exhibit covers disaster assistance to farmers who suffered crop losses because of adverse weather conditions. Color Code is yellow. Block 6(a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
CDP Crop Disaster Program Crop Disaster Program	General material about CDP too broad to be filed under 1 of the more specific file types in this exhibit.	Cut off all closed files at the end of the year. Retain for 2 years in-house then transfer to Federal Records Center (FRC).	N1-145-05-2 Item 1 (Producer Folders) N1-145-05-2 Item 2 (Reports)
CDP 1 Reports Crop Disaster Program	The following reports and other reports covering all subjects included under this subject that cannot be filed under 1 of the more specific file types in this exhibit. Subdivide these files as needed. <ul style="list-style-type: none"> • Reconciliation Report • CDP RMA Download Reports • Insurable Crop Information Report • CDP Diagnostic Report. 	Destroy these files when 10 years old.	
CDP 2 Registers	Nonpayment, pending payments, and over payment register.		
CDP 3 Producer Folders Crop Disaster Program	Individual folders containing forms, reports, and other correspondence about the producer's request for benefits. This includes CCC-435, CCC-441E, CCC-458, CCC-547, CCC-547A, CCC-547B, CCC-547C, CCC-547E, CCC-548, CCC-549, CCC-760, CCC-761, and other related documents about the producer's participation in CDP.		

Records Transfer Desk Reference Guide

Crop Disaster Program Files

Exhibit 27.5

This exhibit covers disaster assistance to farmers who suffered crop losses because of adverse weather conditions. Color Code is yellow. **Block 6(a) of SF-135 is RG 145**

File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
CDP 4 Spot Checks Crop Disaster Program	Spot check, selections, and responses. This includes CCC-466, CCC-467, and FSA-577.	Cut off all closed files at the end of the year. Retain for 2 years in-house then transfer to Federal Records Center (FRC). Destroy these files when 10 years old.	N1-145-05-2 Item 1 (Producer Folders) N1-145-05-2 Item 2 (Reports)

Records Transfer Desk Reference Guide

Crop Disaster Program Files (FY2000)

Exhibit 27.5

This exhibit covers disaster assistance to producers who suffered crop losses because of adverse weather conditions and assistance to producers who suffered nursery losses in Florida that occurred because of disaster, during the period beginning on October 1, 2000, and ending on December 31, 2000. Color Code is yellow.

Block 6(a) of SF-135 is RG 145

File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
CDP (FY 2000) Crop Disaster Program	General material about CDP, FY 2000 too broad to be filed under 1 of the more specific file types in this exhibit.	Cut off all closed files at the end of the year. Retain for 2 years in-house then transfer to Federal Records Center (FRC). Destroy these files when 10 years old.	N1-145-05-2 Item 1 (Producer Folders) N1-145-05-2 Item 2 (Reports)
CDP 1 (FY2000) Reports Crop Disaster Program	The following reports and other reports covering all subjects under this subject that cannot be filed under 1 of the more specific file types in this exhibit. Subdivide these files as needed. <ul style="list-style-type: none"> CDP Crop Table File Report, MHBC2P-R001 CDP Application Needing Update Due to Crop Table Changes, MHAD03-R001 2000 CDP Crop Table Delete Report MHAD04-R001 CDP RMA Download Reports Reconciliation Report 2000 Insurable Crop Information Report, MHADR6-R001 		

Records Transfer Desk Reference Guide

Crop Disaster Program Files (FY 2000) Continued			Exhibit 27.5
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
CDP 2 (FY 2000) Registers Crop Disaster Program	<ul style="list-style-type: none"> ▪ Pending Payment Register ▪ Nonpayment Register ▪ Overpayment Register 	Cut off all closed files at the end of the year.	N1-145-05-2 Item 1 (Producer Folders) N1-145-05-2 Item 2 (Reports)
CDP 3 (FY 2000) Producer Folders Crop Disaster Program	Individual folders containing forms, reports, and other correspondence about the producer's request for benefits includes: <ul style="list-style-type: none"> ▪ CCC-557, ▪ CCC-557A ▪ CCC-557B ▪ CCC-557E ▪ CCC-557M ▪ CCC-441E ▪ CCC-458 ▪ CCC-760 ▪ CCC-761 and other related documents about the producer's participation in CDP, FY 2000.	Retain for 2 years in-house then transfer to Federal Records Center (FRC). Destroy these files when 10 years old.	
CDP 4 (FY 2000) Spot Checks Crop Disaster Program	Spot check, selections, and responses includes: <ul style="list-style-type: none"> • CCC-466 • CCC-467 • FSA-577 		
CDP 5 Florida Nursery Crop Disaster Program	General material about FLN provisions.		
CDP 5-1 Producer Folders (FLN) Crop Disaster Program	Individual folders containing forms, reports, and other correspondence about the producer's request for FLN benefits includes CCC-558A, CCC-561, CCC-562 and other related documents about the producer's participation in FLN.		

Records Transfer Desk Reference Guide

Crop Disaster Program Files (FY 2000) Continued			Exhibit 27.5
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
CDP 6 (FY 2000) Quality Loss Program (QLP) Crop Disaster Program	General material about QLP to provide disaster assistance to producers who suffered quality losses for the 2000 crop year.	Cut off all closed files at the end of the year. Retain for 2 years in-house then transfer to Federal Records Center (FRC).	N1-145-05-2 Item 1 (Producer Folders) N1-145-05-2 Item 2 (Reports)
CDP 6-1 (FY 2000) Producer Folders Crop Disaster Program	Individual folders containing forms, reports, and other documentation about the producer's participation in QLP includes: <ul style="list-style-type: none"> • CCC-557Q and Appendix • CCC-561 • CCC-562 • CCC-557M • CCC-557Q-1 • CCC-557Q-2. 	Destroy these files when 10 years old.	
CDP 6-2 (FY 2000) Reports Crop Disaster Program	Reconciliation Report		
CDP 7 (FY 2000) Quality Loss Program for Apples and Potatoes (QLP-AP) Crop Disaster Program	General material about the program to provide payments to producers of apples or potato crops with quality losses.		
CDP 7-1 (FY 2000) Producer Folders Crop Disaster Program	Individual folders containing forms, reports, and other documentation about the producer's participation in QLP-AP includes: <ul style="list-style-type: none"> • CCC-557 Appendix • CCC-561 • CCC-562 • CCC-557M 		

Records Transfer Desk Reference Guide

Crop Disaster Program Files (FY 2001-2002)			Exhibit 27.5
This exhibit covers disaster assistance to producers who suffered crop losses because of adverse weather conditions and assistance to producers during the period beginning on October 1, 2001, and ending on December 31, 2002. Color Code is yellow. Block 6(a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
Producer Folders for Crop Year 2001-2002 Crop Disaster Program	Individual folders containing forms, application, reports, and other correspondence about the producer's request for benefits. This includes CCC-564, CCC-564A, CCC-564B, CCC-564C, CCC-564D, CCC-564E, CCC-564E-1, CCC-564M and other related documents about the producer's participation in CDP during 2001-2002.	Cut off all closed files at the end of the year. Retain for 2 years in-house then transfer to Federal Records Center (FRC). Destroy these files when 10 years old.	N1-145-05-2 Item 1 (Producer Folders) N1-145-05-2 Item 2 (Reports)
CDP 2003 and future years Crop Disaster Program Files Color Code is yellow. Block 6(a) of SF-135 is RG 145			
CDP Crop Disaster Program For Crop Year 2003 and future years Crop Disaster Program	General material about CDP for crop year 2003 and future years too broad to be filed under 1 of the more specific file types in this exhibit.	Cut off all closed files at the end of the year. Retain for 2 years in-house then transfer to Federal Records Center (FRC). Destroy these files when 10 years old.	N1-145-05-2 Item 1 (Producer Folders) N1-145-05-2 Item 2 (Reports)
CDP 1 Reports for Crop Year 2003 and future years Crop Disaster Program	The following reports and other reports covering all subjects under this subject that cannot be filed under 1 of the more specific file types in this exhibit. Subdivide these files as needed. <ul style="list-style-type: none"> • CDP Applications Needing Update due to Crop Table Changes (MHAD003-R001) • CDP Crop Table Delete Report (MHAD04-R001) • CDP RMA Download Reports • CDP RMA Deleted Download Report • CDP Production Discrepancy Report (MHADR8-R001) 		

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Crop Disaster Program Files (FY2003 and future years)

Exhibit 27.5

The period beginning on October 1, 2003, and future years. Color Code is yellow.

Block 6(a) of SF-135 is RG 145

File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
CDP 2 Payments for Crop Year 2003 and future years Crop Disaster Program	General material about CDP payments for crop year 2003 and future years.	Cut off all closed files at the end of the year. Retain for 2 years in- house then transfer to Federal Records Center (FRC).	N1-145-05-2 Item 1 (Producer Folders) N1-145-05-2 Item 2 (Reports)
CDP 2-1 Register for Crop Year 2003 and future years Crop Disaster Program	Nonpayment, pending payment, and overpayment register.	Destroy these files when 10 years old.	
CDP 3 Producer Folders for Crop Year 2003 and future years Crop Disaster Program	Individual folders containing forms, reports, and correspondence about the producer's request for benefits, includes: <ul style="list-style-type: none"> • CCC-576 • CCC-750 • CCC-750A • CCC-750B • CCC-750C • CCC-750D • CCC-750M, if applicable • CCC-751 • CCC-760, if applicable • other related documents about the producer's participation in CDP for crop year 2003 and future years. Subdivide these files into approved and disapproved applications.		
CDP 4 Spot Checks for Crop Year 2003 and future years Crop Disaster Program	Spot check, selections, and responses, includes: <ul style="list-style-type: none"> • CCC-467 • CCC-468 • FSA-577. 		

Crop Insurance Program Files			Exhibit 28
This exhibit covers insurance to protect farmers against losses caused by unavoidable natural disasters, such as insect and wildlife damage, plant disease, fire, drought, flood, wind, and other weather conditions. Color Code is yellow. Block 6(a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
CI Crop Insurance Crop Disaster Program	General material about the Federal Crop Insurance Program too broad to be filed under 1 of the more specific file types in this exhibit.	Cut off all closed files at the end of the year. Retain for 2 years in-house then transfer to Federal Records Center (FRC).	N1-145-05-2 Item 1 (Producer Folders) N1-145-05-2 Item 2 (Reports)
CI 1 Reports and Statistics Crop Disaster Program	FSA-426’s and reports covering all subjects included under this subject that cannot be filed under 1 of the more specific file types in this exhibit. Subdivide these files as necessary.	Destroy these files when 10 years old.	
CI 2 Contract Folders Crop Disaster Program	Individual contract folders containing all correspondence about the participation of the farmer in the crop insurance program. Maintain these files according to instructions in the Federal Crop Handbooks, Prevented Planting Handbook M-8, and Service Office Handbook M-8-SO.		
CI 3 Brochures Crop Disaster Program CDP	Pamphlets, leaflets, and other published handouts about the Federal Crop Insurance Program.		

Records Transfer Desk Reference Guide

Common Management Files			Exhibit 29
This exhibit covers general correspondence and related materials about common management provisions applicable to more than 1 program or function. Color Code is white. Block 6(a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
CM Common Management State/County Admin Correspondence Files	General material about common management too broad to be filed under 1 of the more specific file types in this exhibit.	Destroy these files when 3 years old.	NC1-145-81-4 Item 1
CM 1 Reports State/County Admin Correspondence Files	Reports covering all subjects included under this subject that cannot be filed under 1 of the more specific file types in this exhibit. Subdivide these files as necessary.		
CM 2 Multi-County Transmission Report Procedure State/County Admin Correspondence Files	General correspondence about multi-county transmission report procedure.		
CM 2-1 Download Reports State/County Admin Correspondence Files	All downloaded reports.		
CM 2-2 Multi-County Request for Action State/County Admin Correspondence Files NOTE: CM 2-2 Non- control County action required and CM 2-3 Control County action Required Replaced with Subject Multi-County Request for Action	CCC-527 (CCC-738 and CCC-739 are both obsolete and replaced by CCC-527)		
CM 2-3	(Reserved)		

Common Management Files**Exhibit 29**

This exhibit covers general correspondence and related materials about common management provisions applicable to more than 1 program or function. Color Code is white.

Block 6(a) of SF-135 is RG 145

File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
CM 2-4 State Reports State/County Admin Correspondence Files	All State reports.	Destroy these files when 3 years old.	NC1-145-81-4 Item 1
CM 3 Multi-County Producers State/County Admin Correspondence Files	General correspondence about multi-county producers		
CM 3-1	(Reserved)		
CM 3-2	(Reserved)		
CM 3-3	(Reserved)		
CM 4 Signatures and Authorizations State/County Admin Correspondence Files	Material and correspondence about FSA policy on signatures, authorizations, and related documents.	Retain for 3 years after removal as active producer.	NC1-145-81-4 Item 1
	Faxed signatures; includes FSA-237 (obsolete) and supporting documentation.	Destroy these files 3 years after termination	
CM 4-1 Powers of Attorney	FSA-211, FSA-211A (formerly FSA-211-1, which is obsolete) and other documents received that authorize signing program documents in a representative capacity. This also includes revocations.	Destroy these files 6 years after revocation.	NC1-145-81-5 Item 3 Note on SF-135 Pending approval of SF-115. Please accept these files for 6 years pending approval of SF-115.
CM 5 Mailings State/County Admin Correspondence Files	Materials and correspondence about development and management of County Office mailing software.	Destroy these files when 3 year old.	NC1-145-81-4 Item 1

Common Management Files			Exhibit 29
This exhibit covers general correspondence and related materials about common management provisions applicable to more than 1 program or function. Color Code is white.			
Block 6(a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
CM 6 Name and Address Files State/County Admin Correspondence Files	Materials and correspondence about producer and other facility identification and name and address data needed to support FSA programs.	Retain for 3 years after removal as active producer.	NC1-145-81-4 Item 1
CM 7 Subsidiary Files State/County Admin Correspondence Files	Materials and correspondence about combined entity, eligibility, permitted entity, payment limitation control, and related software.	Destroy these files when 3 years old.	
CM 8 Subsidiary Files Rollover State/County Admin Correspondence Files	Materials and correspondence about the annual rollover of subsidiary files in County Offices and mainframe.		
CM 9 Producer Printouts State/County Admin Correspondence Files	Materials and correspondence about producer-related printouts.		
CM 10 Farm, Tract, and Program Crop Records State/County Admin Correspondence Files	Material and correspondence about farm tract and program crop records. Producer Notification Package		

Records Transfer Desk Reference Guide

Common Management Files			Exhibit 29
This exhibit covers general correspondence and related materials about common management provisions applicable to more than 1 program or function. Color Code is white. Block 6(a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
CM 10-1 Maintenance State/County Admin Correspondence Files	Materials and correspondence about the updating of farm, tract, and program crop records through maintenance applications.	Destroy these files when 3 years old.	NC1-145-81-4 Item 1
CM 10-2 Farm Crop Rollover Data for Farm/Producer Record Change	Materials and correspondence about the annual rollover of farm crop and related records.	Destroy 1 year upon completion of next year rollover.	NC1-145-79-2 Item 6e
CM 10-3	(Reserved)		
CM 11 Farm Record Printouts FSA-156EZ Data for Farm/Producer Record Change	Materials and correspondence about printouts of basic farm, tract, and program crop data.	Upon printing a new FSA-156EZ, after each change, dispose of the copy in the file and replace it with the new one. Destroy old file copy when 1 year old.	NC1-145-79-2 Item 6e
CM 12 Reconstitutions	FSA-155 and related correspondence.	Destroy these files 7 years after the end of the crop year in which they were created.	NC1-145-79-2 Item 6c
CM 12-1	(Reserved)		
CM 13 Transfer of Farm Records Farm Records Final	FSA-179 and other correspondence about the transfer of FSA-156EZ and other farm records from 1 County or State Office to another County or State Office so that the farm will be considered located in the receiving County or State Office.	Destroy these files when 7 years old.	NC1-145-79-2 Item 6d(1)

Records Transfer Desk Reference Guide

Common Management Files			Exhibit 29
This exhibit covers general correspondence and related materials about common management provisions applicable to more than 1 program or function. Color Code is white. Block 6(a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
CM 14 Controlled Substance Farm Records Final	Materials, correspondence, and reports about enforcement of controlled substance provisions.	Destroy these files 7 years after the crop year of the violation.	NC1-145-79-2 Item 6d(1)
CM 15 Transaction Log	Materials and correspondence about the maintenance and use of the transaction log, computer backups, and related subjects.	Retain until Disposition is authorized.	Disposition Unauthorized
CM 16 Data Sharing	Materials and correspondence about sharing of basic farm and producer data with other agencies.		
CM 17 WebCAAF Registration Form State/County Admin Correspondence	AD-2016 (obsolete)	Transfer immediately. E-authentication system eliminated the need of this form. Data captured electronically. Destroy these files when 3 years old.	NC1-145-81-4 Item 1
CM 18 Common Land Unit State/County Admin Correspondence	General material about CLU initiative to establish an interagency standard for delineating boundaries of a piece of land.	Destroy these files when 3 years old.	
CM 18-1 Certifications State/County Admin Correspondence	Certifications.		

Records Transfer Desk Reference Guide

Compliance Files			Exhibit 30
This exhibit covers methods and procedures used to ensure that program participants meet the terms and conditions of program provisions to obtain benefits. Color Code is green. Block 6(a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
CP Compliance Farm Records	General material about compliance too broad to be filed under 1 of the more specific file types in this exhibit.	Destroy these files 5 years after the end of the program year in which they were created.	NC1-145-79-2 Item 6a
CP 1 Reports and Statistics Farm Records	Reports covering all subjects included under this subject that cannot be filed under 1 of the more specific file types in this exhibit. Includes FSA-459's. Subdivide these files as necessary.		
CP 1-1 Progress Reports Farm Records	Progress reports and related correspondence about the status of County Office compliance activity.		
CP 2 Administrative Visits Farm Records	Record of administrative visits and work assignments.		
CP 3 Control and Spot Checks Farm Records	Correspondence about administrative control and spot checking too broad to be filed under 1 of the more specific file types in this exhibit.		
CP 3-1 Control Register Farm Records	FSA-568 used to select farms for spot checking and related correspondence.		

Records Transfer Desk Reference Guide

Compliance Files			Exhibit 30
This exhibit covers methods and procedures used to ensure that program participants meet the terms and conditions of program provisions to obtain benefits. Color Code is green Block 6(a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
CP 3-2 State Office Spot Checks Farm Records	Correspondence about inspections and reviews by State Office to ensure that program requirements are followed by participating producers and to verify the work quality of County Office employees. This includes copies of FSA-577's on field assistants and aerial observation teams in the counties, and may include FSA-276's. Subdivide these files as necessary.	Destroy these files 5 years after the end of the program year in which they were created.	NC1-145-79-2 Item 6a
CP 3-3 County Office Spot Checks Farm Records	Correspondence about inspections and reviews by County Offices to ensure that program requirements are followed by participating producers and to verify the work quality of employees. This includes FSA-577's, FSA-276's, cotton, tobacco, and peanut yield data, related correspondence, including 35mm slides. Subdivide these files as necessary.		

Records Transfer Desk Reference Guide

Compliance Files			Exhibit 30
This exhibit covers methods and procedures used to ensure that program participants meet the terms and conditions of program provisions to obtain benefits. Color Code is green. Block 6(a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
CP 3-4 Acreage Determinations For FSA-478s: MarketingQuota and Acreage Allotment Programs For FSA-578s: Farm Allotment/History	Correspondence about reporting and measuring acreage. This includes FSA-468's and FSA-578's.	FSA-468s: Destroy these files 5 years after the end of the marketing or program year in which they were created. Carry forward historical data of continuing value, which may be maintained in separate folders.	NC1-145-79-2 Item 7a
		FSA-578: Retain the current year. After the end of the crop year, move to FAR 1 – Farm History Folder.	See Exhibit 66 for FSA-578's
CP 4 Producer Services Farm Records	FSA-409's serving as a record of pending requests for services and related correspondence.	Destroy these files 5 years after the end of the program year in which they were created.	NC1-145-79-2 Item 6a
CP 5 Aerial Photography Farm Records	Correspondence about aerial photography too broad to be filed under 1 of the more specific file types in this exhibit.		
CP 5-1 Orders for Photographs Farm Records	Copies of FSA-441 are sent to APFO.		
CP 5-2 Inventory of Photographs Farm Records	New flight photographs received from APFO.		
CP 5-3 Scale Checks Farm Records	Scale check documents.		

Records Transfer Desk Reference Guide

Compliance Files			Exhibit 30
This exhibit covers methods and procedures used to ensure that program participants meet the terms and conditions of program provisions to obtain benefits. Color Code is green. Block 6(a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
CP 6 Aerial Compliance Farm Records	Correspondence about aerial compliance activities, including progress reports, daily crew reports, flying schedules, and logs.	Destroy these files 5 years after the end of the program year in which they were created.	NC1-145-79-2 Item 6a
CP 7 Digital Photography Farm Records	General material about digital photography too broad to be filed under 1 of the more specific subjects below.		
CP 7-1 Systems Farm Records	General material about systems/software to support digital photography.		
CP 7-1-1 Geographic Information System Farm Records	General material about GIS.		
CP 7-1-2 Global Positioning System Farm Records	General material about GPS.		

Records Transfer Desk Reference Guide

Civil Rights Files			Exhibit 31
This exhibit covers general material pertaining to program delivery; the Civil Rights Act of 1964, Title VI, as amended. Color Code is white. Block 6(a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
CR Civil Rights Compliance Records	General material about Civil Rights too broad to be filed under one of the more specific file types in this exhibit.	Destroy these files when 7 years old.	GRS 1 Item 25d(1)
CR 1 Reports and Statistics Compliance Records	Reports covering all subjects included under this subject too broad to be filed under one of the more specific file types in this exhibit. Includes FSA-681's.		
CR 2 Training Compliance Records	Materials about training conducted, requirements, and related information on civil rights training.		
CR 3 Compliance Reviews Compliance Records	Background papers, correspondence reports, and other related materials about compliance reviews conducted by DD. Includes FSA-829's, FSA-830's, and FSA-831's.		
CR 4 Management Evaluations EEO On-site Reviews	Management evaluations and reports of on-site reviews conducted by EEO&CRS.	Destroy these files when 5 years old.	GRS 1 Item 25h(3)
CR 5 Discrimination Complaints	Correspondence reports, decisions and other related material.	Destroy these files 4 years after case is closed.	GRS 1 Item 25a
CR 6 Civil Rights Implementation Plan EEO Affirmative Action Plan	State and National Civil Rights Implementation Plans and related material.	Destroy these files when 5 years old.	GRS 1 Item 25h(1)

Conservation Reserve Program Files			Exhibit 32
This exhibit covers assistance to farmers and ranchers for conserving and improving soil and water resources by taking eligible cropland out of production and planting it to grass and trees. Color Code is yellow.			
Block 6(a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
CRP Conservation Reserve Program	General material about CRP too broad to be filed under 1 of the more specific file types in this exhibit.	Destroy these files when 5 years old.	N1-145-88-1 Item 1a
CRP 1 Program Development Conservation Reserve Program	Correspondence about the development of the program, including objectives, funding allocations, cost-share limitations, and approved practices.		
CRP 2 Reports and Statistics Conservation Reserve Program	Reports included under this subject that cannot be filed under 1 of the more specific file types in this exhibit. File voluminous printouts in binders on open shelves.		
CRP 3 Interagency Cooperation Conservation Reserve Program	Correspondence about cooperation between the County Office and other Federal and State agencies. This includes memorandums of understanding.		

Conservation Reserve Program Files**Exhibit 32**

This exhibit covers assistance to farmers and ranchers for conserving and improving soil and water resources by taking eligible cropland out of production and planting it to grass and trees. Color Code is yellow. **Block 6(a) of SF-135 is RG 145**

File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
CRP 4 Contract Folders Conservation Reserve Program	<p>Individual folders containing all correspondence about the producer's participation in CRP. This includes</p> <p>*--AD-245's, AD-862's, CPA-68's, CRP-1's, CRP-1 Continuations, CRP-1E Addendums, CRP-1G Addendums, CRP-2's, CRP-2C's, CRP-15's, CRP-15-1's, CRP-20's, CRP-23's, CRP-24's, CRP-25's, CRP-37's, CRP-41's, CRP-817U's, DF-21's, DF-25's, FSA-18's, FSA-695's, NRCS-CPA-06's, NRCS-LTP-11's, NRCS-LTP-11A's, NRCS-LTP-11B's, NRCS-LTP-013's, SF-LLL's, SF-LLL-A's, and other related forms and correspondence.</p> <p>Note: Maintain original copy of CRP-1 in the custody files. Maintain AD-1026's with the current farm record.</p> <p>This includes folders for disapproved or cancelled contracts.</p>	Destroy these files 5 years after the expiration of the contract or easement, if applicable.	N1-145-88-1 Item 1b

Conservation Reserve Program Files**Exhibit 32**

This exhibit covers assistance to farmers and ranchers for conserving and improving soil and water resources by taking eligible cropland out of production and planting it to grass and trees. Color Code is yellow. **Block 6(a) of SF-135 is RG 145**

File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
CRP 5 Spot Checks Conservation Reserve Program	Spot checks, responses, and reports.	Destroy these files when 5 years old.	N1-145-88-1 Item 1a
CRP 6 Appeals Conservation Reserve Program	Appeals by individual producers of the administrative criteria used in developing technical determinations.		
CRP 7 Conservation Reserve Enhancement Program Conservation Reserve Program	General material about CREP, a program that authorizes State/Federal agreements to use CRP to further specific natural resource goals.		
CRP 8 Emergency Haying and Grazing Conservation Reserve Program	General material about emergency haying and grazing of CRP acreage. Includes reports.		
CRP 9 State Research Projects Conservation Reserve Program	Land Grant Institutions notification, research projects submitted for consideration, reports, and other materials.		
CRP 10 Cropland Limitation Conservation Reserve Program	General material about the 25 percent cropland limitation.		
CRP 11 Farmable Wetlands Pilot Program Conservation Reserve Program	General material about FWP, the program that allows for enrollment of certain wetlands and buffer acreage into CRP.		

Conservation Reserve Program Files**Exhibit 32**

This exhibit covers assistance to farmers and ranchers for conserving and improving soil and water resources by taking eligible cropland out of production and planting it to grass and trees. Color Code is yellow.

Block 6(a) of SF-135 is RG 145

File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
CRP 12 Bottomland Timber Establishment on Wetlands Conservation Reserve Program	General material about the program to improve air and water quality as well as increase wildlife habitat along wetland areas.	Destroy these files when 5 years old.	N1-145-88-1 Item 1a

Emergency Forestry Conservation Reserve Program Files**Exhibit 32.1**

This exhibit covers disaster assistance to eligible landowners and operators restore and enhance forestland damaged by 2005, Hurricanes: Dennis, Katrina, Ophelia, Rita, and Wilma. Color Code is yellow. **Block 6(a) of SF-135 is RG 145**

File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
EFCRP 13 Emergency Forestry Conservation Reserve Program (EFCRP-2005 and future years) Crop Disaster Program	General material about EFCRP too broad to be filed under 1 of the more specific file types in this exhibit.	Retain for 2 years in – house then transfer to FRC. Destroy these files when 10 years old.	N1-145-05-2 Item 1 (Producer Folders) N1-145-05-2 Item 2 (Reports)
EFCRP 13-1 Program Development	Correspondence about the development of the program, including objectives, funding allocations, cost-share limitations, and approved practices.		
EFCRP 13-2 Reports and Statistics	Reports included under this subject that cannot be filed under 1 of the more specific file types in this exhibit. File voluminous printouts in binders on open shelves.		
EFCRP 13-3 Interagency Cooperation	Correspondence about cooperation between the County Office and other Federal and State agencies. This includes memorandums of understanding.		
EFCRP 13-4 Spot Checks (EFCRP-2005 and future years) Crop Disaster Program	Spot checks, responses, and reports.		

Emergency Forestry Conservation Reserve Program Files**Exhibit 32.1**

This exhibit covers disaster assistance to eligible landowners and operators restore and enhance forestland damaged by 2005, Hurricanes: Dennis, Katrina, Ophelia, Rita, and Wilma. Color Code is yellow.

Block 6(a) of SF-135 is RG 145

File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
EFCRP 13-5 Contract Folders (EFCRP-2005 and future years) Crop Disaster Program	Individual folders containing all correspondence about the producer's participation in EFCRP. This includes all forms and other related documentation.	Retain for 2 years in – house then transfer to the FRC. Destroy when contract expire 10 years later at the end of each month correlating to the month of the effected date.	N1-145-05-2 Item 1 (Producer Folders)
EFCRP 13-6 Appeals	Appeals by individual producers of the administrative criteria used in developing technical determinations.	Retain for 2 years in – house then transfer to FRC. Destroy these files when 10 years old.	
EFCRP 13-7 E-Funds/Payments Pending	Requests pending issuance of check to producer. Issue checks as soon as possible after completion certification by producer and technical agency, if applicable.		
EFCRP 13-8 Cost Share Request (EFCRP-2005 and future years) Crop Disaster Program	General correspondence about requests for cost-sharing too broad to be appropriately filed under 1 of the more specific file types in this exhibit.		

Emergency Forestry Conservation Reserve Program Files**Exhibit 32.2**

This exhibit covers disaster assistance to eligible landowners and operators restore and enhance forestland damaged by hurricanes and other natural disasters. There were multiple 2007 Acts signed into law and the (2007Act) reauthorized EFCRP. Color Code is yellow. **Block 6(a) of SF-135 is RG 145**

File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
EFCRP 14 Emergency Forestry Conservation Reserve Program (EFCRP-2007 and future years) Crop Disaster Program	General material about EFCRP too broad to be filed under 1 of the more specific file types in this exhibit.	Retain for 2 years in – house then transfer to FRC. Destroy these files when 10 years old.	N1-145-05-2 Item 2 (Reports)
EFCRP 14-1 Program Development	Correspondence about the development of the program, including objectives, funding allocations, cost-share limitations, and approved practices.		
EFCRP 14-2 Reports and Statistics	Reports included under this subject that cannot be filed under 1 of the more specific file types in this exhibit. File voluminous printouts in binders on open shelves.		
EFCRP 14-3 Interagency Cooperation	Correspondence about cooperation between the County Office and other Federal and State agencies. This includes memorandums of understanding.		
EFCRP 14-4 Spot Checks (EFCRP-2007 and future years) Crop Disaster Program	Spot checks, responses, and reports.		

Emergency Forestry Conservation Reserve Program Files			Exhibit 32.2
This exhibit covers disaster assistance to eligible landowners and operators restore and enhance forestland damaged by hurricanes and other natural disasters. There were multiple 2007 Acts signed into law and the (2007Act) reauthorized EFCRP. Color Code is yellow. Block 6(a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
EFCRP 14-5 Contract Folders (EFCRP-2007 and future years) Crop Disaster Program	Individual folders containing all correspondence about the producer's participation in EFCRP. This includes all forms and other related documentation.	Retain for 2 years in – house then transfer to the FRC. Destroy when contract expire 10 years later at the end of each month correlating to the month of the effected date.	N1-145-05-2 Item 1 (Producer Folders) N1-145-05-2 Item 2 (Reports)
EFCRP 14-6 Appeals	Appeals by individual producers of the administrative criteria used in developing technical determinations.	Retain for 2 years in – house then transfer to FRC. Destroy these files when 10 years old.	
EFCRP 14-7 E-Funds/Payments Pending	Requests pending issuance of check to producer. Issue checks as soon as possible after completion certification by producer and technical agency, if applicable.		
EFCRP 14-8 Cost Share Request (EFCRP-2007 and future years) Crop Disaster Program	General correspondence about requests for cost-sharing too broad to be appropriately filed under 1 of the more specific file types in this exhibit.		

Records Transfer Desk Reference Guide

Disaster Assistance Programs Files			Exhibit 33.5
This exhibit covers materials on the programs to provide assistance to producers, farmers, and others who have suffered losses because of natural disasters. Color Code is yellow. Block 6(a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
DAP Disaster Assistance Programs	General material about DAP too broad to be filed under 1 of the more specific programs in this exhibit	Cut off all closed files at the end of the year.	N1-145-05-2 Item 3
DAP 1 Tree Assistance Program (TAP) Disaster Assistance Programs	General material about TAP too broad to be filed under 1 of the more specific file types in this exhibit.	Retain for 2 years in-house then transfer to Federal Records Center (FRC).	
DAP 1-1 Participant Folders Disaster Assistance Programs	Individual farm folders containing all documents about the participation of the farm in TAP. Includes CCC-434's and CCC-435's, Enrollment Application Report, and the Producer Earnings Report. This includes folders for requests that were disapproved.	Destroy these files when 10 years old.	
DAP 1-2 Reports Disaster Assistance Programs	Reports.		

Records Transfer Desk Reference Guide

Disaster Assistance Programs Files

Exhibit 33.5

This exhibit covers materials on the programs to provide assistance to producers, farmers, and others who have suffered losses because of natural disasters. Color Code is yellow. **Block 6(a) of SF-135 is RG 145**

File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
DAP 2 Dairy Disaster Assistance Program (DDAP) Disaster Assistance Programs	General material about DDAP too broad to be filed under 1 of the more specific file types in this exhibit.	Cut off all closed files at the end of the year. Retain for 2 years in- house then transfer to Federal Records Center (FRC).	N1-145-05-2 Item 3
DAP 2-1 Producer Folders Disaster Assistance Programs	Individual folders containing, CCC 663's, CCC-663-1's, CCC- 663W's, copy of Entitlement Report, and other supporting documents.	Destroy these files when 10 years old.	
DAP 2-2 Spot Checks	Spot check, selections, responses and reports.		
DAP 2-3 Reports	Reports		
DAP 3 Livestock Indemnity Program (LIP) Disaster Assistance Programs	General material about LIP too broad to be filled under one of the more specific file types in this exhibit.		
DAP 3-1 Producer Folder	Individual folders containing CCC-661, CCC- 661 (Continuation), CCC-661W, copy of Entitlement Report, and other supporting documents. This includes disapproved requests.		
DAP 3-2 Spot Checks	Spot check register, reports, and other related materials.		
DAP 3-3 Reports Disaster Assistance Programs	Reports.		

Disaster Assistance Programs Files**Exhibit 33.5**

This exhibit covers materials on the programs to provide assistance to producers, farmers, and others who have suffered losses because of natural disasters. Color Code is yellow. **Block 6(a) of SF-135 is RG 145**

File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
DAP 4 American Indian Livestock Feed Program (AILFP) Disaster Assistance Programs	All material about AILFP. The program provides reimbursement of livestock feed purchases for livestock owners. Includes activities of tribal governments and Bureau of Indian Affairs.	Cut off all closed files at the end of the year. Retain for 2 years in- house then transfer to Federal Records Center (FRC).	N1-145-05-2 Item 3
DAP 4-1 Applicant Folders	Individual folders containing CCC-644, CCC- 453, CCC-648, receipts, and other supporting documents. Subdivide these files by approval and disapproval.	Destroy these files when 10 years old.	
DAP 4-2 Spot Checks	CCC- 634 and other related materials.		
DAP 4-3 Appeals Disaster Assistance Programs	Correspondence about appeals by producers.		
DAP 5 Livestock Assistance Program (LAP) Disaster Assistance Programs	General material about LAP too broad to be filled under 1 of the more specific file types in this exhibit.		
DAP 5-1 Producer Folder	Individual folders containing CCC-654, CCC- 740 and other supporting documents.		
DAP 5-2 Spot Checks	Spot checks, register, and reports.		
DAP 5-3 Reports Disaster Assistance Programs	Reports.		

Records Transfer Desk Reference Guide

Disaster Assistance Program Files			Exhibit 33.5
This exhibit covers materials on the programs to provide assistance to producers, farmers, and others who have suffered losses because of natural disasters. Color Code is yellow. Block 6(a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
DAP 6 Crop Loss Disaster Assistance Program (CLDAP) Disaster Assistance Programs	General material about CLDAP too broad to be filed under 1 of the more specific file types in this exhibit.	Cut off all closed files at the end of the year. Retain for 2 years in-house then transfer to Federal Records Center (FRC).	N1-145-05-2 Item 3
DAP 6-1 Producer Folder Disaster Assistance Programs	Individual folders containing CCC-540, CCC-540A, CCC-541, and other supporting documentation.	Destroy these files when 10 years old.	
DAP 6-2 Reports Disaster Assistance Programs	Reports Crop Table Report - MHBC2P-R001.		
DAP 7 Flood Compensation Program (FCP) Disaster Assistance Programs	General material about FCP too broad to be filed under 1 of the more specific file types in this exhibit.		
DAP 7-1 Producer Folders Disaster Assistance Programs	Individual folders containing CCC-454, Copy of Entitlement Report, and other supporting documentation. This includes disapproved requests.		
DAP 7-2 Spot Checks Disaster Assistance Programs	Spot check, selections, and reports.		
DAP 7-3 Reports Disaster Assistance Programs	Reports.		

Disaster Assistance Programs Files			Exhibit 33.5
This exhibit covers materials on the programs to provide assistance to producers, farmers, and others who have suffered losses because of natural disasters. Color Code is yellow. Block 6(a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
DAP 8 Cattle Feed Program (CFP) Disaster Assistance Programs	General material about CFP, the program to provide feed assistance to farmers and ranchers in Colorado, Nebraska, South Dakota, and Wyoming.	Cut off all closed files at the end of the year. Retain for 2 years in-house then transfer to Federal Records Center (FRC). Destroy these files when 10 years old.	N1-145-05-2 Item 3
DAP 8-1 Producer Folders Disaster Assistance Programs	Individual folders containing FSA-551 and other supporting documentation.		
DAP 8-2 Spot Checks Disaster Assistance Programs	Spot check, selections, and reports.		
DAP 8-3 Reports Disaster Assistance Programs	Reports 2002 CFP Enrollment Application Report - MHA VS2-R001.		
DAP 9 Livestock Compensation Program (LCP) Disaster Assistance Programs	General material about LCP too broad to be filed under 1 of the more specific file types in this exhibit.		
DAP 9-1 Producer Folders Disaster Assistance Programs	Individual folders containing FSA-553, FSA-553-A, and other supporting documentation.		
DAP 9-2 Reports Disaster Assistance Programs	Reports.		
DAP 9-3 Spot Checks Disaster Assistance Programs	Spot check, selections, and reports.		

Disaster Assistance Programs for Livestock Producers Files**Exhibit 33.5.1**

This exhibit covers the programs to provide assistance to livestock producers experiencing severe feed and pasture losses because of drought and other natural disasters. Color Code is green.

Block 6(a) of SF-135 is RG 145

File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
DAP/LP Disaster Assistance Programs for Livestock Producers Disaster Assistance Programs	General material about DAP/LP too broad to be filed under 1 of the more specific file types in this exhibit.	Cut off all closed files at the end of the year. Retain for 2 years in- house then transfer to Federal Records Center (FRC).	N1-145-05-2 Item 3
DAP/LP 1 Reports Disaster Assistance Programs	Reports too broad to be filed under 1 of the more specific file types in this exhibit.	Destroy these files when 10 years old.	
DAP/LP 2 Livestock Compensation Program II (LCP-II) Disaster Assistance Programs	General material about LCP-II.		
DAP/LP 2-1 Producer Folders Disaster Assistance Programs	Individual folders containing CCC-370, CCC- 370-A and other supporting documentation about the producer's participation in LCP-II.		
DAP/LP 2-2 Reports Disaster Assistance Programs	Reports.		
DAP/LP 2-3 Spot Checks Disaster Assistance Programs	Spot check, selection, and reports.		

Disaster Assistance Programs for Livestock Producers Files**Exhibit 33.5.1**

This exhibit covers the programs to provide assistance to livestock producers experiencing severe feed and pasture losses because of drought and other natural disasters. Color Code is green.

Block 6(a) of SF-135 is RG 145

File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
DAP/LP 3 Livestock Assistance Program (LAP) Disaster Assistance Program	General material about LAP, the program that provides assistance to eligible livestock owners who suffered qualifying calendar year 2003 or 2004 grazing losses because of natural disaster conditions.	Cut off all closed files at the end of the year. Retain for 2 years in- house then transfer to Federal Records Center (FRC).	N1-145-05-2 Item 3
DAP/LP 3-1 Producer Folders Disaster Assistance Programs	Individual producer folders containing CCC-654, CCC- 740, and other supporting documentation about the producer's participation in LAP. Subdivide these files into approved and disapproved applications.	Destroy these files when 10 years old.	
DAP/LP 3-2 Reports	LAP reports.		
DAP/LP 3-3 Spot Checks Disaster Assistance Programs	Spot check, selections, and reports.		
DAP/LP 4	(See DAP 4)		
DAP/LP 4-1 Applicant Folders Disaster Assistance Programs	Individual folder containing CCC-453, CCC-644, CCC-644A, CCC648, receipts, and other supporting documentation. Subdivide these files into approved and disapproved applications.		
DAP/LP 4-2 Reports	Reports.		
DAP/LP4-3 Spot Checks Disaster Assistance Programs	Spot check, selections, and reports.		

Direct and Counter-Cyclical Program Files**Exhibit 33.6**

This exhibit covers the program that provides producers an income safety net in the form of annual direct payments and, during depressed market conditions, counter-cyclical payments. Color Code is goldenrod.

Block 6(a) of SF-135 is RG 145

File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
DCP Direct and Counter Cyclical Program Farm Records	General material about DCP too broad to be filed under 1 of the more specific file types in this exhibit.	Destroy these files when 5 after end of program.	NC1-145-79-2 Item 6a
DCP 1 Reports Farm Records	<p>The following reports and other reports that cannot be filed under 1 of the more specific subjects in this exhibit:</p> <ul style="list-style-type: none"> • Potential Missing Data Report (MIBMDR- R001) • Missing Tract Year Report (MIBMYR- R001) • Missing Yield Report (MIBMYD-R001) • Data Loaded Acreage History Report (MIBDLR-R001) • NASS Yield Report (MAA261-R001) • Subsequent Crop Acreage Report (MIBSQP-R001) •*--Oilseed Redistribution Report (MIBPRO- R001).--* 		

Direct and Counter-Cyclical Program Files**Exhibit 33.6**

This exhibit covers the program that provides producers an income safety net in the form of annual direct payments and, during depressed market conditions, counter-cyclical payments. Color Code is goldenrod.

Block 6(a) of SF-135 is RG 145

File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
DCP 2 Covered Commodities Marketing Quota/Acreage Allotment Program	General material about crops eligible for participation in DCP. Note: See DCP 4 for the Peanut DCP.	Destroy these files when 5 years after end of program.	NC1-145-79-2 Item 7a
DCP 2-1 Contract Folders Marketing Quota/Acreage Allotment Program	Individual folders containing forms and other documentation about the producer's participation in DCP. This includes CCC-509, CCC-509 Appendix, CCC-509E (the most current copy), CCC-515, CCC-517, CCC-522, FSA-658P, FSA-540, other forms, and the following reports: <ul style="list-style-type: none"> Detailed Acreage History Report (MIBAHR-R001) Summary Acreage History Report (MIBAHF-R001) Tract History Report (MIBTHR-R001) 		

Direct and Counter-Cyclical Program Files**Exhibit 33.6**

This exhibit covers the program that provides producers an income safety net in the form of annual direct payments and, during depressed market conditions, counter-cyclical payments. Color Code is goldenrod. **Block 6(a) of SF-135 is RG 145**

File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
DCP 2-1 Contract Folders <i>Continued</i> Marketing Quota/Acreage Allotment Program	<ul style="list-style-type: none"> • Base Options Report (MIBBOR-R001) • Possible Base and Yield Options Report (MIBBOP-R001) • Tract Redistribution Report (MIBTRR-R001) • Yield Report (MIBYUR-R001). 	Destroy these files when 5 years after end of program.	NC1-145-79-2 Item 7a
DCP 3 Payments Marketing Quota/Acreage Allotment Program	General material about direct and counter-cyclical payments.		
DCP 3-1 Registers Marketing Quota/Acreage Allotment Program	Nonpayment, pending payment, and overpayment registers.		
DCP 4 Peanut Marketing Quota/Acreage Allotment Program	General material about the Peanut DCP.		
DCP 4-1 Contract Folders Marketing Quota/Acreage Allotment Program	Individual folders containing CCC-531, CCC-531 Appendix, and other supporting documentation. Note: Transfer all CCC-532' under this disposal authority. Form obsolete, replaced by 2010 FFAS Farm Survey 3/10/2010 forms s/b kept for 5 years.		

Direct and Counter-Cyclical Program Files**Exhibit 33.6**

This exhibit covers the program that provides producers an income safety net in the form of annual direct payments and, during depressed market conditions, counter-cyclical payments. Color Code is goldenrod.

Block 6(a) of SF-135 is RG 145

File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
DCP 5 Hard White Wheat Incentive Payment Program Farm Records	General material about the program to provide incentive for producers to plant hard white wheat of winter and spring varieties, which would subsequently increase production for both domestic and import markets.	Destroy these files when 5 years after end of program.	NC1-145-79-2 Item 6a
DCP 5-1 Producer Folders Farm Records	Individual folders containing CCC-490's and other supporting documentation.--*		
DCP 6 - 8	(Reserved)		
DCP 9 Peanut Quota Buyout Program Marketing Quota/Acreage Allotment Program	General material about the Peanut QBOP.	Destroy these files when 5 years after end of program.	NC1-145-79-2 Item 7a
DCP 9-1 Eligible Quota Holders Marketing Quota/Acreage Allotment Program	Individual folders containing CCC-530, CCC-530 Appendix, and other supporting documentation.		

Dairy Indemnity Payment Program Files			Exhibit 34
This exhibit covers payments to dairy producers for milk removed from market because it contained residue from substances, including pesticides, toxic chemicals, and radioactive fall out. In addition, This exhibit covers payments to dairy manufacturers for dairy products removed from market because it contained residues of pesticides. Color Code is blue. Block 6(a) of SF-135 is RG 161			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
DIPP Dairy Indemnity Payment Program	Correspondence about DIPP too broad to be filed under 1 of the more specific file types in this exhibit.	Destroy these files 6 years after the end of each program, project, or other activity year in which they were created.	NC1-161-79-1 Item 9
DIPP 1 Producer Folders Dairy Indemnity Payment Program	Individual producer folders containing forms, reports, and other correspondence about the producer's participation in DIPP and all payments made to the producer. This includes FSA-373's, FSA-373A's, FSA-374's, and CCC-314's. Subdivide these files into approved and disapproved applications.		
DIPP 2 Manufacturer Data Dairy Indemnity Payment Program	Correspondence about manufacturer DIPP claims.		
DIPP 3 Program Control Dairy Indemnity Payment Program	Allocations and related correspondence.		
DIPP 4 Appeals Dairy Indemnity Payment Program	Documents about DIPP appeals.		

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Dairy Market Loss Assistance Program Files			Exhibit 34.4
This exhibit covers the assistance to dairy producers facing greatly reduced milk prices because of the decline in the Basic Formula Price (BFP). Color Code is blue. Block 6(a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
DMLAP Dairy Market Loss Assistance Program Disaster Assistance Program	Correspondence about DMLAP too broad to be filed under 1 of the more specific file types in this exhibit.	Destroy these files 10 years after the date of payment.	N1-145-05-2 Item 3
DMLAP 1 Producer Folders Disaster Assistance Program	Individual folders containing CCC-1040 and other supporting documentation about the producer's participation in DMLAP. Subdivide these files into approved and disapproved applications.		
DMLAP 2 Spot Checks Disaster Assistance Program	Spot check, selections, and responses.		

Note: DMLAP files are inactive. Transfer to FRC immediately-last payment as a whole was 2000-2003.

Disaster Reserve Assistance Program Files			Exhibit 34.5
This exhibit covers the program to provide assistance to livestock producers who have suffered a substantial loss of feed production because of natural disaster. Color Code is blue Block 6(a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
DRAP Disaster Reserve Assistance Program Disaster Assistance Program	General material about DRAP too broad to be filed under 1 of the more specific file types in this exhibit.	Cut off all closed files at the end of the year. Retain for 2 years in- house then transfer to Federal Records Center (FRC).	N1-145-05-2 Item 3
DRAP 1 Program Authorization Disaster Assistance Program	CCC-654 and other documents requesting program authorization. Also file any correspondence about authorizations to put in effect any DRAP. Subdivide file as necessary.	Destroy these files when 10 years old.	
DRAP 2 Spot Checks Disaster Assistance Program	FSA-643A's and related correspondence.		
DRAP Reports and Statistics Disaster Assistance Program	Reports and statistical materials. Subdivide these files as necessary.		
DRAP 4 Violations and Appeals Disaster Assistance Program	Correspondence about violations of program requirements and appeals by producers.		
DRAP 5 Approved Applicant Folders Disaster Assistance Program	Individual folder for each producer whose application was approved. This includes application forms, letters of approval and extension, sales tickets or invoices, CCC-640's, CCC- 651's, CCC-651 DRAP Appendices, CCC-651B's, CCC-652's, CCC-653's, CCC-658's, and other correspondence and forms about that producer's participation in DRAP.		

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Dairy Refund Payment Program Files			Exhibit 35
This exhibit covers payments to producers for not increasing milk production on any dairy unit in which the producer has an interest in the calendar year that a price reduction was in effect when compared with marketing in the immediately preceding calendar year. Color Code is blue. Block 6(a) of SF-135 is RG 161			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
DRPP Dairy Refund Payment Program Price Support Operations	Correspondence about DRPP too broad to be filed under 1 of the more specific file types in this exhibit.	Destroy these files 6 years after the end of the program year, or other activity year in which they were created.	NC1-161-79-1 Item 11a
DRPP 1 Reports Price Support Operations	Reports covering all subjects included under this subject that cannot be filed under 1 of the more specific file types in this exhibit. Subdivide these files as necessary.		
DRPP 2 Producer Files Price Support Operations	*--Individual folders containing--* original CCC-140's, CCC-140 Continuations, CCC-140A's, CCC-140A Continuations, CCC-141's, CCC-141 Continuations, acceptable milk marketing documentation for the base and refund periods, and other related forms and correspondence about the producer's participation in DRPP and all payments made to the producer. Subdivide these files into approved and disapproved applications. * * *		
DRPP 3 Appeals Price Support Operations	Documents about DRPP appeals.		
DRPP 4 Spot Checks Price Support Operations	Spot check, selections and responses. Includes CCC- 142's.		

Emergency Conservation Program Files			Exhibit 37
This subject provides cost share assistance to agricultural producers who have suffered severe damage to their farmland as a result of a natural disaster. Color Code is yellow. Block 6(a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
ECP Emergency Conservation Program Conservation Program	General material about ECP too broad to be filed under 1 of the more specific file types in this exhibit.	Destroy these files when 5 years old.	NC1-145-79-2 Item 1a
ECP 1 Program Development Conservation Program	Correspondence about the development of the program, including objectives, funding allocation, cost-share limitations, and approved practices.		
ECP 1-1 Practice Specifications Conservation Program	Correspondence about technical specifications for practices and materials authorized for use in ECP projects. This includes practices developed at all levels of FSA, and special practices for which NRCS developed the technical specifications.		
ECP 2 Interagency Cooperation Conservation Program	Correspondence about cooperation between the County Office and other Federal and State agencies, such as the State Forestry Department and FS. This includes memorandum of understanding with soil conservation districts.		
ECP 3 Reports and Statistics Conservation Program	Reports covering all subjects included under this subject that cannot be filed under 1 of the more specific file types in this exhibit. Subdivide these files as needed.		

Note: These files are inactive. Transfer to FRC immediately.

Emergency Conservation Program Files			Exhibit 37
This subject provides cost share assistance to agricultural producers who have suffered severe damage to their farmland as a result of a natural disaster. Color Code is yellow. Block 6(a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
ECP 4 Program Development Conservation Program	Correspondence about the control of program activities and funds.	Destroy these files when 5 years old.	NC1-145-79-2 Item 1a
ECP 4-1 County Allocation Control Ledger Conservation Program	The sequential ledger entry report, the detailed ledger used to control program funds, and related correspondence.		
ECP 4-2 Control Technical Services Referrals Conservation Program	Correspondence about the control of referrals to NRCS and other agencies.		
ECP 4-3 NRCS Transfer of Funds Conservation Program	Correspondence about the transfer of funds to NRCS for technical assistance.		
ECP 5 Cost Share Requests Conservation Program	General correspondence about requests for cost sharing too broad to be filed under 1 of the more specific file types in this exhibit.		
ECP 5-1 Pending COC Consideration Conservation Program	AD-245's received in the County Office but not yet reviewed by COC.		
ECP 5-2 Pending Needs Determinations Conservation Program	Requests pending determination of need and feasibility by technician. This includes copies of AD-862's forwarded to technical agencies.		

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Emergency Conservation Program Files			Exhibit 37
This subject provides cost share assistance to agricultural producers who have suffered severe damage to their farmland as a result of a natural disaster. Color Code is yellow. Block 6(a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
ECP 5-3 Pending Reports of Performance Conservation Program	Pending report requests to producer on AD-245, page 2, and certification by responsible technical agency on AD-862 that practices approved by COC have been completed and payment is due.	Destroy these files when 5 years old.	NC1-145-79-2 Item 1b
ECP 5-4 Pending Payment Conservation Program	Requests pending issuance of checks to producer and entry on the automated ledger report. Issue checks as soon as possible after completion certification by producer and technical agency, if applicable.		
ECP 6 Participant Folders Conservation Program	Individual folders containing AD-245's, AD-862's, CCC-170's, FSA-18's, other forms and related correspondence about the participation of the farm in ECP and the approval of and payment for request cost-sharing practices.	Destroy these files 10 years after practice is completed for practices with a 10-year lifespan. Destroy these files 5 years after practice is completed for practices with a 5 year or less lifespan.	See next page for Disposal Authority

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Emergency Conservation Program Files			Exhibit 37
This subject provides cost share assistance to agricultural producers who have suffered severe damage to their farmland as a result of a natural disaster. Color Code is yellow. Block 6(a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
ECP 6 (continued) Participant Folders Conservation Program	Disapproved or cancelled requests.	Destroy these files when 5 years old.	NC1-145-79-2 Item 1a
		<u>Long-Term Agreements (LTA)</u> : Destroy 5 years after expiration of agreement	NC1-145-79-2 Item 1b1
		<u>Annual Agreements (ANA)</u> : Destroy 5 years after practice is completed	NC1-145-79-2 Item 1b2
		Contracts, land control payment documents and related records (Case Files): Destroy 5 years after expiration of contract plus the period of extended protection where applicable	NC1-145-79-2 Item 1c
ECP 7 Pooling Agreements Conservation Program	Individual folders for each pooling agreement containing ACP-153's, ACP-153A's, ACP-308's, AD-245's, and related correspondence.	Destroy these files when 5 years old.	NC1-145-79-2 Item 1b1
ECP 8 Appeals Conservation Program	Appeals pending.		NC1-145-79-2 Item 1a
ECP 9 Spot Checks Conservation Program	FSA-276's and other related documentation.		

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Emergency Conservation Program Files			Exhibit 37
This subject provides cost share assistance to agricultural producers who have suffered severe damage to their farmland as a result of a natural disaster. Color Code is yellow. Block 6(a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
ECP 10 Record of Natural Disasters Crop Disaster Program	News articles and other documentation on natural disasters in the county.	Cut off all closed files at the end of the year. Retain for 2 years in- house then transfer to FRC. Destroy these files when 10 years old.	N1-145-05-2 Item 1 (Producer Folders) N1-145-05-2 Item 2 (Reports)

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Equal Employment Opportunity Files			Exhibit 38
This exhibit covers materials about all phases of EEO and the Civil Rights Act of 1964. Color Code is white. Block 6(a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
EEO Equal Employment Opportunity EEO General Files	General material about EEO and workforce diversity too broad to be filed under 1 of the more specific file types in this exhibit.	Destroy these files when 3 years old.	GRS 1 Item 25g
EEO 1 Reports and Statistics	Reports and statistics covering all subjects included under this subject that cannot be filed under 1 of the more specific file types in the exhibit. Subdivide these files as necessary.	Destroy these files when 5 years old.	GRS 1 Item 25 f
EEO 2 Compliance Reviews	General material pertaining to reviews conducted by DD to determine compliance with EEO requirements and regulations. Includes FSA-829's, FSA-831's and FSA-112's (EO).	Destroy these files when 7 years old.	GRS 1 Item 25d(1)
EEO 3 Management Evaluations EEO On-site Reviews	Management evaluations and reports of on-site reviews conducted by EEO&CRS.	Destroy these files when 5 years old.	GRS 1 Item 25h(3)
EEO 4 Discrimination Complaint Files	Correspondence and other documents about EEO complaint processes, both informal and formal. Case files containing correspondence, reports, copies of decisions, and hearings, etc., should be in a confidential file.	Destroy these files 4 years after resolution of case.	GRS 1 Item 25a

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Equal Employment Opportunity Files

Exhibit 38

This exhibit covers materials about all phases of EEO and the Civil Rights Act of 1964.

Color Code is white. **Block 6(a) of SF-135 is RG 145**

File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
EEO 5 Affirmative Employment Program	General material on AEP including State and National plans.	Destroy these files when 5 years old.	GRS 1 Item 25h(1)
EEO 6 Special Emphasis Program Reasonable Accommodation Records	General material, work plans, and reports on SEP. Subdivide by title or programs, if needed.	<p>Destroy these files when 3 years old</p> <p>General Files Destroy 3 years after supercession or when no longer needed for reference whichever is later</p> <p>Employee Case Files Destroy 3 years after employee separation from the agency or all appeals are concluded, whichever is later.</p> <p>Supplemental Files Destroy 3 year after end of fiscal year in which accommodation is decided or all appeals are concluded, whichever is later.</p>	<p>GRS 1 Item 24a</p> <p>GRS 1 Item 24b</p> <p>GRS 1 Item 24c</p>
EEO 7 Training Records	Materials about training conducted, requirements, and related information on EEO training.	Destroy these files when 5 years old or 5 years after completion of a specific training program.	GRS 1 Item 29a(1)
EEO 8 Prevention of Sexual Harassment EEO General Files	General material on the prevention of sexual harassment.	Destroy these files when 3 years old.	GRS 1 Item 25g

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Ewe Lamb Replacement and Retention Payment Program Files			Exhibit 38.5
This exhibit covers payments to sheep and lamb producers to encourage the replacement and retention of ewe lamb breeding stock. Color Code is blue. Block 6(a) of SF-135 is RG 161			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
ELRRPP Ewe Lamb Replacement and Retention Payment Program. Wool and Mohair	General material about ELRRPP too broad to be filed under 1 of the more specific file types in this exhibit.	Destroy these files 6 years after final payment.	NC1-161-79-1 Item 7a
ELRRPP 1 Reports Wool and Mohair	Reports.	NOTE: These files are inactive. Transfer to FRC immediately.	
ELRRPP 2 Producer Folders Wool and Mohair	Individual folders containing FSA-384 and other related documentation. Subdivide these files into approved and disapproved applications.		
ELRRPP 3 Spot Checks Wool and Mohair	Spot check, selections and responses.		
ELRRPP 4 Payments Wool and Mohair	General material about ELRRPP payments.		
ELRRPP 4-1 Registers Wool and Mohair	Nonpayment, pending payment and overpayment registers.		

NOTE: These files are inactive. Transfer to FRC immediately.

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Emergency Records			Exhibit 39
This exhibit covers general material pertaining to the information needed to support FSA defense emergency assignments. Color Code is white. Block 6(a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
ER Emergency Records Emergency Planning Records	General material about emergency records too broad to be filed under 1 of the more specific file types in this exhibit.	Destroy these files when 3 years old.	GRS 18 Item 27
ER 1 Reports Emergency Planning Records	File reports about emergency records too broad to be filed under 1 of the more specific file types in this exhibit.		
ER 2 National Security Emergency Planning Records	General material / instructions to follow during a national security emergency.		
ER 2-1 USDA Defense Plan Defense Preparedness Program	FSA-249, FSA-249-1, FSA-250, FSA-250-1, FSA Food, Feed, and Seed Facility Listings, and FSA Fertilizer Facility Listings, and correspondence about the maintenance of USDA activities in the case of a national security emergency. Subdivide these files as necessary according to instructions in the USDA Emergency Operations Handbook and 1-DP.	Destroy these files when 5 years old.	NC1-145-79-2 Item 11a
	Emergency Food and Feed Facilities (Machine – Readable)	Retain for 400 days.	NC1-145-79-2 Item 11b
	Defense Name Master File (Machine-Readable)	Retain for 999 days.	NC1-145-79-2 Item 11c

Records Transfer Desk Reference Guide

Emergency Records			Exhibit 39
This exhibit covers general material pertaining to the information needed to support FSA defense emergency assignments. Color Code is white. Block 6(a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
ER 3 Natural Disaster Defense Preparedness Program	Material about disasters produced by nature.	Destroy these files when 5 years old.	NC1-145-79-2 Item 11a
ER 3-1 USDA Flash Situation Reports Defense Preparedness Program	Correspondence. Maintain according to instructions in USDA Emergency Operations Handbook and 1-DP.	Follow Retention instructions as indicated in the USDA Emergency Operations Handbook.	
ER 3-2 USDA – Potential Natural Disaster Damage Assessment Report(DAR) Defense Preparedness Program	Correspondence. Maintain according to instructions in USDA Emergency Operations Handbook and 1-DP.		
ER 4 Technological Defense Preparedness Program	Material and instructions about nuclear power plant accidents, nuclear weapons accidents, hazardous materials, etc.		
ER 5 Other Defense Preparedness Program	Material about other types of emergencies not specifically listed in this exhibit.		

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Emergency Records			Exhibit 39
This exhibit covers general material pertaining to the information needed to support FSA defense emergency assignments. Color Code is white. Block 6(a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
ER 6 Emergency Boards Defense Preparedness Program	Material about Emergency Boards. Maintain according to USDA Emergency Records Instructions.	Destroy these files when 5 years old.	NC1-145-79-2 Item 11a
ER 6-1 County Emergency Boards (CEB's) Defense Preparedness Program	Minutes and other material about CEB's. Maintain according to USDA Emergency Records Instructions.	Follow Retention instructions as indicated in the USDA Emergency Operations Handbook and 1-DP.	
ER 6-2 State Emergency Boards (SEB's) Defense Preparedness Program	Minutes and other material about SEB's. Maintain according to USDA Emergency Records Instructions.		

Environmental Quality Incentives Program Files**Exhibit 39.5**

This exhibit covers flexible technical assistance, financial and educational assistance to farmers and ranchers who face serious threats to soil, water, and related natural resources on their land. Color Code is yellow.

Block 6(a) of SF-135 is RG 145

File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
EQIP Environmental Quality Incentives Program Conservation Program	General material about EQIP too broad to be filed under 1 of the more specific file types in this exhibit.	Destroy these files when 5 years old.	NC1-145-79-2 Item 1a
EQIP 1 Program Development Conservation Program	Correspondence about the development of EQIP and data used in preparing the EQIP manual.	Files forwarded to NRCS in FY 2005	
EQIP 2 Reports and Statistical Summaries Conservation Program	Reports and statistical summaries covering all subjects included under this subject that cannot be filed under 1 of the more specific file types in this exhibit. Note: Subdivide these files as needed. Copies of signed CCC- 1200's Referred for Ranking Report (EEB 710- R001) Copies of signed CCC- 1200's Selected for Plan Development Report (EEB 710-R002) CCC-1200 Status Report (EEB 715-R001) CCC Allocation Reduction Report - Fiscal Year-end (EEB 460-R001)		

Note: These files are inactive. Transfer to FRC immediately.

Environmental Quality Incentives Program Files**Exhibit 39.5**

This exhibit covers flexible technical assistance, financial and educational assistance to farmers and ranchers who face serious threats to soil, water, and related natural resources on their land. Color Code is yellow.

Block 6(a) of SF-135 is RG 145

File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
EQIP 2 Reports and Statistical Summaries (Continued) Conservation Program	CCC Allocation Increases or Decreases Report (EEG 231-R001) The differences between Conservation 305 and State CCC Ledger Reports (EEG 235-R006) Program Summary Ledger Report (EEG 235-R002) CCC-1245 Status Report (EEB 810-R001).	Unless otherwise noted, destroy these files when 5 years old. Destroy monthly reports when the next month's report is printed. Destroy fiscal year-end report when 5 years old.	NC1-145-79-2 Item 1a
EQIP 3 Program Control Conservation Program	Correspondence about the control of program activities and funds.	Files forwarded to NRCS in FY 2005	
EQIP 3-1 Allocation Control Ledgers Conservation Program	The sequential ledger entry report, the detailed ledger used to control program funds, and related correspondence.		
EQIP 3-2 Ledger Reports Conservation Program	Ledger reports.		
EQIP 3-3 Priority Areas Conservation Program	Copies of correspondence related to establishing priority areas.		

Note: These files are inactive. Transfer to FRC immediately.

Environmental Quality Incentives Program Files			Exhibit 39.5
This exhibit covers flexible technical assistance, financial, and educational assistance to farmers and ranchers who face serious threats to soil, water, and related natural resources on their land. Suggestion: Maintain a set of EQIP 4 through EQIP 4-7 files, as applicable, for each individual fund code. Color Code is yellow. Block 6(a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
EQIP 4 Contract Folders Conservation Program	Individual folders containing all correspondence about the producer's participation in EQIP. This includes CCC-1200's, CCC-1245's, and other related materials. Maintain original copy of CCC-1200 in the custody files. Include folders for disapproved, deferred, or canceled contracts.	Destroy these files 5 years after the expiration of agreement or after the completion of the practice lifespan of all practices, whichever is later. Contracts, land control payment documents and related records (Case Files). Destroy 5 years after expiration of contract plus the period of extended protection where applicable.	NC1-145-79-2 Item 1c
EQIP 4-1 Appeals Pending Conservation Program	Appeals by individual producers.	Destroy these files when 5 years old.	
EQIP 4-2 Applications Pending Referral	Copies of CCC-1200's that have not been referred to NRCS for ranking.	Maintain files until moved to EQIP 4-3, EQIP 4-6, or EQIP 4-7.	
EQIP 4-3 Applications Referred for Ranking	Copies of CCC-1200's that have been referred to NRCS for ranking.	Maintain files until moved to EQIP 4-4, EQIP 4-5, EQIP 4-6, or EQIP 4-7.	
EQIP 4-4 Applications Selected for Plan Development	Copies of CCC-1200's that have been referred to NRCS for plan development/finalization.	Maintain files until moved to either EQIP 4, EQIP 4-5, EQIP 4-6, or EQIP 4-7.	

Note: These files are inactive. Transfer to FRC immediately - Files forwarded to NRCS in FY 2005.

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Environmental Quality Incentives Program Files			Exhibit 39.5
This exhibit covers flexible technical assistance, financial and educational assistance to farmers and ranche who face serious threats to soil, water, and related natural resources on their land. *--Suggestion: Maintain a set of EQIP 4 through EQIP 4-7 files, as applicable, for each individual fund code.--* Color Code is yellow. Block 6(a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
EQIP 4-5 Deferred Applications Conservation Program	Copies of CCC-1200's that have been deferred and may be ranked in the subsequent application period. Subdivide by priority area(s) and Statewide concerns as necessary.	Maintain files until moved to either EQIP 4, EQIP 4-6, or EQIP 4-7. Files forwarded to NRCS in FY 2005	
EQIP 4-6 Disapproved Applications Conservation Program	Copies of CCC-1200's that have been disapproved.	Destroy these files when 5 years old.	NC1-145-79-2 Item 1a
EQIP 4-7 Canceled Applications Conservation Program	Copies of CCC-1200's that have been canceled.		

Farm Storage Facility Loan Program Files			Exhibit 39.6
This subject provides low cost financing for producers to build or upgrade farm storage and handling facilities. Color Code is blue. Block 6(a) of SF-135 is RG 161			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
FSFL Farm Storage Facility Loan Program Loan/Subsidy Case Files	General material about FSFL too broad to be filed under 1 of the more specific file types in this exhibit.	Destroy 6 years after the end of each program, project or other activity year, or in the case of Claims, 6 years after the final disposition of claim.	NC1-161-79-1 Item 6a
FSFL 1 Reports Loan/Subsidy Case Files	Reports.		
FSFL 2 Credit Reports Loan/Subsidy Case Files	General material about credit reports, supporting documentation, and collection fees.		
FSFL 3 Register Loan/Subsidy Case Files	Manual FSFL Register.		
FSFL 4 Interagency Cooperation Loan/Subsidy Case Files	General material about cooperation between FSA offices, Indian Tribes, and Federal, State, and local government. This includes materials on environmental assessment and evaluations and local land use laws.		
FSFL 4-1 Occupation Safety and Health Administration Loan/Subsidy Case Files	Standards and guidelines for construction of farm storage facilities.		
FSFL 5 Publicity Loan/Subsidy Case Files	General materials about efforts to publicize FSFL.		
FSFL 6 Loan Folders Loan/Subsidy Case Files	Individual folders containing forms and correspondence about the producer's participation in the FSFL Program. Note: Keep original CCC-186 and other security documents in custody file.		

Farm Loan Program Files**Exhibit 40.5**

This exhibit covers loan programs intended to assist farmers, who are temporarily unable to obtain private commercial credit, in purchasing farmland and financing agricultural production. Color Code is white.

Block 6(a) of SF-135 is RG 145

File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
FLP Loss to the Government Borrower Case Files Administrative Claims Files	Closed Case Files Financial Loss to the Government	Destroy 10 years 3 months after the end of the FY in which closed.	GRS 6 Item 10b2a
FLP Paid in Full Accounting Administrative Files	Closed Borrower Case Files Direct/Guaranteed Loans	Destroy 3 years after the end of the FY in which final action occurred.	GRS 6 Item 5b
FLP Rejected/Withdrawn Applications Accounting Administrative Files	Application(s) for loan(s) that are Rejected or Withdrawn for one reason or another; loan(s) not approved nor finalized.		Note: Paid-in-Full and Rejected / Withdrawn Applications can be submitted on the same SF-135.

Records Transfer Desk Reference Guide

Farm Loan Program Files

Exhibit 40.5

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Block 6(a) of SF-135 is RG 145

File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
FLP Inventory Property Management Real Property	File correspondence and material about property management including acquisition, maintenance and disposition of inventory property acquired by FSA. Includes title papers documenting the acquisition of real property (by purchase, condemnation, donation, exchange, or otherwise), excluding records relating to property acquired prior to January 1, 1921.	Destroy 10 years after unconditional sale or release.	GRS 3 Item 1a
FLP Property Acquisition Routine Procurement Files	Transactions (contract, requisition, purchase order, lease, and bond and surety records, correspondence and related papers) <u>dated after 7/3/95.</u> a) Transactions that exceed the simplified acquisition threshold and all construction contracts exceeding \$2,000. b) Transactions at or below the simplified acquisition threshold and all construction contracts at or below \$2,000.	Destroy 6 years and 3 months after final payment. Destroy 3 years after final payment.	GRS 3 Item 3a1a GRS 3 Item 3a1b

Records Transfer Desk Reference Guide

Farm Loan Program Files

Exhibit 40.5

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Block 6(a) of SF-135 is RG 145

File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
FLP Property Acquisition (Continued) Routine Procurement Files	Transactions (contract, requisition, purchase order, lease, and bond and surety records, correspondence and related papers) <u>dated earlier than 7/3/95.</u> a) Transactions that utilize other than small purchase procedures and all construction contracts exceeding \$2,000. b) Transactions that utilize small purchase procedures and all construction contracts under \$2,000.	Destroy 6 years and 3 months after final payment. Destroy 3 years after final payment.	GRS 3 Item 3a2a GRS 3 Item 3a2b
FLP Net Recovery Buyout Administrative Claims Files	Closed Case Files NOTE: if borrower caused a financial loss to the Government, add "Loss to the Government."	Destroy 10 years 3 months after the end of the FY in which closed	GRS 6 Item 10b2a
Note: The subjects Loss to the Government , Paid-in-Full , Rejected/Withdrawn , Property Acquisition and Net Recovery Buyout do not appear in 25-AS Exhibits. These file types are mentioned, however, in various paragraphs within the handbooks and are files common to FSA Offices.			
FLP Farm Loan Program Accounting Administrative Files	General material about FLP not covered elsewhere in this exhibit.	Destroy these files when 3 FY's old.	GRS 6 Item 5b
FLP Directives	State directives, supporting documentation, and 1 copy of approved printed directive.	Permanent Transfer to FRC 10 years after obsolete or superseded. The FRC will transfer to the National Archives at the appropriate time.	NC1-145-79-1 Item 9b

Farm Loan Program Files**Exhibit 40.5**

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Block 6(a) of SF-135 is RG 145

File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
FLP 1 General Program Administration Accounting Administrative Files	General material about Farm Loan Programs too broad to be filed under one of the more specific file types in this exhibit, including Outreach and Mediation.	Destroy these files when 3 FY's old.	GRS 6 Item 5b
FLP 1-1 Reports Accounting Administrative Files	Reports too broad to be filed under one of the more specific subjects in this exhibit. Includes reports from the St. Louis Finance Office. Subdivide these files as needed.		
FLP 1-2 Appraisals Accounting Administrative Files	County Offices - List of State certified general appraisers.		
	List of real estate appraisals for guaranteed loans for FY, including lender, lender type, and appraiser.		
	State Offices - List of State certified general appraisers. <ul style="list-style-type: none"> List of staff appraisers, including part-time State-designated appraisers. List of FSA employees delegated administrative review authority. List of contract appraisers including appraisals ordered, type of appraisal (RE or chattel), type of review, reviewer name. List of all real estate appraisals performed by each staff appraiser, by type and list of all real estate appraisal reviews. 	Destroy these after files have been replaced or revised for 3 FY's.	

Records Transfer Desk Reference Guide

Farm Loan Program Files

Exhibit 40.5

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Block 6(a) of SF-135 is RG 145

File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
FLP 1-2-1 Pre-Decision Appraisal Reviews Accounting Admin Files	County Offices - List of administrative or technical reviews conducted on CLP and PLP. State Offices - List of all technical appraisal reviews for each contract appraiser and guaranteed lender reflecting reviewer's name.	Destroy these files when 3 FY's old.	GRS 6 Item 5b
FLP 1-2-2 Post Decision Appraisal Reviews Accounting Admin Files	County Offices - Administrative and technical appraisal reviews completed after the loan or servicing decision. Note: Do not file a copy in the borrower case file.		
FLP 1-2-3 Third-Party Appraisals Accounting Admin Files	List of all third-party appraisals used in a loan or servicing decision.		
FLP 1-2-4 Appraisal Training Training Records	State Offices - Copies of training agenda for: <ul style="list-style-type: none"> administrative review training training provided to employees delegated limited authority for real estate appraisals. 	Destroy these files when 10 FY's old. NOTE: Retain in office for 5 years after close of file. Transfer to FRC for the remaining retention period.	GRS 1 Item 29a1

Records Transfer Desk Reference Guide

Farm Loan Program Files

Exhibit 40.5

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Block 6(a) of SF-135 is RG 145

File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
FLP 1-2-5 Appraisal Delegations Accounting Admin Files	State Offices - Copies of delegations of authority to: <ul style="list-style-type: none"> • full-time designated appraisers • part-time designated appraisers • limited authority appraisers • conduct administrative appraisal reviews • prepare chattel appraisals. 	Destroy these files 3 FY's after revocation. Carry forward active delegations each year.	GRS 6 Item 5b
FLP 1-3 Loan Approval/ Servicing Delegation of Authority Accounting Admin Files	State Offices - Copies of delegations of: <ul style="list-style-type: none"> • loan approval authority • loan servicing authorities to CED's • authority to establish and document estimated value of real estate security when an appraisal has been waived for an Emergency loan. County Offices - Copies of loan servicing authorities delegated to Farm Loan Officer or Program Technician.		

Farm Loan Program Files**Exhibit 40.5**

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Block 6(a) of SF-135 is RG 145

File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
FLP 1-4 Loan Program Risk Assessment (FLPRA) formerly National Internal Reviews (NIR's) State/County Admin Correspondence	County Offices - Copies of reports summarizing NIR findings. State Offices - Copies of: <ul style="list-style-type: none"> • questionnaire summary sheets • review schedules • FLPRA Mid-Year Progress Report • FLPRA Annual Report. 	Destroy these files 3 FY's after date of review	NC1-145-81-4 Item 1
FLP 1-5 District Director Oversight Reviews State/County Admin Correspondence	Copies of: <ul style="list-style-type: none"> • Quarterly Reports • Year-end Reports • Summary Findings. 		
FLP 1-6 Inquires State/County Admin Correspondence	Documentation about general program inquiries.	Destroy these files when 3 FY's old.	GRS 6 Item 5b
FLP 1-7 Flood Hazard Maps	Copies of maps designating areas that is subject to floods and mudslide.		
FLP 1-8 <i>Pigford v. Veneman</i> Report of Final Decision	State Offices: Most recent report containing names of claimants who have received a final decision and have outstanding loans.		
FLP 2 Guaranteed Loan Program Accounting Admin Files	General material about the Guaranteed Loan Program too broad to be filed under 1 of the more specific file types in this exhibit.		
FLP 2-1 Reports Accounting Admin Files	Reports on the Guaranteed Loan Program. Includes reports from the St. Louis Finance Office. Subdivide these files as needed.		

Farm Loan Program Files**Exhibit 40.5**

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Block 6(a) of SF-135 is RG 145

File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
FLP 2-2 Agriculture Lender Contacts Accounting Admin Files	List of lenders: <ul style="list-style-type: none"> • participating in the Guaranteed Loan Program • interested in participating in the Market Placement Program. 	Destroy these files when 3 FY's old.	GRS 6 Item 5b
FLP 2-3 Individual Guaranteed Lender Files Accounting Admin Files	For SEL, CLP, or PLP: <ul style="list-style-type: none"> • information on loans originated and services by the lender • copies of monitoring reviews conducted by FSA • resolution of findings • any correspondence • copy of a current FSA-1980-38. 	Destroy these files 3 FY's after all guaranteed borrower case files with the lender have been closed.	GRS 6 Item 5b
FLP 2-4 Guaranteed Loss Claims Admin Claims Files	State Offices - each RD 449-30 approved by SED.	Destroy these files when 10 FY's and 3 months old.	GRS 6 Item 10b2a
FLP 3 Direct Loan Making Accounting Admin Files	General material about direct loan making,	Destroy these files when 3 FY's old.	GRS 6 Item 5b
FLP 3-1 Reports Accounting Admin Files	Reports on direct loan making. Includes reports from St. Louis Finance Office. Subdivide these files as needed.		

Farm Loan Program Files**Exhibit 40.5**

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File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
FLP 3-2 Borrower Training State/County Admin Correspondence	State Offices: <ul style="list-style-type: none"> list of all approved vendors information on solicitation of applications from vendors. County Offices - List of all approved vendors.	Destroy these files when 3 FY's old.	NC1-145-81-4 Item 1
FLP 3-3 Borrower Training Individual Vendor Files State/County Admin Correspondence	State Offices - copies of: <ul style="list-style-type: none"> vendors' applications National Office concurrence, if applicable FSA-1924-24 FSA-1924-22 documentation of vendor reviews. 	Destroy these files 3 FY's after expiration or revocation of vendor approval.	
FLP 4 Direct Loan Servicing- Routine Accounting Admin Files	General material about routine loan servicing.	Destroy these files when 3 FY's old.	GRS 6 Item 5b
FLP 4-1 Reports Accounting Admin Files	Reports on routine loan servicing. Includes reports from St. Louis Finance Office. Subdivide these files as needed.		

Records Transfer Desk Reference Guide

Farm Loan Program Files

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File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
FLP 4-2 Graduation Accounting Admin Files	Copies of lender surveys and classification updates	Destroy these files when 3 FY's old.	GRS 6 Item 5b
FLP 4-3 Taxes Accounting Admin Files	List of borrowers with unpaid or delinquent taxes.		
FLP 4-4 Notification to Potential Purchasers Accounting Admin Files	Copy of the list of borrowers whose chattels or crops are subject to FSA lien and documentation of potential purchasers notified.		
FLP 5 Direct Loan Servicing-Delinquent Accounting Admin Files	General material about delinquent loan servicing too broad to be filed under 1 of the more specific file types in this exhibit.		
FLP 5-1 Reports Accounting Admin Files	Reports on delinquent loan servicing. Includes reports from St. Louis Finance Office. Subdivide these files as needed. Note: RC 540 may be retained in a binder.		
FLP 5-3 Statute of Limitations Accounting Admin Files	List of delinquent accounts where the 6-year statute of limitations may bar collection within the next 24 months.		

Records Transfer Desk Reference Guide

Farm Loan Program Files

Exhibit 40.5

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File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
FLP 5-4 Currently Not Collectible Admin Claims Files	State Offices - Copies of: <ul style="list-style-type: none"> FSA 1956-21 submitted to FSC-FLOO-PRB FSC-FLOO-PRB report of loans referred to Treasury for cross servicing. 	Destroy these files when 10 FY's and 3 months old.	GRS 6 Item 10b2a
FLP 5-5 Offset Admin Claims Files	General material and reports pertaining to administrative offset to the Treasury Offset Program. (Includes IRS and salary offset.)	Destroy these files when 10 FY's and 3 months old.	
FLP 5-6 Effects of Inventory Sales on Farm Values Property Disposal Files	State Offices - Documentation on the analysis of the effects of the sale of FLP inventory property on local real estate market conditions.	Destroy these files when 2 FY's old.	GRS 4 Item 1
FLP 5-7 Inventory Property Identification Number Log Property Reports	Log of identification numbers assigned to inventory property. The log must include: <ul style="list-style-type: none"> inventory property identification number former borrower name former borrower case number acquisition date disposal date. 	Destroy these files 3 FY's after the last date of entry on the log.	GRS 4 Item 2

Records Transfer Desk Reference Guide

Farm Loan Program Files

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Block 6(a) of SF-135 is RG 145

File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
FLP 6 Special Programs State/County Admin Correspondence	General material about FLP Special Programs.	Destroy these files when 3 FY's old.	NC1-145-81-4 Item 1
FLP 6-1 Reports State/County Admin Correspondence	Reports on Special Programs. Includes reports from St. Louis Finance Office. Subdivide these files as needed.		
FLP 6-2 Graduation State/County Admin Correspondence	General material about policies on analyzing a minor program borrower's need for further credit and graduation to commercial credit.		
FLP 6-3 Compliance Reviews	<p>State Offices - For loans to associations:</p> <ul style="list-style-type: none"> original RD 400-8 and any additional documentation about noncompliance <p>Note: A copy of RD 400-8 shall be filed in the borrower's case folder.</p> <ul style="list-style-type: none"> A list of all compliance reviews conducted during the FY and a copy of the memo providing the list to the National Office. 	<p>Destroy these files when 7 FY's old.</p> <p>Note:</p> <ul style="list-style-type: none"> Compliance reviews are required at intervals of no more than 3 years. Do not destroy records before completing a new review. RD 400-8 is obsolete Compliance Review Form. This form is obsolete for FSA Use Only- Referenced in FSA PN Issue No. 208 dated 07-26-04. 	GRS 1 Item 25d(1)

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Farm Loan Program Files

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File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
FLP 6-3 (<i>Continued</i>) Compliance Reviews	For loans to individuals: <ul style="list-style-type: none">the original memorandum from the County Office reporting results of reviewdocumentation that reports for borrowers in noncompliance was provided to the National Office.	Destroy these files when 7 FY's old. Note: Compliance reviews are required at intervals of no more than 3 years. Do not destroy records before completing a new review.	GRS 1 Item 25d(1)

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Fiscal Management Files			Exhibit 41
This exhibit covers the collection and disbursement of funds, the operation of accounting and fiscal reporting system, payroll operations, checks and certificates control, and related financial matters. Color Code is white. Block 6(a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
FM Fiscal Management Accounting Admin Files	General material relating to fiscal management too broad to be filed under 1 of the more specific file types in this exhibit.	Destroy these files when 3 years old.	GRS 6 Item 5b
FM 1 Reports and Statistics Accounting Admin Files	Reports covering all subjects included under this subject too broad to be filed under 1 of the more specific file types in this exhibit. Subdivide these files as necessary. Keep voluminous computer printouts in binders on open shelves.		
FM 2 Disbursements Register General Accounting Ledgers	CCC-514's, CCC-514-1's, CCC-516's, and related correspondence.	Destroy these files when 6 years, 3 months old.	GRS 7 Item 2
FM 3 Collections General Accounting Ledgers	Correspondence about the receipt and Disposition of monies to FRB's and LD's. This includes funds due FSA as well as funds due IRS, FCIC, and CCC, for which FSA is acting as an agent.		
FM 3-1 Collection Register Producer Payments Reporting Records	FSA-603s listing monies received.	Destroy these files when 3 years old.	NC1-145-79-1 Item 29

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File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
FM 3-2 Schedule of Deposit Producer Payments Reporting Records	Accounting Admin Files CCC-257's recording deposits to CCC from receipts received by County Office.	Destroy these files 3 years after program has ended and records are inactive.	NC1-145-79-1 Item 29
FM 3-3 Receipts from Measurement Services Producer Payments Reporting Records	FSA-409's documenting payment received by County Office for these services and related correspondence.		
FM 3-4 Collection Receipts Producer Payments Reporting Records	FSA-592's and miscellaneous receipts for monies received.		
FM 3-5 Wire Transfer Deposit File Producer Payments Reporting Records	CCC-258's and related documents for funds transferred by wire.		
FM 3-6 Unacceptable Checks Producer Payments Reporting Records	Transmittal letters documenting deposits of the acceptable checks.		
FM 3-7 LD Contract Files General Accounting Ledgers	CCC-420's, CCC-420-1's, CCC-421's, CCC-422's, CCC-423's, CCC-423-1's, CCC-430's, evaluation worksheets, list of eligible financial institutions, and other related correspondence.	Destroy these files 6 years, 3 months after termination of contract.	GRS 7 Item 2

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File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
FM 3-8 LD Activity Files Producer Payments Reporting Records	Confirmed deposit tickets, monthly reports of expenses, monthly CCC-423's, compensation dispute documents, and related correspondence.	Destroy these files when 3 years old.	NC1-145-79-1 Item 29
FM 3-9 Rejected Bids Producer Payments Reporting Records	Notification letters and other documents.	Destroy these files 3 years after selection of LD.	
FM 4 Bank Statement and Reconciliation Producer Payments Reporting Records	Monthly bank statement and deposit slips.	Destroy these files when 3 years old.	
FM 5 Reports on Cash Receipts Producer Payments Reporting Records	State Deposit Transmission Report (ID: AMF415-R001)		
	State CBS Missing County Transmission Report (ID: AMF730-R001)		
	Missing Schedule Number Report (ID: AMF790-R001)		
	Concentration Banking County Report (ID: AMF720-R001)		
	Erroneous Transmissions Report (ID: AMF740-R001)		
	Empty CBS Transmission File Report (ID: AMF805-R001)		

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File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
FM 5 Reports on Cash Receipts Producer Payments Reporting Records	Schedule of Deposit Status Report (ID: AKK310-R001)	Destroy when 3 years old.	NC1-145-79-1 Item 29
	Schedule of Deposit Reprint from History		
	Available Schedule of Deposit Report (ID: AKK330-R001)		
	Unprepared Schedule of Deposit Report (ID: AKK410-R001)		
FM 5 Reports on Cash Receipts Producer Payments Reporting Records	Dishonored checks report for checks over 60 days old.		
	Report of Delayed Deposits (FM-21R).		
	Report of Concentrator Bank Suspended and Rejected Items Over 45 Days Old.		
	Report of CCC-257 Bank Schedules Missing More Than 14 Days (ID: MHR470R1).		
	Report of CCC-257 SCOAP Detail Missing More Than 28 Days and Missing CCC-257 Numbers (ID: MHR520R1).		
	Report of Non-Concentration Bank Counties With Deposits in Excess of \$1,000,000 (FM-600R).		
FM 6	(Reserved)		
FM 7	(Reserved)		

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File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
FM 8 Register of Payroll Withholdings Accounting Admin Files	FSA-51's, FSA-445's, FSA-52's or equivalent forms, and other correspondence about payroll deductions.	Destroy these files when 3 years old.	GRS 6 Item 5b
FM 9 Employee Tax Information Tax Files	IRS W-4's and similar State and local tax exemption forms authorizing income tax deduction from employee's pay.	Destroy IRS W-4's and similar State and local tax exemption forms 4 years after form is superseded or obsolete.	GRS 2 Item 13a
FM 10 Administrative Payments Other Than Salaries Expenditure Accounting Posting and Control Files	Biweekly folders containing correspondence about administrative expenses for that period. This includes FSA-545's, and invoices for miscellaneous expenses.	Destroy these files when 3 years old.	GRS 7 Item 4a
FM 11 Reports on Administrative Expenses Expenditure Accounting Posting and Control Files	File the following reports/ printouts:		
	Biweekly Statement of Administrative Expense.		
	Issued Check Payee Analysis Report for Pay Period.		
	KCMO Statement of Expenditures and Collection for Quadweekly Pay Periods.		
	Unreported CCC-184 Checks From COE Suspense.		
	Cumulative FY Statement of Expenditures and Collections for Quadweekly Period.		
	Quadweekly Reporting Segment State "FSAADM" Check Control.		

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File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
FM 11 (<i>Continued</i>) Reports on Administrative Expenses Tax Files	Verification of Deductions.	Destroy these files when 4 years old.	GRS 2 Item 13 b
	Verification of OASDI and HIT Deductions.		
	Annual Pay Status Records.	File in employee's OPF.	
	Interim Pay Status Record.	Destroy these files when 4 years old.	GRS 2 Item 13 b
	Interim Pay Status Exception List.		
FM 12 Time and Attendance Folders Time and Attendance	Individual employee's folder documenting that person's time and attendance. This includes SF-71's, FSA-134's or FSA-513's, FSA-958's and related correspondence.	Destroy these files when 6 years old. NOTE: Time and Attendance Files cannot be mixed with other files when transferring to FRC.	GRS 2, Item 7 NOTE: Do not use SSN(s) or any sensitive and confidential information on the SF- 135's or detail listings when transferring these files. These are Calendar Year (CY) files. Admin closeout does not occur until April of the following year for the T&A's being transferred (i.e., If transferring 2002 T&As, admin closeout is 04/2003, disposal date is 04/2009).
FM 12-1 Leave Transfer Time and Attendance Source Records	Individual employee's folder containing AD- 1043's, AD-1044's, AD- 1045's, AD-1046's, FSA- 69's, FSA-368's, and other supporting documents.	CY2003 and Prior can be transferred on the same SF-135. CY2004 to current will require a separate SF-135 by year.	

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File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
FM 13 Travel Noncommercial, Reimbursable Travel Files	General material about the policy for planning and approving official travel.	Destroy these files when 6 years old NOTE: Travel Files can not be mixed with other files when transferring to FRC.	GRS 9 Item 3a NOTE: Do not use SSN(s) or any sensitive and confidential information on the SF-135's or detail listings when transferring these files These are Fiscal Year (FY) files.
FM 13-1 Travel Folders Noncommercial, Reimbursable Travel Files	Individual folders containing FSA-164's, FSA-134's, AD-202's, AD-615's, AD-616's, AD-617's, FSA-513's, and other related forms and correspondence.	FY 2003 and Prior can be transferred on the same SF-135. FY 2004 to current will require a separate SF-135 by year.	
FM 13-2 Relocation Services Program Commercial Freight and Passenger Transportation Files	Correspondence and materials about relocation services. Includes FSA-164's, FSA-164-1's, FSA-164-2's, and logs.	Destroy these files when 6 years old.	GRS 9 Item 1c
FM 13-3 Relocation Income Tax Allowances Commercial Freight and Passenger Transportation Files	FSA-165's, AD-1000's, FSA-134's, WTA logs, and other related forms and correspondence.		

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File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
FM 14 Claims Claims Records Case Files	General correspondence, including reports about financial claims against debtor producers.	Destroy claims folders about FSA-appropriated funds 5 years after settlement of claim.	<u>FSA Claims</u> NC1-145-79-1 Item 19a
FM 14-1 Claims Control Record (Active) Claims Records Case Files	FSA-604's for outstanding claims.		
FM 14-2 Claims Control Record (Inactive) Claims Records Case Files	FSA-604's for claims that have been inactive because of collection, compromise, or termination.		
FM 14-3 Claim Number Control for FSA Debts Claims Records Case Files	Register used to control claim numbers for debts due FSA.		
FM 14-4 Claim Number Control for CCC Debts Claims Records Case Files	Register used to control claim numbers for debts due CCC.	Destroy folders about CCC capital funds 6 years after settlement of claims.	<u>CCC Claims</u> NC1-145-79-1 Item 19b
FM 14-5 Notice Number Register Claims Records Case Files	Register used to control the issuance of FSA-671's.	Destroy claims folders about FSA-appropriated funds 5 years after settlement of claim.	<u>FSA Claims</u> NC1-145-79-1 Item 19a

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Fiscal Management Files			Exhibit 41
This exhibit covers the collection and disbursement of funds, the operation of accounting and fiscal reporting system, payroll operations, checks and certificates control, and related financial matters. Color Code is white. Block 6 (a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
FM 14-6 Individual Claims Folders (Active) Claims Records Case Files	Folders for each individual debtor listed on FSA-604's, or in the automated claims system, including documents on which the claim is based, records of personal contact, correspondence with debtor, and related papers. Maintain in custody files.		
FM 14-7 Individual Claims Folders (Inactive) Claims Records Case Files	Individual folders for claims that have been satisfied by collection, termination, or are otherwise inactive.	Destroy claims folders about FSA-appropriated funds 5 years after settlement of claim.	<u>FSA Claims</u> NC1-145-79-1 Item 19a
		Destroy folders about CCC capital funds 6 years after settlement of claims.	<u>CCC Claims</u> NC1-145-79-1 Item 19b
FM 14-8 Referred Claims Accounting Admin Files	Correspondence about claims that have been referred to another creditor County Office because it has primary collection responsibility.	Destroy these files when 3 years old.	GRS 6 Item 5b
FM 14-9 Creditor Agency Claims	Computer printouts and other correspondence about FCIC, FmHA, HUD, or other agency claims.		
FM 14-10 Bankruptcy Folders Admin Claims Files	FSA-671's, CCC-275's, program documents, correspondence, and other related documents.	Destroy these files 6 years 3 months after issuance of the final order discharging the debt.	GRS 6 Item 10c

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Fiscal Management Files			Exhibit 41
This exhibit covers the collection and disbursement of funds, the operation of accounting and fiscal reporting system, payroll operations, checks and certificates control, and related financial matters. Color Code is white. Block 6 (a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
FM 14-11 Reports If FSA Claims, use Claims Records Case Files If CCC Claims, use Claims Records Case Files If Bankruptcy reports, Admin Claims Files	Claims Eligible for Demand Letters.	Group and file with appropriate Claims Records Case Files (FM 14-6 or 14-7) or if Bankruptcy, file with Admin Claims Files (FM-14).	<u>If FSA Claims</u>, use NC1-145-79-1 Item 19a <u>If CCC Claims</u>, use NC1-145-79-1 Item 19b <u>If Bankruptcy reports</u>, please follow FM 14-10
	Claims Eligible for Imminent Transfer Letters.		
	Claims Eligible for Transfer to DMD.		
	Claims With No Activity in 90 Days.		
	Claims Eligible for Reporting to Credit Bureaus.		
	Detail Claim Information.		
	Cross Reference Claims Listing (sorted by debtor's last name).		
	Local Office Claims Summary.		
	Collection History.		
FM 15 Check Control Reports, receipts and other documents related to Check Control	Copies of FSA-159's; receipts for blank checks returned to KCMO; list of serial numbers of checks missing when boxes are first opened; reports of lost, stolen, or destroyed checks before issuance; and obsolete checks that were destroyed.	Destroy these files when 3 years old.	N1-145-90-2 Item 1f
	Reports.		
FM 15-1 Reports Reports, receipts and other documents related to Check Control			

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Fiscal Management Files			Exhibit 41
This exhibit covers the collection and disbursement of funds, the operation of accounting and fiscal reporting system, payroll operations, checks and certificates control, and related financial matters. Color Code is white. Block 6 (a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
FM 15-2 Issued Checks and Original Canceled Checks	County Office copies of CCC-184's. Original of canceled CCC-184's in serial number order with County Office copies of the issued CCC-184. Note: File Producer's Disbursement Transaction Statement with applicable Program documents.	Destroy these files when 2 years old.	N1-145-90-02 Item 1a
FM 15-3 Voided Checks	Originals of voided CCC-184's and County Office copy of issued CCC-184's in serial number order. County Office copies of voided CCC184's	Destroy these files when 2 years old.	N1-145-90-02 Item 1a
FM 15-4 Canceled Checks	County Office copy of canceled CCC-184's		
FM 15-5 Data Transmittals	CCC-188-1's. These forms are obsolete.	Destroy these files when 1 year old.	N1-145-90-2 Item 1c
FM 15-6 Document Transmittals Accounting Admin Files	Copies of CCC-384's used to transfer CCC-374's to KCMO or KCCO.	Destroy these files when 3 years old.	NC1-145-79-1 Item 29
FM 15-7 Lost, Stolen, or Destroyed Checks	CCC-373's and related correspondence.	Destroy these files when 6 years old.	N1-145-90-2 Item 1d

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Fiscal Management Files			Exhibit 41
This exhibit covers the collection and disbursement of funds, the operation of accounting and fiscal reporting system, payroll operations, checks and certificates control, and related financial matters. Color Code is white. Block 6 (a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
FM 15-8 Indemnity Bonds	Original CCC-361's for the replacement of checks not received by the payee. Maintain in custody file.	Destroy these files when 6 years old.	N1-145-90-2 Item 1e
FM 16 Certificate Control Commodity Certificate Exception Listing	Copies of FSA-159's, receipts for blank CCC-6's returned to KCMO, list of serial numbers of CCC-6's missing when boxes are first opened, and KC-406's.	Destroy these files when 1 year old.	N1 145-90-3 Item 1h
FM 16-1 Reports	FSA-289's.	Destroy these files when 3 years old.	N1-145-90-3 Item 1i
FM 16-2 Issuing Office Copy	Copies of CCC-6's issued and the issuing office copy of canceled CCC-6's.		N1-145-90-3 Item 1a
FM 16-3 Voided Certificates	Voided CCC-6's.		N1-145-90-3 Item 1b
FM 16-4 Canceled Certificates	Canceled negotiable commodity copy.		N1-145-90-3 Item 1d
FM 16-5 Paid Negotiable Certificates	Paid copies of CCC-6.	Destroy these files when 6 years, 6 months old after the date CCC-6 is marked paid.	N1-145-90-3 Item 1c
FM 16-6 Lost, Stolen, or Destroyed Certificates	CCC-373's and related correspondence.	Destroy these files when 6 years old.	N1-145-90-3 Item 1e
FM 16-7 Indemnity Bonds	CCC-361's for the replacement of certificates not received by the payee. Maintain CCC-361's in custody file.	Destroy these files when 6 years old.	N1-145-90-3 Item 1f

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Fiscal Management Files			Exhibit 41
This exhibit covers the collection and disbursement of funds, the operation of accounting and fiscal reporting system, payroll operations, checks and certificates control, and related financial matters. Color Code is white. Block 6 (a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
FM 16-8 Claims	SF-1055's and related correspondence about claims against the U.S. for deceased CCC-6 holders.	Destroy these files 6 years after claim is closed.	N1-145-90-3 Item 1g
FM 16-9 Destroyed or Obsolete Certificates Lost Stolen or Destroyed	Reports of obsolete CCC-6's or destroyed CCC-6's disposed of before issuance.	Destroy these files when 6 years old.	N1-145-90-3 Item 1e
FM 16-10 Listings Commodity Certificate Exception Listing	The following: <ul style="list-style-type: none"> KCFMO exception listings List of unmatched, redeemed CCC-6's. 	Destroy when 1 year old. Destroy 1 year after reconciliation and completion.	N1-145-90-3 Item 1h
FM 17 Assignment/Joint Payment Authorization Producer Payments Reporting Records	General material about assignment of payment and joint payment authorizations.	Destroy these files when 3 years old.	NC1-145-79-1 Item 29
FM 17-1 Assignments Contracts, land control, payment documents and related records	Master file of CCC-36's, related correspondence, and applicable reports.	Destroy these files 6 years after the end of the program year of contract period.	NC1-145-79-2 Item 1c Note on SF-135: SF-115 pending. Please accept these files for 6 year retention. (Schedule is currently for 5 years: To calculate disposal date add 1 year to the year the contract or agreement ended, plus 5 year retention for a total of 6 years).
FM 17-2 Joint Payment Authorization Contracts, land control, payment documents and related records	Master file of CCC-37's, related correspondence, and applicable reports.		

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Fiscal Management Files			Exhibit 41
This exhibit covers the collection and disbursement of funds, the operation of accounting and fiscal reporting system, payroll operations, checks and certificates control, and related financial matters. Color Code is white. Block 6 (a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
FM 17-3 Reports Producer Payments Reporting Records	Reports pertaining to assignment of payments and joint payment authorizations.	Destroy these files when 3 years old.	NC1-145-79-1 Item 29
	Assignment/Joint Payment Status Report (AZK520-R001).	Attach the report to the applicable CCC-36 or CCC-37 and file it in the applicable master file.	
	Assignment/Joint Payment Status Report (AZK935-R001).		
	Assignment/Joint Payment Status Report (AZK910-R001).		
	Assignment/Joint Payment Status Report (AZK912-R001).		
FM 18 NRCS Administered Programs Conservation Program	AD-1161 and other related documents. Note: Subdivide these files by Agreement/Contract Number.	Destroy these files when 5 years old.	NC1-145-79-2 Item 1a
FM 19 Payments Direct Deposit Payroll System Reports	General material about disbursing payments using direct deposit.	Destroy these files when 2 years old.	GRS 2 Item 22b

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Fiscal Management Files			Exhibit 41
This exhibit covers the collection and disbursement of funds, the operation of accounting and fiscal reporting system, payroll operations, checks and certificates control, and related financial matters. Color Code is white. Block 6 (a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
FM 19-1 Reports National Payment Service (NPS) Producer Payments Reporting Records	Reports about direct deposits. Signed copies of ACH Transmission Verification Report APK 355-R001. Note: Maintain these reports in a secure location with controlled access. NOTE: National Payment Service (NPS) payment reports is the new web version print out of the old ACH Transmission Verification System 36 reports for producer payments.	Destroy these files when 3 years old.	NCI-145-79-1 Item 29
FM 19-2 Direct Deposit Signup Form	SF-3881's, SF-1199A's, copies of FSA-211's, and other related documents. Note: Maintain these documents in a locked cabinet.	Retain until SF-1199A is canceled by the payee. Destroy when no longer needed for administrative purposes.	
	Canceled SF-1199A's.	Destroy cancelled SF-119A's when 1 year old.	GRS 2 Item 17
	Waivers (FFAS-12's).	Retain waivers until the recipient provides financial institution information or no longer participates in any FSA program.	
FM 19-3 Financial Institutions Log	Log of temporary ID numbers assigned to branches of a financial institution.	Permanent	Disposition Unauthorized.
FM 20 APHIS Administered Programs Budget Policy Files	Indemnity worksheet, copy of Producer's Disbursement Transaction, reports, and other related documents.	Destroy when 6 years old.	NC1-145-79-1 Item 5

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General Administration Files			Exhibit 42
This exhibit covers correspondence and related documents about the general administrative functions applicable to State and County Offices. Color Code is white. Block 6 (a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
GA General Administration State/County Admin Correspondence Files	General material about general administration of State and County Offices too broad to be filed under 1 of the more specific file types in this exhibit.	Destroy these files when 3 years old.	NC1-145-81-4 Item 1
GA 1 Reports State/County Admin Correspondence Files	Reports covering all subjects included under this subject too broad to be filed under 1 of the more specific file types in this exhibit.		
GA 2 Delegations of Authority State/County Admin Correspondence Files	CCC-392's, correspondence, and other documentation relating to delegations, re- delegations, or revocations of authority.	Destroy these files 3 years after revocation. Carry forward active delegations each year.	
GA 3 Court Appearance State/County Admin Correspondence Files	Material about court appearances by committee members and County Office employees.	Destroy these files when 3 years old.	
GA 4 Combining/ De-combining State/County Admin Correspondence Files	Material about combining or de-combining County Offices.		
GA 6 Itineraries State/County Admin Correspondence Files	Proposed travel schedules for State and County Office staff and County Office specialists.		

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General Conservation Program Files			Exhibit 43
This exhibit covers correspondence, reports, and related documents about all conservation programs. Do not file documents that can be filed in ACP, CRP, CRSC, ECP, FIP, RCWP, SIP, TAP, WBP, and WRP. Color Code is yellow. Block 6 (a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
GCP General Conservation Programs Conservation Program	General material about GCP too broad to be filed under 1 of the more specific file types in this exhibit.	Destroy these files when 5 years old.	NC1-145-79-2 Item 1a Specify if 5 or 10 year program. Calculate disposal date according to when the files close. Specify also, if ANA or LTA. If agreement, payment document related, transfer using: NC1-145-79-2. Use <u>Item 1b1</u> if long-term agreement related, or <u>1b2</u> if annual agreement related. If contract or land control related, transfer using: NC1-145-79-2 Item 1c.
GCP 1 Reports and Statistics Conservation Program	Reports covering all subjects included under this subject that cannot be filed under 1 of the more specific file types in this exhibit. Includes FSA-57 and FSA-57A. Subdivide these files as necessary.		
GCP 1-1 Progress Reports Conservation Program	File ACP-305 and related documents indicating the status of ANA's and LTA's and disbursement of allocated funds. Subdivide these files as necessary.		

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Grassland Reserve Program Files			Exhibit 43.1
This subject helps landowners and operators restore and protect grassland, including rangeland and pastureland, and certain other lands, while maintaining the areas as grazing lands. Color Code is yellow.			
Block 6 (a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
GRP Grassland Reserve Program Conservation Reserve Program	General material about GRP too broad to be filed under 1 of the more specific file types in this exhibit.	Destroy these files when 5 years old.	N1-145-88-1 Item 1a
GRP 1 Program Development Conservation Reserve Program	Correspondence about the development of GRP.		
GRP 2 Reports Conservation Reserve Program	Reports covering all subjects included under this subject that cannot be filed under 1 of the more specific file types in this exhibit.		
GRP 3 Interagency Cooperation Conservation Reserve Program	Correspondence about cooperation between County Office and other Federal and State agencies.		
GRP 4 Program Control Conservation Reserve Program	Correspondence about the control of program activities and funds.		
GRP 4-1 Allocation Control Ledger Conservation Reserve Program	The detailed ledger used to control program funds and related correspondence.		
GRP 4-2 Ledger Reports Conservation Reserve Program	Ledger Reports.		
GRP 5 Pending Applications Conservation Reserve Program	Eligible applicants.	Maintain files until funding becomes available then move to GRP 7.	
GRP 6 Disapproved Applications Conservation Reserve Program	Copies of AD-1153's.	Destroy these files when 5 years old.	N1-145-88-1 Item 1a
GRP 7 Contract Folders Conservation Reserve Program	Individual folders containing AD-1153's, CCC-920's, CCC-920 (Appendices), CCC-1245's, reports and other related documentation. Easements.	Destroy these files 5 years after last payment. Destroy 5 years after expiration of easement.	N1-145-88-1 Item 1b

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Highly Erodible Land Conservation & Wetland Conservation Provisions Program

Exhibit 44

This exhibit covers the provisions for monitoring the producer's conservation compliance activities to determine the producer's eligibility to receive farm program benefits. Color Code is green.

Block 6 (a) of SF-135 is RG 145

File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
HELWC/WC Highly Erodible Land Conservation and Wetland Conservation Conservation Reserve Program	General material about HELWC/WC provisions too broad to be filed under 1 of the more specific file types in this exhibit. Reports covering all subjects included in this subject that cannot be filed under 1 of the more specific file types in this exhibit. Subdivide these files as necessary.	Destroy these files 5 years after the end of the program year in which they were created.	N1-145-88-1 Item 1a
HELWC/WC 2 Appeals Conservation Reserve Program	Appeals and related correspondence to STC's by individual producer. File cases to STC's by individual producer.		
HELWC/WC 3 Producer Folders Conservation Reserve Program	File individual producer's folders containing forms, correspondence, and photocopies. This file includes AD-1026's, AD- 1026A's, AD-1026U/ CCC- 502U's, FSA-492's, and other related forms.		Unscheduled. Refer to HELWC/WC 3-1 details in Disposal Authority on next page.

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Highly Erodible Land Conservation and Wetland Conservation Provisions Program Files Exhibit 44

This exhibit covers the provisions for monitoring the producer's conservation compliance activities to determine the producer's eligibility to receive farm program benefits. Color Code is green.

Block 6 (a) of SF-135 is RG 145

File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
HELWC/WC 3-1 Farm Folders Conservation Reserve Program	File FSA-492's, FSA-495's, FSA-495-1's, FSA-495-2's, FSA-495-3's, FSA-569's, NRCS-CPA-026's, NRCS-CPA-026A's, and NRCS-CPA-027's. Note: FSA-495's, FSA-495-1's, FSA-495-2's, and FSA-495-3's shall be filed by either farm or tract number.		Submit HELC/WC 3 thru HELC/WC 4-2 under Disposal Authority <u>N1-145-88- 1 Item 1b</u> to the FRC. Note on SF-135: Files admin closed 12/30/2006 – Destroy these files 01/2012, but not without written consent from the originator of these files. These files may have historical value and may be considered PERMANENT
HELWC/WC 4 Violations Conservation Reserve Program	File FSA-495-1's, FSA-495-2's, and other related documents. Subdivide by program year.		
HELWC/WC 4-1 Commenced Exemptions Conservation Reserve Program	File FSA-495-3's. Subdivide by program year.		
HELWC/WC 4-2 Summary Conservation Reserve Program	File FSA-495's. Subdivide by program year.		

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Informational Services Files			Exhibit 45
This exhibit covers correspondence and related materials pertaining to public information and requests under FOIA. Color Code is white. Block 6 (a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
INFO Informational Services State/County Admin Correspondence Files	General material about informational services too broad to be filed under 1 of the more specific file types in this exhibit.	Destroy these files when 3 years old.	NC1-145-81-4 Item 1
INFO 1 Reports State/County Admin Correspondence Files	Reports covering all subjects included under this subject that cannot be filed under 1 of the more specific file types in this exhibit. Includes FSA-870's. Subdivide these files as necessary.		
INFO 2 FOIA Request Files	File items created in response to requests for information under FOIA. This includes the original request, copy of reply, original or copy of the requested records, and all related supporting correspondence.	<p>For request files (excluding official file copy of the records requested) not involving appeals:</p> <p>Destroy the following files 2 years after date of reply:</p> <ul style="list-style-type: none"> *requests that were responded to by granting access to all requested records *requests for non-existent records *requests of inadequate descriptions * requests from individuals who did not pay reproduction fees <p>Destroy requests that were responded to by denying access to all or part of the records requested 6 years after date of reply.</p>	<p>GRS 14 Item 11a(1)</p> <p>GRS 14 Item 11a(2)a</p> <p>GRS 14 Item 11a(3)a</p>

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Informational Services Files			Exhibit 45
This exhibit covers correspondence and related materials pertaining to public information and requests under FOIA. Color Code is white. Block 6 (a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
INFO 2 (Continued) FOIA Request Files	APPEALS:	For correspondence and supporting documents (excluding the file copy of the records under the appeal if filed herein) for requests that have been denied or responded to unfavorably and have been appealed, destroy 6 years after final FSA determination or 3 years after final adjudication by the courts, whichever is later.	GRS 14 Item 12a
		Destroy official file copy of requested records according to Retention instructions in Exhibits 19 through 44, this exhibit, or Exhibits 46 through 66 for the related records or destroy with the FOIA request, whichever is later.	GRS 14 Item 12b
INFO 3 Privacy Act Privacy Act General Admin Files	File correspondence about the Privacy Act.	Destroy request files according to Disposition instructions for INFO 2. Destroy all other correspondence when 2 years old.	GRS 14 Item 26

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Informational Services Files			Exhibit 45
This exhibit covers correspondence and related materials pertaining to public information and requests under FOIA. Color Code is white. Block 6 (a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
INFO 4 State Office Annual Reports State/County Admin Correspondence Files	File State Office annual reports.	Destroy these files when 3 years old.	NC1-145-81-4 Item 1
INFO 5 State Office Newsletters State/ County Admin Correspondence Files	File State Office newsletters.		
INFO 6 State Office News Releases State /County Admin Correspondence Files	File State Office news releases. Subdivide these files, by medium, if necessary.		
INFO7 Other State Office/ STC Publications State /County Admin Correspondence Files	File State Office and STC publications. Subdivide these files, if necessary.		
INFO 8 County Office Annual Reports State /County Admin Correspondence Files	File County Office annual reports.		
INFO 9 County Office Newsletters	File County Office newsletters.		
INFO 10 County Office News Releases	File County Office news releases.		
INFO 11 Other County Office or COC Publications State /County Admin Correspondence Files	File other County Office or COC publications not provided for in this exhibit or Exhibits 26 through 65. Subdivide these files as necessary.		
INFO 12 Public Notification Files State/County Admin Correspondence Files	List of organizations representing minorities, women, and persons with disabilities.		

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Internal Revenue Service Files			Exhibit 46
This exhibit covers general material about the policy for reporting payments made by CCC to both the producer and IRS. Color Code is white. Block 6 (a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
IRS Internal Revenue Service Files Producer Payments Reporting Records	General material about reporting producer payments to IRS too broad to be filed under 1 of the more specific file types in this exhibit.	Destroy these files when 4 years old	NC1-145-79-1 Item 29 Note on the SF-135 FRC: Please accept these files for 4 years instead of 3 years as shown on the schedule. We are in the process of up-dating our schedules.
IRS 1 Reports Producer Payments Reporting Records	The following reports and all other reports about reporting producer payments to IRS: <ul style="list-style-type: none"> • Disbursement and Refund Report • Producer Payments and Refunds Omitted from CCC-1099-G Report. 		
IRS 2 Payments Producer Payments Reporting Records	General material about reporting loan, program, and other misc. payments and entitlements to IRS.		
IRS 2-1 Loan Payments Producer Payments Reporting Records	CCC-1099-A's, IRS-1099-A's, CCC-1099-A-1's, IRS-1096's, correspondence, and other related forms.		
IRS 2-2 Program Payments Producer Payments Reporting Records	CCC-1099-G-1's and other related forms.		
IRS 2-3 Miscellaneous Payments Producer Payments Reporting Records	IRS-1099's (Misc.), IRS-1096's, and other related forms.		
IRS 3 Nonresident Aliens Producer Payments Reporting Records	General material about nonresident alien tax reporting.		
IRS 3-1 Payments and Withholdings Producer Payments Reporting Records	FSA-500's, IRS-1042's, IRS-4224's, and other related correspondence.		

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Livestock Feed Program Files			Exhibit 47
This exhibit covers the program to provide assistance to livestock producers who have suffered a substantial loss of feed production because of disease, insect infestation, flood, drought, fire caused by natural disaster, hurricane, earthquake, hailstorm, hot or cold weather, freeze, snow, ice, winterkill, excessive moisture, tornado, or other natural disaster. Color Code is red. Block 6(a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
FLRP Foundation Livestock Relief Program Disaster Assurances Program	Individual folder for each producer whose application was approved. This includes all supporting documents, correspondence and forms about that producer’s participation in FLRP.	Cut off all closed files at the end of the year. Retain for 2 years in-house then transfer to Federal Records Center (FRC). Destroy these files when 10 years old.	N1-145-05-2 Item 3
Note: The subject Foundation Livestock Relief Program does not appear in 25-AS Exhibits. These file types are mentioned, however, in outdated program offerings and are files common to some FSA Offices.			
LFP Livestock Feed Program Disaster Assurances Program	Correspondence about LFP too broad to be filed under 1 or more specific file types in this exhibit.	Cut off all closed files at the end of the year. Retain for 2 years in-house then transfer to Federal Records Center (FRC). Destroy these files when 10 years old.	N1-145-05-2 Item 3
LFP 1 Program Authorization Disaster Assurances Program	CCC-654 and other documents requesting program authorization. Also file any correspondence about authorizations to put in effect any LFP. Subdivide file, as necessary.		
LFP 2 Grain Availability and Control Ledger	CCC-655’s, loading orders, and related correspondence.		
LFP 3 Spot Checks	FSA-643A’s and related correspondence.		
LFP 4 Reports and Statistics	CCC-649’s, CCC-656’s, and related reports. Subdivide these files as necessary.		
LFP 5 Violations and Appeals Disaster Assurances Program	Correspondence about violations of program requirements and appeals by producers.		

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Livestock Feed Program Files			Exhibit 47
This exhibit covers the program to provide assistance to livestock producers who have suffered a substantial loss of feed production because of disease, insect infestation, flood, drought, fire caused by natural disaster, hurricane, earthquake, hailstorm, hot or cold weather, freeze, snow, ice, winterkill, excessive moisture, tornado, or other natural disaster. Color Code is red. Block 6 (a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
LFP 6 Approved Applicant Folders Disaster Assistances Program	Individual folder for each producer whose application was approved. This includes application forms, letters of approval, and extension, sales tickets, or invoices, CCC-651's, CCC-651A's, CCC-651 Appendices, CCC-651B's, CCC-652's, CCC-653's, CCC-657's, CCC-658's, CCC-659's, CCC-659A's, CCC-682's, and other correspondence and forms about that producer's participation in LFP.	Cut off all closed files at the end of the year. Retain for 2 years in-house then transfer to Federal Records Center (FRC). Destroy these files when 10 years old.	N1-145-05-2 Item 3
LFP 7 Disapproved Applicant Folders Disaster Assistances Program	Individual folder for each producer whose application is disapproved. This includes application forms, letters of disapproval or eligibility, and any other correspondence about the individual producer's application.		

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Lamb Meat Adjustment Assistance Program Files			Exhibit 47.5
This exhibit covers payments to sheep and lamb producers to improve their production efficiency and the marketability of lamb meat. Color Code is blue. Block 6 (a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
LMAA Lamb Meat Adjustment Assistance Program Wool and Mohair Program	General material about LMAA too broad to be filed under 1 of the more specific file types in this exhibit.	Destroy these files 3 years after payment.	NC1-161-79-1 Item 7a
LMAA 1 Producer Folders Wool and Mohair Program	Individual folders containing FSA-382, FSA-383, and other related documents about the producer's participation in LMAA.		
LMAA 2 Spot Checks Wool and Mohair Program	Spot check, selections and responses.		

NOTE: Last payment as a whole FY 2001. Transfer all files to the FRC.

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Price Support and Loan Program Files

Exhibit 48

This exhibit covers commodity price support loan, purchase, and LDP programs intended to ensure orderly marketing and an adequate supply of food, animal feed, and natural fibers by guaranteeing that cooperating farmers receive interim financing and no less than the support price established for a particular commodity. These programs are funded by CCC and administered by FSA. Color Code is blue.

Block 6 (a) of SF-135 is RG 161

File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
Policy and Procedures (formerly called LP 2) Price Support Operations	File background material that documents the important aspects of Agency and Departmental policy and procedure concerning the Price Support and Loan Program.	Permanent. Transfer this copy to FRC when 5 years old.	N1-145-95-1 Item 1a
Basic Program Provisions (formerly called LP 2-1) Price Support Operations	File material and correspondence concerning meetings, training, and committees about the Price Support and Loan Program subject areas. Subdivide as necessary	Destroy these files when 6 year old.	NC1-161-79-1 Item 11a
Meetings/Training Meetings/Committees (formerly called LP 3) Price Support Operations	File material and correspondence concerning meetings, training, and committees about the Price Support and Loan Program subject areas. Subdivide as needed.		
Invitations and Engagements (formerly called LP 3-1)	File correspondence about invitations to speak at or attend conference and engagements.		
DTP Diary Termination Program	All documentation regarding the DTP Price Support program.	Destroy these files 6 years after final payment.	
MAL Marketing Assistance Loans Price Support Operations	Prices Support commodity MAL program folders with all supporting documents.		

Note: The subject Marketing Assistance Loans does not appear in 25-AS Exhibits. These file types are mentioned in Price Support Operations Handbooks and files are common to FSA Offices.

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Price Support and Loan Program Files

Exhibit 48

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Block 6 (a) of SF-135 is RG 161

File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
LP Price Support and Loan Program Price Support Operations	General material about the Price Support and Loan Program too broad to be filed under one of the more specific file types in this exhibit. Also, file the List of Incorrect Certifications, and Unauthorized Removals and Disposition. These lists are continuous and the names are kept on them for only 3 yrs.	Destroy these files 6 years after liquidation.	NC1-161-79-1 Item 11a
LP 1 Reports and Statistics Price Support Operations	Reports covering all subjects included under this subject that cannot be filed under one of the more specific file types in this exhibit. Subdivide these files as necessary. File voluminous computer printouts in binders on open shelves.	Destroy these files 6 years after liquidation.	NC1-161-79-1 Item 11a
LP 1-1 Announced Repayment Rates Price Support Operations	Repayment rates generated by computer from Market Bulletin.		
LP 1-2 Financing Statements Price Support Ops	CCC-10's in alphabetical order.		
LP 2 Approved Warehouses Warehouse Rules	Lists of warehouses approved for storage of commodities serving as collateral for CCC loans. This includes correspondence about suspensions and cancellations of approval.	Destroy these files 6 years after liquidation.	NC1-161-85-1 Item 1
LP 3 Loan Number Register Price Support Ops	CCC-676's for all manually prepared commodity loans and LDP's.	Destroy these files 6 years after liquidation.	NC1-161-79-1 Item 11a

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Price Support and Loan Program Files

Exhibit 48

This exhibit covers commodity price support loan, purchase, and LDP programs intended to ensure orderly marketing and an adequate supply of food, animal feed, and natural fibers by guaranteeing that cooperating farmers receive interim financing and no less than the support price established for a particular commodity. These programs are funded by CCC and administered by FSA. Color Code is blue.

Block 6 (a) of SF-135 is RG 161

File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
LP 4 Farm-Stored Grain Loans Price Support Operations	Loan folders for commodities stored on the producer's farm. Keep original CCC-677's in custody file during loan period. Release original CCC-677's to producers after loan repayments or grain deliveries to CCC. *--Includes CCC-677-1's, CCC-500's, CCC-234's, and financing statements.	Destroy these files 6 years after liquidation.	NC1-161-79-1 Item 11a
LP 5 Warehouse-Stored Grain Loans Price Support Operations	Loan folders for commodities stored in an approved warehouse. Keep original--* CCC-678's in custody file during loan period. Release original CCC-678's to producers after loan repayments or grain deliveries to CCC. Includes CCC-234's.		
LP 6 Grain Reserve Agreements Price Support Operations	Agreement folders for reserve commodities stored in warehouses and on farms. Keep original grain reserve agreements in custody file during loan period. Release original grain reserve agreements to producers after loan repayments, deliveries, or forfeitures to CCC. Includes CCC-906's, CCC-906A's, and CCC-907's.		

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Price Support and Loan Program Files

Exhibit 48

This exhibit covers commodity price support loan, purchase, and LDP programs intended to ensure orderly marketing and an adequate supply of food, animal feed, and natural fibers by guaranteeing that cooperating farmers receive interim financing and no less than the support price established for a particular commodity. These programs are funded by CCC and administered by FSA. Color Code is blue.

Block 6 (a) of SF-135 is RG 161

File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
LP 7 Loan Liquidation Price Support Operations	Correspondence about the liquidation of outstanding loans too broad to be filed under 1 of the more specific file types in this exhibit.	Destroy these files 6 years after liquidation.	NC1-161-79-1 Item 11a
LP 7-1	Reserved		
LP 7-2 Request for Shipping Instructions Price Support Operations	File CCC-643's and related correspondence.	Destroy these files 6 years after liquidation.	
LP 7-3 Shipping Instructions Price Support Operations	File CCC-156's and related correspondence about reconcentration of commodities.		
LP 7-4 Commodity Delivery Notices Price Support Operations	Correspondence about the delivery to CCC of eligible commodities in sufficient quantity to satisfy outstanding loans. This includes CCC-691's, CCC-691-1's, and related correspondence.		
LP 7-5 Loans Open After Maturity Price Support Operations	Correspondence about the loans that continue to be unliquidated (open) after the date of maturity, including computer-generated loans open after maturity list.		
LP 8 Local Sales Folders Price Support Operations	Individual folders about the sale of eligible lots of commodities locally. This includes CCC-639's, CCC-638's, announcement of sale, authorization by State Office, and other related correspondence.		

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Price Support and Loan Program Files

Exhibit 48

This exhibit covers commodity price support loan, purchase, and LDP programs intended to ensure orderly marketing and an adequate supply of food, animal feed, and natural fibers by guaranteeing that cooperating farmers receive interim financing and no less than the support price established for a particular commodity. These programs are funded by CCC and administered by FSA. Color Code is blue.

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File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
LP 9	Reserved		
LP 9-1	Reserved		
LP 9-2	Reserved		
LP 9-3	Reserved--*		
LP 9-4 Loan Account Statement Price Support Operations	KCMO-prepared printout, CCC-386-1's showing status of outstanding FFLP loans, and related correspondence.	Destroy these files 6 years after liquidation.	NC1-161-79-1 Item 11a
LP 10 Cotton Loans Price Support Operations	Correspondence about cotton loans too broad to be filed under 1 of the more specific file types in this exhibit.		
LP 10-1	Reserved		
LP 10-2 Approved Loan Clerks Price Support Operations	CCC-810's, CCC-814's, and other correspondence about CCC approval of loan clerks to assist cotton producers in preparing and executing loan forms for reimbursement.	Destroy these files 6 years after liquidation.	NC1-161-79-1 Item 11a
LP 10-3 Schedule of Form A Cotton Loans Price Support Operations	CCC-825's and related CCC- 516's, and other correspondence about loan advances by financial institutions to producers based upon cotton listed in CCC- Cotton A's and related CCC-Cotton A-1's.		
LP 10-4 Collection Letters Price Support Operations	Correspondence about the collection of cotton loans after maturity date. This includes related CCC-813's and CCC-813-1's.		

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Price Support and Loan Program Files

Exhibit 48

This exhibit covers commodity price support loan, purchase, and LDP programs intended to ensure orderly marketing and an adequate supply of food, animal feed, and natural fibers by guaranteeing that cooperating farmers receive interim financing and no less than the support price established for a particular commodity. These programs are funded by CCC and administered by FSA. Color Code is blue.

Block 6 (a) of SF-135 is RG 161

File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
LP 10-5 Bagging and Bale Ties Price Support Operations	Correspondence about bale packaging specifications for cotton, including CCC-809's.	Destroy these files 6 years after liquidation	NC1-161-79-1 Item 11a
LP 10-6 Producer Loan Folders Price Support Operations	Individual loan folders containing forms, reports, and other correspondence about the producer's participation in the Cotton Loan Program. Keep original CCC-Cotton A's in custody file during the loan period. Release original CCC-Cotton A to producer after repayment of forfeiture to CCC.		
LP 11 Peanut Loans Price Support Operations	Correspondence about peanut loans too broad to be filed under 1 of the more specific file types in this exhibit.		
LP 11-1 Producer Loan Folders Price Support Operations	Individual loan folders containing forms, reports, and other correspondence about the producer's participation in the Peanut Loan Program.		
LP 12 Spot Checks Price Support Operations	Correspondence about completed loans and LDP spot checks.		
LP 13 Special Rice Loans Price Support Operations	Correspondence about the Special Rice Loan Program too broad to be filed under 1 of the more specific file types in this exhibit.		

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Price Support and Loan Program Files

Exhibit 48

This exhibit covers commodity price support loan, purchase, and LDP programs intended to ensure orderly marketing and an adequate supply of food, animal feed, and natural fibers by guaranteeing that cooperating farmers receive interim financing and no less than the support price established for a particular commodity. These programs are funded by CCC and administered by FSA. Color Code is blue.

Block 6 (a) of SF-135 is RG 161

File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
LP 13-1 Loan Folders Price Support Operations	Individual loan folders containing forms, reports, and other correspondence about the producer's participation in the Special Rice Loan Program.	Destroy these files 6 years after liquidation.	NC1-161-79-1 Item 11a
LP 14	Reserved		
LP 14-1	Reserved		
LP 14-2	Reserved		
LP 14-3	Reserved		
LP 15 Loan Deficiency Payment Program Price Support Operations	File correspondence about the LDP program too broad to be filed under 1 of the more specific file types in this exhibit.	Destroy these files 6 years after liquidation.	NC1-161-79-1 Item 11a
LP 15-1 LDP Folders Price Support Operations	File individual LDP folders containing forms, reports, and other correspondence about the producer's participation in the LDP Program for all applicable commodities. Includes *--CCC-633 series.--*		
LP 16 Cooperative Marketing Associations Price Support Operations	General material about CMA's approved by CCC to participate in loans and LDP programs for any authorized commodities.		
LP 16-1 Reports Price Support Operations	File the following reports and other reports not listed: <ul style="list-style-type: none"> • MCXA22R2-CMA Summary Report for County Offices • MCXA25R1-CMA Status Report • MCXA22R5-CMA Summary Report for State Offices. 	Destroy these files 6 years after liquidation.	NC1-161-79-1 Item 11a

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Mail Management Files			Exhibit 49
This exhibit covers the correspondence and related documents pertaining to Mail Management. Color Code is white. Block 6 (a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
Mail Account / Mail Expenditures Expenditure Accounting Posting and Control Files	Records used as posting and control media, subsidiary to the general and allotment ledgers, and not covered elsewhere in this schedule.	Destroy these files when 3 years old.	GRS 7 Item 4a
MA Mail Management Postal and Private Mail	General material about Mail Management too broad to be filed under 1 of the more specific file types in this exhibit.	Destroy these files when 1 year old.	GRS 12 Item 5a
MA 1 Reports State/County Admin Correspondence	Files FSA-524's Subdivide as necessary	Destroy these files when 3 years old.	NC1-145-81-4 Item 1
MA 2 Permits Postal and Private Mail	Copy of the permit and related correspondence	Destroy these files when 1 year old or when superseded or obsolete, as applicable.	GRS 12 Item 5a
MA 3 Reports for Certified and Registered Mail Postal and Private Mail	File receipts and certified and registered mail. Receipts may be filed and destroyed with related correspondence	Destroy these files when 1 year old.	GRS 12 Item 5a

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Milk Income Loss Contract Program Files			Exhibit 49.5
This exhibit covers the program that provides assistance to dairy producers when domestic milk prices fall below a specified level. Color Code is blue. Block 6 (a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
MILC Milk Income Loss Contract Program Disaster Assistance Program	General material about MILC too broad to be filed under 1 of the more specific file types in this exhibit.	Destroy these files 3 years after end of program.	N1-145-05-2 Item 3 (DAP)
MILC 1 Reports Disaster Assistance Program	Reports.		
MILC 2 Producer Folders Disaster Assistance Program	Individual folders containing CCC-580, CCC-580 Appendix, CCC-580M, and other related documentation.		
MILC 3 Spot Checks Disaster Assistance Program	Spot check, selections and responses.		
MILC 4 Agents Disaster Assistance Program	General material about agents authorized to disburse MILC program benefits.		
MILC 4-1 Applicant Folders Disaster Assistance Program	Individual folders containing CCC-582 and other related documents. Subdivide these files into approved and disapproved applications.--*		

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Motor Vehicle Management Files			Exhibit 50
This exhibit covers correspondence and related materials about the management, maintenance, and operation of motor vehicles. Color Code is white. Block 6 (a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
MV Motor Vehicle Management Motor Vehicle Report Files	General material about motor vehicles too broad to be filed under 1 of the more specific file types in this exhibit.	Destroy these files when 3 years old.	GRS 10 Item 4
MV 1 Reports Motor Vehicle Report Files	Reports too broad to be filed under 1 of the more specific file types in this exhibit.		
MV 2 Policy Motor Vehicle Report Files	Policy and guidelines about motor vehicle management. Includes GSA guidelines.		
MV 3 Motor Vehicle Operating and Maintenance Motor Vehicle Cost Files	Records relating to gas and oil consumption, dispatching and scheduling service and repairs. Includes AD-187 and SF-149.	Destroy these files when 3 years old	GRS 10 Item 3
MV 4 Motor Vehicle Release Files	Records relating to the sale, transfer, donation, or exchange of vehicles.	Destroy these files 4 years after vehicle leaves FSA custody.	GRS 10 Item 6
MV 5 Motor Vehicle Operator Files	Records relating to individual employees that are high mileage drivers. Includes letters of commitment to operate Government-owned or privately owned vehicles, and related correspondence.	Destroy these files 3 years after separation of employee or 3 years after decision of authorization to operate Government-owned vehicle, whichever is sooner.	GRS 10 Item 7
MV 6 Motor Vehicle Accident Files	Records relating to motor vehicle accidents. Includes SF-91, SF-91A, SF-4, and related documents.	Destroy these files 6 years after case is closed	GRS 10 Item 5

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Noninsured Crop Disaster Assistance Program Files			Exhibit 50.5
<p>*--This exhibit covers material on all Noninsured Crop Disaster Assistance Programs designed to reduce financial losses that occur when natural disasters causes a catastrophic loss of production of an eligible crop for which a crop insurance policy is not available in that county and falls in the noninsured crop category --*. Color Code is red. Block 6 (a) of SF-135 is RG 145</p>			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
NAP Noninsured Crop Disaster Assistance Program Crop Disaster Program	General material about NAP too broad to be filed under 1 of the more specific file types in this exhibit.	Cut off all closed files at the end of the year. Retain for 2 years in- house then transfer to Federal Records Center (FRC).	N1-145-05-2 Item 1 (Producer Folders) N1-145-05-2 Item 2 (Reports)
NAP 1 Reports Crop Disaster Program	Reports covering all subjects included under this subject that cannot be filed under 1 of the more specific file types in this exhibit. Subdivide these files as necessary.	Destroy these files when 10 years old.	
NAP 2 NAP Area Requests Crop Disaster Program	Documentation and information required to establish a NAP area. The *- -file includes CCC-456, copies of COC and applicable STC minutes,--* weather data, and price and yield information.		
NAP 3 Appeals Crop Disaster Program	Documents about NAP appeals.		
NAP 4 Spot Checks Crop Disaster Program	Spot check, selection and responses.		
NAP 5 Producer Folders Disaster Payment Program	Individual folders for each producer's claim for disaster payments. Includes CCC- 471, CCC-576 Part B, and other related forms--* and correspondence. Subdivide these files as necessary.		

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Noninsured Crop Disaster Assistance Program Files			Exhibit 50.5
This exhibit covers material on the program *--designed to reduce financial losses that occur when natural disasters cause a catastrophic loss of production or prevented planting of an eligible crop by providing coverage equivalent to CAT insurance.--*. Color Code is red. Block 6 (a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
NAP 6 Loss Adjusters Disaster Payment Program	General material about loss adjusters too broad to be filed under 1 of the more specific subjects below.	Cut off all closed files at the end of the year.	N1-145-05-2 Item 1 (Producer Folders) N1-145-05-2 Item 2 (Reports)
NAP 6-1 Reports Disaster Payment Program	Reports. <ul style="list-style-type: none"> Late Voucher Report (NAP-1R) LA Interest Payment Report (NAP-2R) Voucher Data Load Report, MHB�V-0001 LA Payment History Report. 	Retain for 2 years in-house then transfer to Federal Records Center (FRC). Destroy these files when 10 years old.	
NAP 6-2 Contract Folders Disaster Payment Program	Individual folders. Subdivide these files, as needed.		
NAP 6-3 Voucher Folders Disaster Payment Program	Individual folders containing FSA-449-A, FSA-449-B, and other supporting documentation.		
NAP 6-4 Payment Registers Disaster Payment Program	Nonpayment and pending payment registers.		

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Organization and Administration Files

Exhibit 51

This exhibit covers correspondence and related documents about the organization and administration of FSA State and County Offices. This includes meetings, conferences, and minutes. Color Code is white.

Block 6 (a) of SF-135 is RG 145

File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
OA State and County Office Organization Minutes of State Committee Meetings	General material about the organization and admin of State and County Offices too broad to be filed under 1 of the more specific file types in this exhibit.	Destroy these files when 5 years old.	NC1-145-81-2 Item 1
OA1 State Offices Minutes of State Committee Meetings	General material about State Offices, SED’s, and STC’s.		
OA1-1 State Executive Directors Minutes of State Committee Meetings			
OA1-2 State FSA Committees Minutes of State Committee Meetings			
OA2 County Offices Minutes of State Committee Meetings	General material about County Offices, CED’s, COC’s, DD’s, and FLM’s.	Destroy these files when 5 years old.	NC1-145-81-2 Item 2
OA2-1 County Executive Directors Minutes of State Committee Meetings	General material about County Offices, CED’s, COC’s, DD’s, and FLM’s.		
OA2-2 County FSA Committees Minutes of State Committee Meetings			
OA2-4 District Directors Minutes of State Committee Meetings			
OA 2-5 Farm Loan Managers Minutes of State Committee Meetings			

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Organization and Administration Files			Exhibit 51
This exhibit covers correspondence and related documents about the organization and administration of FSA State and County Offices. This includes meetings, conferences, and minutes. Color Code is white.			
Block 6 (a) RG 145 of SF-135			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
OA3 Reports Minutes of State Committee Meetings	Reports covering all subjects included under this subject too broad to be filed under 1 of the more specific file types in this exhibit.	Destroy these files when 5 years old.	NC1-145-81-2 Item 1
OA3-1 Emergency Operation Plan Emergency Planning Case Files	FSA-780 and FSA-781. Emergency operation plan for State and County Offices and required attachments.	Destroy 3 years after issuance of a new plan or directive	GRS 18 Item 27
OA4 Meetings/ Conference Minutes of State Committee Mtgs	General material about meetings and conferences. This includes invitations, agendas, etc.	Destroy these files when 5 years old.	NC1-145-81-2 Item 1
OA4-1 STC Minutes (Regular Sessions) Minutes of State Committee Mtgs	Minutes, agendas, and essential documentations.		
OA4-2 STC Minutes (Executive Sessions) Minutes of State Committee Mtgs	Minutes, agendas, and essential documentation. Note: Keep these files in a locked file cabinet.		
OA4-3 COC Minutes (Regular Session) Minutes of County Committee Mtgs	Minutes, agendas, and essential documentation. Includes minutes of related CMC meetings.	Destroy these files when 5 years old.	NC1-145-81-2 Item 2
OA4-4 COC Minutes (Executive Session) Minutes of County Committee Mtgs	Minutes, agendas, etc. This includes FLP--* agendas, decisions, and list of borrowers classified. Note: Keep these files in a locked file cabinet.		
OA Work Organization Meetings Minutes of State Committee Mtgs	Minutes, agendas, and essential documentation. Subdivide as needed.	Destroy these files when 5 years old.	NC1-145-81-2 Item 1

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Oilseeds Program Files

Exhibit 51.5

This exhibit covers the program that provides assistance to producers who planted certain oilseeds in 1999. Color Code is goldenrod. **Block 6 (a) of SF-135 is RG 161**

File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
OP Oilseeds Program Price Support Operations	General material about OP too broad to be filed under 1 of the more specific subjects in this exhibit	Destroy these files 6 years after date of payment.	NC1-161-79-1 Item 11a
OP 1 Reports Price Support Operations	Reports too broad to be filed under 1 of the more specific file types in this exhibit.		
OP 2 Producer Folder Price Support Operations	Individual producer folders containing CCC-780, FSA- 658, and other supporting documentation about the producer's participation in OP and payments made to the producer.		
OP 3 Spot Checks Price Support Operations	Spot check, selections and responses.		

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Outreach Program Files

Exhibit 51.6

This exhibit covers material about FSA's efforts to inform farmers and ranchers about Agency programs and services to increase the participation of the underserved, including limited resource farmers in FSA programs, with special emphasis on those who are socially disadvantaged or members of racial minority groups. Color Code is goldenrod. **Block 6 (a) of SF-135 is RG 145**

File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
OUTR Outreach Program State/County Office Admin Correspondence	General material about OUTR too broad to be filed under 1 of the more specific file types in this exhibit.	Destroy these files when 3 years old.	NC1-145-81-4 Item 1
OUTR 1 Reports State/County Office Admin Correspondence.	Reports		
OUTR 2 Programs State/County Office Admin Correspondence.	Materials concerning implementation of the Outreach Programs. Subdivide these files by program or activity.		
OUTR 3 Plan State/County Office Admin Correspondence	Copies of the plan developed to increase participation of the underserved in Agency programs.		
OUTR 4 Lists State/County Office Admin Correspondence.	List of minority organizations.		
OUTR 5 Notifications State/County Office Admin Correspondence	Copies of letters, notices, news articles, notifications of meetings, and attendance lists.		

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Production Adjustment Program Files			Exhibit 52
This exhibit covers programs to help adjust the production and marketing of specified farm crops, to protect producers' incomes, and ensure a stable supply of basic foods at reasonable prices. These programs include set-aside and other cropland diversion provisions, and acreage allotment and marketing quotas for specified crops. Color Code is goldenrod. Block 6 (a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
PA Production Adjustment Farm Records	General material about production adjustment too broad to be filed under 1 of the more specific file types in this exhibit.	Destroy these files 5 years after the end of the marketing year during which they were created.	NC1-145-79-2 Item 6a
PA 1 Reports and Statistics Farm Records	Reports covering all subjects included under this subject that cannot be filed under 1 of the more specific file types in this exhibit. Subdivide these files as necessary. File voluminous computer printouts in binders on open shelves.		
PA 2 Notice of Bases and Yields Marketing Quota and Acreage Allotment Programs	Copies of FSA-476's for CAB commodities sent to individual farmers and related correspondence.	Destroy these files 5 years after the end of the crop year in which they were created.	NC1-145-79-2 Item 7a
PA 2-1 Appeals Pending Marketing Quota and Acreage Allotment Programs	Appeals by individual farmers of yields and bases pending COC action and, if appropriate, corrections of the appeal.		
PA 3 Wheat and Feed Grain Marketing Quota and Acreage Allotment Programs	Correspondence about the Wheat and Feed Grain Program too broad to be filed under 1 of the more specific file types in this exhibit.		
PA 3-1 Noncompliance and Violations Marketing Quota and Acreage Allotment Programs	Correspondence about indicated violations of terms of the program. File case file correspondence about violations by individual farmers.		

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Production Adjustment Program Files			Exhibit 52
This exhibit covers programs to help adjust the production and marketing of specified farm crops, to protect producers' incomes, and ensure a stable supply of basic foods at reasonable prices. These programs include set-aside and other cropland diversion provisions, and acreage allotment and marketing quotas for specified crops. Color Code is goldenrod. Block 6 (a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
PA 3-2 Meritorious Relief Cases Marketing Quota and Acreage Allotment Programs	File correspondence and other documents about meritorious cases.	Destroy these files 5 years after the end of the crop year in which they were created.	NC1-145-79-2 Item 7a
PA 3-3	(Reserved)		
PA 3-4 Farm Folders	Individual farm folders containing forms, reports, photocopies of farmland, and other correspondence about that farm's participation in the Wheat and Feed Grain Program, the Integrated Farm Management Program, and the Voluntary Production Limitation Program. This file includes FSA-468, FSA-574, CCC-135, CCC-136, CCC-406, CCC-406A, CCC-477, CCC-477 (Appendix), CCC-477A, CCC-505, and CCC-695.	Follow Retention instructions in Exhibit 66.	
PA 3-5 Appeals Marketing Quota and Acreage Allotment Programs	Appeals to STC's by individual farmers and related correspondence. Note: File case file by individual farmer.	Destroy these files 5 years after the end of the crop year in which they were created.	NC1-145-79-2 Item 7a
PA 3-6 IFM Allocation Control Ledger Marketing Quota and Acreage Allotment Programs	CCC-406B's.		

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Production Adjustment Program Files			Exhibit 52
This exhibit covers programs to help adjust the production and marketing of specified farm crops, to protect producers' incomes, and ensure a stable supply of basic foods at reasonable prices. These programs include set-aside and other cropland diversion provisions, and acreage allotment and marketing quotas for specified crops. Color Code is goldenrod. Block 6 (a) of SF-135 is RG 145			
Subject 6 (f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
PA 4 Rice Marketing Quota and Acreage Allotment Programs	Correspondence about the Rice Program.	Destroy these files 5 years after the end of the crop year in which they were created.	NC1-145-79-2 Item 7a
PA 4-2 Farm Folders	Individual farm folders containing forms, reports, and other correspondence about that farm's participation in the Rice Program.	Follow retention instructions in Exhibit 66, FAR 1.	
PA 4-3 Appeals Marketing Quota and Acreage Allotment Programs	Appeals to STC by individual farmers and related correspondence. Note: File case file by individual farmer.	Destroy these files 5 years after the end of the crop year in which they were created.	NC1-145-79-2 Item 7a
PA 5 Cotton Marketing Quota and Acreage Allotment Programs	Correspondence about the Cotton Program, including both upland and ELS cotton, too broad to be filed under 1 of the more specific file types in this exhibit.		
PA 5-1 Proven Yields (ELS Cotton) Marketing Quota and Acreage Allotment Programs	*--FSA-503's, FSA-658's, FSA-658-1's, commercial receipts,--* load summaries, or other evidence of actual yields of individual farmers and related correspondence.		
PA 5-2 Appeals Marketing Quota and Acreage Allotment Programs	Appeals to STC by individual farmer and related correspondence. Note: File case file by individual farmer.		

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Production Adjustment Program Files			Exhibit 52
This exhibit covers programs to help adjust the production and marketing of specified farm crops, to protect producers' incomes, and ensure a stable supply of basic foods at reasonable prices. These programs include set-aside and other cropland diversion provisions, and acreage allotment and marketing quotas for specified crops. Color Code is goldenrod. Block 6 (a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
PA 6 Deficiency Payments	Correspondence and original CCC-695 about payments to individual farmers to ensure that they receive the target price for their crops. Note: File copy of CCC-695 in farm folder	Destroy these files 5 years after the end of the crop year in which they were created.	NC1-145-79-2 Item 9a
PA 7 Tobacco Marketing Quota and Acreage Allotment Programs	Correspondence about the Tobacco Program too broad to be filed under 1 of the more specific file types in this exhibit.	Destroy these files 5 years after the end of the marketing year in which they were created.	
PA 7-1 Allotment Notices Marketing Quota and Acreage Allotment Programs	MQ-24's sent to individual farmers.		
PA 7-2 Tobacco Farm Records Farm Records Final	Copy of individual farm crop record. Keep voluminous computer printouts of allotment summaries of the individual farm crop record in binders on open shelves.	Destroy farm crop record for program year, 7 years after the end of the marketing year in which they were created.	NC1-145-79-2 Item 6d(1)
PA 7-3 New Farm Applications Marketing Quota and Acreage Allotment Programs	MQ-25's and related correspondence.	Destroy these files 5 years after the end of the marketing year in which they were created.	NC1-145-79-2 Item 7a
PA 7-4 Release of Acreage Allotments Marketing Quota and Acreage Allotment Programs	FSA-278's and related correspondence about the release or reduction of the allotment of particular farm and its availability for reapportionment to other farms.		

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Production Adjustment Program Files			Exhibit 52
This exhibit covers programs to help adjust the production and marketing of specified farm crops, to protect producers' incomes, and ensure a stable supply of basic foods at reasonable prices. These programs include set-aside and other cropland diversion provisions, and acreage allotment and marketing quotas for specified crops. Color Code is goldenrod. Block 6 (a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
PA 7-5 Application for Released Allotments Farm Records	FSA-278's used to apply for released acreage allotments.	Destroy these files 5 years after the end of the marketing year in which they were created.	NC1-145-79-2 Item 6a
PA 7-6 Register of Released and Reapportioned Allotments Farm Records	MQ-28's.		
PA 7-7 Transfers of Allotments Farm Records	FSA-375's and other correspondence about the transfer (lease) or sale of allotments.		
PA 7-8 Marketing Cards	MQ-76's Tobacco, MQ-117's, notice of failure to return marketing card (instruction for its use), and other related correspondence.	Plastic MQ-76's. Destroy spoiled or violated MQ-76's not issued immediately.	NC1-145-79-2 Item 7c(1)(a)
		Destroy unissued, nonembossed MQ-76's when obsolete.	NC1-145-79-2 Item 7c(1)(b)
		Destroy all MQ-76's, except those in subparagraphs d through f, at the end of the marketing year after the marketing year for which they were prepared.	NC1-145-79-2 Item 7c(1)(c)

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Production Adjustment Program Files			Exhibit 52
This exhibit covers programs to help adjust the production and marketing of specified farm crops, to protect producers' incomes, and ensure a stable supply of basic foods at reasonable prices. These programs include set-aside and other cropland diversion provisions, and acreage allotment and marketing quotas for specified crops. Color Code is goldenrod. Block 6 (a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
PA 7-8 Marketing Cards	MQ-76's Tobacco, MQ-117's, notice of failure to return marketing card (instruction for its use), and other related correspondence.	Destroy "U.S. claims" and "TMQ line", MQ-76's after the claim or lien is settled or determined uncollectible.	NC1-145-79-2 Item 7c(1)(d)
		Destroy "FmHA lien" MQ-76's after the period requested if FmHA asks for extended retention.	NC1-145-79-2 Item 7c(1)(e)
		Destroy "no price support" MQ-76's 4 years after marketing year in which they were issued.	NC1-145-79-2 Item 7c(1)(f)
		All other MQ-76's and MQ-77's. Destroy spoiled or voided MQ-76's and MQ-77's not issued immediately.	NC1-145-79-2 Item 7c(1)(a)
		Destroy unissued MQ-76's and MQ-77's at the end of the marketing year.	NC1-145-79-2 Item 7c(1)(b)

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Production Adjustment Program Files			Exhibit 52
This exhibit covers programs to help adjust the production and marketing of specified farm crops, to protect producers' incomes, and ensure a stable supply of basic foods at reasonable prices. These programs include set-aside and other cropland diversion provisions, and acreage allotment and marketing quotas for specified crops. Color Code is goldenrod. Block 6 (a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
PA 7-8 Marketing Cards	MQ-76's Tobacco, MQ-117's, notice of failure to return marketing card (instruction for its use), and other related correspondence.	Issued MQ-76's and MQ-77's (for other than flue-cured and burley tobacco) may be destroyed 4 years after the marketing year in which issued. Keep the flue-cured and burley tobacco MQ-76's and MQ-77's in the farm folders. <u>Destroy blank, unused cards when obsolete.</u>	NC1-145-79-2 Item 7c2c
PA 7-9 Register of Marketing Cards Marketing Quota and Acreage Allotment Programs	Computer printout from KCMO listing MQ-76's issued, name of farmer to whom issued, farm number, marketing quota, and similar data.	Destroy these files 5 years after the end of the marketing year in which they were created.	NC1-145-79-2 Item 7a
PA 7-10 Indicated Violations Marketing Quota and Acreage Allotment Programs	MQ-102's and other correspondence about marketing quota violations. File case file violations by individual producer.		
PA 7-11 Appeals and Reviews Marketing Quota and Acreage Allotment Programs	Correspondence about appeals of tobacco allotments and quotas. File case file appeals by individual producers.		
PA 7-12 Farm Folders	Individual farm folders containing forms, reports, and other correspondence about that farm's participation in the Tobacco Program.	Follow retention instructions in Exhibit 66, FAR 1.	

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Production Adjustment Program Files			Exhibit 52
This exhibit covers programs to help adjust the production and marketing of specified farm crops, to protect producers' incomes, and ensure a stable supply of basic foods at reasonable prices. These programs include set-aside and other cropland diversion provisions, and acreage allotment and marketing quotas for specified crops. Color Code is goldenrod. Block 6 (a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
PA 7-13 Warehouse Marketing Quota and Acreage Allotment Programs	Certification of tobacco on hand, certification of records and reports to be kept, blue sheet of MQ-89's, daily MQ-80's, MQ-71's week-ending corrections, MQ-79's, and correspondence about warehouse or operations.	Destroy these files 5 years after the end of the marketing year in which they were created.	NC1-145-79-2 Item 7a
PA 7-14 Dealers Marketing Quota and Acreage Allotment Programs	MQ-79's, FSA-130A's, FSA-130B's, and related correspondence.		
PA 7-15 Designation Marketing Quota and Acreage Allotment Programs	Tobacco warehouse designation printouts.		
PA 7-16 Reports Marketing Quota and Acreage Allotment Programs	Reports about the Tobacco Program that cannot be filed under 1 of the more specific subjects in PA 7 through PA 7-15. Subdivide these files as necessary.	Destroy these files when 5 years old.	
PA 8 Peanuts Marketing Quota and Acreage Allotment Programs	Correspondence relating to the Peanut Program too broad to be filed under 1 of the more specific file types in this exhibit.	Destroy these files 5 years after the end of the marketing year in which they were created.	
PA 8-1 Poundage Quota Notices Marketing Quota and Acreage Allotment Programs	FSA-1001's sent to individual farmers and related correspondence, such as correspondence relating to under-marketing and erroneous FSA-1001's.		

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Production Adjustment Program Files			Exhibit 52
This exhibit covers programs to help adjust the production and marketing of specified farm crops, to protect producers' incomes, and ensure a stable supply of basic foods at reasonable prices. These programs include set-aside and other cropland diversion provisions, and acreage allotment and marketing quotas for specified crops. Color Code is goldenrod. Block 6 (a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
PA 8-2 Peanut Farm Record Farm Record	Computer printout of individual peanut farm record when printed.	Destroy these files 5 years after the end of the year in which they were created.	NC1-145-79-2 Item 6a
PA 8-3 Release and Reappointment of Poundage Quotas Marketing Quota and Acreage Allotment Programs	File FSA-278's and other correspondence about release and reappointment of poundage quotas.	Destroy these files 5 years after the end of the marketing year in which they were created.	
PA 8-4 Transfers of Poundage Quotas Marketing Quota and Acreage Allotment Programs	FSA-375's and other correspondence about the transfer by lease, sale, owner, or operator of poundage quotas.		
PA 8-5 Plastic 8K and 24K Smart Marketing Cards Marketing Quota and Acreage Allotment Programs	Plastic 8K and 24K SMC's.	Destroy 5 years after the end of each marketing year. NOTE: Blank, unused cards may be destroyed when no longer needed.	
PA 8-6 Smart Marketing Cards Marketing Quota and Acreage Allotment Programs	Computer printout of farm operator's certification of FSA-1002's and other related correspondence.	Destroy final copy of reconciliation for all farms, 5 years after the end of the marketing year in which they were created. Destroy all other copies after the end of program year.	

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Production Adjustment Program Files			Exhibit 52
This exhibit covers programs to help adjust the production and marketing of specified farm crops, to protect producers' incomes, and ensure a stable supply of basic foods at reasonable prices. These programs include set-aside and other cropland diversion provisions, and acreage allotment and marketing quotas for specified crops. Color Code is goldenrod. Block 6 (a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
PA 8-7 Register of Marketing Cards and Producer ID Cards Marketing Quota and Acreage Allotment Programs	Computer printout of SMC and FSA-1003 register.	Destroy these files 5 years after the end of the marketing year in which they were created.	NC1-145-79-2 Item 7a
PA 8-8 Indicated Violations Marketing Quota and Acreage Allotment Programs	MQ-102's and other correspondence about marketing quota violations. File case file violations by individual farmer.		
PA 8-9 Appeals and Reviews Marketing Quota and Acreage Allotment Programs	Correspondence about appeals of peanut quotas. File case file appeals by individual farmer.		
PA 8-10 Farm Folders	Individual farm folders containing forms, reports, and other correspondence about that farm's participation in the Peanut Program.	Follow retention instructions in Exhibit 66, FAR 1.	
PA 8-11 Sales Certificates Marketing Quota and Acreage Allotment Programs	FSA-1007's, CCC-384's, and related information.	Destroy these files 5 years after the end of the marketing year in which they were created.	NC1-145-79-2 Item 7a
PA 8-12 Disaster Transfers Marketing Quota and Acreage Allotment Programs	FSA-1013's and related correspondence.		

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Production Adjustment Program Files

Exhibit 52

Production Adjustment Program Files. This exhibit covers programs to help adjust the production and marketing of specified farm crops, to protect producers' incomes, and ensure a stable supply of basic foods at reasonable prices. These programs include set-aside and other cropland diversion provisions, and acreage allotment and marketing quotas for specified crops. Color Code is goldenrod.

Block 6 (a) of SF-135 is RG 145

File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
PA 8-13 Seed Peanuts Marketing Quota and Acreage Allotment Programs	FSA-101's including Segregation 3's for seed, and related correspondence.	Destroy these files 5 years after the end of the marketing year in which they were created.	NC1-145-79-2 Item 7a
PA 8-14 Non-Inspected Peanuts Marketing Quota and Acreage Allotment Programs	FSA-1030's, FSA-1030- P's, and related correspondence.		
PA 8-15 Marketing to Non-Established Buyers Marketing Quota and Acreage Allotment Programs	FSA-1011's and related correspondence.		
PA 8-16 Peanut Production and Disposition	FSA-1010's and related correspondence.		
PA 8-17 Handlers Marketing Quota and Acreage Allotment Programs	FSA-1008's, lists of handlers, producer handlers, and correspondence. about registration.		
PA 8-18 Handler Contract	Handler contracts and related correspondence.		
PA 8-19 Buying Points Marketing Quota and Acreage Allotment Programs	Lists of buying points and correspondence about registration.		
PA 8-20 Buyer Checklist Marketing Quota and Acreage Allotment Programs	FSA-916's and related correspondence.		

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Production Adjustment Program Files			Exhibit 52
This exhibit covers programs to help adjust the production and marketing of specified farm crops, to protect producers' incomes, and ensure a stable supply of basic foods at reasonable prices. These programs include set-aside and other cropland diversion provisions, and acreage allotment and marketing quotas for specified crops. Color Code is goldenrod. Block 6 (a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
PA 9 Referendums Marketing Quota and Acreage Allotment Programs	Other correspondence about commodity quota referendums, including MQ-7's. Subdivide these files by commodity, if necessary.	Destroy these files 5 years after the end of the marketing year in which they were created.	NC1-145-79-2 Item 7a
Ballots, Marketing Quota	Ballots	Destroy at the end of 30 calendar days after the date of the referendum if no appeal is received.	
PA 10 Pooled Allotments Marketing Quota and Acreage Allotment Programs	Correspondence about the pooling of acreage allotments from farms acquired by Government agencies through eminent domain and applications by the displaced owners for the allotments.	Destroy these files 5 years after the end of the marketing year in which they were created.	NC1-145-79-2 Item 7a
PA 11 Reserve Marketing Quota and Acreage Allotment Programs	File STC determination of State amount and distribution and other correspondence about reserve quotas with the requesting County Offices.		
PA 12 Experimental Acreage Marketing Quota and Acreage Allotment Programs	File requests and related correspondence from experimental stations, approvals, and notification to specific County Office, relating to experimental acreage including Breeder Foundation Seed.		

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Production Adjustment Program Files			Exhibit 52
This exhibit covers programs to help adjust the production and marketing of specified farm crops, to protect producers' incomes, and ensure a stable supply of basic foods at reasonable prices. These programs include set-aside and other cropland diversion provisions, and acreage allotment and marketing quotas for specified crops. Color Code is goldenrod. Block 6 (a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
PA 13 MQ Review Committee Marketing Quota and Acreage Allotment Programs	File initial establishment of areas of venue and committee members, designation of appointment, oaths of office, annual reviews, STC updates, and related correspondence.	Destroy these files 5 years after the end of the marketing year in which they were created.	NC1-145-79-2 Item 7a
PA 14 Marketing Assessments Marketing Quota and Acreage Allotment Programs	File correspondence related to marketing assessments.		
PA 15 Options Pilot Program Production Adjustment	General material about the OPP Program too broad to be filed under 1 of the more specific file types in this exhibit.	Destroy these files 5 years after the end of the crop year in which they were created.	NC1-145-79-2 Item 6a
PA 15-1 OPP Farm Folders	Individual farm folders containing all correspondence and other documentation about that farm's participation in the OPP Program. This file includes CCC-300's, CCC-302's, CCC-303's, CCC-304's, CCC-305's, CCC-306's, and CCC-184's.	Transfer to the farm folder and follow Retention instructions in Exhibit 66, FAR 1.	

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Peanut Marketing Assistance Program Files

Exhibit 52.5

This exhibit covers the program that provides compensation to producers of quota and additional peanuts for continuing low commodity prices and increasing costs of production. Color Code is goldenrod.

Block 6 (a) of SF-135 is RG 145

File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
PMAP Peanut Marketing Assistance Program Farm Records	General material about PMAP too broad to be filed under 1 of the more specific subjects in this exhibit	Destroy these files 5 years after date of payment.	NC1-145-79-2 Item 6a
PMAP 1 Producer Folders Farm Records	Individual producer folders containing forms, reports, and other correspondence about the producer's participation in PMAP and payments made to the producer. This includes FSA-1043.		

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Disaster Assistance Program Files			Exhibit 53
This exhibit covers material on the program to provide assistance for grain and other agricultural producers who have suffered losses because of drought, flood, or other natural disaster or conditions beyond the producer's control. Color Code is yellow. Block 6 (a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
PAD Disaster Assistance Crop Disaster Program	General material about disaster assistance program too broad to be filed under 1 of the more specific file types in this exhibit.	Cut off all closed files at the end of the year. Retain for 2 years in-house then transfer to Federal Records Center (FRC).	N1-145-05-2 Item 1 (Producer Folders) N1-145-05-2 Item 2 (Reports)
PAD 1 Reports Crop Disaster Program	Reports covering all subjects included under this subject that cannot be filed under 1 of the more specific file types in this exhibit. Subdivide these files as necessary.	Destroy these files when 10 years old.	
PAD 2 Producer Folders Crop Disaster Program	Individual folders for each producer's claim for disaster payments. Includes FSA-574's, FSA-658's, FSA-921's, CCC-440's, CCC-441's, CCC-441A's, CCC-441B's, CCC-441C's, CCC-441E's, CCC-441G's, CCC-441P's, CCC-441W's, and other related forms and correspondence. Subdivide these files as necessary.		

NOTE: Program Closed. Transfer all files to the Federal Records Center (FRC).

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Potato Diversion Program Files

Exhibit 53.5

This exhibit covers assistance to producers who divert potatoes that they produced by donating them to charitable institutions for human consumption, using them for livestock feed, or using them for compost purposes. Color Code is blue. **Block 6 (a) of SF-135 is RG 161**

File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
PDP Potato Diversion Program Price Support	Correspondence about PDP too broad to be filed under 1 of the more specific file types in this exhibit.	Destroy these files when 6 years old.	NC1-161-79-1 Item 11a
PDP 1 Reports Price Support	Reports covering all subjects included under this subject that cannot be filed under 1 of the more specific file types in this exhibit. Subdivide these files as necessary.		
PDP 2 Register Price Support	FSA-124.		
PDP 3 Producer Folders Price Support	Individual folders containing FSA-117's, FSA-118's, FSA-118A's, FSA-120's, CCC-184's, spot-check documentation, and other related forms and correspondence about the producer's participation in PDP. Subdivide these files into approved and disapproved applications.		
PDP 4 Allocation Register Price Support	FSA-125.		

NOTE: Program Closed: Transfer all records to the Federal Records Center (FRC) ASAP. Last payment FY 2002.

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Producer Eligibility Files			Exhibit 53.6
This exhibit covers materials pertaining to the requirements that all producers must comply with HELC/WC and payment limitation/payment eligibility provisions. Color Code is determined by individual offices. Block 6 (a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
PE Producer Eligibility Conservation Reserve Program	Correspondence about producer eligibility too broad to be filed under 1 of the more specific file types in this exhibit.	Destroy these files 5 years after the end of the program year in which they were created.	N1-145-88-1 Item 1a
PE 1 Reports Conservation Reserve Program	Reports that cannot be filed under 1 of the more specific subjects in Exhibits 44 and 54.		
PE 2 Producer Eligibility Folders Farm Records (7 yrs) CRP Exception : Conservation Reserve Program	Individual producer folders containing all correspondence and forms about producer eligibility. This includes AD-1026, AD-1026A, AD-1026U/CCC-502U, AD-1068, AD-1069, CCC-501A, CCC-501B, CCC-501C, CCC-502A, CCC-502B, CCC-502C, CCC-502 Continuation, CCC-502D, CCC-502EZ, CCC-732, and other forms and related documents.	Destroy these files 7 years after related program documents are no longer needed. CRP Exception: AD-1026U/ CCC-502U	<u>Farm Records Allotment/History</u> NC1-145-79-2 Item 6b CRP Exception: Submit these files under Disposal Authority N1-145-88-1 Item 1b to the FRC. Note on the SF-135: Files admin closed 12/30/2006 – Destroy these files 01/2012, but not without written consent from the originator of these files. These files may have historical value and may be considered PERMANENT

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Production Flexibility Program Files			Exhibit 53.7
This exhibit covers the program to transition producers who have been earning deficiency payments from government-driven planting decisions to market-driven planting decisions. Color Code is goldenrod. Block 6(a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
PF Production Flexibility Deficiency Payment Program	General material about production flexibility too broad to be filed under 1 of the more specific file types in this exhibit.	Destroy these files 5 years after end of program.	NC1-145-79-2 Item 9a
PF 1 Reports Deficiency Payment Program	The following reports and other reports covering all subjects under this exhibit that cannot be filed under 1 of the more specific file types in this exhibit.		
	Contract Enrollment Data Report (PF-2R)		
	Weekly Status Report (MGBPR01)		
	Production Flexibility Contract Diagnostic Report		
	Review of Request for Authorization Codes for PFC Payments (PF-1R)		
Farm Records	Listing and Enrollment Reminder	Destroy these files when 7 years old.	NC1-145-79-2 Item 6b
PF 2 Authorization Codes (State Offices) Deficiency Payment Program	Copies of CCC-479's and supporting documentation.	Destroy these files 5 years after end of program.	NC1-145-79-2 Item 9a
PF 3 Register Deficiency Payment Program	Nonpayment, pending payments, and overpayment registers.		

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Production Flexibility Program Files

Exhibit 53.7

This exhibit covers the program to transition producers who have been earning deficiency payments from government-driven planting decisions to market-driven planting decisions. Color Code is goldenrod. **Block 6 (a) of SF-135 is RG 145**

File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
PF 4 Contract Folders Deficiency Payment Program	Individual folders containing CCC-478's, CCC-478B's, CCC-479's, CCC-505's, CCC-507A's, FSA-476's, leases, other forms and related correspondence about the producer's participation in AMTA. Note: County Offices shall follow State Office instructions in determining the types of folders to use and in maintaining these files.	Destroy these files 5 years after end of program.	NC1-145-79-2 Item 9a

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Payment Limitation Files			Exhibit 54
This exhibit covers correspondence and related material about the maximum amount of payments a producer may receive in a program year. Color Code is goldenrod. Block 6 (a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
PL Payment Limitation Farm Records	Correspondence about payment limitation provisions too broad to be filed under 1 of the more specific file types in this exhibit.	Destroy these files when 5 years old.	NC1-145-79-2 Item 6a
PL 1 Reports Farm Records	Reports too broad to be filed under 1 of the more specific file types in this exhibit. Subdivide these files as necessary. File voluminous printouts in binders on open shelves.		
PL 2 Program Applicability and Provisions Farm Records	Material about program applicability and provisions.		
PL 3 Register Farm Records	CCC-503B's. Register of all payment limitation cases acted upon.		
PL 4 Producer Folders Farm Records Allotment/History 1026U/502U CRP Exception: Conservation Reserve Program	Individual producer folders containing all correspondence for each producer about payment limitation. This includes CCC-501A, CCC-501B, CCC-501C, AD-1026U / CCC-502U, CCC-502A, CCC-502-EZ, CCC-502B, CCC-502C, CCC-502 Continuation, CCC-502D, other forms and related documents. Includes the following obsolete forms: FSA-561's, FSA-561-A's, SA-561-B's, and FSA-562's.	Destroy these files 7 years after related program documents are no longer needed. CRP Exception: AD-1026U/ CCC-502U	NC1-145-79-2 Item 6b CRP Exception: Submit these files under Disposal Authority N1-145-88-1 Item 1b. Note on the SF-135: Files admin closed 12/30/2006 – Destroy these files 01/2012, but not without written consent from the originator. These files may have historical value and may be considered PERMANENT

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Personal Property Management Files			Exhibit 55
This exhibit covers correspondence and related material about control, identification, and inventory lost, or damaged, and transfers of personal property. Color Code is white. Block 6 (a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
PLP Personal Property Excess Personal Property Reports	General material about personal property too broad to be filed under 1 of the more specific file types in this exhibit.	Destroy these files when 3 years old.	GRS 4 Item 2
PLP 1 Reports Excess Personal Property Reports	Reports too broad to be filed under 1 of the more specific file types in this exhibit.		
PLP 2 Policy and Procedure Excess Personal Property Reports	Policy and guidelines about personal property management.		
PLP 3 Accountability and Controlled Files. Excess Personal Property Reports	Materials relating to accountability for and control of personal property. Includes FSA-951's, AD-112's, etc. Subdivide as needed.	Destroy these files 3 years after equipment is removed from State or County Office control.	GRS 4 Item 2
PLP 3-1 Inventory Property Disposal Correspondence Files	Correspondence and reports from KCMO or MSD pertaining to inventories. Includes FSA-950's, certification inventory printouts, etc. Subdivide as needed.	Destroy old files when replaced by new certified inventories, retaining no more than 2 prior years.	GRS 4 Item 1
PLP 3-2 Excess/Surplus Property Excess Personal Property Reports	Materials and correspondence on the reporting, transfer, sale, or other Disposition of excess/surplus property. Includes FSA-951's, AD-112's, SF-120's, SF-121's, and SF-122's. Subdivide as needed.	Destroy these files 3 years after equipment is removed from State or County Office control.	GRS 4 Item 2

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Personal Property Management Files			Exhibit 55
This exhibit covers correspondence and related material about control, identification, and inventory lost or damaged, and transfers of personal property. Color Code is white. Block 6 (a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
PLP 4 Maintenance/Repairs Surplus Property Case Files	Correspondence and copies of contracts/orders for the repair, refinishing, or maintenance, of personal property. Includes AD-838's, FSA-60's, AD-744's. Subdivide as needed.	Destroy contracts for transactions for more than \$25,000, 6 years and 3 months after final payment.	GRS 4 Item 3a
		Destroy contracts for \$25,000 and less, 3 years after final payment.	GRS 4 Item 3b
PLP 5 Equipment/Furniture Purchase Requests Excess Personal Property Reports	Correspondence on requests for purchasing equipment/furniture. Includes AD-700's, FSA-199's, and FSA-528's. Subdivide as needed.	Destroy these files when 3 years old.	GRS 4 Item 2
PLP 6 Equipment/Furniture Purchases Excess Personal Property Reports	Correspondence on actual purchases of equipment/furniture. Includes AD-838's, FSA-60's, and AD-744's. Subdivide as needed.	Destroy these files 3 years after equipment / furniture is removed from State or County Office control.	GRS 4 Item 2

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Personnel Management Files			Exhibit 56
This exhibit covers all phases of personnel administration, including position classification and standards, recruitment, appointment, placement, and separation of employees, employee-management relations and necessary personnel services, evaluation, promotion and incentive programs, training, and conditions of employment. Color Code is white. Block 6 (a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
PM Personnel Management Personnel Correspondence Files	General material about personnel management too broad to be filed under 1 of the more specific file types in this exhibit.	Destroy these files when 3 years old.	GRS 1 Item 3
PM 1 Reports and Statistics Personnel Correspondence Files	Reports covering all subjects under this subject too broad to be filed under 1 of the more specific file types in this exhibit. Subdivide these files as necessary. Keep voluminous computer printouts in binders on open shelves.		
PM 2 Official Personnel Folders	Individual personnel folders maintained for each committee member and employee. See 3-PM and 22-PM. Refer to OPMs The Guide to Personnel Recordkeeping at: www.opm.gov/feddata/rcguide2006.pdf for a complete listing of documents that should be in an OPF.	Transfer inactive and closed employee or committee member OPF's to NPRC within 90 days after the employee/committee member separates from the Federal service. NPRC will destroy 65 years after separation from Federal service. Agencies may need to retain the folders for more than 90 days under the following circumstances: If retirement or death claim is being processed, keep the folder 120 days after	GRS 1 Item 1b

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Personnel Management Files			Exhibit 56
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File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
PM 2 (continued) Official Personnel Folders	(continued)	<p>(continued) separation or until notified that the claim has been processed.</p> <p>If the agency expects to reemploy the person shortly after the separation, then keep the folder as long as the agency reasonable expects to reemploy the person.</p> <p>If the employee separated under conditions that provide reemployment or restoration rights (for example, separation to enter military service or separation due to compensable injury), then keep the folder until the employee returns or reemployment/restoration rights expire.</p> <p>If the employee is placed on a reemployment priority list, then keep the folder until employee's name is removed from the list.</p>	<p>GRS 1 Item 1b</p> <p>Refer to OPMs The Guide to Personnel Recordkeeping at: www.opm.gov/feddata/recguide2006.pdf for all guidance to include how to handle transferred employee OPFs.</p>

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Personnel Management Files			Exhibit 56
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File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
PM 2-1 Record of Transfers Records Management Files	Copies of letters transferring inactive OPF's to NPRC.	Destroy these files when 6 years old.	GRS 16 Item 7
PM 2-2 Employee Security HSPD-12 Personnel Security Clearance	Security clearance case files created under OPM procedures and regulations and maintained by the personnel security office of the Agency. Contains questionnaires, summaries of reports and other records such as the SF-87 Finger Print Chart and Notice of Results of Investigation from OPF and Results of Fingerprint Check from the FBI. Note: Original SF-85 submitted to OPM. SF-85P and SF-86 are completed electronically using eQIP system with files electronically maintained by OPM.	Destroy upon notification of death or no later than 5 years after separation or transfer of employee.	GRS 18 Item 22a

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Personnel Management Files			Exhibit 56
This exhibit covers all phases of personnel administration, including position classification and standards, recruitment, appointment, placement, and separation of employees, employee-management relations and necessary personnel services, evaluation, promotion and incentive programs, training, and conditions of employment. Color Code is white. Block 6 (a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
PM 2-3 Contractor Security HSPD-12 Personnel Security Clearance	Copy of SF-85. Maintain in custody file. Subdivide by name. Contains questionnaires, summaries of reports and other records such as the SF-87 Finger Print Chart and Notice of Results of Investigation from OPF and Results of Fingerprint Check from the FBI. Note: Original SF-85 submitted to OPM. SF-85P and SF-86 are completed electronically using eQIP system with files electronically maintained by OPM.	Destroy upon notification of death or no later than 5 years after contract or affiliate relationship expires.	GRS 18 Item 22a
PM 3 Unofficial Personnel Folders Supervisors' Personnel Files	Duplicate individual personnel folders kept for convenience or reference, or because OPF is maintained elsewhere, for example, folders for CED and CED trainees.	Destroy these files 1 year after separation or transfer.	GRS 1 Item 18a

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Personnel Management Files			Exhibit 56
This exhibit covers all phases of personnel administration, including position classification and standards, recruitment, appointment, placement, and separation of employees, employee-management relations and necessary personnel services, evaluation, promotion and incentive programs, training, and conditions of employment. Color Code is white. Block 6 (a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
PM 4 Individual Retirement Record Cards	SF-2806's and SF-3100's. Maintain in custody file (PM 2-2 or 2-3).	Transfer documents to applicable Individual Retirement Claim folder at the appropriate time.	
PM 4-1 Retirement Assistance Folders	Individual folders containing correspondence, annuity estimates, and other documents used to assist employees.	Destroy these files when 1 year old.	GRS 1 Item 39
PM 4-2 Retirement Claims	Individual retirement folders containing applicable retirement forms.	Transfer entire completed retirement package to KCMO. KCMO will transfer these files to OPM.	
	Copies of entire completed retirement package.	These file are considered non-record. Destroy these files when 2 years old.	
PM 5 Position Classification	Correspondence about the classification and reclassification of jobs.	Destroy these files 5 years after position is abolished or the description is superseded.	GRS 1 Item 7(a)
PM 5-1 Federal Position Classification	Correspondence about classification and reclassification of Federal positions.		
PM 5-2 County Position Classification	Correspondence about classification and reclassification of County positions.		
PM 5-3 County Office Position Descriptions	Chronological file of position descriptions.	Destroy these files 2 years after positions are vacated.	GRS 1 Item 7(b)

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Personnel Management Files			Exhibit 56
This exhibit covers all phases of personnel administration, including position classification and standards, recruitment, appointment, placement, and separation of employees, employee-management relations and necessary personnel services, evaluation, promotion and incentive programs, training, and conditions of employment. Color Code is white. Block 6 (a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
PM 6 Employment Applications Examination Announcements	SF-171's, FSA-675's, including recommendations by others, and related correspondence. File CED trainee applications according to PM 17-1 in this exhibit. SF-171's. FSA-675's.	Destroy these files when 2 years old.	GRS 1 Item 33f
PM 6-1 Vacancy Announcements Examination Announcements	Vacancy announcements and related correspondence.	Destroy these files when 2 years old.	GRS 1 Item 33f
PM 7 Length of Service Awards	Annual list of eligible candidates, computations of service, and related correspondence.	Destroy these files when 1 year old.	GRS 1, Item 12b
PM 8 Incentive and Suggestion Awards	Correspondence about the incentive and suggestion awards program, including procedures and individual employee suggestions.	Destroy these files when 3 years old.	GRS 1, Item 13

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Personnel Management Files			Exhibit 56
This exhibit covers all phases of personnel administration, including position classification and standards, recruitment, appointment, placement, and separation of employees, employee-management relations and necessary personnel services, evaluation, promotion and incentive programs, training, and conditions of employment. Color Code is white. Block 6 (a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
PM 9 Safety State/County Admin Correspondence Files	Correspondence about employee safety and office safety programs. This includes Williams-Steiger Occupational Safety and Health Act materials. See 22-PM.	Destroy these files when 3 years old.	NC1-145-81-4 Item 1
PM 9-1 Minutes State/County Admin Correspondence Files	Minutes of State Office and County Office safety committees and related correspondence		
PM 9-2 Injury Reports Occupational Injury	Reports of injury to individual employees and related correspondence.	Destroy these files when 5 years old except for injury report in OPF and copies submitted to the Department of Labor.	GRS 1 Item 34
PM 9-3 Motor Vehicle Accident Files	Correspondence about motor vehicle accidents.	Destroy these files 6 years after case is closed	GRS 10 Item 5
PM 10 Fringe Benefits Information	Pamphlets, brochures, leaflets, and other publications about health benefits, retirement, life insurance, and other fringe benefits for employees. Subdivide these files by type of benefit, if volume makes it necessary.	These file are considered non-record. Destroy these files when superseded or obsolete.	
PM 10-1 Federal Employee Health Benefits Personnel Correspondence	General correspondence about FEHB including temporary continuation (TCC) of FEHB.	Destroy these files when 3 years old.	GRS 1 Item 3

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Personnel Management Files			Exhibit 56
This exhibit covers all phases of personnel administration, including position classification and standards, recruitment, appointment, placement, and separation of employees, employee-management relations and necessary personnel services, evaluation, promotion and incentive programs, training, and conditions of employment. Color Code is white. Block 6 (a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
PM 10-2 TCC Enrollments Personnel Correspondence	SF-2809's.	Destroy these files when 3 years old.	GRS 1 Item 3
PM 10-3 NFC Receipt and Processing Report Payroll Systems Reports	Reports.	Destroy these files when 2 year old.	GRS2 Item 22
PM 10-4 Spouse Equity Enrollments Personnel Correspondence	Copy of SF-2809 and related correspondence.	Destroy these files when 3 years old.	GRS 1 Item 3
PM 10-5 Former Spouse's Health Benefits Personnel Correspondence	Copy of SF-2809, FSA- 665, and other related correspondence. Subdivide these files into approved and disapproved applications.		
PM 11 Unemployment Compensation State/County Office Admin Correspondence	Correspondence about unemployment compensation for separated employees.	Destroy these files when 3 years old or when no longer needed which ever is sooner.	NC1-145-81-4 Item 1

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Personnel Management Files			Exhibit 56
This exhibit covers all phases of personnel administration, including position classification and standards, recruitment, appointment, placement, and separation of employees, employee-management relations and necessary personnel services, evaluation, promotion and incentive programs, training, and conditions of employment. Color Code is white. Block 6 (a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
PM 12 Employee Identification Cards Personnel Security Clearance	Correspondence about the issuance and control of employee identification cards including AD-733's.	Destroy these files when 5 years old or obsolete.	GRS 18 Item 22a
PM 13 Drivers' Identification	Correspondence about the issuance and control of drivers' licenses.		
PM 14 Labor-Management Relations	Memorandums, reports, and other correspondence about the relationship between management and employee unions or other groups, such as NASCOE.	Destroy these files when 5 years old.	GRS 1 Item 28a(1)
PM 15 Notifications of Personnel Action	Chronological file copies of FSA-282's or equivalent and related fact sheets documenting initial employment, promotions, transfers, separations, and all other individual personnel actions. Do not use this subject for official record copies of FSA- 282's and other notifications that should be filed in individual employees' OPF's. State Office may subdivide these files by County Office, if volume makes it necessary.	Destroy these files when 2 years old.	GRS 1 Item 14a

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Personnel Management Files			Exhibit 56
This exhibit covers all phases of personnel administration, including position classification and standards, recruitment, appointment, placement, and separation of employees, employee-management relations and necessary personnel services, evaluation, promotion and incentive programs, training, and conditions of employment. Color Code is white. Block 6 (a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
PM 16 Training Training Records	File correspondence about the training and professional development of personnel. File correspondence about the CED trainee program according to PM 17 in this exhibit.	Destroy these files when 5 years old or when superseded or obsolete, whichever is earlier.	GRS 1 Item 29a(1)
PM 16-1 Individual Training Plans Training Records	File correspondence about individual career goals and training plans, including FSA-600's and FSA-606's.		
PM 17 CED Trainee Program Training Records	File correspondence about the training program for CED's.		
PM 17-1 CED Trainee Applications Examining and Certification	File FSA-675's and related correspondence.	Destroy these files 2 years after the date on which the register or inventory is terminated	GRS 1 Item 33g
PM 17-2 COT Register of Eligible's Examining and Certification	Files registers of employees eligible for the COT Program.		
PM 17-3 Individual CED Trainee Folder Employee Training	File training schedules, progress reports from training County Offices, training plans, and related correspondence.	Destroy these files when 5 years old or when superseded or obsolete, whichever is earlier.	GRS 1 Item 29b

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Personnel Management Files			Exhibit 56
This exhibit covers all phases of personnel administration, including position classification and standards, recruitment, appointment, placement, and separation of employees, employee-management relations and necessary personnel services, evaluation, promotion and incentive programs, training, and conditions of employment. Color Code is white. Block 6 (a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
PM 18 Promotion and Internal Placement Merit Promotion Case Files	File correspondence about promotion and internal placement, including merit promotion plan.	Destroy these files when 2 years old.	GRS 1 Item 32
PM 19 Financial Disclosure Report Labor Relations	File FSA-324's.	Destroy these files when 5 years old.	GRS 1 Item 28a
PM 19-1 Conflict of Interest Admin Grievance Files	Correspondence and related material about employment and other issues about conflict of interest.	Destroy these files when 6 years old.	GRS 1 Item 30a

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Procurement Management Files			Exhibit 57
This exhibit covers general correspondence and related materials about procuring equipment, supplies, and services. Color Code is white. Block 6 (a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
PROC Procurement Management General Correspondence Files	Correspondence and related material about procurement management too broad to be filed under 1 of the more specific file types in this exhibit.	Destroy these files when 2 years old.	GRS 3 Item 2
PROC 1 Reports General Correspondence Files	Reports too broad to be filed under 1 of the more specific file types in this exhibit.		
PROC 2 Policy	Policy and guidelines about procurement management includes FSA, GSA, and Departmental policy.	County Originator: File with official directive records in ACP 1-2.	
		State or National Originator: File with official directive records in ADM 4-3.	
PROC 3 Purchasing	Material and informational material covering procedures for preparation and use of authorizing documents and purchase orders.	County Originator: File with official purchasing procedure records listed in ACP 1-2.	
		State or National Originator: File with official directive records in ADM 4-3.	
PROC 3-1 Local Purchases Routine Procurement Files	Material such as requests for authority for over-the-counter transactions.	Destroy imprest fund orders 3 years after payment.	GRS 3 Item 3a(1)b

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Procurement Management Files			Exhibit 57
This exhibit covers general correspondence and related materials about procuring equipment, supplies, and services. Color Code is white. Block 6 (a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
PROC 3-2 GSA Purchases Routine Procurement Files	Material about obtaining supplies and services from GSA.	Destroy delivery orders for transactions for more than \$25,000 6 years 3 mo after final payment.	GRS 3 Item 3a(1)a
		Destroy delivery orders for \$25,000 or less 3 years after final payment.	GRS 3 Item 3a(1)b
PROC 4 Contracts/ Purchase Orders Routine Procurement Files	Includes AD-700's, AD-744's, AD-838's, AD-838A's, FSA-60's, other forms, and supporting documentation showing total amount of transaction on file folder.	Destroy purchase orders for transactions for more than \$25,000, 6 years and 3 months after final payment.	GRS 3 Item 3a(1)a
		Destroy purchase orders for \$25,000 and less, 3 years after final payment.	GRS 3 Item 3a(1)b
PROC 4-1 Registers/Logs Routine Procurement Files	File FSA-488, FSA-241, FSA-258, and FSA-255.	Destroy 6 years after final entry.	GRS 3 Item 3a(1)a
PROC 5 Customer Supply Service Routine Procurement Files	Material about ordering supplies. Includes GSA-3525, GSA-3542, GSA-3580, FSA-140, and other supporting documentation.	Destroy 3 years after final payment.	GRS 3 Item 3a(1)b
PROC 6 Sources of Supply	Catalogs, price lists, etc.	Destroy these files when superseded or obsolete.	
PROC 6-1 Bidder's Mailing List	Mailing list and SF-129's.	Destroy SF-129's when superseded or obsolete.	

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Pasture Recovery Program			Exhibit 57.5
This exhibit covers the program that provides a payment to assist livestock producers in reseeding established pasture damaged or destroyed by drought. Color Code is blue. Block 6 (a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
PRP Pasture Recovery Program Disaster Assistance Program	General material about PRP too broad to be filed under 1 of the more specific subjects in this exhibit	Cut off all closed files at the end of the year. Retain for 2 years in- house then transfer to Federal Records Center (FRC).	N1-145-05-2 Item 3
PRP 1 Reports Disaster Assistance Program	Reports. Includes ACP- 301.		
PRP 2 Contract Folders Disaster Assistance Program	Individual folders containing documentation of the producer's participation in PRP. Includes AD-245 (PRP).	Destroy these files when 10 years old.	
PRP 3 Spot Checks Disaster Assistance Program	Spot check, selections and responses.		
PRP 4 Program Control Disaster Assistance Program	Correspondence about control of program activity and funds.		
PRP 4-1 County Allocation Control Ledger Disaster Assistance Program	The sequential ledger report used to control program funds.		

NOTE: Program Closed: Transfer all files to the FRC.

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Rural Clean Water Program Files			Exhibit 58
This exhibit covers cost-share assistance to owners and operators of agricultural lands designated as critical areas or sources of non-point pollution in an approved project area to improve water quality. Color Code is yellow. Block 6 (a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
RCWP Rural Clean Water Program Rural Environmental Program Rural Clean Water	General material about RCWP too broad to be filed under 1 of the more specific file types in this exhibit.	Destroy these files 5 years after the end of the program year in which they were created.	NC1-145-84-1 Item 11a (long-term) NC1-145-84-1 Item 11b (annual)
RCWP 1 Program Development Rural Environmental Program- Rural Clean Water	Correspondence about the development of the program, including objectives, funding allocations, cost-share limitations, BMP's, and data used in preparing the project plan of work.		
RCWP 1-1 Local Coordinating Committee Rural Environmental Program- Rural Clean Water	Minutes of meetings and other correspondence about the activities of LCC in developing the program and selecting project areas.		
RCWP 1-2 Program Recommendations Rural Environmental Program- Rural Clean Water	Correspondence about the development of the project application, including the applications, cost-share rates, BMP's, related data, RCWP-3's, RCWP-4's, and RCWP-5's.		
RCWP 1-3 Project Plan of Work Rural Environmental Program Rural Clean Water	The project plan of work prepared after approval of the project application and related correspondence.	Destroy these files 5 years after the lifespan expiration date of the last BMP installed in the project.	
RCWP 1-4 Annual Program Review Rural Environmental Program Rural Clean Water	10-year reports and end of program year review and update of LCC's project plan of work with COC.		

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Rural Clean Water Program Files			Exhibit 58
This exhibit covers cost-share assistance to owners and operators of agricultural lands designated as critical areas or sources of non-point pollution in an approved project area to improve water quality. Color Code is yellow. Block 6 (a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
RCWP 2 Interagency Cooperation Rural Environmental Program- Rural Clean Water	Correspondence about cooperation between the County Office and the Federal and State agencies, such as SCS, FS, State forestry department, and State and ES, especially about technical assistance for BMP's.	Destroy these files 5 years after the end of the marketing year in which they were created.	NC1-145-84-1 Item 11a (long-term) NC1-145-84-1 Item 11b (annual)
RCWP 3 Reports and Statistics Rural Environmental Program- Rural Clean Water	Reports included under this subject that cannot be filed under 1 of the more specific file types in this exhibit. Subdivide these files as necessary. File voluminous printouts in binders on open shelves.		
RCWP 3-1 Progress Reports Rural Environmental Program- Rural Clean Water	File ACP-305's and related correspondence indicating the status of water quality projects.		
RCWP 3-2 Water Quality Statistical Reports Rural Environmental Program- Rural Clean Water	CCC-184's and CCC-184's used to transmit water quality statistics for RCWP performance data.		
RCWP 4 Program Control Rural Environmental Program- Rural Clean Water	Correspondence about the control of program activities and funds.		

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Rural Clean Water Program Files			Exhibit 58
This exhibit covers cost-share assistance to owners and operators of agricultural lands designated as critical areas or sources of non-point pollution in an approved project area to improve water quality. Color Code is yellow. Block 6 (a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
RCWP 4-1 County Allocation Control Ledger Rural Environmental Program- Rural Clean Water	The sequential ledger entry report, the detailed ledger used to control program funds and related correspondence.	Destroy these files 5 years after the end of the marketing year in which they were created.	NC1-145-84-1 Item 11a (long-term) NC1-145-84-1 Item 11b (annual)
RCWP 4-2 Control of Technical Services Referrals Rural Environmental Program- Rural Clean Water	Automated and nonautomated ACP-301's and other correspondence about the control of referrals to Federal and State agencies.		
RCWP 4-3 SCS Transfer of Funds Rural Environmental Program- Rural Clean Water	Correspondence about the transfer of funds to SCS for technical assistance.		
RCWP 5 Contract Requests Rural Environmental Program- Rural Clean Water	General correspondence about requests for RCWP contracts too broad to be appropriately filed under 1 of the more specific file types in this exhibit.	Destroy these files 5 years after the end of the program year in which they were created.	
RCWP 5-1 Pending COC and CD Consideration Rural Environmental Program- Rural Clean Water	RCWP-1's awaiting joint review and establishment of a priority rating by COC and CD.		
RCWP 5-2 Deferred Requests Rural Environmental Pgrm Rural Clean Water	RCWP-1's deferred because of the relatively low priority assigned to them.		
RCWP 5-3 Register of Requests Rural Environmental Program- Rural Clean Water	ACP-312's for requests for contracts received.		

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Rural Clean Water Program Files			Exhibit 58
This exhibit covers cost-share assistance to owners and operators of agricultural lands designated as critical areas or sources of non-point pollution in an approved project area to improve water quality. Color Code is yellow. Block 6 (a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
RCWP 5-4 Pending Water Quality Plan Rural Environmental Program- Rural Clean Water	RCWP-1's awaiting development of a water quality plan by the applicant, approval by CD, and return to the County Office. File form SCS-LTP-228's, the original copy of RCWP-1's, soil map, soils information, job sheets, and related correspondence.	Destroy these files 5 years after the end of the program year in which they were created.	NC1-145-84-1 Item 11a (long-term) NC1-145-84-1 Item 11b (annual)
RCWP 5-5 Contract Folders Rural Environmental Program- Rural Clean Water	Individual contract folders containing all correspondence about the producer's participation in RCWP, the approval of the payment for practices for which cost-sharing was requested, including ACP-245's, RCWP-2's, SCS-CPA-011's, SCS-LTP-012's, SCS-LTP-013's, SCS-LTP-228's, and all related correspondence and notices This includes folders for disapproved or canceled contracts.	Destroy these files 5 years after the lifespan expiration date of the last BMP installed under the contract.	

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Rural Clean Water Program Files			Exhibit 58
Rural Clean Water Program Files. This exhibit covers cost-share assistance to owners and operators of agricultural lands designated as critical areas or sources of non-point pollution in an approved project area to improve water quality. Color Code is yellow. Block 6 (a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
RCWP 5-6	Reserved		
RCWP 5-7 Appeals Rural Environmental Program- Rural Clean Water	Appeals by individual producers of the administrative criteria used in developing the contract or of the technical assistance or technical requirements of their water quality plan.	Destroy these files 5 years after the end of the program year in which they were created.	NC1-145-84-1 Item 11a (long-term) NC1-145-84-1 Item 11b (annual)
RCWP 6 Pooling Agreement Folders Rural Environmental Program- Rural Clean Water	Individual folders for each pooling agreement containing ACP-153’s, ACP-153A’s, RE-308’s if needed, and all other forms, correspondence, and notices used for RCWP contracts.	Destroy these files 5 years after expiration of the agreement.	
RCWP 7 Environmental Quality Control Rural Environmental Program- Rural Clean Water	Correspondence about the effect of RCWP on the environment and measures taken to maintain and improve environmental quality.	Destroy these files 5 years after the end of the program year in which they were created.	
RCWP 7-1 Environmental Impact Statements Rural Environmental Program- Rural Clean Water	Copies of environmental impact statements for RCWP projects and related correspondence.		
RCWP 7-2 Pollution Abatement Rural Environmental Program- Rural Clean Water	Correspondence about the effect of RCWP on abating pollution.		

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Real Property Management Files			Exhibit 59
This exhibit covers general material on the construction and maintenance of Agency-owned or Agency-leased buildings and facilities. Color Code is white. Block 6 (a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
RLP Real Property Management State and County Admin Correspondence: Space/Property Mgmt	Correspondence and related material about real property too broad to be filed under 1 of the more specific file types in this exhibit.	Destroy these files when 3 years old.	NC1-145-81-4 Item 1
RLP 1 Reports State and County Admin Correspondence: Space/Property Mgmt	Reports too broad to be filed under 1 of the more specific file types in this exhibit.		
RLP 2 Regulations	Regulations and guidelines. Subdivide as needed.	County Originator: File with official directive records in ACP 1-2.	
		State or National Originator: File with official directive records in ADM 4-3.	
RLP 3 Space State and County Admin Correspondence: Space/Property Mgmt	General material about use, service, and operation of space.	Destroy these files when 3 years old.	NC1-145-81-4 Item 1
RLP 3-1 Layouts State and County Admin Correspondence: Space/Property Mgmt	Office layouts and related material.		
RLP 3-2 Moves State and County Admin Correspondence: Space/Property Mgmt	General material about moving out of current space and into new space.		
RLP 3-3 Rent State and County Admin Correspondence: Space/Property Mgmt	Billings, reports and related correspondence about changes assessed for occupying Federal space.		
RLP 3-4 Alterations/Repairs State and County Admin Correspondence: Space/Property Mgmt	Plans and correspondence about alterations/repairs.		

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Rural Clean Water Program Files			Exhibit 59
Real Property Management Files. This exhibit covers general material on the construction and maintenance of Agency-owned or Agency-leased buildings and facilities. Color Code is white. Block 6 (a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
RLP 4 Office Upgrades State and County Admin Correspondence: Space/Property Mgmt	Materials about the office upgrades. Includes correspondence relating to project planning and other phases.	Destroy these files when 3 years old.	NC1-145-81-4 Item 1
RLP 5 Collocations State and County Admin Correspondence: Space/Property Mgmt	General correspondence and materials about collocation of offices, and consolidation of County Offices.		
RLP 6 Decollocations State and County Admin Correspondence: Space/Property Mgmt	Correspondence requesting decollocations along with justifications.		
RLP 7 Safety Issues/Security State and County Admin Correspondence: Space/Property Mgmt	Materials and correspondence concerning safety issues to include asbestos, water sampling, and air tests also, includes safety issues.		
RLP 7-1 Radon State and County Admin Correspondence: Space/Property Mgmt	CCC-84's, CCC-85's, CCC-76, and CCC-79.		
RLP 8 Leasing State and County Admin Correspondence: Space/Property Mgmt	General material about leasing.		
RLP 8-1 Leasing Policy Procedures State and County Admin Correspondence: Space/Property Mgmt	Material specifically about leasing policy and procedure from GSA and USDA.		

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Real Property Management Files			Exhibit 59
This exhibit covers general material on the construction and maintenance of Agency-owned or Agency-leased buildings and facilities. Color Code is white. Block 6 (a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
RLP 8-2 Lease Case Files State and County Office Admin Correspondence	Materials on specific leases to include: <ul style="list-style-type: none"> the requirements of CCC-65 and SF-81 presurvey materials market survey and solicitation for offers, CCC-71, CCC-76, and CCC-79 negotiations and evaluations unsuccessful offers selected lease contract CCC-2, CCC-76, CCC-79 CCC-2A, if any, CCC-77, GSA-2957, FSA-875, and any other pertinent contract documentation.	Destroy these files when 3 years old, except:	NC1-145-81-4 Item 1
Surplus Property Case Files		Destroy lease contracts for more than \$25,000, 6 years after final payment	GRS 4 Item 3a
Surplus Property Case Files		Destroy lease contracts for \$25,000 and less, 3 years after final payment.	GRS 4 Item 3b
RLP 9 Credentials Files	Badges, passes, AD-53, etc.	Destroy credentials 3 months after return to issuing office.	GRS 11 Item 4a

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Risk Management Program Files			Exhibit 59.5
This exhibit covers management principles used to control, avoid, and finance losses in the disaster and related insurance programs. Color Code is blue. Block 6 (a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
RM Risk Management Program Crop Disaster Payment Program	General material about risk management too broad to be filed under 1 of the more specific file types in this exhibit.	Cut off all closed files at the end of the year. Retain for 2 years in-house then transfer to Federal Records Center (FRC).	N1-145-05-2 Item 1 (Producer Folders) N1-145-05-2 Item 2 (Reports)
RM 1 Reports and Statistics Crop Disaster Payment Program	FSA-426's, Actuarial File Report, and other reports covering all subjects included under this subject that cannot be filed under 1 of the more specific file types in this exhibit. Subdivide these files as necessary.	Destroy these files when 10 years old.	
RM 2 Contract Files/Policyholders Crop Disaster Payment Program	Individual contract folders and policyholder files containing FSA-574, * * * CCC-441, FCI-12, FCI-19, FCI-19A, FCI-20, FCI-21, FCI-532, the Unit Description Report, and all other related documents. Subdivide these files into active and inactive and then by CAT or NAP. Organize these files according to the CAT Risk Protection Handbook, Exhibit 39.	Cut off all closed files at the end of the year. Retain for 2 years in-house then transfer to Federal Records Center (FRC). Destroy these files when 10 years old.	N1-145-05-2 Item 1 (Producer Folders) N1-145-05-2 Item 2 (Reports)
RM 3 Loss Adjustment Crop Disaster Payment Program	General material about CAT and NAP too broad to be filed under 1 of the more specific subjects below.		

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Risk Management Program Files			Exhibit 59.5
This exhibit covers management principles used to control, avoid, and finance losses in the disaster and related insurance programs. Color Code is blue.			
Block 6 (a) of SF-135 is RG 145			
Subject 6 (f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
RM 3-1 Adjuster’s Contract Folders Crop Disaster Payment Program	Individual folders containing copy of FSA- 454B, FCIC-448, FCIC- 464, FCIC-510, and other supporting documentation.	Cut off all closed files at the end of the year. Retain for 2 years in- house then transfer to Federal Records Center (FRC).	N1-145-05-2 Item 1 (Producer Folders) N1-145-05-2 Item 2 (Reports) (CDP)
RM 3-1-1 Loss Adjuster Compensation	FCIC-449-83, FCIC-449A, FCI-6, and other related documentation.	Destroy these files when 10 years old.	
RM 3-2 Register of ID Codes	FSA-454, FSA-454A, and FSA-454C. Maintain FSA-454 and FSA-454A in Custody File.		
RM 3-3 Claims Register	FSA-452.		
RM 3-4 Pending Producer Claim Folders	FCI-20, FCI-74, FCI-74-T- PC, FCI-75, FCIC-449-83, aerial photographs, and other related material.	Transfer documents to folder RM 2 after data is loaded and/or adjuster has signed off on preliminary inspections.	
RM 3-4-1 Good Faith Reliance Cases Crop Disaster Payment Program	Case files contain required documentation. Subdivide these files by approved/disapproved.	Transfer documents to folder RM 2 after final action is completed.	

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Risk Management Program Files

Exhibit 59.5

This exhibit covers management principles used to control, avoid, and finance losses in the disaster and related insurance programs. **Block 6 (a) of SF-135 is RG 145**

Subject 6 (f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
RM 3-5 Reports Crop Disaster Payment Program	Adjuster's Analysis Report.	Cut off all closed files at the end of the year. Retain for 2 years in- house then transfer to Federal Records Center (FRC).	N1-145-05-2 Item 1 (Producer Folders) N1-145-05-2 Item 2 (Reports) (CDP)
RM 3-6 Control and Spot Checks	Correspondence about administrative control and spot checks.	Destroy these files when 10 years old.	
RM 3-7 Appeals Crop Disaster Payment Program	Documents related to appeals by policyholders.		

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Risk Management Program Integrity			Files Exhibit 59.5.5
This exhibit covers material about procedure and guidance to FSA State and County Offices, RMA, and insurance providers for improving Federal Crop Insurance Program compliance and integrity as required by the Agricultural Risk Protection Act 2000. Color Code is blue. Block 6 (a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
RMPI Risk Management Program Integrity Crop Disaster Payment Program	General material about RMPI too broad to be filed under 1 of the more specific file types in this exhibit.	Cut off all closed files at the end of the year. Retain for 2 years in- house then transfer to Federal Records Center (FRC).	N1-145-05-2 Item 1 (Producer Folders) N1-145-05-2 Item 2 (Reports) (CDP)
RMPI 1 Reports	Reports. <ul style="list-style-type: none"> • Acreage and Share Report • Production and Prevented Planting Report. 	Destroy these files when 10 years old.	
RMPI 2 Control and Spot Checks	Correspondence about administrative control and spot checks.		
RMPI 2-1 LOG	AD-2007A.		
RMPI 3 Producer Folders Crop Disaster Payment Program	Individual folders containing AD-2007 and other related material.		

NOTE: All disaster-related programs Disposition / Retentions will be for 10 years.

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Small Hog Operation Payment Program Files

Exhibit 59.6

This exhibit covers the program that provides assistance to the United States pork producers who are experiencing an economic disaster that threatens to financially devastate them and their families.

Color Code is blue. **Block 6(a) of SF-135 is RG 161**

File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
SHOP Small Hog Operation Payment Program Price Support	Correspondence about SHOP too broad to be filed under 1 or more specific file types in this exhibit.	Destroy these files 3 years after the date of the payment.	NC1-161-79-1 Item 11a
SHOP 1 Policy Price Support	Background material that documents the important aspects of Agency and Departmental policy concerning the SHOP Program.	This is a Price Support Program.**	
SHOP 2 Reports Price Support	Reports covering all subjects included under this subject that cannot be filed under 1 of the more specific file types in this exhibit. Note: Subdivide these files as necessary.		
SHOP 3 Producer Folders Price Support	Individual producer folders containing forms, reports, and other correspondence about the producer's participation in SHOP and payments made to the producer. This includes FSA-1042. Note: Subdivide these files into approved and disapproved applications.		
SHOP 4 Violation and Appeals Price Support	Correspondence about violations of program requirements and appeals by producers.		

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Stewardship Incentive Program Files

Exhibit 60

This exhibit covers assistance to farmers and ranchers to increase the nation's supply of timber products under SIP which is a FS Program and for which FSA provides administrative assistance. Color Code is yellow. **Block 6 (a) of SF-135 is RG 145**

File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
SIP Stewardship Incentive Program Forestry Incentives Program	General material about SIP too broad to be filed under 1 of the more specific file types in this exhibit.	Destroy these files when 5 years old.	NC1-145-84-1 Item 11a (long-term) NC1-145-84-1 Item 11b (annual)
SIP 1 Program Development Forestry Incentives Program	Correspondence about the development of the program, including objectives, funding allocations, cost-share limitations, approved practices, and data used in preparing the County SIP handbook, including the computer-generated county eligibility status list.		
SIP 1-1 State and National Plans Forestry Incentives Program	Correspondence about the development of State and national program recommendations as described in plans, guidelines, the State handbook, and other policy documents. This includes all materials from State or service forester.		

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Stewardship Incentive Program Files			Exhibit 60
This exhibit covers assistance to farmers and ranchers to increase the nation's supply of timber products under SIP which is a FS Program and for which FSA provides administrative assistance. Color Code is yellow. Block 6 (a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
SIP 1-2 Handbook	Copy of the County handbook and essential correspondence about its preparation, clearance, and final approval.	County Originator: File with official purchasing procedure records listed in ACP 1-2.	
	Keep the master copy and other reference copies of the County handbook in binders on open shelves. State Offices shall designate 1 final published copy, including amendments, of each State and County handbook for permanent retention.	State or National Originator: File with official directive records in ADM 4-3.	
SIP 1-3 Practice Specifications Forestry Incentives Program	Correspondence about technical specifications for practices and materials authorized for use in SIP by the State Forester.	Destroy these files when 5 years old.	NC1-145-84-1 Item 11a (long-term) NC1-145-84-1 Item 11b (annual)
SIP 2 Interagency Cooperation Forestry Incentives Program	Correspondence about cooperation between the County Office and other Federal and State agencies, such as the State Forestry Department and FS.		

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Stewardship Incentive Program Files

Exhibit 60

This exhibit covers assistance to farmers and ranchers to increase the nation's supply of timber products under SIP which is a FS Program and for which FSA provides administrative assistance.

Color Code is yellow. **Block 6 (a) of SF-135 is RG 145**

Subject 6 (f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
SIP 3 Reports and Statistics Forestry Incentives Program	Reports covering all subjects included under this subject that cannot be filed under 1 of the more specific file types in this exhibit. Subdivide these files as necessary. File voluminous computer printouts in binders on open shelves.	Destroy these files when 5 years old.	NC1-145-84-1 Item 11a (long-term) NC1-145-84-1 Item 11b (annual)
SIP 4 Program Control Forestry Incentives Program	Correspondence about the control of program activities and funds.		
SIP 4-1 County Allocation Control Ledger Forestry Incentives Program	The sequential ledger entry report, the detailed ledger used to control program funds, and related correspondence.		
SIP 4-2 Application Status Forestry Incentives Program	ACP-301's automated and nonautomated, and other correspondence about the status of application.		
SIP 5 Cost-Share Requests Forestry Incentives Program	General correspondence about requests for cost-sharing too broad to be appropriately filed under 1 of the more specific file types in this exhibit.		
SIP 5-1 Pending Requests Forestry Incentives Program	Requests pending approval or disapproval by the local approving official. This includes copies of SIP-245's and AD-862's forwarded to FS.		

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Stewardship Incentive Program Files			Exhibit 60
This exhibit covers assistance to farmers and ranchers to increase the nation's supply of timber products under SIP which is a FS Program and for which FSA provides administrative assistance. Color Code is yellow. Block 6 (a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
SIP 5-2 Pending Additional Information Forestry Incentives Program	Requests pending receipt of additional information or documentation not specified elsewhere in this exhibit.	Destroy these files when 5 years old.	NC1-145-84-1 Item 11a (long-term) NC1-145-84-1 Item 11b (annual)
SIP 5-3 Pending Reports of Performance Forestry Incentives Program	Requests pending report from local approving official on SIP-245, page 2, and certification on AD-862 that practices approved by local approving official have been completed and payment are due.		
SIP 5-4 Pending Payment Forestry Incentives Program	Requests pending transmission disbursement authorization to KCMO and entry on the automated ledger report		
SIP 5-5 Payment Forestry Incentives Program	Correspondence about payment for performance of approved practices.		
SIP 5-6 Participant Folders Forestry Incentives Program: Annual Agreements	Individual farm folders containing all correspondence about the participation of the farm in SIP. Include SIP-100's, SIP-502's, SIP-211's, SIP- 211-1's, or SIP-36's that were used.	Loan Term Agreements (LTA) destroy 5 years after expiration of agreement or contract Annual Agreements (ANA) Destroy these files 5 years after the practice is completed for practices with a 5 year or less lifespan and 10 years after practice is completed with 10 years lifespan.	NC1-145-84-1 Item 11a NC1-145-84-1 Item 11b

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Sugar Storage Facility Loan Program			Exhibit 60.1
This exhibit covers the program that provides low cost financing for processors to build or upgrade storage and handling facilities for raw and refined sugar. Color Code is red. Block 6 (a) of SF-135 is RG 161			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
SSFL Sugar Storage Facility Loan Program Loan and Subsidy Case Files	General material about SSFL Program too broad to be filed under 1 of the more specific file types in this exhibit.	Destroy these files 6 years after the loan is paid-in-full or otherwise liquidated.	NC1-161-79-1 Item 6a
SSFL 1 Reports Loan and Subsidy Case Files	Reports as required by State or National Offices.		
SSFL 2 Publicity Loan and Subsidy Case Files	Copies of material publicizing the program.		
SSFL 3 Intergovernmental Cooperation Loan and Subsidy Case Files	Copies of local land use laws such as flood plain construction permit requirements.		
SSFL 4 Loan Folders Loan and Subsidy Case Files	Individual folders containing CCC-186-SU, CCC-185-SU, CCC-190, CCC-296, CCC-297, CCC- 295A, CCC-295B, FSA-440-13, UCC forms, security instruments, and other supporting documentation including credit reports, financial analysis, environmental evaluations and assessments. Note: Keep original CCC-186-SU and other security documents in the custody file.	Destroy these files 6 years after the date the loan is paid in full otherwise liquidated.	NC1-161-79-1 Item 6a

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Special Programs Files			Exhibit 60.3
This exhibit covers forms, reports, and related documents about special programs to assist and compensate eligible producers. Color Code is blue. Block 6 (a) of SF-135 is RG 161			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
SP Special Programs Supply and Foreign Purchase	General material about SP too broad to be filed under 1 of the more specific file types in this exhibit.	Destroy these file 6 years after final payment.	NC1-161-79-1 Item 12a
SP 1 Trade Adjustment Assistance Program Supply and Foreign Purchase	General material about TAA, the program that provides technical assistance and compensation to eligible producers if it is determined by the Secretary that increases in import of specific commodities, produced in the U.S., contributed to the decline in the price for such goods. <u>Authority:</u> The Trade Act of 2002. <u>Regulations:</u> TAA regulations are published at 7 CFR Part 1558. Note: FAS is responsible for administering TAA.		
SP 1-1 Certified Petitioners	List of certified petitioners.		
SP 1-2 Reports Supply and Foreign Purchase	Reports.		

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Special Programs Files			Exhibit 60.3
This exhibit covers forms, reports, and related documents about special programs to assist and compensate eligible producers. Color Code is blue. Block 6 (a) of SF-135 is RG 161			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
SP 1-3 Pending Applications	Pending applications.	Maintain files until moved to SP 1-4 or SP 1-5.	
SP 1-4 Disapproved Applications Supply and Foreign Purchase	Disapproved applications.	Destroy these files when 6 years old.	NC1-161-79-1 Item 12a
SP 1-5 Producer Folders	Individual folders containing FSA-229's and supporting documentation.	Destroy these 6 years after final payment.	
SP 1-6 Interagency Cooperation Supply and Foreign Purchase	Correspondence about cooperation between the County Office and other Federal and State agencies.	Destroy these files when 6 years old.	

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Sugar Payment-in-Kind Program			Exhibit 60.4
This exhibit covers the program that offers sugar beet farmers the choice of reducing 2000 crop year production in exchange for CCC inventory sugar. Color Code is yellow. Block 6 (a) of SF-135 is RG 161			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
SU (PIK) Sugar Payment-in-Kind Program Sugar Program	General material about SU (PIK) too broad to be filed under 1 of the more specific file types in this exhibit.	Destroy these files 6 years after transfer of title to sugar.	NC1-161-79-1 Item 8
SU (PIK) 1 Sugar Beet Processors Sugar Program	Materials about sugar beet processors and their responsibilities.		
SU (PIK) 2 Producer Folders Sugar Program	Individual producer folders containing CCC-744 and other documentation about the producer's participation in the SU program.		
SU (PIK) 3 Spot Checks Sugar Program	Spot check selections responses and reports.		

NOTE: Program Closed: Transfer records to the Federal Records Center (FRC).

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Tobacco Loss Assistance Program

Exhibit 60.5

This exhibit covers the program that provides direct payments to tobacco growers and quota holders because of the reduction in quota from the 1999 crop year to the 2000 crop year. Color Code is blue.

Block 6 (a) of SF-135 is RG 145

File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
TLAP Tobacco Loss Assistance Program Farm Records	General material about TLAP too broad to be filed under 1 of the more specific file types in this exhibit.	Destroy these files 5 years after date of payment.	NC1-145-79-2 Item 6a
TLAP 1 List/Reports Accounting Admin Files	Lists of person notified of TLAP by postal card and reports.		
TLAP 2 Producer Folders Farm Records	Individual producer folders containing forms, reports, and other correspondence about the producer's participation in TLAP and all payments to the producer. This includes CCC-950's and CCC-950- A's.		

NOTE: Program Closed: Transfer all records to the Federal Records Center (FRC).

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Tobacco Payment Program			Exhibit 60.6
This exhibit covers the program that provides direct payments to tobacco growers and acreage allotment/marketing quota holders. Color Code is goldenrod. Block 6 (a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
TOPP Tobacco Payment Program Marketing Quota and Acreage Allotment Programs	General material about TOPP too broad to be filed under 1 of the more specific file types in this exhibit.	Destroy these files 3 years after date of payment.	NC1-145-79-2 Item 7a
TOPP 1 Reports Marketing Quota and Acreage Allotment Programs	Reports.		
TOPP 2 Producer Folders Marketing Quota and Acreage Allotment Programs	Individual producer folders containing forms and correspondence about the producer's participation in TOPP and all payments to the producer. This includes CCC-952's and CCC-952- A's.		
TOPP 3 Registers Marketing Quota and Acreage Allotment Programs	Overpayment and underpayment registers.		

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Tree Assistance Program Files			Exhibit 61
This subject provides assistance to eligible orchardists to replace eligible trees, bushes, and vines damaged by natural disaster. Color Code is yellow. Block 6 (a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
TAP Tree Assistance Program Disaster Assistance Program	General material about TAP too broad to be filed under 1 of the more specific file types in this exhibit.	Cut off all closed files at the end of the year. Retain for 2 years in-house then transfer to Federal Records Center (FRC).	N1-145-05-2 Item 3 (DAP)
TAP 1 Reports Disaster Assistance Program	Reports.	Destroy these files when 10 years old.	
TAP 2 Participant Folders Disaster Assistance Program	Individual folders containing CCC-434's, CCC-435's, and supporting documentation.		
TAP 3 Payment Registers Disaster Assistance Program	Nonpayment and pending payment registers.	Destroy these files after 10 years.	

NOTE: All disaster-related programs Disposition / Retentions will be for 10 years.

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Supplemental Agriculture Disaster Assistance Program Files

Exhibit 61.1

Supplemental Agricultural Disaster Assistance provides disaster assistance payments to producers of eligible commodities (crops, farm-raised fish, honey, and livestock) in counties declared by the Secretary of Agriculture to be "disaster counties," including counties contiguous to disaster counties and any farms with losses in normal production of more than 50 percent. Supplemental Agricultural Disaster Assistance is effective only for losses incurred as the result of a disaster, adverse weather, or other environmental condition that occurs on or before September 30, 2011.

Authority: Food, Conservation, and Energy Act of 2008 (2008 Farm Bill) was enacted into Public Law 110-246. This Act amended the Trade Act of 1974 to create five new disaster programs, collectively referred to as Supplemental Agriculture Disaster Assistance programs. These programs include: Emergency Assistance for Livestock, Honey Bees, and Farm-Raised Fish (EALHF), Livestock Forage Disaster Program (LFP), Livestock Indemnity Program (LIP), Supplemental Revenue Assistance Payments (SURE) Program and Tree Assistance Program (TAP).

Supplemental Revenue Assistance Payments (SURE)

This program is available to eligible producers on farms in disaster counties, designated by the Secretary, including contiguous counties that have incurred crop production losses and/or crop quality losses during the crop year. Color Code is yellow. **Block 6(a) of SF-135 is RG 145**

File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
Supplemental Revenue Assistance Payments (SURE) Disaster Assistance Program	General material about SURE too broad to be filed under 1 of the more specific subjects	Cut off all closed files at the end of the year. Retain for 2 years in- house then transfer to Federal Records Center (FRC).	N1 -145-05-2 Item 3
SURE 1 Reports Disaster Assistance Program	Reports	Destroy these files when 10 years old.	

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Supplemental Revenue Assistance Payments (SURE)			Exhibit 61.1
This program is available to eligible producers on farms in disaster counties, designated by the Secretary, including contiguous counties that have incurred crop production losses and/or crop quality losses during the crop year. Color Code is yellow. Block 6(a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
SURE 2 Participants Folders Disaster Assistance Program	Individual folders containing forms CCC-752 and or CCC 753 and supporting documentation.	Cut off all closed files at the end of the year. Retain for 2 years in-house then transfer to Federal Records Center (FRC).	N1 -145-05-2 Item 3
SURE 3 Payment Registers Disaster Assistance Program	Nonpayment and pending registers	Destroy these files when 10 years old.	
SURE 4	Reserved		
SURE 5	Reserved		
SURE 6	Reserved		

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Emergency Assistance for Livestock, Honey Bees, and Farm-Raised Fish (ELAP) Exhibit 61.1			
This program provides emergency relief to producers of livestock (including horses), honey bees and farm-raised fish. Covers losses from disasters such as adverse weather or other conditions, such as blizzards and wildfires. Color Code is yellow. Block 6(a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
ELAP Emergency Assistance for Livestock, Honey Bees, and Farm- Raised Fish (ELAP) Disaster Assistance Program	General material about ELAP too broad to be filed under 1 of the more specific subjects	Cut off all closed files at the end of the year. Retain for 2 years in- house then transfer to Federal Records Center (FRC).	N1-145-05-2 Item 3
ELAP 1 Reports Disaster Assistance Program	Reports	Destroy these files when 10 years old.	
ELAP 2 Participants Folders Disaster Assistance Program	Individual folders containing forms CCC- 752 and or CCC 753 and supporting documentation.		
ELAP 3 Payment Registers Disaster Assistance Program	Nonpayment and pending registers		
ELAP 4	Reserved		
ELAP 5	Reserved		
ELAP 6	Reserved		

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Livestock Forage Program			Exhibit 61.1
The LFP program will be available to eligible livestock producers who suffered grazing losses for eligible livestock, because of drought on land that is either native or improved pastureland with permanent vegetative cover or planted to a crop specifically for providing grazing. The LFP program will also be available to eligible livestock producers who suffered grazing losses for eligible livestock, because of fire on rangeland managed by a Federal agency. Color Code is yellow.			
Block 6(a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
LFP Livestock Forage Disaster Program (LFP) Disaster Assistance Program	General material about LFP too broad to be filed under 1 of the more specific subjects	Cut off all closed files at the end of the year. Retain for 2 years in- house then transfer to Federal Records Center (FRC).	N1-145-05-2 Item 3
LFP 1 Reports	Reports	Destroy these files when 10 years old.	
LFP 2 Participants Folders	Individual folders containing forms CCC- 752 and or CCC 753 and supporting documentation.		
LFP 3 Payment Registers Disaster Assistance Program	Nonpayment and pending registers		
LFP 4	Reserved		
LFP 5	Reserved		
LFP 6	Reserved		

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Livestock Indemnity Program (LIP)			Exhibit 61.1
This program is available to eligible livestock producers on farms that have incurred livestock death losses in excess of normal mortality, because of adverse weather, as determined by the Secretary during the calendar year, including losses because of hurricanes, floods, blizzards, disease, wildfires, extreme heat and extreme cold. Color Code is yellow. Block 6(a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
LIP Livestock Indemnity Program (LIP) Disaster Assistance Program	General material about LIP too broad to be filed under 1 of the more specific subjects	Cut off all closed files at the end of the year. Retain for 2 years in- house then transfer to Federal Records Center (FRC).	N1-145-05-2 Item 3
LIP 1 Reports	Reports	Destroy these files when 10 years old.	
LIP 2 Participants Folders	Individual folders containing forms CCC- 752 and or CCC 753 and supporting documentation.		
LIP 3 Payment Registers Disaster Assistance Program	Nonpayment and pending registers		
LIP 4	Reserved		
LIP 5	Reserved		
LIP 6	Reserved		

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Tree Assistance Program (TAP)			Exhibit 61.1
This program provides assistance to orchardists and eligible nursery tree growers who produce nursery, ornamental, fruit, nut or Christmas trees for commercial sale that lost trees, bushes, or vines, because of a natural disaster, as determined by the Secretary. Color Code is yellow. Block 6(a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
TAP Tree Assistance Program (TAP) Crop Disaster Payment Program	General material about TAP too broad to be filed under 1 of the more specific subjects	Cut off all closed files at the end of the year. Retain for 2 years in- house then transfer to Federal Records Center (FRC).	N1-145-05-2 Item 1, 2
TAP 1 Reports	Reports	Destroy these files when 10 years old.	
TAP 2 Participants Folders	Individual folders containing forms CCC-752 and or CCC 753 and supporting documentation.		
TAP 3 Payment Registers Crop Disaster Payment Program	Nonpayment and pending registers.		
TAP 4	Reserved		
TAP 5	Reserved		
TAP 6	Reserved		

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Telecommunications Management Files			Exhibit 62
This exhibit covers correspondence and related materials about telephone service, equipment requests, data telecommunications, and the administration, operation, and effectiveness of FSA telecommunications systems. Color Code is white. Block 6 (a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
TELC Telecommunications Management Communication General Files	General material about Telecommunications Management too broad to be filed under 1 of the more specific file types in this exhibit.	Destroy these files when 3 years old.	GRS 12 Item 2b
TELC 1 Reports Communication General Files	Reports covering all subjects included under this subject that cannot be filed under 1 of the more specific file types in this exhibit.		
TELC 2 Voice Telecommunications Communication General Files	General material about voice telecommunications.		
TELC 2-1 Equipment Services Communication General Files	Requests to purchase standard or special telephone equipment.		
TELC 2-2 Long Distance Services Communication General Files	Material about FTS intercity and commercial services. Includes AD-102's.		
TELC 3 Data Communications Communication General Files	General material about data communications.		
TELC 3-1 Electronic Mail Communication General Files	Material about FTS Mail. Includes security and security violations.		
TELC 3-2 Facsimiles Communication General Files	General material about facsimiles.		

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Tobacco Transition Payment Program			Exhibit 62.5
<p>This program provides payments over a ten-year period to quota holders and producers of quota tobacco to help them make the transition from the Federal Tobacco Marketing Quota and Price Support Loan programs which ended effective with the 2004 marketing year and subsequent crops of tobacco.</p> <p>Color Code is goldenrod. Block 6 (a) of SF-135 is RG 145</p>			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
TTPP Tobacco Transition Payment Program Marketing Quota and Acreage Program	General material about TTPP too broad to be filed under 1 of the more specific file types in this exhibit.	Destroy these files 5 years after expiration of the contract.	NC1-145-79-2 Item 7a
TTPP 1 Reports Marketing Quota and Acreage Program	Reports.		
TTPP 2 Contract Folders Marketing Quota and Acreage Program	Individual folders containing CCC-955, CCC- 956, CCC-959, CCC-960, other forms and related material. Subdivide these files into approved and disapproved applications.		
TTPP 3 Payments Marketing Quota and Acreage Program	General material about TTPP payments.		
TTPP 4 Spot checks Marketing Quota and Acreage Program	Spot check, selections and responses.		

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Wool and Mohair Program Files

Exhibit 63

This exhibit covers the program to provide incentive payments to producers of shorn wool and mohair to encourage the development of this domestic industry. Color Code is grey.

Block 6 (a) of SF-135 is RG 161

File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
WAM Wool and Mohair Program	Correspondence about the Wool and Mohair Program too broad to be filed under 1 of the more specific file types in this exhibit.	Destroy these files 6 years after the end of the program, project, or other activity year in which they were created.	NC1-161-79-1 Item 7a
WAM 1 Producer Folders Wool and Mohair Program	Individual producer folders containing forms, reports, and other correspondence about that producer's participation in the Wool and Mohair Programs and all payments to the producer. This includes CCC-1155's, CCC-1155 (Supplements), CCC-1155A's, CCC-1154's, sales documents, and other related documents. Subdivide these files first into wool and mohair and then into approved and disapproved applications as necessary.		
WAM 2 Appeals Wool and Mohair Program	Appeals by individual producers to decisions by COC on their applications.		
WAM 3 Reports and Statistics Wool and Mohair Program	Reports covering all subjects included under this subject that cannot be filed under 1 of the more specific file types in this exhibit. Subdivide these files as necessary.		

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Wool and Mohair Market Loss Assistance Program			Exhibit 63.5
This exhibit covers the program that provides assistance to wool and mohair producers who suffered an economic loss as a result of low prices during the 1999 marketing year. Color Code is gray. Block 6 (a) of SF-135 is RG 161			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
WAMLAP Wool and Mohair Market Loss Assistance Program Wool and Mohair	General material about WAMLAP too broad to be filed under 1 of the more specific file types in this exhibit.	Destroy these files 6 years after date of payment.	NC1-161-79-1 Item 7a
WAMLAP 1 Producer Folders Wool and Mohair	Individual producer folders containing forms, reports, and other correspondence about the producer’s participation in WAMLAP and all payments to the producer. This includes CCC-1155’s.	This a Wool and Mohair Program.**	
WAMLAP 2 Spot Checks Wool and Mohair	Spot check, selections, and responses.		

NOTE: Last payment as a whole FY 2001. Transfer all files to the FRC.

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Water Bank Program Files			Exhibit 64
This exhibit covers assistance to farmers and ranchers to conserve water, preserve, maintain, and improve migratory waterfowl habitat and other wildlife resources and secure other environmental benefits through long-term land use agreements. Color Code is yellow. Block 6 (a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
WBP Water Bank Program	Correspondence about WBP too broad to be filed under 1 of the more specific file types in this exhibit.	Destroy these files when 5 years old.	NC1-145-84-1 Item 11a (long-term) NC1-145-84-1 Item 11b (annual) a
WBP 1 Program Development Water Bank Program	Correspondence about the development of the program, including objectives, funding allocations, cost-share limitations, approved practices and data used in preparing the County WBP handbook, including the computer-generated county eligibility status list.		
WBP 2 Reports and Statistics Water Bank Program	Reports covering all subjects included under this subject that cannot be filed under 1 of the more specific file types in this exhibit. Subdivide these files as necessary. File voluminous computer printouts in binders on open shelves		
WBP 3 Interagency Cooperation Water Bank program	Correspondence about cooperation between the County Office and other Federal and State agencies		

NOTE: Program Closed: Transfer all records to the Federal Records Center (FRC).

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Water Bank Program Files			Exhibit 64
This exhibit covers assistance to farmers and ranchers to conserve water, preserve, maintain, and improve migratory waterfowl habitat and other wildlife resources and secure other environmental benefits through long-term land use agreements. Color Code is yellow. Block 6 (a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
WBP 4 Agreement Folders Water Bank Program	All correspondence about the producers’ participation in WBP. This includes FSA-691’s, FSA-692’s, FSA-693’s, FSA-695’s, ACP-245’s, AD-862’s, etc. Maintain original copy of FSA-692 in the custody file. This also includes folders for disapproved, canceled, or terminated agreements.	Destroy these files 5 years after expiration of the agreement.	NC1-145-84-1 Item 11a (long-term) NC1-145-84-1 Item 11b (annual)
WBP 5 Program Control Water Bank Program	Correspondence about the control of program activities and funds	Destroy these files when 5 years old.	
WBP 5-1 County Allocation Control Ledger Water Bank Program	The sequential ledger entry report, the detailed ledger used to control program funds, the sequential LTA Contracts/ Agreements Report, and related correspondence. Subdivide these files a necessary for WBAN and WBCS		

NOTE: Program Closed: Transfer all records to the Federal Records Center (FRC).

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Wetlands Reserve Program Files			Exhibit 65
This exhibit covers assistance to Owners and operators of eligible lands to restore wetlands through the purchase of permanent easements. Color Code is yellow. Block 6 (a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
WRP Wetlands Reserve Program Conservation Reserve Program – Wetlands Reserve Program	General material about WRP too broad to be filed under 1 of the more specific file types in this exhibit.	Destroy these files when 5 years old.	N1-145-88-1 Item 1a
WRP 1 Program Development Conservation Reserve Program – Wetlands Reserve Program	Correspondence about the development of the program, including objectives, funding allocations, cost-share limitations, and approved practices		
WRP 2 Interagency Cooperation Conservation Reserve Program – Wetlands Reserve Program	Correspondence about cooperation between the County Office and other Federal and State agencies This includes memorandums of understanding		

NOTE: Program Closed: NRCS -Transfer all files to the FRC.

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Wetlands Reserve Program File			Exhibit 65
This exhibit covers assistance to Owners and operators of eligible lands to restore wetlands through the purchase of permanent easements. Color Code is yellow. Block 6 (a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
WRP 3 Reports and Statistics Conservation Reserve Program – Wetlands Reserve Program	Automated WRP Data Transmission Reports:	Destroy these files when 5 years old.	N1-145-88-1 Item 1a
	Verify Intention Data Eligible for Transmission		
	Verify Bid Agreement Data Eligible for Transmission		
	Verify Easement Data Eligible for Transmission		
	Any other reports under this subject that cannot be filed under 1 of the more specific file types in this exhibit. Subdivide these files as necessary. File voluminous printouts in binders on open shelves		
	WRP Applicable Federal Rate (AFR) Listing	Maintain the most current listing.	
	Change on Approved WRP Contracts (ERK615-R001).	If data prints, follow Disposition instructions for contracts (WRP 5). If negative, destroy immediately.	
WRP 3-1 Progress Reports Conservation Reserve Program – Wetlands Reserve Program	ACP-305's and related correspondence indicating the status of disbursement of allocated funds for cost-shares, easements payments, and reimbursement of legal costs.	Destroy these files when 5 years old.	N1-145-88-1 Item 1a

NOTE: Program Closed: NRCS- Transfer all files to the FRC.

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Wetlands Reserve Program Files

Exhibit 65

This exhibit covers assistance to Owners and operators of eligible lands to restore wetlands through the purchase of permanent easements. Color Code is yellow. **Block 6 (a) of SF-135 is RG 145**

File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
WRP 4 County Allocation Control Ledger Conservation Reserve Program – Wetlands Reserve Program	The Sequential Ledger Entry Report, and Sequential LTA Contracts/ Agreements Ledger Report used to control program funds, and related correspondence. Subdivide these files a necessary for cost-shares, easements payments, and reimbursement of legal costs.	Destroy these files 5 years after applicable program year.	N1-145-88-1 Item 1b
WRP 4-1 Control of Payment Limitations Conservation Reserve Program – Wetlands Reserve Program	Correspondence for control of payment limitations (local forms)	Destroy these files when 5 years old.	

NOTE: Program Closed: NRCS Transfer all files to the FRC.

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Wetlands Reserve Program Files

Exhibit 65

Wetlands Reserve Program Files. This exhibit covers assistance to Owners and operators of eligible lands to restore wetlands through the purchase of permanent easements. Color Code is yellow.

Block 6 (a) of SF-135 is RG 145

File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
WRP 5 Contract Folders Conservation Reserve Program – Wetlands Reserve Program	Individual folders containing all correspondence about the producers' participation in WRP. This includes FSA-578's, ACP-245's, AD-862's, FSA-817's, WRPO's, FSA-890's, FSA-891's, FSA-892's, FSA-896's, FSA-894's, FSA-906's, FSA-907's, FSA-211's, FSA-211-1's, CCC-36's, Status reviews, inspection documents, and related correspondence. Annual Payment schedule reports. Note: The original of the following easement documents should be filed at the county courthouse; FSA-897, FSA-898, FSA-899, and related correspondence. File copies in the security file in the county Office.	Destroy these files when 5 years after last payment.	N1-145-88-1 Item 1b

NOTE: Program Closed: NRCS Transfer all files to the FRC.

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Farm Records and FSA-578 Exceptions			Exhibit 66
This exhibit covers general material about the history of farms participating in any or all FSA programs. Color Code is brown. Block 6 (a) of SF-135 is RG 145			
File Types 6(f) of SF-135	Type of Material To Be Filed	Retention	Disposal Authority 6(h) of SF-135
FAR 1 Farm History Folders Production Adjustment Farm Records	Individual consolidated farm folders <u>without FSA-578s</u> . Forms, reports, and correspondence about a farm's participation in any or all FSA programs. This includes historical data of continuing value, such as the legal description of the farm, amount and use of acreage, photocopy of farmland, and similar documents.	Destroy these files 5 years after the end of the marketing or program year in which they were created. Carry forward historical data of continuing value, which may be maintained in separate folders.	NC1-145-79-2 Item 6a
Farm History Folders containing FSA-578s Production Adjustment: Farm Allotment/History:	FSA-578's and supporting documentation to include Production Adjustment documentation. Note: Report of Acreage (FSA-578's) forms are used for multiple programs if needed for another program, take a photocopy of the contract/documents and the FSA-578 so that there will be a copy of related documentation in each file.	New Retention via an SF-115 is pending approval. These files may have historical value. Destroy 10 years after the crop year in which they were created.	NC1-145-79-2 Item 6b

Farm Records and FSA-578 Exceptions

Exhibit 66

Exception: NOTE: The applicable Records Schedule is in the process of being updated to meet new Retention requirements regarding FSA-578s. We have found that FSA-578s are filed in various methods within the County offices (separately, within producer folders, and either filed by single year or multiple years of FSA-578s within the same folder). There are two methods to transfer these records.

Method 1: OGC has requested we group according to the following year spans due to historical value.

1980 and Prior FSA-578's: Send 1980 and prior files together.

Note on SF-135

1980 and prior FSA-578 files administratively closed in CY 1983. Use Disposal Date 01/1990.

1981 through 1985 FSA-578's: **HISTORICALLY IMPORTANT**

Note on SF-135 (Do not destroy)

1981 through 1985 FSA-578s were administratively closed on 12/30/2003 These files may have significant historical value. Use Disposal Date 01/2011.

1986 through 1995 FSA-578's: Send in 5 year increments for 1986-1995 files.

Note on SF-135

1986-1990 files administratively closed in CY 1993. Use Disposal Date 01/2001.

1991-1995 files administratively closed in CY 1998. Use Disposal Date 01/2006.

1996 through 1999 FSA-578's: You may send 1996 through 1999 files together.

Note on SF-135

1996-1999 files administratively closed in CY 2002. Use Disposal Date 01/2010.

2000-2001 FSA-578's: Transfer to FRC on the same SF-135 Use Disposal Date 01/2012

2002 and future years: Transfer to FRC by year on separate SF-135.

Note on SF-135 Pending approval of SF-115 please accept these files for 10 years.

Method 2: If the above listed method is challenging due to multi-years worth of FSA-578s in the same folder, break out into two transfers as indicated below.

Transfer #1: 1981 through 1985 FSA-578's: HISTORICALLY IMPORTANT

Note on SF-135 (Do Not Destroy)

1981 through 1985 FSA-578s were administratively closed on 12/30/2003. These files may have significant historical value. Use Disposal Date 01/2011.

Exhibit 66

Transfer #2: Folders with remaining FSA-578's (Everything except 1981 through 1985):

Group the remaining folders sequentially in the boxes. You'll need to find out the full span of years involved (i.e., FY1990 through FY1999) and annotate this on the SF-135s. State also that 1981 through 1985 FSA-578s were transferred separately.

Account for the missing 1981-1985 FSA-578s within each folder by typing on a blank sheet of paper: "FSA-578s for 1981 through 1985 were transferred separately under Accession # ____ by CRC ____." Make a photo copy for every file that is affected and place in each folder.

**FSA/
FAS
HANDBOOK**

Records Management

**For All FSA and FAS Offices
(except Overseas)**

SHORT REFERENCE

32-AS

**UNITED STATES DEPARTMENT OF AGRICULTURE
Farm Service Agency
Washington, DC 20250**

UNITED STATES DEPARTMENT OF AGRICULTURE

Farm Service Agency
Washington, DC 20250

Records Management
32-AS

Amendment 1

Approved by: Deputy Administrator for Management



Amendment Transmittal

A Reason for Issuance

This handbook is being issued to provide guidance for the FSA and FAS records management program.

B Obsolete Material

The following material is obsolete:

- 2-AS (Rev. 10)
- 25-AS (Rev. 3)
- Records Transfer Desk Reference Guide.

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Exhibits

1	Reports, Forms, Abbreviations, and Redelegations of Authority
2	Definitions of Terms Used in This Handbook

Part 1 Basic Provisions

1 Overview

A Handbook Purpose

This handbook provides:

- records management guidance and procedures for:
 - FAS and FSA offices in Washington, DC
 - Kansas City FSA Office
 - National Financial and Accounting Operations Center
 - APFO
 - State and County Offices
- procedures for the State and County Office Records Management Program
- a link to access FSA's **File Maintenance and Disposition Manual**.

B Handbook Objectives

The objectives of this handbook are to:

- provide a single uniform filing system for FAS and FSA
- allow for filing flexibility within the uniform system
- provide incident procedures and recovery of records effort in event of flood, fire, or natural disaster
- ensure that all records maintained by State and County Offices have approved retention schedules.

2 Sources of Authority and Related References

A Authority

The statutory authority for the management of Federal records is the Federal Records Act (44 U.S.C. 3101-3102), and the delegation of authority to the Chief Information Officer (7 CFR 2.89).

B Regulatory Authority

Authorities requiring the Records Management Program are:

- 18 U.S.C. 2071 (concealment, removal, or mutilation of records)
- 18 U.S.C. 641 (public money, property, or records)
- 18 U.S.C. 793 (gathering, transmitting, or losing defense information)
- 18 U.S.C. 798 (disclosure of classified information)
- 36 CFR Part 12, 1220.14 (NARA's records management responsibilities)
- 36 CFR Part 12, 1222.18 (removal of non-record materials)
- 36 CFR Part 12, 222.24 (removal of records)
- 36 CFR Part 12, Subpart B (records management)
- 36 CFR Part 1223 (managing vital records)
- 36 CFR Part 1234 (facility standards for records storage facilities)
- 44 U.S.C. 21 (NARA)
- 44 U.S.C. 22 (Presidential records)
- 44 U.S.C. 29 (records management by the Archivist of the United States and the Administrator of General Services)
- 44 U.S.C. 31 (records management by Federal Agencies)
- 44 U.S.C. 33 (disposal of records)
- 44 U.S.C. 35 (coordination of Federal information)

2 Sources of Authority and Related References (Continued)

B Regulatory Authority (Continued)

- **44 U.S.C. 2104** (administrative provisions)
- **44 U.S.C. 3106** (unlawful removal and/or destruction of records)
- **DM 3440-001** (classification, declassification, and safeguarding classified information)
- **DR 1800-001** (USDA national emergency preparedness instructions)
- **DR 3080-001** (records)
- **DR 3085-001** (Vital Records Management Program)
- **DR 3090-001** (Vital Records Program and litigation retention policy for documentary material, including ESI)
- **5 U.S.C. 552a** Privacy Act of 1974
- **7 CFR 2.37** (delegations of authority from the Secretary to the Chief Information Officer).

These regulations apply to all employees, contractors, volunteers, political appointees, temporary hires, in all Agencies and offices of USDA regardless of the type or duration of appointment.

C Related FSA Handbooks

FSA handbooks related to records management include:

- 9-AO for handling closed audits and investigations
- 2-INFO for availability of records to other Federal Agencies, the public, and the courts
- 3-INFO for collecting, maintaining, or disclosing data or information concerning an individual
- 3-PM clarifies area of responsibility in the FFAS personnel management program for offices having delegated classification, employment, or adverse action authority and provides internal operating policies, procedures, and standards that supplement OPM and USDA regulations,
- 22-PM for content and handling of eOPF's for most State and County Office employees.

3 Responsibilities

A MSD Records Staff Responsibilities

MSD Records Staff is responsible for:

- developing and issuing records management policies and procedures that will ensure the adequate and proper documentation of the following:
 - organization
 - functions
 - policies
 - procedures
 - essential transactions of FSA and FAS
- planning, installing, directing, and maintaining an active program to manage all records systems in FSA and FAS
- training employees and contractors in records management responsibilities and established recordkeeping requirements in providing mandatory records management training
- conducting:
 - records management surveys, studies, and reviews in all FSA and FAS offices
 - other surveys, studies, and reviews as needed
- developing and maintaining the **File Maintenance and Disposition Manual** for all State and County Offices
- monitoring and analyzing State and County Office records needs continuously to ensure that the Agency's **File Maintenance and Disposition Manual** meets their needs
- developing the following records disposition schedules, including schedules for electronic data and records, that comply with legal requirements:
 - transferring (accessioning) to FRC
 - destruction after a specific period of time
 - permanent retention, as **required** under **44 U.S.C.**
- assigning NARA-approved retention and disposition authority instructions to each file category in the Agency's file guides
- amending periodically the agency's **File Maintenance and Disposition Manual** to ensure that filing codes and retention and disposition authority instructions are current and accurate

3 Responsibilities (Continued)

A MSD Records Staff Responsibilities (Continued)

- approving or disapproving requisitions for new filing equipment to ensure that records are maintained economically and efficiently
- serving as liaison with OGC on preserving records to be used as evidence in litigation to be brought by or against FAS, FSA, or CCC
- reviewing all FSA and FAS requests for permission to shred documents
- assisting the records liaisons with the following:
 - maintaining the **File Maintenance and Disposition Manual**
 - conducting records inventory
 - identifying appropriate retention schedule
 - retiring, destroying, or transferring (accessioning) temporary records to FRC
 - transferring (accessioning) permanent records to NARA
- providing guidance to State and County Offices on the disposition of records and the transfer (accession) of records to FRC's.

B State Office Responsibilities

Administrative Officer, through SED, is responsible for:

- managing all records created and received, according to this handbook
- monitoring records management in County Offices to ensure that the agency's **File Maintenance and Disposition Manual** is properly maintained and used
- establishing policy for annual disposal of records and assigning responsibility to a State Office employee to ensure prompt transfer (accession) and disposal
- providing records management guidance and interpretation, or obtaining guidance and interpretation from MSD
- coordinating the transfer (accession) of State and County Office records to the nearest FRC.

C County Office Responsibilities

CED/FLM is responsible for handling all records through State Office instructions.

3 Responsibilities (Continued)

D Records Liaison Responsibilities

The records liaison, through the MSD Records Staff, is responsible for:

- coordinating records management matters between the MSD Records Staff and their division or section
- assisting in maintaining, servicing, and disposing of office records
- knowing the program area's functional mission, that the records support, and the purpose the records serve
- coordinating changes to the records schedule with the MSD Records Staff and program office
- ensuring that component recordkeeping procedures are established, implemented, and periodically updated for all offices at all levels and for all records media, including electronic and other special records
- knowing and implementing records maintenance and use, and disposition policies and procedures for records maintained for program and administrative activities
- ensuring the transfer (accession) of eligible records to FRC, the prompt disposal of temporary records when their retention periods expire, and the timely transfer (accession) of permanent records to NARA
- attending records training sessions held by the MSD Records Staff
- serving as a point of contact for all records custodians' information requests/concerns.

E Briefing New Employees

All employees, regardless of type of appointment, and high-level officials and appointees may be **required** to account for records that could be classified as documentary and/or Presidential records. Within 90 calendar days of employment, all employees, including senior officials or political appointees, **must** be briefed, by records officer or staff, about the types of records they will be **required** to protect and the different methods for meeting the federal guidelines. This is coordinated by HRD.

4-14 (Reserved)

Part 2 Identifying Records

15 Definitions

A Definition of Records

A federal record is an information resource, in any format, that is:

- created in the course of business
- received for action
- needed to document agency activities.

In general, as used in this handbook, the term records includes all recorded information, regardless of form or characteristics, made or received by a federal agency under federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the United States Government or because of the informational value of data in them; and does not include library and museum material made or acquired and preserved solely for reference or exhibition purposes; or duplicate copies of records preserved only for convenience. Recorded information defined. For purposes of this paragraph, the term “recorded information” includes all traditional forms of records, regardless of physical form or characteristics, including information created, manipulated, communicated, or stored in digital or electronic form. [44 U.S.C. 3301]

B Definition of Permanent Records

Permanent records are records determined by NARA as having sufficient historical or other value to warrant continued preservation by the Federal Government beyond the time they are needed for administrative, legal, or fiscal purposes. Permanent records:

- will eventually be transferred (accessioned), legally and physically, to NARA for:
 - Washington, DC (<http://www.archives.gov/dc-metro/college-park>)
 - State or County Offices (<http://www.archives.gov/locations>), records may be sent to the nearest location
- may be program or administrative in nature and exist in all formats.

Note: Only about 3 to 7 percent of all federal records are permanent.

15 Definitions (Continued)

C Definition of Temporary Records

Temporary records are records approved by NARA for disposal, namely destruction or donation, either immediately or after a specified time. The majority of federal records are temporary. That means that, even if they are kept for 30 years, they will eventually be destroyed. Temporary records can be program or administrative and exist in all formats.

D Definition of Personal Records

Personal records are documentary material belonging to an individual that does **not** document agency business. Personal records are related solely to an individual employee's affairs or are used exclusively for that individual's convenience.

Personal records generally include the following categories of material:

- papers created before entering government service (previous work files, political materials, reference files, etc.)
- private materials brought into, created, or received in the office that relate solely to an individual's personal affairs, such as outside business pursuits, professional affiliations, private political associations, and family and private affairs

Note: They also include personnel records, such as copies of forms relating to official actions, time and attendance, training, etc.

- work-related personal papers that are **not** used in the transaction of government business, such as diaries, journals, notes, personal calendars, and appointment schedules that are **not** prepared or received in the process of transacting government business.

Private material **not** created within the agency, but brought into the agency by an employee for reference purposes, does **not** become agency records by "mere incidence of location". However, recent court rulings have considered several basic principles in determining the applicability of FOIA. The basic principles include creation, content, purpose, distribution, use, maintenance, disposition, control, segregation, and revision. Consider the basic principles when determining whether particular documents should be regarded as personal.

16 General Guidance

A Temporary and Permanent Electronic Records

ERA is NARA's system that allows federal agencies to perform critical records management transactions with NARA online. Agency records management staff will use ERA to draft new records retention schedules for records in any format, officially submit those schedules for approval by NARA, request the transfer of records in any format to NARA for accessioning or pre-accessioning, and submit electronic records for storage in the ERA electronic records repository. Information concerning ERA may be found at <http://www.archives.gov/records-mgmt/era/>.

B Non-record Materials

Non-record materials are an important part of the agency's records management program. Commonly, the agency non-record holdings exceed that of records. Non-records include the following:

- extra copies of documents maintained solely for convenience of reference
- information copies of correspondence, directives, forms, and other documents that **require** no action by the office receiving them
- routing slips and transmittal sheets adding no information to the transmitted material
- tickler, follow up, or suspense copies of correspondence (provided they are extra copies of the originals)
- draft copies of documents before circulation
- copies of documents maintained in the same file
- extra copies of printed or processed materials for which complete record sets exist, such as current and superseded manuals maintained outside the office responsible for maintaining the record set
- catalogs, trade journals, and other publications that are received from other government agencies, commercial firms, or private institutions that **require** no action and are **not** part of a case on which action is taken
- physical exhibits, artifacts, and other materials that do **not** have evidential value.

16 General Guidance**B Non-record Materials (Continued)**

Determining whether a particular document, including an electronic data file or an e-mail, is a record does **not** depend on whether it is an original or a copy. Several copies of a single document may each have record status because each serves a separate purpose in conducting agency business. Multiple copies of a single document generally are **not** all records, unless they have unique value based on their arrangement (according to a different filing scheme) or serve a separate purpose.

Example: Copies of central correspondence files may be filed both alphabetically by subject and chronologically by date. Similarly, most copies of agency publications are non-records; however, a single set of publications should be designated as the record copy and distinguished from other copies or stocks of the same publication.

C Civilian Personnel and Medical Files

Inactive civilian personnel and medical files are transferred (accessioned) to the following:

National Personnel Records Center
Civilian Personnel Records
1411 Boulder Boulevard
Valmeyer, IL 62295.

D Handbooks and Notices

The record copy of FFAS directives is maintained by MSD, IMB, MADS. MADS maintains the policy and procedures that govern the laws and regulations for the agency and is responsible for the following:

- establishing and maintaining directives standards
- maintaining all notices and handbook amendments
- storing and archiving directives.

Note: State Offices that implement a supplement to a handbook are **required** to maintain the original handbook, including all amendments, and supplements.

17-25 (Reserved)

Part 3 File Operations**Section 1 Filing Systems and Procedures****26 FSA and FAS File Classification Guides****A Overview**

This section includes information about:

- using the FSA and FAS file classification guides
- general filing procedures
- file maintenance
- program records maintenance
- preparing file labels
- filing equipment and supplies.

B General Correspondence Files not Pertaining to a Specific Case or Program

Non case specific correspondence files consist of outgoing correspondence with all incoming letters and enclosures attached.

Offices shall use their agency's file guides for filing correspondence.

Exception: Case files shall be maintained apart from general correspondence files and include the following:

- related incoming correspondence and enclosures
- any other backup materials concerning the case.

26 FSA and FAS File Classification Guides (Continued)

C Description of Subject File Guides

The subject file classification guides:

- are designed to provide easily understood methods of determining retention periods, disposal authority, and dates
- are intended for correspondence or other papers that **are not related** to a specific case
- are a file type-numeric system that permits random arrangement of the primary file type titles while keeping a simple numeric order for the following subdivisions of the primary subjects:
 - secondary (second)
 - tertiary (third)
 - quaternary (fourth)

Note: A label shall show folder categories between guide cards.

- shall **not** be packed in record boxes or moved to storage facilities. Keep subject file classification guides in current file cabinets for use in setting up new files.

D Primary Subjects

Primary subjects are:

- major functions, programs, or activities
- added to the subject file classification guide **only** by MSD.

Examples: Following are examples of primary subjects.

File Code	Former File Code	Primary File Type
FINC-1	FM	Accounting Administration
DAPF	AMLAP	Apple Market Loss Assistance Program

26 FSA and FAS File Classification Guides (Continued)

E Secondary Subjects

Secondary subjects are:

- major subdivisions of primary subjects
- added to the subject file classification guide **only** by MSD.

Examples: Following are examples of secondary subjects.

File Code	Former File Code	Primary File Type
ADMI-2	GA-1	Admin Mgmt Files
FSFL-1	FSFL-1	Reports

F Tertiary Subjects

Tertiary subjects:

- are subdivisions of secondary subjects
- add tertiary file divisions
- may **not** change tertiary divisions already in the subject file classification guide.

Example: Following is an example of a tertiary subject.

File Code	Former File Code	Primary File Type
FSFL-4-a	FSFL-4-1	Occupational Safety and Health Administration
DAPF-1-a	AMLAP-2	Reports and Statistics

G Quaternary Subjects

Quaternary subjects:

- are subdivisions of tertiary subjects
- add quaternary file divisions
- are added by offices
- may **not** change quaternary divisions already in the subject file classification guide.

Examples: Following are examples of quaternary subjects.

File Code	Former File Code	Primary File Type
DCPF-8-b-1	PA-2-1	Appeals Pending
DCPF-8-c-1	PA-3-1	Noncompliance/Violations

Note: State and County Offices are authorized to subdivide files as necessary.

27 General Filing Procedures

A General Instructions

Establish and maintain files by:

- using the most recent **File Maintenance and Disposition Manual**
- determining what is to be filed
- locating records near the end of their retention
- filing daily
- subdividing folders that are filled to capacity by:
 - dividing folders by date
 - typing inclusive dates on each folder label
- establishing file guides, only as needed
- using folders appropriate for the type of cabinet used
- establishing individual file folders with a minimum of 20 sheets of paper

Note: For less than 20 sheets of paper, file in the primary category.

- removing all paper clips, fasteners, and rubber bands
- repairing torn pages with transparent, pressure-sensitive tape
- reattaching labels with tape as needed
- keeping envelopes showing canceled postmark to document when materials requiring mailing deadlines were mailed.

Example: Following are examples of incoming materials that **require** proof of when the material was mailed:

- contract offers
- commodity bids
- comment letter to FR documents.

27 General Filing Procedures (Continued)**B File Guide Cards**

File guide cards:

- are arranged in the same sequence as the **File Maintenance and Disposition Manual**
- are used to visually aid in finding various segments of a file
- should **not** be moved to storage.

Note: Keep cards in the current file cabinets for use in setting up new files.

28 File Maintenance**A Administrative and Program Files**

General record schedules are issued by NARA to provide for the disposition of temporary administrative records common to many federal agencies.

Program record schedules are records documenting the unique functions of the agency.

Note: Not all program record schedules on NARA's website have been approved. Approved schedules have the signature of the Archivist of the United States. If there is no signature the schedule was never approved.

To see the program record schedules for your agency, enter the record group under "Go to Record Group".

The records groups are:

- 145 for FSA
- 161 for CCC
- 166 for FAS

28 File Maintenance (Continued)**A Administrative and Program Files (Continued)**

Maintenance of administrative and program subject correspondence files include the following:

- separating administrative from program records
- separating records from non-records material
- separating official, working, and personal papers
- determining the appropriate records disposition schedule to use
- establishing files on a calendar year, program year, or FY basis, as appropriate
- breaking subject files on an annual basis
- carrying forward correspondence that is still active into the next year's file
- maintaining a central filing system (recommendation)
- maintaining the files maintenance and disposition plan
- establishing security controls for all program records
- safeguarding all PA records
- displaying PA notices on all PA systems of records.

B Maintaining Case Files

Maintenance of case files includes the following:

- maintaining open case files in current subject files
- documenting transactions from beginning to end
- using the appropriate records disposition authority (schedule)
- retiring closed case files with the subject files for the year in which they were closed.

C Charge Out Card

OF-24, the charge out card can be used for:

- accountability for borrowed files
- ease follow-up on documents removed for lengthy periods of time.

OF-24 the Shelf File Charge Out Record can be downloaded from GSA forms site at <http://www.gsa.gov/portal/forms/download/170539>.

D Official Record Copy of Correspondence

The original or final is the official record copy of all outgoing correspondence and all internal communications.

28 File Maintenance (Continued)**E Current Year and Inactive Records**

Offices shall:

- maintain current year records on the operating floor
- transfer (accession) inactive records to FRC immediately when they are no longer needed for business purposes.

F Personal Papers

Some materials accumulated by executive officials do **not** qualify as federal records. They are considered to be personal papers if the papers:

- only relate to the individual's own personal affairs
- are the employee's copies of travel and personnel documents
- do **not** affect the conduct of agency business.

Examples: Following are examples of personal papers:

- papers accumulated before joining government service
- materials solely relating to an individual's private affairs, outside business pursuits, professional affiliations, and private political associations
- diaries, journals, and personal notes **not** prepared or received in the process of transacting government business
- personal copies of personnel-related documents.

Personal papers should be:

- clearly designated as personal papers
- kept separate from agency records
- maintained and removed as personal collections of papers when the employee leaves the position.

Officials shall contact the MSD Records Staff if additional guidance is needed about a determination of official records versus personal papers.

29 Maintaining Program Records

A Program Records in County Offices

County Offices shall:

- follow State Office instructions for maintaining program records
- disregard headings for program records in the subject file classification guides that are made unnecessary by the State's selected method of keeping program records.

B Optional Methods of Maintaining Program Records

The following are optional methods for maintaining program records.

- **Batch filing.** This method **requires** County Offices to maintain:
 - program records in batches by farm number
 - folders by community in heavy volume County Offices.
- **Current year records.** This method **requires** County Offices to maintain:
 - an individual folder for each farm by farm number
 - a folder for each program or combination of programs, in heavy volume County Offices, if workload or other factors make it necessary.
- **Five-year program folders.** This method **requires** County Offices to:
 - maintain an individual folder for each farm by farm number

Note: The folder will contain all records for a farm for 5 years.

 - group records that have a retention period longer than 5 years according to the subject file classification guide.
- **Filing alphabetically by owner or operator.** This method **requires** County Offices to maintain an individual folder for each farm by the last name of the owner or operator. The history file is comprised of five 1-year folders.

30 Preparing File Folder Labels

A Subject Files

For subject file type folders, use 1-across and 3-across computer-generated labels.

For easy reference, records should be placed in labeled folders as follows:

- separate records by file code number
- administrative and program files (not FLP) with a retention period of over 1 year will have 2 labels
- FLP program files may have 3 labels
- include the identifier, such as project or individual's name
- name should include an additional identifier, if necessary
- include the file creation or open date
- records with retention of more than 1 year, include disposition instructions from **GRS's** or **PRS's**.

Example: Following is an example of administrative and program (not FLP) file folders labels (two labels).

Left Side		Right Side	
HRMS-75-a	Labor Relations Management Jones, John Opened: 2007		GRS-1-28-a-1 NC1-64-77-10-29-a-1 Destroy 5 years after expiration or cancellation of agreement

Example: Following is an example of FLP file folders labels (three labels).

Left Side	Tab above folder		Right Side
FLPF-10-a Currently Not Collectible NO DISPOSAL AUTHORIZED	Farmer, John	11-179-1234	CNC APPROVAL DATE _____ Returned from Treasury _____ Cancellation Approved _____
DAA-0161-2016-0005-0001 Temporary: Destroy 10 years following FY in which case was closed.	FLPF-10-d LOSS TO THE GOVERNMENT		Opened Case 2016 Disposal Date 2027
	Farmer, John	11-179-1234	
	Direct - Closed		

30 Preparing File Folder Labels (Continued)**B Case Files**

For each case file folder, the label should show both the subject file code and full name of the individual, action, or organization involved. In addition, each case file folder should show the following:

- documents transaction from beginning to end
- uses the appropriate records schedule
- retires closed case files with the subject files for the year in which they were closed
- needs complete information on each case folder label.

When the case is closed, the date of the closing should be marked on the label to aid in disposition.

Note: Case files are normally filed directly behind the subject to which they apply.
However, individual case files may be maintained separately if more convenient.

C Subject Files for State and County Offices

Subject files should show the following:

- file code
- file type
- period covered by the folder; such as:
 - FY for fiscal year
 - PY for program year
 - CY for calendar year
- retention periods for administrative records only.

30 Preparing File Folder Labels (Continued)**D Non-record Files**

For non-record material:

- avoid filing bulky non-record material, such as handbooks, catalogs, libraries, museum material, stocks of publications, and computer printouts
- see subparagraph 123 D for information about the disposition of non-record material
- that **must** be maintained in file cabinets:
 - maintain as a completely separate file
 - file behind the subject correspondence or case file folder to which it relates
 - label in the same manner as subject correspondence or case file folder to which it relates, except on the lower line, type “Reference” on the left and “Non-record” on the right
 - purge files on a regular basis, keeping only the latest edition of a publication, when possible.

30 Preparing File Folder Labels (Continued)

E Transitory Files

Transitory files are files for short-lived materials that do **not** contain policy or procedural matters applicable to the receiving office. Establish and maintain transitory files as follows.

- Include incoming non-record items, such as notices, leaflets, or any other material, that has no long-term value to the office receiving it.

Examples: Following are examples of non-record items:

- agency newsletters
 - job announcements
 - notices about local clubs or activities.
- Use top read labels and show:
 - temporary dates that files will be kept
 - subject or type of material.
- Purge files on a regular basis.
- Four folders may be created with the following labels.

1	Transitory	Jan.	May	Sept.
2	Transitory	Feb.	June	Oct.
3	Transitory	Mar.	July	Nov.
4	Transitory	Apr.	Aug.	Dec.

- Place transitory material in a folder marked with the current month.
- On the first of the month, clean out material previously stored in the new current folder and begin using it for filing.

Example: On November 1, remove and destroy material filed in July and begin filing transitory material received in November in the emptied folder. This ensures that all material will be kept at least 3 months.

31 Filing Equipment and Supplies

A Proper Equipment

Using proper equipment and supplies makes filing easier, finding documents easier, and ensures that money is being well spent, resulting in economy over the long term.

B File Folders

The following types of folders are recommended for use in filing subject matter files.

Type of Folder	Folder Description	Reason to Use Type of Folder
Brown Kraft Folder	Square Straight Cut - Letter Size	Good for use with frequently referenced materials that are stored in any of the following: <ul style="list-style-type: none"> • traditional vertical file cabinets • executive wood furniture • lateral files with pull out drawers. Required for subject correspondence files being transferred (accessioned) to FRC.
	Two Tabs	Good for use with frequently referenced materials that are stored in stationary lateral file cabinets. <p>Note: Two sets of labels are required for 2-tab folders, 1 for the side and 1 for the top.</p>
Manila	Square Straight Cut - Letter Size	Good for use on short-term records with infrequent reference rate, personal copies of documents, and reference materials. <p>Reference materials are stored in any of the following:</p> <ul style="list-style-type: none"> • traditional vertical file cabinets • executive wood furniture • lateral files with pull out drawers.
	Side Tab - Letter Size	Primarily used in lateral and open-shelf filing. <p>Note: Do not use side tab folders for records that are transferable (accessionable) to FRC.</p>
Colored File Folders	Square Cut - Letter Size	For optional use only .

31 Filing Equipment and Supplies (Continued)**C Legal Size File Folders**

Do **not** use legal size file folders unless necessary to protect your records.

D Labels

Use 1-across and 3-across white and assorted color computer-generated labels.

E Colored File Folders and Colored Labels

The decision to use colored file folders and/or colored labels **must** be made by individual offices.

F State and County Office Requests for Additional File Cabinets

State Offices and DD's shall follow procedures in this table each time State Offices receive requests from County Offices for additional file cabinets.

Step	Action
1	Determine whether existing cabinets are being used properly.
2	Determine whether the current space shortage is temporary or is expected to continue for several years.
3	Examine alternatives to purchasing new cabinets, including: <ul style="list-style-type: none"> • short-term rental of safe-deposit boxes • availability of surplus cabinets in other federal agency offices near the County Office • the cost effectiveness of transferring cabinets between County Offices <p>Example: Substituting 2-drawer cabinets for 4-drawer cabinets in smaller County Offices.</p> <ul style="list-style-type: none"> • State Offices checking with State agencies for surplus property for acquiring surplus files before purchasing new files.
4	Submit requests for approval to purchase new file cabinets to DAFO. <p>Note: Requests must contain DD's certification that steps 1, 2, and 3 have been completed.</p>
5	Purchase file cabinets through the GSA supply catalog or the Federal Supply Schedule contract.

31 Filing Equipment and Supplies (Continued)

G National Office Requests for Additional File Cabinets

Make requests for additional filing equipment on **AD-700**. Include the following with the request:

- written justification that provides the condition creating the need
- description of what needs to be filed
- preferred or recommended size of filing equipment.

Send **AD-700** and other information to the applicable approving office.

32-42 (Reserved)

Section 2 Electronically Created Documents, E-Mail, E-Mail Systems, Records, and Automated Projects

43 Maintaining Electronically Created Documents

A Policy

FSA and FAS offices are creating records electronically on many systems. Electronic records must be maintained in the original format in which they were created.

B Electronic Records

Records are of critical importance no matter what the media format; such as, e-mail, word processing, web documents, tapes, diskettes, and CD's. In the Federal Government, electronic records are as indispensable as their paper predecessors to document citizens' rights, Agency business, and the nation's history. It is important that electronic records are captured, archived, and preserved in the original format for FSA and FAS to operate efficiently and effectively.

C Definition of Electronic Record

Electronic record, as defined in 36 CFR 1220.18, means any information that is recorded in a form that only a computer can process and that satisfies the definition of a Federal record under the Federal Records Act. The term includes both record content and associated metadata that the agency determines is required to meet agency business needs.

D Examples of Electronic Records

The following are examples of electronic records:

- graphic images created or maintained only in electronic form and never reproduced in hard copy form
- e-mail that contains statements of policy, rationale for a decision, sense of direction, or guidance above and beyond that documented in official files

Note: E-mails need to be stored in a medium that adequately provides for the security, safety, and retrievability of the record until its disposition date.

- output of electronic information systems that support agency management functions, such as statistical survey program, procurement programs, and correspondence tracking system, regardless of whether all or a portion of the information is also maintained in hard copy

43 Maintaining Electronically Created Documents (Continued)**D Examples of Electronic Records (Continued)**

- extracts of electronic information systems maintained in electronic form for the purpose of conducting studies and statistical analyses

Note: This includes databases obtained from outside sources, as well as databases created within the agency.

- any electronic information files, regardless of its size, containing PII that can be retrieved by a unique personal identifier, such as a name or an assigned number.

Note: Under the Privacy Act, electronic information files are referenced as “Systems of Records” and are protected from unauthorized disclosure.

E Distinguishing Records from Non-record Data

Apply the same criteria used for paper and records in other media type to determine whether electronic or automated information is a record or non-record.

F Examples of Non-record Material in Electronic Form

The following are examples of non-record material in electronic form:

- duplicate information that is maintained in hard copy as well as electronically on media stored in electronic form only to facilitate updating or revising the material at a later date
- work papers and personal notes in electronic form that:
 - have no record value because they are meaningless to persons other than the individual who created them
 - provide no rationale, sense of direction, or guidance above and beyond that documented in the official files
 - generally are used only by the author to facilitate the development and finalization of papers for approval by appropriate officials
- miscellaneous informal e-mail that does **not** contain information on, nor result in, and **cannot** be construed to imply policy of any element of the agency and have **not** been placed in the official files.

43 Maintaining Electronically Created Documents (Continued)**G Special Characteristics of Electronic Records**

The following are special characteristics of electronic records:

- they are usually created or stored on erasable, reusable media, such as diskettes or magnetic tape
- because they are fragile, they should be managed early in their life cycle
- because most electronic data are easy to update, revise, and reuse, their lifecycle tends to be shorter and more complex than that of paper records
- they **require** detailed technical documentation to understand and administer
- they are best managed in the context of an information system that is comprised of input or source documents, records residing on electronic media, and outputs, along with related documentation and any indexes or finding aids.

H Electronic Records Management

Electronic records management is:

- using automated techniques to manage records regardless of format
- the broadest term that refers to electronically managing records on varied formats.

The National Archives and Records Administration's website has additional guidance on managing electronic records. This guidance can be found at:

<https://www.archives.gov/records-mgmt>.

43 Maintaining Electronically Created Documents (Continued)**I Official Record Copy for Correspondence**

For correspondence, the **original document** is the **official record** for all correspondence created in FSA and FAS.

Note: Records maintained in ECM correspondence system are considered to be the **original documents** and are considered the **official records**.

All offices which create original correspondence records and related documentation shall:

- maintain the agency's copy of all electronic correspondence and internal communications in the format it was created in
- keep the original with all incoming correspondence and other related documentation.

J Calendars

Calendars of the FSA and FAS **Administrators' and Deputy Administrators' offices** have been appraised by NARA as permanent record material. FSA and FAS Administrators' and Deputy Administrators' offices shall maintain their Outlook calendar as their official record. The calendars should document all meetings, appointments, conference calls, trips, visits, activities, and any changes or cancellations for all government officials while serving in an official capacity in the Administrators' or Deputy Administrators' offices.

K State and County Office Action

State and County Offices shall maintain all electronic correspondence and internal communications in the format it was created in.

44 E-Mail and E-Mail Systems

A Purpose

This paragraph informs FSA and FAS employees about:

- the FSA and FAS policy on e-mail
- their responsibilities for managing records made or received through e-mail.

B E-Mails May Be Records

E-mails that are **created or received for action are** official records, if they meet the criteria in the statutory definition of records; that is, the e-mail documents the FAS or FSA mission or provides evidence of FAS or FSA business transactions.

C Policy on E-Mail

It is FSA and FAS policy to maintain our e-mails pursuant to Capstone procedures.

Capstone guidance (**GRS-6.1**) can be found at <http://www.archives.gov/records-mgmt/grs.html>.

The complete incoming and outgoing e-mail consists of the following:

- transmission data that identifies the sender, the recipients, and the date and time the e-mail was sent and/or received
- distribution list information, when applicable, identifying all parties on the list
- record of codes or aliases to identify senders or recipients
- attachments.

44 E-Mail and E-Mail Systems (Continued)**D Responsibilities**

Both the sender and the recipient of e-mail are responsible for the following:

- documenting their activities and agency activities
- determining whether e-mails are part of that documentation
- adhering to agency policy for e-mail records.

E Deleting E-Mails

E-mails that are **not** official records may be deleted when no longer needed or according to agency policy.

F FOIA Requests

E-mails are subject to FOIA and their release is subject to the same FOIA exemptions that apply to other agency records.

G Backup Tapes

Backup tapes and diskettes:

- do **not** automatically manage records
- are **not** suitable for recordkeeping purposes
- are created solely for the purpose of protection from system failures, disasters, and/or emergency situations
- are maintained for short-term as mandated by NARA in **GRS 3.2-040 and GRS 3.2-041**.

45 Automated Records Management Systems

A Standard

NARA has endorsed version 2 of the DoD Electronic Records Management Software Applications Design Criteria Standard (Department of Defense (DoD) Electronic Records Management standard **DoD 5015.2p** dated February 24, 2015) for use by all federal agencies.

B Policy

FSA and FAS automated records management systems **must** meet the criteria in **DoD 5015.2p**. The design criteria are available at **<http://www.dtic.mil/whs/directives/corres/pdf/501502p.pdf>**.

C Electronic Recordkeeping

Electronic recordkeeping is the development of automated processes that an agency uses to manage its electronic records. Record management automated processes support **not** only the preservation of an electronic record's content, but also its context and structure over time.

D Electronic Recordkeeping System

An electronic recordkeeping system is an information system that is designed to meet an agency's recordkeeping needs. At a high level, NARA has defined an electronic recordkeeping system as an electronic information system in which records are collected, organized, and categorized to facilitate their preservation, retrieval, use, and disposition. From a record's perspective, an electronic recordkeeping system will ensure that the records it maintains will have sufficient authenticity and reliability to meet all of the agency's recordkeeping needs.

46-56 (Reserved)

Section 3 Safeguarding Records

57 Record Custody

A Overview

This section contains information on:

- records custody
- availability of official files
- safekeeping of records and accountable forms.

B Responsibility

Each office is responsible for safeguarding, maintaining, and disposing of all created or received official records according to this handbook.

C Records of Employee Separating From Position

Any employee who transfers or leaves government service **must**:

- complete **AD-1106-2** and have it signed by their supervisor and a records officer or records liaison
- leave **all** official records for the successor to the position
- before removing any material, other than personal papers, request that the material be reviewed for determination of official record material
- make the request for the determination to the MSD Records Staff by e-mail to **AskMSD** and/or **AskMSD Kansas City**.

58 Official File Availability

A Record Availability

See **2-INFO** for availability of records to:

- other federal agencies
- the public
- the courts.

This handbook:

- provides policy and general guidance for administering and implementing FOIA, **5 U.S.C. 552**, as amended, within FSA
- applies to all FSA offices that receive and respond to FOIA requests
- is subject to the requirements of FOIA and USDA FOIA regulations.

B Removing Records

Federal employees may remove official files from offices only in the course of their official duties.

If files are removed, complete **OF-24 the Shelf File Charge out Record** identifying the following:

- material
- person removing files
- secure return of loaned files after a reasonable length of time.

If files are **not** returned on request:

- County Offices shall notify State Offices
- National and State Offices shall notify the MSD Records Staff.

If the employee does not return the records, they may be held accountable under Title **18 U.S.C. 2071** (concealment, removal, or mutilation of records).

58 Official File Availability (Continued)

C Extended Retention of Records

Keep inactive official records beyond the established retention period when another federal agency or court of law has indicated a reasonable need for further retention.

Extend the retention of records according to this table.

Step	Action
1	Prepare a written record to document the following from the requestor: <ul style="list-style-type: none"> • name, agency, and telephone number • authority or reason for the request • identification of records to be kept • approximate length of time the records should be kept.
2	Contact the requestor to determine whether the records may be destroyed at the end of the specified period.
3	Do not destroy records after a request is received, even if the retention period has expired. See <u>2-INFO</u> and <u>3-INFO</u> .

59 Safekeeping Records and Accountable Forms**A General Requirements**

Keep the following records in heat-resistant cabinets with locks:

- warehouse receipts
- original executed loan notes and security agreements

Note: This does **not** include complete loan folders.

- executed negotiable documents, such as payroll checks and producer checks and certificates
- individual record retirement cards or documentation
- cash and stamps.

Keep unexecuted negotiable documents and accountable blank forms in either of the following:

- standard steel cabinets with locks
- a locked room.

GSA has procedures for procuring secure storage equipment, such as security containers, IPS containers, and vault doors.

32 CFR 2001.42 (a) Storage, prescribes that "... whenever new secure storage equipment is procured, it shall be in conformance with the standards and specifications established by the Administrator of GSA, and shall, to the maximum extent possible, be of the type available through the Federal Supply System."

GSA-approved security containers and vault doors must now be procured through GSA Global Supply using the appropriate national stock number. The website for additional information for ordering security equipment is available at **<http://www.gsa.gov/portal/content/170591>**.

Likewise, **GSA approved IPS** containers must be purchased using special item number 489-190 under the GSA multiple award schedule program. All security storage equipment used for securing classified information shall have the GSA approval label.

59 Safekeeping Records and Accountable Forms (Continued)

B Sensitive Materials

Sensitive documents include the following:

- disciplinary actions
- marketing prices
- copies of loan documents
- material from whistleblowers
- docket
- material containing names, Social Security numbers, or other personal information.

Offices having custody of sensitive documents shall follow the instructions in this table.

IF sensitive documents consist of...	THEN the...
marketing prices, docket, and other similar information that cannot be revealed until the information is released	information must be stored in locked file cabinets until released.
disciplinary actions, copies of loan documents, and material from whistleblowers	material must : <ul style="list-style-type: none"> • be maintained in a locked cabinet • not be left out on a desk when leaving the office for a short time or at the end of the day.
materials containing employee's name, Social Security number, and other personal information	

C Documents Containing PII

Documents containing PII can be used to distinguish or trace an individual's identity. Examples include the following:

- names
- Social Security numbers
- medical records.

PII also includes data that, when combined with other ID information, can be linked to a specific individual. Special considerations are **required** to best protect PII during record transfers (accessions).

This paragraph reflects appropriate handling according to PA requirements. Contact the MSD Records Staff if records containing PII are compromised or disclosed during transfer (accession) then this needs to be reported as a PII incident. FSA Employees shall immediately, when possible, but not to exceed 1 hour after becoming aware of the PII incident, notify the FSA Privacy Officer, FSA Information Systems Security Program Manager, or the FSA-Incident Response Team at 800-255-2434.

59 Safekeeping Records and Accountable Forms (Continued)

D Audits and Investigations

Offices shall follow instructions in this table for handling open and closed audit and investigation cases.

IF...	AND audit or investigation concerns...	AND...	THEN...
an open case	FSA and FAS offices		store case files of audit and investigation reports in locked file cabinets.
a closed case	FAS office	assistance is needed for maintaining, determining status, or disposing of audit reports and/or reports of investigation (both administrative and criminal)	contact Kim Cash, Director, Compliance, Security, and Emergency Planning Division at 202-720-0773.
	FSA office		contact the Audits and Investigations Staff at 202-690-2532 Note: FSA Offices shall see <u>9-AO</u> , paragraphs 36 and 50 for instructions on handling closed audits and investigations.

E Classified Information

Offices receiving, maintaining, and disposing of classified information shall follow instructions in **Department Manual 3440-001** that is available at **<http://www.ocio.usda.gov/document/departamental-manual-3440-001>**.

60-70 (Reserved)

Section 4 Incident Response**71 General Information****A Introduction**

This section will assist record custodians, liaisons, managers, and office personnel with records management procedures in the event of storm, flood, fire, and other disaster. FSA and FAS follow best practice approaches, regulations defined in U.S. law, and considerable support and guidance from NARA.

B Policy and Compliance

It is the policy of FSA and FAS to be prepared to respond swiftly in the event of natural disaster, technological, national security, and other emergencies at National, Regional, State, and County Office levels to reduce disruption of services and ensure continued Government operations, while protecting agency employees.

All offices shall comply with this policy and support a coordinated incident response structure within the agencies.

C Incidents Types

The following are examples of incident types that destroy records:

- fire damage
- water damage (flood, water pipe break, etc.)
- winds, storms, or tornadoes
- earthquake
- sabotage or terrorism
- human error or carelessness
- building or equipment failure
- power loss or electric surge
- insects, rodents, and other pests
- mold and mildew
- media deterioration or break-down
- civil emergencies (riots, war, etc.).

72 Incident Response Responsibilities

A MSD Responsibilities

MSD is responsible for proactively providing guidance before, during, and after an incident about:

- COOP - Continuity of Operations
- coordinating and facilitating plan implementation with an affected site
- training, whether directly from the MSD Records Staff or through government or non-government training vendors
- safety issues, including assessment of air quality and habitability, hazardous exposure, and protective equipment
- building management issues, including leasing and structure recovery
- records management incident response and recovery
- plan implementation, such as safeguarding records, records recovery issues, and restoration of records.

Complete the following incident forms as necessary:

- **FSA-810**
- **FSA-811**
- **FSA-812**
- **FSA-813**
- **FSA-814**
- **KC-703**

B MSD, KCASB Responsibility

MSD, KCASB is responsible for providing guidance and/or facilitating procurement services that exceed a State or County Office purchase authority.

72 Incident Response Responsibilities (Continued)

C Head of Office Responsibilities

The head of office shall do the following when an incident occurs.

Step	Action
1	Protect employees from hazards or threats.
2	Ensure records management incident preparedness.
3	Rapidly respond to the incident affecting the agency site.
4	Provide guidance and leadership when an incident appears imminent and during the incident, and facilitate post-incident procedures following the event.
5	Designate a records incident coordinator to safeguard records before an incident, and assist in recovering incident-affected records.
6	Ensure that incident response and recovery is included as part of the site's COOP. COOP should be provided on an annual basis for review and compliance to higher levels within the organization; such as, County Office to State Office, State Office to COOP advisor, Kansas City and St. Louis Offices to Washington, DC.
7	Provide training for employees. Site employees should be knowledgeable about procedures outlined within COOP. Ensure that sufficient numbers of employees are trained to be alternates for records incident coordinator positions.
8	Ensure that operational procedures properly address record issues about system backups and offsite storage, vital record identification, staff training, and yearly review of COOP.
9	Identify and safeguard: <ul style="list-style-type: none"> • records and information essential for emergency operations in the event of an incident and for immediate resumption and continuation of business • records frozen because of litigations, audits, or investigations (subparagraph 201 D).
10	Communicate closely with agency incident points of contact and external incident personnel to ensure that procedures and information flow in an effective and timely manner.

73 Records Incident Coordinators

A Records Incident Coordinator Qualifications

This table lists records incident coordinator qualifications.

Item	Qualification
1	Review the records management incident response procedures at http://www.ocio.usda.gov/sites/default/files/docs/2012/DM1800-001_1.pdf .
2	Has formal incident training by FSA or NARA.
3	Understands the effects of different environmental and hazardous conditions.
4	Must be capable of rapidly responding both with and without warning.
5	Familiar with regional and local resources to assist in locating supplies and support.
6	Carefully briefed on COOP aims and goals by the head of office.

B Records Incident Coordinator Actions

This table lists actions the records incident coordinator shall perform.

Step	Action
1	Be trained and ready to respond to safeguard records before any incident situation, as well as facilitate recovery when an incident event occurs. Note: If any qualifications should change, the records incident coordinator should immediately notify the head of office.
2	Seek guidance from the MSD Records Officer about any issues that deal with technical matters beyond the experience, technical knowledge, and/or skill level of the records incident coordinator. Whenever there is uncertainty or lack of comfort, contact the head of office and/or MSD Records Officer for guidance.
3	Ensure safety from hazards or threats.
4	Ensure incident preparedness for records.
5	Train office personnel on best practices for incident response and recovery of records.
6	Prepare site records and safeguard before imminent incidents.
7	Facilitate post-incident procedures for records recovery.
8	Communicate with agency incident points-of-contact , including the MSD Records Staff before and after a records incident.

74 Safeguarding and Recovering Records**A Safeguarding Records Integrity**

The following are preliminary steps to ensure records integrity:

- do **not** store records less than 6 inches from ceilings, floors, or suspended lights
- keep records 18 inches from sprinkler heads
- keep records free from contact with electrical or fire alarm systems
- ensure that records will **not** obstruct any exit, access panel, air conditioning duct, or fire extinguisher
- do **not** eat and drink in the stack areas or research rooms and report any roof leaks or signs of the presence of rodents or insects immediately to either of the following:
 - Keith Holden, Records Officer, by telephone at 202-772-9137.
 - Sue Brazeal, Records Analyst, by telephone at 816-926-2635.
 - Debbie Lackey, Records Analyst by telephone at 816-926-8813.

B Recovery Procedures

When a disaster or incident occurs, the records custodian, head of office, or CED/FLM is **required** to relate details about the emergency and the level of threat to records to the MSD Records Officer. The records custodian, head of office, or CED/FLM will need to perform an initial assessment of the damage and take immediate steps to stabilize the condition of the records, so **no** further damage occurs. A records recovery team of agency staff is recommended to expedite stabilizing all records. If damage assessment shows a need for disaster recovery of records, then consult with contractors who provide record disaster recovery services. Take actions to replace records, such as gathering information from IT systems, etc., when recovering the lost recorded information is **not** feasible. After recovery efforts are moving forward, continue agency business operations.

74 Safeguarding and Recovering Records (Continued)

C Agency Disaster Points of Contact

The following are agency disaster points-of-contact.

MSD		
Director	Robert Haughton	202-720-6831
IMS Record Staff	John Underwood	816-926-6992
	Keith Holden	202-772-9137
	Sue Brazeal	816-926-2635
	Amber Ross	816-926-6371
	Debra Lackey	816-926-8813
IMB Record Staff	Liz Ashton	202-690-3739
AMD		
Acting Director	John Blanchard	202-720-7212
EPD		
Director	David Wechsler	202-720-2929

D Incident Response References

The following table is a list of current incident response references.

Note: Some may be duplicates in basic provisions.

Reference	Title
<u>36 CFR Part 1236</u>	36 CFR Part 1236, Electronic Records Management at http://www.ecfr.gov/cgi-bin/text-idx?SID=423aff843aa3b8cd7e17580252e35334&node=pt36.3.1236&rgn=div5 .
<u>DM 3570-000</u>	IT Contingency and Disaster Planning, dated February 17, 2005, at http://www.ocio.usda.gov/sites/default/files/docs/2012/DM3570-000%5B1%5D.pdf .
<u>DM 3570-001</u>	Disaster Recovery and Business Resumption Plans, dated February 17, 2005, at http://www.ocio.usda.gov/sites/default/files/docs/2012/DM3570-001%5B1%5D.pdf .
<u>DR 1800-001</u>	Incident Preparedness, Response, and Recovery, dated December 2011, at http://www.ocio.usda.gov/sites/default/files/docs/2012/DM1800-001_1.pdf .
<u>DR 3080-001</u>	Records Management, dated May 23, 2013, at http://www.ocio.usda.gov/sites/default/files/docs/2012/DR%203080-001%20Records%20Management.pdf .

74 Safeguarding and Recovering Records (Continued)

D Incident Response References (Continued)

Reference	Title
<u>Executive Order 12656</u>	Assignment of Emergency Preparedness Responsibilities, dated November 18, 1988, at http://www.archives.gov/federal-register/codification/executive-order/12656.html .
Federal Records Act	As codified in <u>44 U.S.C. 29, 31, and 33</u> at http://www.archives.gov/about/laws .
NARA Instructional Guide	Vital Records and Records Disaster Mitigation and Recovery: An Instructional Guide at http://www.archives.gov/records-mgmt/vital-records .
<u>OMB Circular A-130</u>	Management of Federal Information Resources, Appendix III at http://www.whitehouse.gov/omb/circulars_a130_a130trans4 .
<u>Privacy Act of 1974</u>	<u>5 U.S.C. 552a</u> at http://www.archives.gov/about/laws/privacy-act-1974.html .
<u>File Maintenance and Disposition Manual</u>	<u>File Maintenance and Disposition Manual</u>

75-81 (Reserved)

Section 5 Shredding Paper Documents

82 Overview

A Shredding

Additional information about shredding records can be found in 3-INFO.

B Contact

Direct questions about shredding records to the FSA Records Officer Keith Holden by either of the following:

- e-mail to **keith.holden@wdc.usda.gov**
- telephone at 202-772-9137.

83 Purchasing and Using Shredders

A Definition of Shredding

Shredding is a destruction process that is used to dispose of certain documents to prevent the documents from being reconstructed.

B Policy on Using Shredders

All FSA and FAS records are considered restricted. Destruction of restricted records must be done by shredding or pulping.

If using an office shredder for destruction of records, because of the potential for the records to contain protected data (to include PII), FSA offices must use a shredder that has a maximum shred size (refuse/output) that is no larger than 3/32" x 19/32" (2.4 mm x 15 mm) micro-cut particles. The established micro-cut standard meets the NIST Special Publication 800-88 revision 1 - Guidelines for Media Sanitization requirement that the size of the refuse/output be small enough that there is reasonable assurance, in proportion to the level of data confidentiality, that the protected data cannot be reconstructed.

C Requesting Shredders

The FSA Privacy Officer can provide guidance concerning the purchase of PII compliant shredders that meet/exceed the baseline FSA policy of producing a maximum shred size output of no larger than 3/32" x 19/32" (2.4 mm x 15 mm) micro-cut particles.

D Bulk Shredding

If bulk shredding records (onsite shredding or transport to a shredding facility), because of the potential for the records to contain protected data (to include PII), for bulk (large scale) records destruction FSA offices must have the destruction performed by a vendor that is NAID certified.

The FSA Privacy Officer can provide guidance concerning the NAID certified vendors that service a given local area.

83 Purchasing and Using Shredders (Continued)**E Destroying Forms**

For negotiables, checks, identify and inventory the forms on plain paper by entering the first and last serial numbers of the form. Make a record of form numbers, titles, and serial numbers.

When notified that accountable administrative forms are obsolete, dispose of the remaining supply and have at least 2 witnesses sign and date the inventory statement indicating that they witnessed actual destruction of all the forms. For nonnegotiable forms, no witnesses are **required**.

- Keep the inventory statement in the office for 3 years per FORM-1 of the **File Maintenance and Disposition Manual**.
- For non-accountable forms, if forms and other records **cannot** be advantageously sold or otherwise salvaged, dispose of them as wastepaper.

F NIST Special Publication 800-88

Paper documents containing protected data can be sanitized by shredding. **NIST Special Publication 800-88 Revision 1** recommends for paper documents containing protected data that the shred size of the refuse/output should be small enough that there is reasonable assurance, in proportion to the level of data confidentiality, that the protected data **cannot** be reconstructed.

83 Purchasing and Using Shredders (Continued)**G Shredding Paper Documents**

Because of the potential for the records to contain protected data, including PII, FSA offices must use a shredder that has a maximum shred size (refuse/output) that is no larger than 3/32" x 19/32" (2.4 mm x 15 mm) micro-cut particles for records destruction. The established micro-cut standard meets the NIST Special Publication 800-88 revision 1, Guidelines for Media Sanitization, requirement that the size of the refuse/output be small enough that there is reasonable assurance, in proportion to the level of data confidentiality, that the protected data cannot be reconstructed.

The FSA privacy officer can provide guidance concerning the purchase of PII compliant shredders that meet/exceed the baseline FSA policy of producing a maximum shred size output of no larger than 3/32" x 19/32" (2.4 mm x 15 mm) micro-cut particles.

Because of the potential for the records to contain protected data, including PII, for bulk (large scale) records destruction FSA offices must have the destruction performed by a vendor that is NAID certified.

The FSA privacy officer can provide guidance concerning the NAID certified vendors that service a given local area.

See 3-INFO for additional information about shredding records. Questions about shredding records can be referred to the FSA privacy officer according to subparagraph 84 C.

84 FOIA, Subpart C, Release and Denial of Records

A Overview

Any electronic information files, regardless of size, that contain personal information on individuals that can be retrieved by a unique personal identifier, such as a name or an assigned number, can be withheld under FOIA, Subpart C. Under PA, electronic information files are referenced as Systems of Records and are protected from unauthorized disclosure. For more information on FOIA or PA, do any of the following:

- see 2-INFO for FOIA
- see 3-INFO for PA
- contact the agency FOIA and PA officer.

A method of improper data collection can be through the act of dumpster diving whereby individuals can obtain access to improperly disposed of documentary material that contains PII and data protected from disclosure by FOIA or PA. PII and data protected from disclosure by FOIA or PA are collectively known as protected data.

One key to significantly limiting the risk posed by improper documentary material disposal is to shred both record and non-record paper documents that contain protected data. When a determination is made that retention is no longer **required**, FSA employees and contractors are responsible for the proper shredding of the record and non-record paper documents containing protected data that was used or created when accomplishing their official duties.

B Disposing of PA or Proprietary Records

When funding allows, FSA offices may purchase any shredder for shredding paper documents that contain protected data, as long as the shredder meets the maximum shred size according to subparagraph 83 G.

Important: This paragraph does **not**:

- address the shredding of classified (top secret, secret, and/or confidential) information
- **require** a change to the current protected data shredding practice in FSA offices
- **require** the purchase of new office shredders.

C Contact

If there are questions about this paragraph, contact John Underwood, PA Officer/PII Officer, by either of the following:

- e-mail to john.underwood@kcc.usda.gov
- telephone at 816-926-6992.

85 Official Records and Non-Records

A Definition of Federal Records

A **federal record** is an information resource, in any format, that is:

- created in the course of business
- received for action
- needed to document agency activities.

Federal records includes all recorded information, regardless of form or characteristics, made or received by a federal agency under federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the United States Government or because of the informational value of data in them; and does not include library and museum material made or acquired and preserved solely for reference or exhibition purposes; or duplicate copies of records preserved only for convenience.

Recorded information, for purposes of this paragraph, includes all traditional forms of records, regardless of physical form or characteristics, including information created, manipulated, communicated, or stored in digital or electronic form.

B Definition of Non-Record Documentary Material

Important: This paragraph applies **only** to the shredding of non-record paper documents containing protected data.

Non-record documentary material means federal government-owned documentary material that does **not** meet the legal or statutory definition of an official record or that are excluded from the coverage (defined as non-record materials by NARA regulations). Documentary material excluded from the definition of a record includes the following:

- extra copies of documents that are retained only for convenience of reference
- library and museum materials intended solely for reference or exhibition purposes
- stocks of publications and of processed documents.

A non-record paper document is a document that **requires** no official action on the part of USDA and on which no official action is taken on the part of USDA.

85 Official Records and Non-Records (Continued)

B Definition of Non-Record Documentary Material (Continued)

Example: Documentary material that does **not** or will **not** serve as the basis for any official USDA action, such as a draft copy where an error was made and a corrected draft copy was created to replace the draft copy containing the error.

A non-record is a copy and/or duplicate printout of an official record, or an exact copy of official record on which no additional operational or administrative notation (electronic or handwritten) action has been recorded.

NARA regulations define documentary material **not** owned by the Federal Government as “personal papers”. Personal papers are documentary material of a private or no personal papers of files.

Personal papers or files are documentary materials accumulated by an official or staff member that are not used in the transaction of agency business but that may be maintained in a Government office. Personal papers/files may refer to or comment on the subject matter of agency business, provided they are not actually used to conduct business. If maintained in a Government office, personal papers should be clearly designated as such and filed or otherwise maintained separately from the records of an office.

86 Appraisal/Technical Work Folders**A Establishing a Work Folder**

The USPAP record keeping rule requires that an appraiser prepare a work file for each appraisal or technical review request. The work file must be in existence before issuing any report. Refer to the USPAP record keeping rule for information about USPAP requirements to be included in the work file.

B Establishing a Work Folder

An appraisal/technical review work folder is an agency record. Work folder will be relinquished to the agency.

Information retained in the work folder will be **properly organized**.

C Folder

The appraiser will use a folder as described by subparagraph 166 A. The volume of documentation to be stored will dictate the type of folder to be used; 4 or 8 position. Single file folder is not recommended since the employee cannot properly organize information.

Refer to subparagraph 166 D regarding the file label requirements when the folder is created. Subsequent file folder label requirements are described in subparagraph E.

D Arranging Materials within Folder

Arrange information within the folder in an organized manner and it is suggested that the information is organized or grouped by similar information. The suggested grouping of information is described by the position filing method in subparagraph E for the 8 different categories of items or information. It is recommended that the folder be organized by the 8 position method and by use of metal fasteners to fasten materials.

E Position Filing

Position filing within a folder is the segregated arranging of functionally related material in a predetermined folder position. The filing position is the specific place where records are fastened within a folder.

86 Appraisal/Technical Work Folders (Continued)

E Position Filing (Continued)

An 8 position work folder record shall be classified for each file position according to the following table.

Position Number	Description
1	Client assignment information; appraisal order form and supporting documentation.
2	Legal documents or misc. information; Title report, other legal documents, legal or special issues associated with the subject property and misc. information.
3	Running record; record conversations with client, includes reference to outside source data (i.e. Marshal and Swift information, etc.) and location of digital information as described by subparagraph H.
4	Communications; correspondence, email, etc.
5	Subject property information; property data, photos and related research data.
6	Appraisal process; information for the scope of work, economic and demographic information, each approach to value analysis and supporting documents, research and conclusion analysis information.
7	Comparable sales data; market data, sales list, sale analysis, organized by sale.
8	Report; appraisal or technical review document.

A 4 position work folder record shall be classified for each file position according to the following table.

Position Number	Description
1	Refer to 8 position folder table description of position 1.
2	Refer to 8 position folder table for description of position 2.
3	Refer to 8 position folder table for description of position 3, 4, 5 and 6.
4	Refer to 8 position folder table description of position 7 and 8.

86 Appraisal/Technical Work Folders (Continued)

F Voluminous and Bulky Documents

File all documents in the designated position except when the volume, size, or unique subject matter requires separation for better maintenance purposes. In these circumstances, place a divider sheet in the position where the material would normally be filed and identify the continuation folder where the material is located. Provide proper file label in accordance with guidance on labeling file folders in paragraph 30.

Note: The initial folder for the work folder associated with the appraisal or technical review would be “1 of _____,” the first continuation folder “2 of _____”.

G Information Retained

The work folder shall document all information used to support the appraiser’s value, opinion and conclusions. At a minimum, the work folder will have:

- the name of the client, their identity, by name or type and any other intended users
- report - A true copy of the appraisal or technical review report must be in the work folder. The appraisal or technical review report may be on any type of media that is retrievable by agency software
- all other information and documentation necessary to support the appraiser’s opinions, conclusions and the value, if applicable, and to show compliance with USPAP
- any additional information required by USPAP.

H Reference to Digital Documents

Documents that are in a digital format will be referenced in the work folder. Digital files shall be stored and accessible on the office network shared S drive. Any digital document that is secured will have a password according to the DAFO standardized password requirement. Refer to paragraph 87 about requirements for digital file storage.

The reference to digital document or source of information will include sufficient information to identify and locate the source. Information to be provided in the work folder, at a minimum, will be:

- how to access the data; source and location
- the data used or obtained
- description
- format
- if the data or file is secured or not and if secured, provide password
- if a software application is necessary to access or view the data
- if software application is necessary and unique, the version of software that was used.

86 Appraisal/Technical Work Folders (Continued)

H Reference to Digital Documents (Continued)**Examples:**

- Network file
File Path: \\aioortua3fp1\ortua\Shared\FSA\FLP\Appraisals\FLP 1-2-6\43001-Baker\Dow, John - Dow, Jimmy - Appraisal - 2016.01.25\Position 6

File Name: Dow-John Sales Analysis Workbook 20160105.xlsx

Format: Excel

Software: Microsoft Excel 2013

Secured: Yes Password: WDC-FLP-1234

Description: Sales analysis workbook

Information used: Complete analysis included in appraisal report

- Web page

Uniform Resource Locator (URL):

http://www4.bakercounty.org:8080/webproperty/Assessor_Search.html

Note: The URL is used as the address of a specific web site or file on the Internet. It is the reference of the location of the information that is available on the Internet.

Source: Property search information.

Software: Web application, internet explorer

Information used: Extracted property data for all sales mentioned in appraisal for 2015 data.

- Application

Application: ArcMap

Version: Agency application, 10.1

Source: Oregon GIS Sales Project

Path: \\aioortua3fp1\ortua\Shared\FSA\FLP\Appraisals\GIS\Oregon Project

File Name: Oregon Sales Project.mxd

Secured: No

Description: GIS analysis work on all sales provided in the appraisal report.

Information use: GIS, analysis in ArcMap for soils data and maps

86 Appraisal/Technical Work Folders (Continued)

H Reference to Digital Documents (Continued)

- Application

Application: Marshall & Swift, Commercial Cost Explorer

Version: N/A

Source: DVD, September 2015

Secured: No

Description: Used data for cost analysis of improvements.

File: Printouts are saved as PDF under each sales folder.

Path: \\aioortua3fp1\ortua\Shared\FSA\FLP\Appraisals\FLP 1-2-6\43001-Baker\Dow, John - Dow, Jimmy - Appraisal - 2016.01.25\Position 7

Position 3 of the folder will contain documentation of digital and electronic reference.

Note: Appraiser may create a template containing sources of information used in the report with the required information to document the digital data that can be placed on the work folder for each assignment.

87 Digital Appraisal/Technical Work Folders

A Establishing a Digital Folder

All digital documents created in the development of an appraisal or technical review will be stored on the office S drive following the same layout as paper files as described below and the File Maintenance and Disposition Manual.

Documents will be organized and stored in the appropriate subfolder as described in subparagraph B. The subfolders will represent each position in a paper file.

B Establishing Folder Hierarchy

The hierarchy file structure will start at the office S drive with FLP as the first folder. Subfolders will be created in the following order:

- Appraisal; i.e. S:/FLPF-6-b/Appraisal
- operational file name, (i.e. FLPF-6-b for appraisal or FLPF-6-b-1 Pre-Decision Appraisal review, i.e. S:/FLPF-6-b/Appraisal/FLPF-6-b-1
- fiscal year, in a format, FY####; i.e. S:/FLPF-6-b/Appraisal/FLPF-6-b-1/FY####
- state and county FIPS code “-“ county name; i.e. S:/FLPF-6-b/Appraisal/FLPF-6-b-1/FY####/#####-County Name
- owner name (last, first) “ - “ applicant’s name (last, first) if different from owner; i.e. S:/FLPF-6-b/Appraisal/FLPF-6-b-1/FY####/#####-County Name/owner’s last name, owner’s first name – applicant’s last name, applicant’s first name.

Folders will be created in the owner name folder as follows:

- Position 1
- Position 2
- Position 3
- Position 4
- Position 5
- Position 6
- Position 7
- Position 8.

87 Digital Appraisal/Technical Work Folders (Continued)**B Establishing Folder Hierarchy (Continued)**

Example of the hierarchy structure is:

S:/FLPF-6-b/Appraisal/FLPF-6-b-1/FY2016/43001-Baker/Dow, John – Dow, Jimmy

Under the Dow, John – Dow, Jimmy folder there is a subfolder for each position 1-8 as:

- Position 1
- Position 2
- Position 3
- Position 4
- Position 5
- Position 6
- Position 7
- Position 8.

Documents will be stored in the appropriate position folder as described by subparagraph 86 E. Position folders will only be created as needed to store documents.

Appraisers may establish digital files in the same fashion as the work folder paper file to maintain continuity between the two mediums.

Appraisers may refer to paragraph 86 for more details about setting up files. If digital storage is limited, then:

- only digitally generated documents must be stored in the digital folders
- the paper copy of documents would be stored in the paper folder with reference placed in the paper folder as to the location of the digitally stored documents. Refer to subparagraph 86 H for guidance for proper documentation of digital documents in the paper folder.

87 Digital Appraisal/Technical Work Folders (Continued)**C Digitally Secured Document**

If it is necessary to secure a digital document due to confidential information or to protect PII the digital document will be secured with a password according to the DAFO standardized password requirement. The file naming convention will include an underscore “-” and the letter “s” at the end of the file name. The letter “s” will identify the digital file as a secured document.

A digitally secured document will require the creation of a paper folder as described by paragraph 86. The information documenting the secured document will be stored in the folder according to subparagraph 86 H.

A single folder may be used with the appropriate label if there is no other information stored in the paper folder.

D Digital vs. Paper Folder

If the majority of the work folder is stored in the digital folder the digital folder will be the medium for the agency record. If it is necessary to have stored documents in the paper folder then the position 3 digital folder shall have a word document file that explains that there is a paper version of the work folder.

The naming convention for this digital file will be; Paper Folder Reference-README.docx

The report may be stored digitally in the appropriate digital position folder and will meet the requirements of USPAP record keeping rule.

E Acceptable Digital Format

The preferred digital format of a digital document will be PDF. However, agency software applications with common digital file formats are acceptable i.e., DOC, XLS etc.

For further guidance about acceptable digital format, refer to NARA electronic format guidance at <http://www.archives.gov/records-mgmt/bulletins/2014/2014-04.html>

The FSA records officer can provide further guidance.

87 Digital Appraisal/Technical Work Folders (Continued)**F Reference to Digital Source Outside Network**

It is encouraged that the digital format of analysis or output data from software applications, web pages and other sources be generated and stored in PDF or a format that can be viewed by agency software application. These digital documents should be stored in the appropriate digital work folder subfolder.

If there are documents or digital sources that data output that cannot be stored in a digital file format it is suggested that a spreadsheet be created and stored in the digital position 3 folder that provides information to document the source. The information that will be documented in the spreadsheet is described by subparagraph 86 H.

It is suggested that the column names on the spreadsheet be as follows:

- path or URL; reference to the source or location
- description of source
- format
- use
- secured
- password
- application to access
- version
- comments.

Above the column row the first row(s) should have the owner's last and first names and the applicant's last and first names, if different. The following is an example of the suggested format.

Row 1	Owner's Name:	Dow, John			
Row 2	Applicant's Name:	Dow, Jimmy			
Row 3					
Row 4	Path URL	Description	Format	Use	Secured ...

Each row in the spreadsheet will be used to identify a single source. If there is no data for the particular column enter "N/A".

The naming convention for the spreadsheet file name will be: Data Sources Outside Network-README.xls

88-122 (Reserved)

Part 4 Disposition of Records and Transfers to FRC

Section 1 Disposition of Records

123 Applying Disposition Instructions

A Overview

This part includes information about:

- records management
- responsibilities
- application of disposition instruction for case files and non-record material
- methods of disposal
- transferring records to FRC's and NPRC
- records stored in FRC's
- using regional FRC's
- requesting reference service.

B Disposition Instructions

The **File Maintenance and Disposition Manual**, available on the Records Management web site at <https://sharepoint.fsa.usda.net/mgr/DAM/FSA-FAS-RecordsManagement/File%20Maintenance%20and%20Disposition%20Plans/Forms/AllItems.aspx>, contains specific instructions about the retention of file types. The retention periods specified are:

- mandatory
- **not** to be exceeded unless a specific operational or legal requirement makes it necessary to keep the records past the designated retention period.

Never destroy any records before the authorized disposition period.

If records maintained are **not** covered by the **File Maintenance and Disposition Manual**, contact MSD Records Staff. These records must be maintained as permanent records until a disposition schedule for those records is approved.

If records are past their retention, prepare and send **KC-703** to the MSD Records Staff by e-mail to **FSA.RecordsMgmt@wdc.usda.gov** and/or **SM.FSA.KCC.Beacon.Records**.

123 Applying Disposition Instructions (Continued)**C Disposition of Case Files**

Retention of case files is measured from the end of the year in which case files are closed, **not** from the year in which they are established. This is important because case files may pertain to specific legal actions, appeals, problems, projects, etc., that may remain open for several years.

Keep open case files in the drawers with active case files until the cases close, then transfer the files to drawers for inactive files.

D Disposition of Non-record Material

Non-record material:

- has no legal, administrative, or historical value
- is kept only for convenience
- should be destroyed when no longer needed.

123 Applying Disposition Instructions (Continued)

E What Is Non-record Material

The following table lists non-record material.

Non-record Material Category	Types of Material
Reference Materials	<p>Extra copies of documents preserved solely for reference convenience.</p> <p>Books, periodicals, and other library-type material acquired and preserved only for reference.</p> <p>Extra copies of printed or processed materials of which the official record copy has been preserved by the creating office or a designated central records office.</p> <p>Stocks of publications and processed documents.</p> <p>Catalogs, trade journals, and other publications for which both of the following apply:</p> <ul style="list-style-type: none"> • they require no action • they are not part of a case on which action is taken.
Correspondence Records	<p>Correspondence and other records of short-term value that, after action has been completed, have no further value.</p> <p>Example: Request for publications or communications about hotel reservations.</p> <p>Chronological or reading file copies of outgoing correspondence.</p> <p>Duplicate copies of correspondence maintained in suspense, pending, tickler, or follow-up files.</p>

123 Applying Disposition Instructions (Continued)

E What Is Non-record Material (Continued)

Non-record Material Category	Types of Material
Correspondence Records (Continued)	<p>Information copies of correspondence and other papers on which no documented administrative action is taken.</p> <p>Routing slips and transmittal sheets:</p> <ul style="list-style-type: none"> • used solely for purposes of transmittal • that do not contain additional significant information that would enhance or clarify the document being transferred. <p>Drafts of reports and correspondence.</p>
Miscellaneous Records	<p>Working papers, unless either of the following applies:</p> <ul style="list-style-type: none"> • they are essential for understanding the related research project or other work • they are not prepared in final form. <p>Routine reference and control papers, including job control records, status cards, and similar tools used as aids in daily operations and work.</p> <p>Stenographic material that has been transcribed.</p> <p>Obsolete or unnecessary blank forms.</p>
Personal Papers	<p>Papers that pertain to an individual's private affairs and include such things as the employee's copies of travel papers and vouchers, salary information, or personnel actions that are:</p> <ul style="list-style-type: none"> • already documented in official files • not related to official business.

124 Methods of Disposal

A Donation

All offices shall contact MSD Records Staff, if asked to donate records to any individual or organization outside FSA and FAS.

Do **not** donate records that are **not** normally releasable to the public. See **2-INFO** and **3-INFO**.

B Destruction of Accountable Forms

Accountable forms require security consistent with their potential value or negotiability. The degree of control involved in safeguarding and handling an **accountable form** should be dependent on the scope for its misuse and the possible financial consequences, but with due regard to administrative costs.

When notified that accountable administrative forms are obsolete, dispose of the remaining supply according to the following table.

Type of Form	Action
Negotiable	Identify and inventory the forms. <ul style="list-style-type: none"> • Enter the first and last serial numbers of consecutive groups. • List individual numbers of forms not in consecutive groups. • If forms are not serially numbered, show total number of unused forms. • Reconcile the inventory with the previous inventory of forms. • Destroy by shredding with 2 employee witnesses present. • Witnesses shall sign and date the inventory statement indicating that they witnessed actual destruction of all forms. • Keep inventory statement for 5 years.
Non-negotiable	Destroy forms by shredding. <ul style="list-style-type: none"> • No witnesses are required. • Make a record of form number, titles, and serial numbers. Keep the record for 5 years.

124 Methods of Disposal (Continued)**C Destruction of Non-accountable Forms and Other Records**

If forms **cannot** be advantageously sold or otherwise salvaged, dispose of them as wastepaper.

D Destruction of Documents with Social Security Numbers

Documents that contain producer and/or employee names and Social Security numbers **must** be destroyed in a manner that does **not** allow reconstruction. **44 U.S.C. 33** and **36 CFR 1226.24** **require** offices to use cross-cut shredders for the destruction of sensitive information. See subparagraph 83 G.

125 Intent to Destroy Records Stored in FRC's**A FRC Records**

Store records in regional FRC's.

B National Offices

After receiving **NA-13001** from NARA, and the list of transfer (accession) numbers identifying the records to be destroyed from MSD Records Staff, National Office shall take actions in the following table.

Step	Action
1	Review the attached list of transfer (accession) numbers for SF-135's to determine whether the records can be destroyed.
2	Notify MSD Records Staff, if any records listed for NA-13001 cannot be destroyed, check the "Disposition Not Approved" block and provide a written justification and proposed disposal dates are required by NARA for continued retention indicating the definite need for audit, legal, or other pertinent issues, and the estimated duration of continued retention of the records.
3	If the records can be destroyed, check the "Disposition Approved" block and sign the required on NA-13001 from the originator of the records before they can be destroyed.
4	Return NA-13001 to MSD Records Staff within 2 weeks of receipt.

125 Intent to Destroy Records Stored in FRC's (Continued)**C State Office Records**

After receiving **NA-13001** and the list of transfer (accession) numbers identifying the records to be destroyed from KCASB, State Offices shall take actions in the following table.

Step	Action
1	Clear NA-13001 with the State Office that created the records.
2	Notify KCASB, if any records listed for NA-13001 cannot be destroyed, check the "Disposition Not Approved" block and a written justification and proposed disposal/review dates are required by NARA for continued retention indicating the definite need for audit, legal, or other pertinent issues, and the estimated duration of continued retention of the records.
3	If the records can be destroyed, check the "Disposition Approved" block and sign the required on NA-13001 from the originator of the records before they can be destroyed.
4	Return NA-13001 to KCASB within 2 weeks of receipt.

D County Office Records

After receiving **NA-13001** and the list of transfer (accession) numbers identifying the records to be destroyed from KCASB, County Offices shall take actions in the following table.

Step	Action
1	Review the attached list of transfer (accession) numbers for SF-135's to determine whether the records can be destroyed.
2	Notify KCASB, if any records listed for NA-13001 cannot be destroyed, check the "Disposition Not Approved" block and provide a written justification and proposed disposal dates are required by NARA for continued retention indicating the definite need for audit, legal, or other pertinent issues, and the estimated duration of continued retention of the records.
3	If the records can be destroyed, check the "Disposition Approved" block and sign the required on NA-13001 from the originator of the records before they can be destroyed.
4	Return NA-13001 to KCASB within 2 weeks of receipt.

126 Extended Retention of Records**A Policy**

It is FSA and FAS policy to keep official records beyond the established retention period covered when another federal agency or court of law has indicated a reasonable need for further retention.

B Extending Retention

Extension of the disposition of records is the responsibility of the office of origin. Extensions may be applied if there are extenuating circumstances i.e., litigation holds, appeals, etc.

Extend the retention of records according to the following table.

Step	Action
1	Document, in writing, the following from the requestor: <ul style="list-style-type: none"> • name, agency, and telephone number • authority or reason for the request • identification of records to be kept • approximate length of time the records should be kept.
2	Contact the requestor to determine whether the records may be destroyed at the end of the specified period.
3	Do not destroy records after a request is received, even if the retention period has expired. See 2-INFO and 3-INFO.

127-137 (Reserved)

Section 2 Transferring (Accessioning) Personnel Records**138 Electronic Official Personnel Folder****A Maintaining e-OPF**

The e-OPF and the paper OPF document the employment history of individuals employed by the Federal Government. The e-OPF must be complete; that is, when combined with any other documents the agency chooses to retain in paper, or is required by law or regulation to be maintained in paper, it must contain all the information.

OPM requires that each agency ensures that e-OPF systems:

- be thoroughly documented
- be able to produce legible paper copies of all records
- have access controls to ensure a high level of security and confidentiality
- allow correction and removal of erroneous records under strict authorization controls
- include backup and disaster recovery procedures
- provide for regular recopying, reformatting, and other maintenance necessary to ensure that the records will be retained and useable throughout its life cycle
- identify information in a way that authorized users can retrieve and maintain the required records.

Personnel records shall be maintained according to OPM's "The Guide to Personnel Recordkeeping".

139-149 (Reserved)

Section 3 Transferring (Accessioning) Records

150 Using FRC's

A Purpose of FRC's

FRC's were created to provide economical temporary records storage for records that are **no longer required** for daily business for government agencies. Records are stored at FRC's where they are tracked through an automated database, until they are either destroyed through recycling or accepted by NARA as permanent records.

B Transfer (Accession) Only Inactive and Closed Records

The agency mandates the transfer (accession) of inactive and closed records to NARA FRC's to best preserve and maintain documentation and to reduce storage in agency offices. NARA operates a network of 18 FRC's that store federal records no longer needed to conduct current business and will be referred to infrequently.

C Records Can Be Retrieved From FRC

FSA and FAS retain legal custody of records stored at FRC's and records can be requested for retrieval by 1 folder, 1 box, or an entire transfer (accession) using **ARCIS at <http://www.archives.gov/frc/arcis/>** for record reference requests. FRC will return the records using the FSA and FAS authorized carrier, UPS, by overnight or ground service. The agency pays for UPS shipping. If the needed records are 30 pages or less, FRC will Smart Scan needed records through the government-secured e-mail system at **<http://www.archives.gov/frc/smartscan.html>**.

In most cases, properly submitted and complete reference requests will be ready for mailing, pickup, or delivery to the agency one business day after receipt by the FRC.

Records that have been closed or cut off for 12 months should be transferred (accessioned) to FRC, **unless** needed onsite for audits, investigations, or future program services. See the FRC list at **<http://www.archives.gov/frc/locations.html>**, to see which FRC services your location.

150 Using FRC's (Continued)

D Approved Storage Facilities for FSA and FAS Records

Records staging or holding area means, for purposes of the NARA regulations, an area designated **within the agency's office space** that is used for temporarily storing records. The term, records staging or holding area, does **not** include off-site storage (for example, a storage unit outside the office building). Records staging or holding areas may be established by an agency for maintaining records no longer needed in office space, but whose volume or retention periods are insufficient to warrant transfer (accession) to FRC before final disposition. Imagery records may be maintained by APFO, until the records are digitized and transferred to NARA.

Note: FSA and FAS records may **only** be stored in NARA FRC's. FRC's are the **only** approved storage facilities for FSA and FAS records.

E Policy for Transferring (Accessioning) Records

Closed and inactive records shall be transferred (accessioned) to FRC as soon as the records are no longer needed to conduct business on a daily basis by accessing ARCIS at **<http://www.archives.gov/frc/arcis/>**.

F Identifying Records Eligible for Transfer (Accession)

After records are no longer needed to support a business function, they undergo their final disposition or retention. For temporary records **when no freeze is in place**, FSA and FAS either disposes of records, in the approved manner as applicable, or transfers (accessions) to FRC's for temporary storage until disposal is allowed according to approved schedules.

150 Using FRC's (Continued)

G Preparing Records for Transfer (Accession)

Preparing records for transfer (accession) is the most important step in the transfer (accession) process. The records transferred (accessioned) may serve the employee or successors at the agency as the official historical record of actions, activities, or decisions that are documented. Because the records may be needed to understand, evaluate, or defend actions, the amount of time spent in preparing records will be repaid many times over, if the employee needs to retrieve records at a later date. Prepare records for shipment according to this table.

Step	Action
1	Remove all non-record material and extra copies of records from official files.
2	Identify and separate the inactive and closed records series to be transferred (accessioned) to ensure that they are not mixed with other records, organize documents by file code, for example AFID-1 and FSFL-3, etc.
3	Arrange records by closing or cutoff year and the particular numerical, alphabetical, chronological, or other identifiable sequence for that series.
4	Select official records to be transferred (accessioned) to FRC that: <ul style="list-style-type: none"> • have a retention period of 2 or more years remaining • are not needed to carry out current agency operations • are occupying office space that could be used to store records that are ineligible for destruction or transfer (accession).
5	Group records that have the same disposal date. Note: Each group of records having a different disposal date must be sent as a separate transfer (accession).
6	See subparagraph M for boxing records.

150 Using FRC's (Continued)

H Mixed Media

Although FRC's will accept mixed-media records (for example, videos, cassettes, CD's, diskettes, etc.) for storage, the MSD Records Staff does **not** recommend this. Contact the local FRC **before** transferring (accessioning) mixed-media records to ensure that proper containers are used for mixed media, records are properly inventoried, and to prepare for transfer. Describe the non-paper media in the "Description" block.

I Choosing the Appropriate Archive Storage Box

The following are **required** GSA NSN material for record transfers (accessions to FRC's). Employees should obtain archive storage boxes through normal supply channels.

Item	GSA NSN	Description	Unit
575.1	8115-00-117-8249	White, 14-3/4" x 12" x 9-1/2". Used for standard and legal size file folders .	bundles of 25
Special Purpose Boxes			
575.2	8115-00-117-8338	Natural (tan), 14-3/4" x 9-1/2" x 4-7/8". Used for cassette tapes .	bundles of 25
532	Aerial Photography Boxes	Map use, top and bottom, 25-1/2" x 25-1/2" x 2-3/4". Used for maps .	

The following items may be purchased through GSA.

GSA NSN	Description	Unit
8115-00-117-8347	White, 14-3/4" x 11-3/4" x 11-3/4". Used for magnetic tapes .	bundles of 25
8115-01-025-3254	Natural (tan), 14-3/4" x 6-1/2" x 4-1/2". Used for microfilm .	bundles of 25

Notes: Place letter size records in the box with folders facing the employee as he or she is looking at the labeled end, opposite of the stapled end.

Place legal size records in the box so that the labels face the **left side** of the box as the employee is looking at the labeled end.

Do **not** overfill boxes, allow about an inch leeway in each box to work the files.

Never place additional material on the bottom, side, or top of the records in the box.

Use a pencil to mark boxes before receiving final FRC approval. **Do not mark the boxes with permanent ink until the employee has received FRC approval to retire them to storage.**

150 Using FRC's (Continued)**J Ordering Boxes in Washington, DC**

Washington, DC Offices shall contact the MSD Records Staff when federal records are ready to be transferred (accessioned) to FRC. After records have been reviewed and approved for transfer (accession). Obtain storage boxes by either of the following methods:

- contact MSD Records Staff to request delivery of archive storage boxes
- order boxes by submitting FSA-342 to either of the following:
 - Jeff Barnes by e-mail to **JeffreyW.Barnes@wdc.usda.gov**
 - Keith Holden, Records Officer, by FAX at 202-772-9137.

K Ordering Boxes in Kansas City

Kansas City Offices shall order archive storage boxes by completing **FSA-159** using the items numbers specified in subparagraph I. FSA-159 is available from the FFAS Employee Forms/Publications Online Website at <http://fsaintranet.sc.egov.usda.gov/dam/ffasforms/forms.html>. Order by number of boxes needed; for example, “45 - box”, **not** by bundle. The Kansas City Warehouse FAX number is listed on **FSA-159**.

L State and County Offices Ordering Shipping Supplies

State and County Offices shall order archive storage boxes according to subparagraph K.

Employees may also purchase the following from their normal supply chain or by using GSA Advantage (www.gsaadvantage.gov), to prepare records for shipment to FRC:

- clear packing tape, because it does **not** obscure numbers
- permanent black felt-tip markers
- blank newsprint or bagged strip-shred waste for wadding and stabilizing files in half-filled boxes.

150 Using FRC's (Continued)

M Packing Boxes for Transfer (Accession) to FRC

Offices shall pack archive record boxes for transferring (accessioning) Federal records to FRC according to this table.

Step	Action
1	<p data-bbox="386 432 1073 464">Offices shall place records in the FRC box as follows.</p> <ul data-bbox="386 506 1468 575" style="list-style-type: none"> <li data-bbox="386 506 1468 575">• Place letter size folders in upright position with label titles facing the front of the box. The staple side of the box should face the back. <p data-bbox="435 617 964 648">Notes: Disregard instructions on the box.</p> <p data-bbox="529 690 1495 793">Letter size folders must face the front of the box, because folders are easier to search for and pull out of boxes when all of the folders are facing the front of the box.</p> <p data-bbox="529 835 1463 978">The staple side of the box is weaker. The box may need to be referenced and frequent use could pull out the staples. Tall ladders are used in the aisles at FRC to retrieve boxes and the ladder may catch on the staples causing the boxes to tear.</p> <ul data-bbox="386 1020 1503 1535" style="list-style-type: none"> <li data-bbox="386 1020 1503 1199">• Remove all objects, such as 3-ring notebooks, computer binder strips, large binder clips, rubber bands, etc. Recycle removed objects within the office. NARA will charge extra if metal objects must be removed when it is time to destroy the records. Folders that include fasteners are acceptable for transfer (accession). Instead of binders and rubber bands, use staples and divider sheets. <li data-bbox="386 1241 1503 1383">• Do not over pack boxes. Leave approximately 1 inch of space or more in each box for working with the files or if interfiles will be added later. Leave all guides and tabs in the records if they will help FRC personnel service the records. Use wadded blank newsprint or bagged strip-shred waste to fill unused space. <li data-bbox="386 1425 1484 1535">• Number boxes consecutively, for example, 1 of 10, 2 of 10, etc., lightly in pencil on the narrow end of the box in the upper, right corner until transfer (accession) is approved. <p data-bbox="435 1577 1471 1646">Note: Offices shall not write on the boxes with ink until the transfer (accession) has been approved.</p> <ul data-bbox="386 1688 1081 1793" style="list-style-type: none"> <li data-bbox="386 1688 1081 1719">• Separate the records by type of record and by year. <li data-bbox="386 1761 764 1793">• Do not tape boxes closed.

150 Using FRC's (Continued)

M Packing Boxes for Transfer (Accession) to FRC (Continued)

Step	Action
2	<p>Create an electronic detailed box list of records and print the following on plain paper (see example detailed box list in subparagraph N):</p> <ul style="list-style-type: none"> • office or division name • year • type of record • date of record • box number and contents of each box • date closed for case files or date of final transaction.
3	Upload a copy of the box list into ARCIS and put copies of the box list in every box.

N Example Box List

Offices shall prepare a detailed box list of each folder placed in the archive record box. The box list **must** accompany the ARCIS transfer request (paragraph 151).

Accession No.: 145-16-____ <u>1</u> / GRS 23, item 1 <u>2</u> /		Page 1 of 1 <u>3</u> /
USDA <u>4</u>/ Management Services Division/Information Branch/Program Section Jane Doe 555-123-4567 <i>Program Files, Travel, and T&A's <u>5</u>/</i>		
Box 1 of 5 <u>6</u> /		
STATE <u>7</u> /	NUMBER	APPLICABLE DATES/YEARS
Virginia	122233334	2000
Oregon	5-A-23-45556677	2000-2010

1/ The transfer number for any **ARCIS-born transfer**—that is, a transfer created in ARCIS—consists of four parts. The first two characters (PT) stand for “Physical Transfer.” The next three characters indicate the record group number. The next four characters denote the fiscal year. The final four characters are the ARCIS-generated transfer sequence number. If, for example, the number is 0001, that means this was the first transfer from that record group for that fiscal year. FSA shall **always** use record group “**145**”, CCC use record group “**161**”, and FAS use record group “**166**”.

Example: An example box list accession number for an FSA FY 2016 shipment would be, “**145-16-____**”.

150 Using FRCs (Continued)

N Example Box List (Continued)

- 2/ The records schedule used will pertain to the documents being archived. Please see the **File Maintenance and Disposition Manual**, Disposition Authority for your records.

ITOM-1 records the disposition authority is **GRS 3.1-040**.

File Code	Description and Filing Instructions	Disposition	Disposition Authority
ITOM-1	IT Performance Measurements and Benchmarks - Correspondence, Reports and Plans.	<u>Temporary</u> : Destroy 5 years after the project, activity or transaction is completed or superseded.	<u>GRS 3.1-040</u>

And for FISC-15 the disposition authority is **NC1-145-84-1-11a**

FISC-15	NRCS Administered Programs – AD-1161 and other related documents.	<u>Temporary</u> : Destroy 5 years after expiration of agreement.	<u>NC1-145-84-1-11a</u>
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- 3/ Page number for each page of the box list; for example, 1 of 1 or 3 of 14.
- 4/ Point-of-contact information. **Always** include office name, point-of-contact's name, phone number, and room number, etc. for the location of boxes.
- 5/ Description of the contents of the box.
- 6/ Enter number of the box for the list page; for example, 1 of 3, 2 of 3, 3 of 3.
- 7/ Headings are created according to types of records, such as "Travel" with name, location, and dates of travel.

151 Transfer Requests – ARCIS - SF-135**A Transfer Requests- ARCIS- SF-135 Purpose**

The electronic SF-135 created in ARCIS serves a dual purpose, as indicated by the title, “Records Transmittal and Receipt”, as follows:

- documents and tracks the request for transferring (accessioning) records to FRC
- acknowledges receipt of the records by FRC.

ARCIS is the web-based IT system for NARA FRC’s. The system is the online portal through which the agency can do business with the FRC’s. To access ARCIS go to: <http://www.archives.gov/frc/arcis/>.

ARCIS allows authorized users to conduct all transactions online, saving time and reducing paperwork. The system also lets users track transactions electronically, providing instant access to information about your records. ARCIS does all of this in a secure, user-friendly environment.

To expedite data entry:

- the user profile is saved in the system so that frequently entered information - for example, address and record group – is auto-filled every time you log in
- easy-to-use drop-down menus make it simple to select the right options for your transaction
- keep track of past transactions
- ARCIS automatically saves information on all your transactions, which can be tracked and printed as needed.

Access information anytime, anywhere, and from any computer.

If you can access the Internet, you can access ARCIS. Information in the system is always up-to-date. ARCIS is a secure, web-based system that runs on all standard browsers. It does not require you to install software or other executable programs that could compromise security, and it never stores cookies.

To access ARCIS customer portal, go to:

<https://eservices.archives.gov/arcis/start.swe?SWECmd=Login&SWEFullRefresh=1&TglPrctlRfrsh=1>.

For ARCIS training and handbooks go to:

<http://www.archives.gov/frc/training/index.html#manual>.

152 Shipping Boxes to FRC

A Marking Boxes for Shipment

Employees shall follow this example when numbering boxes for shipment.

- After employees receive notification of approval in ARCIS, from the local FRC, write the transfer (accession) number and the box number, if **not** already indicated, in the designated printed blocks on the front of each box. Use a black, permanent, felt-tip marker and make the numbers at least 1 ½ high.
- Write the appropriate “Agency Box Number” in the upper right corner of each box. Begin with box number 1, and include the total number in the transfer (accession), such as 1 of 10, 2 of 10, etc.

Diagram illustrating the marking requirements for shipping boxes. The box is labeled "FRONT". It shows two designated areas for marking:

- ACCESSION NUMBER:** A grid of boxes containing the numbers 1, 4, 5, 0, 4 in the top row and 0, 0, 0, 1 in the bottom row.
- AGENCY BOX NUMBER:** A box containing "# 1" and a box containing "OF 5".

Red arrows indicate the specific areas to be marked.

- **Do not** use white-out, tape, mark overs, or any other unauthorized markings on boxes other than the markings displayed, or FRC will **not** accept the boxes and they will be returned. If employees have any questions, call the MSD Records Staff **before** marking boxes.

Note: Boxes **not** properly marked will be **returned** to the agency.

- After placing a copy of the detailed box list in **every** box, **fold** box flaps over to secure contents for transport. **Do not** tape the boxes shut if they are being shipped by a federal employee or contractor.

B Washington, DC Shipping Boxes to FRC

Washington, DC employees shall e-mail the MSD Records Staff at **FSA.RecordsMgmt@wdc.usda.gov** to schedule a shipment pick up.

C State and County Offices Shipping Boxes to FRC

This effort complies with the **File Maintenance and Disposition Manual**, available at **http://intranet.fsa.usda.gov/fsa/operations/dam/content/msd/government_information_management/gim_rm_reference.htm**, for shipping PII through physical transportation systems.

CRC ships the boxes to FRC according to this handbook and with input from SRL who might offer details on preferred shipping vendors. Currently, there are 4 methods for transferring (accessioning) agency records to FRC's: government or government-leased vehicles; FRC courier service, if available; authorized ground shipper; and authorized freight shipper. If the boxes are shipped by government or government-leased vehicle, the vehicle **must** be driven by a government employee or government-contracted employee.

152 Shipping Boxes to FRC (Continued)

C State and County Offices Shipping Boxes to FRC (Continued)

In addition, some FRC's will pick up agency records through NARA's metro courier service at very competitive rates (see the FRC Toolkit, Your Guide to the Federal Records Center Services, "Special Services" section at <http://www.archives.gov/frc/toolkit.html#services>. Check with the local FRC for scheduling and fees. If employees are mailing a shipment of 20 boxes or more, employees may send the shipment in a postal container or by bulk mail. Agencies shipping their boxes on pallets using a **commercial carrier** should complete a transportation services order at <http://www.archives.gov/frc/forms/transportation-services-order.pdf>, **tape** their boxes and **put "U.S. Government Property" label on the top of the box.**

Note: For ground shipments, ensure that the UPS account number falls under the agency's new BPA, call **800-645-9424** to ask if the existing account has USDA as part of the account name. Having USDA as part of the account name will trigger receiving BPA discounts within UPS's system. Employees can also call 800-645-9424 to set up new UPS accounts.

Place a "U.S. Government Property" label (template is available at http://intranet.fsa.usda.gov/fsa/operations/dam/content/msd/government_information_management/gim_rm_reference.htm) on the top of the box, **away** from the shipping label. Do **not** place the "U.S. Government Property" label on the front of the box.

The following is an example U.S. Government property label.

<p>U.S. GOVERNMENT PROPERTY. IF FOUND RETURN TO: USDA - Farm Service Agency ENTER SITE ADDRESS HERE</p>
--

152 Shipping Boxes to FRC (Continued)

D Processing Instructions

Inquire about shipping requirements **before** shipping records to any FRC. If the records are being transported 50 miles or less **by government vehicle**, then the flaps of the boxes need only be tucked. In all other instances, especially commercial transportation or shipment by USPS, the boxes **must** be sealed with **clear** packing tape and with the “U.S. Government Property” label on the top of each box.

Note: For large shipments, call the local FRC to schedule a delivery date, and instruct commercial carriers to contact FRC 24 hours before delivery.

FRC’s will make every effort to assist and advise agencies during the transfer (accession) process. However, shipments that arrive at FRC out of order, in oversize boxes, damaged, improperly taped, improperly marked, without SF-135 approved for transfer, or with SF-135 that does **not** match the shipment may **require** extensive remedial effort and increased costs to the shipping agency.

Notes: For freight shipments, it is more cost-effective to transfer by ground shipment using the current BPA, rather than freight methods. Boxes may be shipped on pallets using UPS freight or FedEx freight. FSA and FAS encourage employees to perform a cost analysis. Check with the servicing FRC about pallet requirements. Inquire about pallet stacking and the preferred order of boxes on the pallets. Pallets should be securely banded with shrink-wrap, steel, plastic, or cord strapping before shipping.

153 Retrieving Stored Records - ARCIS

A Requesting Records - ARCIS

Employees may access agency records transferred to FRC by withdrawing records on temporary loan, reviewing records on-site at FRC, requesting photocopies or electronic scans of the records, or permanently withdrawing the records.

Most reference requests are for **temporary withdrawal** of agency records. Temporary withdrawals are returned to FRC for refiling in FRC.

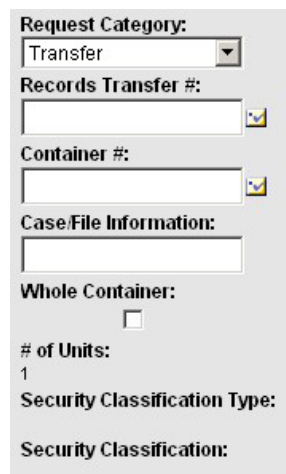
Note: Temporary withdrawal of agency records shall only be withdrawn for 2 weeks. If additional time is **required**, contact the MSD Records Staff.

Permanent withdrawals are removed and retained by the agency. The agency may only return permanently withdrawn whole boxes by submitting a new electronic transfer request (SF-135). Records that are **permanently withdrawn cannot** be returned to FRC under the original transfer (accession) number. Employees shall submit a new electronic SF-135, created in ARCIS for approval and records **must** be submitted in a new archive box with the new transfer (accession) number.

To obtain records stored at an FRC, submit an electronic reference request. The reference request collects important information that allows FRC to locate the right records and get them to you in the format, by the date, and via the delivery method you require. Some of this information is automatically filed in based on information stored in your personal profile or copied from a previous request.

To access ARCIS to enter a reference request, or go to <http://www.archives.gov/frc/arcis/>.

FSA and FAS employees will only select “Transfer” for the Request Category.



The screenshot shows a web form titled "Request Category:". It contains several fields and a checkbox:

- Request Category:** A dropdown menu with "Transfer" selected.
- Records Transfer #:** A text input field with a small icon to its right.
- Container #:** A text input field with a small icon to its right.
- Case/File Information:** A text input field.
- Whole Container:** A checkbox that is currently unchecked.
- # of Units:** A text input field with the number "1" entered.
- Security Classification Type:** A text input field.
- Security Classification:** A text input field.

154 Permanent Records - ERA

A Transferring (Accessioning) Permanent Records

When permanent records stored at FRC are scheduled for transferring (accessioning) into NARA, RMO will receive an electronic permanent transfer request in ERA. The permanent transfer request is used to document the change in legal custody of the records from the agency to NARA and to state terms of the transfer (accession). The local FRC transfer and disposition staff can provide more information on the process for transferring (accessioning) records into NARA.

All records scheduled as permanent **must** be transferred (accessioned) to NARA according to the disposition instructions in the agency's **File Maintenance and Disposition Manual**. Use the following table as guidance in transferring (accessioning) permanent records to NARA, or contact RMO for assistance.

	Washington, DC, Offices	Kansas City, St. Louis Finance, APFO, and State and County Offices	All Offices
Records Stored in Agency Space	Call RMO to initiate the process. RMO will submit electronic permanent transfer in ERA, with National Office assistance, and submit it to NARA in ERA.	Call RMO to initiate the process. RMO will submit electronic permanent transfer in ERA, with Field Office assistance, and submit it to NARA in ERA.	If NARA does not accept the records, contact RMO for assistance.
Records Stored in FRC	NARA submits an electronic permanent transfer request to RMO. RMO approves the permanent transfer request (accession) with National Office assistance, and submits it to NARA in ERA.	NARA submits an electronic permanent transfer request to RMO. RMO approves the permanent transfer request (accession) with Field Office assistance, and submits it to NARA in ERA.	

B Borrowing Records Transferred to NARA

When permanent records are transferred (accessioned) to NARA using ERA, legal custody is transferred from the agency to NARA. Written requests to borrow original records transferred (accessioned) to NARA may be approved for agencies with a demonstrated need. Requests for copies of materials may be submitted to the Records Staff, SRL, and CRC, who will make arrangements for reproduction. Fees for this service are based on the record media to be duplicated and the number of copies requested.

155-163 (Reserved)

Part 5 Farm Loan Program File Operations**164 Filing and Maintaining FLP Documents****A Overview**

This part describes procedures for filing and maintaining FLP documents, including information about:

- general filing procedures
- files maintenance
- borrower case folder maintenance.

Note: For the file code numbers and titles, description and disposition instructions for FLP records see the **File Maintenance and Disposition Manual**.

165 Alphabetical Filing Instructions**A Names of Individuals**

For files with individual names, label with names of individuals by last name first, the first name next, and the middle name or initial last.

A dual last name, such as “Hammonds-Ross”, should be filed by the first last name.

B Names of Entities

For files with entity names, label with name of entity written in their legal or official title. Words such as “the”, “of”, “for”, or “and” should **not** be considered in determining correct file sequence.

C Prefixes

File names beginning with prefixes, such as “Mc”, “O”, or “Van”, should be filed as 1 word and file alphabetically, as written, beginning with the first letter.

D Abbreviations

File abbreviations should be filed as 1 word and file alphabetically, as written, beginning with the first letter.

166 Folder Maintenance Requirements**A Case Folders**

For case folders, offices shall:

- use the 4- and 8-position file folder when establishing case folders
- obtain the 4- and 8-position file folders by e-mailing ASKMSD@wdc.usda.gov.

B Continuation Folders

Use continuation folders to hold infrequently used documents or when the volume of material warrants separation from the initial folder. When this is done, label the active folder, containing the most current information, “1 of ____”, the first continuation folder “2 of ____”, and continue depending on the total number of folders.

Continuation folders may be filed as a separate series apart from the active files.

C Temporary Folders

Use **OF-24** for temporary folders to replace regularly maintained folders when original documents have been sent to a location outside of the servicing office. Monitor temporary folders frequently to prevent loss or misplacement of the original folder.

Note: **OF-24** may be attached to the front of the 4- or 8-position folder when materials are voluminous.

166 Folder Maintenance Requirements (Continued)**D Labeling Folders**

For FLP subject files, label each folder with sufficient information to adequately identify the folder contents.

Borrower case folders shall be labeled to include the following:

- file code
- name of the borrower and co-borrower
- case number i.e., 24-007-1234, State and County codes and last 4 digits of SSN

Note: For borrowers with guaranteed loans, include the randomly assigned FSA account number.

- indicator of “active”, “Currently not Collectable (CNC)”, “collection only”, or “judgment”
- folder continuation number, when applicable according to subparagraph B.
- program type; for example, “Direct” or “Guaranteed”.
- may use color file folder labels to identify guaranteed loan folders

Note: See subparagraph 30 D for label size.

166 Folder Maintenance Requirements (Continued)**E Definition of Essential FLP Records****Essential FLP records:**

- mean the originals of any documents or records that provide evidence of indebtedness or obligation to FSA
- include, but are **not** limited to, the following items:
 - original promissory notes
 - assumption agreements
 - stock certificates
 - charged-off notes
 - valuable documents, such as checks
 - cost voucher documents
 - shared appreciation agreements
 - recapture agreements
 - security agreements.

Essential FLP records with PII **require** maximum protection at all times and **must** be filed in locking-type, fire-resistant file cabinets.

167 Case Folders for Applicants and Borrowers**A Establishing Folders**

Offices shall establish and maintain an “official records” case folder for an applicant or borrower receiving FLP direct or guaranteed loan assistance.

The official case folder shall contain all information about an applicant or borrower.

Borrower case folders shall be maintained in Type 1 and Type 2 offices according to **16-AO**, paragraph 286.

Type 3 offices may maintain **copies** of appropriate documents. When the folders are no longer needed, send the copies to the applicable County Office for disposal.

Note: Follow guidance issued under appropriate directive when disposing of records when litigation holds are in effect (see Part 7).

B Separate Folders

When a borrower has direct **and** guaranteed loans, offices:

- may use color file folder labels to identify guaranteed loan folders (see subparagraph 166 D)
- shall establish a separate folder for each type of loan.

C State Office Folders

State Offices may establish case folders for applicants or borrowers to include copies and/or original documents required for legal or informational purposes. When the reason for the case folder’s establishment ceases to exist, State Offices shall return the entire file to the applicable office to:

- incorporate the original documents into the applicant or borrower’s official case file
- dispose according to established procedures.

Note: Offices must follow guidance issued under the applicable directives series in disposing of records when litigation holds are in effect

168 Filing and Maintaining Applications**A New Applications**

For existing FLP applicants, file the documents in the existing case folder at the time of loan approval.

New FLP applicants, establish a case folder according to subparagraph 167 A.

File pending applications according to either of the following:

- as a separate series in 1 or more A through Z sets of third-cut folders
- in separate folders for individual applicants.

B Rejected or Withdrawn Applications

Remove the application and related papers from the pending file and maintain as follows.

- Return documents, such as plat maps, plans, specifications, engineering data, feasibility studies, etc., to the applicant, if documents are **not** needed as a basis for rejection.
- For existing FLP borrowers, mark the application “rejected” or “withdrawn”, and any remaining material, in the borrower’s case folder.

Note: For borrowers who prevailed under **any** litigation, add “PREVAILING CLAIMANT” and include the litigation name.

- For new FLP applicants, file applications in “rejected” or “withdrawn” series, A through Z file.

Note: Track rejected or withdrawn applications in DLS.

169 Maintaining Active Borrower Case Folders**A Arranging Materials within Folders**

Arrange records within folders by using the position filing method in subparagraph C for the 8 different categories of items or transactions. Use:

- metal fasteners to fasten materials
- divider sheets, blank paper, or tabs within a filing position to separate specific types of records, or within a case folder to separate records accumulated for different borrowers, if needed.

Note: Indicate on the divider sheets a brief description of the materials.

The following is an example of a borrower's electronic file.

Office S drive

Guaranteed Borrowers

Farmer, John D.

Position 2 – PN, repayments, financial records

FSA-2242 – 2015.05.28

Position 3 – application, budget, analysis, RCR, checklists

Additional subfolders, such as FY or loan type, may be established on an as-needed basis at the State Office's discretion.

B Definition of Position Filing

Position filing means, within a folder, the segregated arranging of functionally related material in a predetermined folder position. The filing position is the specific place where records are found within a folder.

169 Maintaining Active Borrower Case Folders (Continued)

C Position Filing

Records in active borrower case folders shall be filed according to the following table.

Position Number	Description
1	Chattel security records.
2	Promissory notes, repayments, and other financial records including computer generated printouts, budgets and analysis records.
3	<p>Applications and processing checklists.</p> <p>The running record feature in the Farm Business Plan is used to record all farm visit notes and comments on interactions with borrowers except the following:</p> <ul style="list-style-type: none"> • the narratives and comments about loan making or loan servicing actions that must be documented in the applicable Farm Business Plan Credit Presentation • comments and entries that are exempt from disclosure according to FOIA.
4	Routine correspondence, unless provided for in 1 of the other positions.
5	Real estate records, organizational documents and documents about bankruptcy proceedings.
6	<p>Construction, development, and facilities maintenance.</p> <p>Following are examples of construction, development, and facilities maintenance records:</p> <ul style="list-style-type: none"> • evidence of technical and engineering feasibility studies • work drawings, specifications, bids, and contracts • development and inspection reports and release of contractors • evidence of maintenance and repair of facilities.
7	Property insurance and tax records.
8	Complete real estate appraisals and environmental documents, with all attachments.

169 Maintaining Active Borrower Case Folders (Continued)**D Voluminous and Bulky Documents**

File all documents in the designated position **except** when the volume, size, or unique subject matter **requires** separation for better maintenance purposes. If documents, because of volume, size, or unique subject matter **require** file separation for better maintenance purposes, place a divider sheet in the position where the material would normally be filed and identify the continuation folder, envelope jacket, mailing tube, or other area where the material is located.

Examples of documents that may be maintained separately are listed in the following table.

Type of File	Description
Appeal hearing	Tape recordings, hearings notes, transcripts, and associated appeal hearing information.
Appraisal	Plat maps, plans, photographs, bound reports, or similar material.
Construction and engineering	Plans, specifications, copies of contracts, engineering drawings, and similar construction information.
Feasibility/ Environmental Studies	Reports, statistical data, market studies, brochures, bound documents, and similar information.
Litigation	Large volumes of evidentiary type material.
Tax Returns	Large volume of tax related material.

170 Borrower Case Folders Requiring Special Handling

A Assumption Transactions

For assumption transactions, establish a new folder for the transferee insert needed loan servicing or legal documents; such as security instruments, title opinions, copies of notes, affidavits, etc., for the transferors' file.

Handle remaining material in the transferor's file according to the following table.

IF...	THEN...
all loans were not assumed and the transferor will continue with the remaining loans	maintain with active folders.
the indebtedness is not satisfied and the account is converted to CNC	handle according to subparagraph B.
the indebtedness is not satisfied and a judgment has been obtained	handle according to subparagraph C.
the borrower caused a financial loss to the government	close and maintain according to paragraph 173.
all FLP indebtedness has been satisfied	

B CNC Accounts

When an account is converted to CNC:

- mark the label of the case folder "CNC"
- maintain CNC case folders **separate** from active and closed.

State Offices shall establish CNC folder that includes the following:

- copy of the original promissory note
- **FSA-2731**, if converted to CNC before September 3, 2002
- **FSA-2720**
- the delinquent loan servicing history, including the date of acceleration and any OGC opinion about the 6 year statute of limitations beginning and ending dates
- for nonjudgement cases, including both situations where a deficiency judgement was not sought and where no deficiency was obtained before converting the account to CNC
- for monetary judgement accounts, a copy of the most recent financial statement submitted by the borrower

170 Borrower Case Folders Requiring Special Handling (Continued)**B CNC Accounts (Continued)**

- copies of:
 - **FSA-2721**
 - **FSA-2722**
 - all bankruptcy court documents
 - all correspondence about the account once classified as CNC.
- **FSA-2065**
- a record of any reported changes in the borrower's financial condition.

C Collection-Only or Judgment

When an account is converted to collection-only or judgment:

- mark the label of the case folder "Collection-Only" or "Judgment"
- maintain collection-only and judgment case folders **separate** from active and closed case folders.

D Litigation or Claims Information Requests

When notified by the SED or National Office that a borrower is or may be involved in any of the following, mark "DO NOT DESTROY" on the face of the case folders:

- legal action
- employee's fiscal liability
- tort claims
- FOIA request
- PA request
- civil rights complaint.

Retain files marked "DO NOT DESTROY" until notification is received to remove the "DO NOT DESTROY" legend.

Note: Litigation information is noted in the center label for conservation contracts/easements for prevailing claimants.

171 Removing Material From Active Borrower Case Folders

A Official Material

Do **not** remove or destroy official record material from an active borrower's case folder until the entire case folder is considered closed and becomes eligible for disposition. This includes appeals, claims, audits, investigations, legal actions, and public information requests.

B Reviewing Folders

A review of all active borrower case folders should be completed as needed to:

- remove and destroy extra or duplicate copies of forms
- relocate any inactive record material to continuation folders
- return interim construction drawings, specifications, and similar-type materials to the borrower.

C Availability of Information

Offices shall follow procedure in **2-INFO** when releasing information to the borrower from their case folder.

172 Determining Closed Borrower Case Folders**A Direct Loans**

A direct loan case file will be considered closed provided that all FLP debt has been satisfied by payment-in-full, payment of approved settlement offer, or other means.

A case file cannot be closed when:

- there is unresolved legal action pending
- the redemption period, if any, for acquired property formerly owned by the borrower has not expired
- there is an outstanding net recovery buyout recapture agreement, conservation easement, conservation contract, or shared appreciation agreement.

B Guaranteed Loans

A guaranteed borrower's case file will be considered closed according to the following table.

IF a guaranteed loss claim...	THEN the file will be considered closed provided...
has not been paid	<ul style="list-style-type: none"> • all loan guarantees have been paid in full or terminated on written notice from the lender • there is no unresolved legal action pending.
has been paid	<ul style="list-style-type: none"> • all collection activity has been terminated • there is not an outstanding shared appreciation agreement • the Federal debt established by the payment of a final loss claim has been satisfied by payment-in-full, payment of an approved settlement offer, or other means • there is no unresolved legal action pending.

173 Maintaining and Disposing of Closed Borrower Case Folders**A Labeling Closed Case Folders**

After determining that a case folder is to be “closed”, label the folder with “CLOSED CASE _____” with the FY the case was closed entered in the blank space.

Notes: For borrowers with a conservation easement or conservation contract, enter the FY the contract term expired or easement is closed.

For borrowers with a Net Recovery Buyout Recapture Agreement or shared appreciation agreement, enter the FY the agreement expired.

Reminder: If the easement, contract, or agreement has not expired, the case folder is not considered closed.

Include the following additional labels as appropriate:

- if the borrower caused a financial loss to the Government, add “LOSS TO THE GOVERNMENT”
- if the borrower was a prevailing claimant under **any** litigation, add “DO NOT DESTROY”
- if the retention period is based on a specific number of FY’s, add “DISPOSAL DATE _____” with the FY of planned disposition entered in the blank space.
- shared appreciation agreements

B Filing Closed Case Folders

Closed case folders shall be arranged by name in 1 or more series according to office needs.

Maintain closed case folders separate from active case folders. Closed case folders for which disposition is authorized should be kept separate from closed case folders labeled “DO NOT DESTROY”.

173 Maintaining and Disposing of Closed Borrower Case Folders (Continued)**C Returning Documents**

When an account is “closed”, check the case folder or folders for legal documents, such as:

- deeds, mortgages, promissory notes (if returned), leases, title opinions, abstracts, insurance policies, water stock, or grazing certificates
- soil maps and plans prepared by NRCS
- final or “as built” plans and specifications.

Legal documents from closed account case folders should be returned to the borrower using **FSA-2071**.

D Disposing of Closed Case Folders

Dispose of, or retain, closed case folders as follows.

IF...	THEN...
closed case folders labeled “CLOSED CASE _____”	destroy three FY’s after the FY in which final action occurred.
closed case folders labeled “CLOSED CASE _____” and “LOSS TO GOVERNMENT”	destroy ten FY’s after the end of the FY in which final action occurred.
closed case folders labeled “CLOSED CASE _____” and “DO NOT DESTROY”	retain until records are past their retention and disposition is authorized from SED or National Office.

Note: Follow guidance issued under applicable directives when litigations (see Part 7) are in effect.

174 Property Acquisition Folders

A Establishing Property Acquisition Folders

When FSA acquires property, a property acquisition folder shall be established using an 8-position folder. Property acquisition folders shall be maintained separate from borrower case folders. The label on the folder shall include the following:

- Inventory Property
- 10-digit property identification number
- name and case number of the borrower from whom the property was acquired
- property address or location.

The folder shall include copies of any documents from the former borrower's file pertaining to the acquisition of the property, including, but not limited to:

- **FSA-2570**
- **FSA-2550**
- 5-FLP, Exhibit 37 or 60
- **FSA-2026** reflecting method of satisfaction
- appraisal establishing market value at the time of acquisition
- **FSA-2526**.

Note: Original documents shall be maintained in the borrower's case file.

Documents pertaining to actions after acquisition of the property, including but not limited to:

- appraisal
- survey
- legal documents, such as title information, title insurance, warranty deed, quitclaim deed, partial release
- conservation plan, USFW recommendations, documentation of consultation with the State Historic Preservation Officer, Tribal consultations
- computer-generated printouts
- **FSA-2540**

Note: A copy of **FSA-2540** shall be filed in the former borrower's case folder.

- **FSA-851**
- **FSA-2591**
- **FSA-2593**
- vouchers, advertisements, or other documentation of actions taken.

174 Property Acquisition Folders (Continued)**B Position Filing**

Records in property acquisition folders shall be filed according to the table in subparagraph 169 C.

C Disposing of Closed Property Acquisition Folders

The file will be considered closed when all property has been sold or otherwise transferred to another party. Label the property acquisition folder “CLOSED _____” with the FY the property was sold or transferred entered in the blank space. Add “DISPOSAL DATE _____” with the FY of planned disposition entered in the blank space. Destroy 10 FY’s after the FY in which disposition occurred.

Note: If the purchase of the property is financed by FSA:

- transfer needed documents to the new borrower’s case file
- document the transfer of documents in the property acquisition file.

Follow guidance issued under applicable directives when litigation holds are in effect (see Part 7).

Exception: After final disposition, label the following property acquisition folders “CLOSED” and “DO NOT DESTROY”:

- FSA completed clean-up or other corrective action to address environmental risks
- conservation easement was placed on the property before disposition
- property was transferred to a Federal or State agency for conservation purposes.

Transfer the folder to the State Office. State Offices shall retain the folder until permission to destroy is received from the National Office.

175-186 (Reserved)

Part 6 Vital Records**187 Overview****A Purpose**

This part outlines the policies and responsibilities for identifying and protecting records necessary for FSA and FAS to continue its essential functions and activities during and following an emergency, disaster, or event that could cause the disruption of normal operations.

In a Federal records management context, the term "vital records" refers to records essential to an agency's continued operations during a national emergency.

B Policy

FSA is committed to working with its employees to protect and safeguard vital records. This part sets forth FSA's policy and responsibilities in developing a vital records management program. The intent is to ensure that FSA critical records are identified, maintained, and protected and no loss of critical information occurs during or after an emergency or disaster. FSA will:

- establish a vital records management program according to this part and **DR 1800-001**
- select and safeguard records **required** to ensure continuity of essential FSA functions during and following an emergency, disaster, or event that could cause the disruption of normal operations.

C Authority

The primary authority for establishing a vital records management program is **36 CFR Part 1223**.

This is according to the authority vested in the Secretary of Agriculture under **44 U.S.C. 2104**, **44 U.S.C. 3101**, and **44 U.S.C. 35**; and delegated to the Chief Information Officer under **7 CFR 2.89**.

188 Action

A Establishing a Vital Records Management Program

All FSA office heads **must** establish a vital records management program.

B Roles and Responsibilities for FSA Offices

All offices shall take the following actions to establish a vital records management program using FSA-808A or FSA-808B:

- designate a vital records liaison
- develop a vital records plan
- identify and inventory vital records
- protect vital records
- cycle vital records
- develop a records recovery response plan.

The **vital records liaison** is responsible for assisting applicable National, State, and County Office agency program managers to:

- develop, establish, implement, and maintain a vital records management program
- transfer vital records to offsite storage
- recover vital records and/or records of value during an emergency or disaster
- serve as a member on the records recovery response team.

The **records liaison** is responsible for overseeing records management in cooperation with the agency records management officer.

189 Establishing a Comprehensive Vital Records Management Program**A Vital Records Plan Components**

When creating a comprehensive vital records management program, the following are vital records plan components on FSA-808A or FSA-808B:

- identify/inventory vital records
- protect vital records
- cycle vital records.

B Identify and Inventory

Determine the following:

- mission critical functions
- what records support mission critical functions
- what and how to keep certain records.

Identify **all** office records maintained and used within **all** office locations.

- Use the current **File Maintenance and Disposition Manual**. Some records may **not** be listed on the office **File Maintenance and Disposition Manual**. If your records are not listed on the **File Maintenance and Disposition Manual**, notify Records Staff.
- Include electronic records or systems **not** listed in the **File Maintenance and Disposition Manual**.

189 Establishing a Comprehensive Vital Records Management Program (Continued)**C Vital Records Categories**

The following are vital records categories.

Category	Description
Emergency Operating/ Critical Period	<p>The following records are needed within 24 hours after an emergency or disaster:</p> <ul style="list-style-type: none"> • emergency plans or directives • delegations of authority • order of succession • staff assignments • building plans • emergency (evacuation) procedures.
Emergency Operating/ Recovery Period	<p>The following records are needed within 2 to 3 calendar days after an emergency or disaster:</p> <ul style="list-style-type: none"> • case files • program management files • correspondence tracking systems • electronic files.

189 Establishing a Comprehensive Vital Records Program (Continued)

C Vital Records Categories (Continued)

Category	Description
Legal and Financial Rights Records	<p>The following records are not needed immediately, but are still essential in restoring business function:</p> <ul style="list-style-type: none"> • personnel records • payroll and leave records • legal procedures or decisions • grants and contracts.
Vital Records Plan Components	<p>The following are to protect vital records:</p> <ul style="list-style-type: none"> • preparing vital records for storage • duplication • dispersal • combination • determining appropriate storage for vital records. <p>The following are to cycle vital records:</p> <ul style="list-style-type: none"> • systematic approach to updating records • vital records become obsolete and require updating • ensuring that vital records are current and accurate • each FSA Office will periodically cycle vital records. <p>The following are for vital records review:</p> <ul style="list-style-type: none"> • vital records maintained at offsite storage facilities need to be evaluated on a regular basis • determine whether updating vital records will require complete or partial replacement • cycle vital records on a routine basis during the course of normal business or as planned (quarterly or annually) • destroy outdated copies of vital records (non-records) according to current non-records disposal procedures.

189 Establishing a Comprehensive Vital Records Program (Continued)

D Offsite Storage

The following are **recommendations for storage facilities**:

- NARA-approved storage facilities are used for vital records
- temperature is less than 70° Fahrenheit
- relative humidity is 50 percent
- will protect against mold and mildew growth on paper and heat damage to electronic media
- extended term storage conditions are at 35 percent relative humidity for microfilm records
- ensure adequate temperature and humidity monitors and controls.

At an offsite storage facility, vital records should be:

- stored **not** less than 3 inches from the floor
- stored **not** less than 6 inches from the ceiling or suspended lights or 18 inches from sprinkler heads
- at least 24 inches from heaters or radiators, away from electrical or fire alarm systems, and without obstructing access exits, access panels, air conditioning ducts, or fire extinguishers.

The following are **hardware and software considerations**:

- identify and determine the type of equipment **required** to store, retrieve, or access information

Note: This pertains to an alternate worksite, if the plan has been activated.

- the hardware and software **required** to view or use electronic records, etc., such as Microsoft Word, Access, PowerPoint, etc.
- contact ITSD.

190 Records Incident Forms

A Example of FSA-810

The following is an example of FSA-810.

FSA-810 <small>(06-01-16)</small>	U.S. DEPARTMENT OF AGRICULTURE <small>Farm Service Agency</small> RECORDS INCIDENT COORDINATOR DESIGNATION FORM
Please read before signing, as this constitutes the agreement as a volunteer designee.	
I, _____, acknowledge and state the following:	
I voluntarily accept the Records Incident Coordinator <input type="checkbox"/> Primary <input type="checkbox"/> Alternate designation for the U.S. Department of Agriculture, Farm Service Agency (FSA).	
I believe I am capable and ready to respond for the duties that would be required in an incident situation. I certify that I am in good health and physically able to perform this type of work.	
I understand that this work may entail a risk of physical injury and may involve physical labor, lifting and other strenuous activity, exposure to mold, and that some activities may take place on ladders and building framing other than ground level.	
I meet the following qualifications:	
<ul style="list-style-type: none"> • Medically-qualified or medical clearance from a physician or other licensed health care professional (PLHCP) stating that candidate has current Tetanus and Hepatitis A vaccinations, is medically cleared to wear a respirator, and is medically fit for working in an incident situation. • Formally trained in incident response by FSA or National Archives and Records Administration (NARA). • Understand the effects of different environmental and hazardous conditions. • Capable of rapidly responding both with and without warning. • Familiar with regional and local resources to assist in locating supplies and support. • Have been carefully briefed on the site's Continuity Operations Plan aims and goals by the Office Head. 	
Should my qualifications change, I must immediately notify my Office Head and either rectify to remain qualified or resign this designation.	
1a. VOLUNTEER'S NAME <small>(Please type or print)</small>	1b. VOLUNTEER'S SIGNATURE
	1c. DATE <small>(MM-DD-YYYY)</small>
1d. ADDRESS <small>(Home and/or Office)</small>	
<input type="checkbox"/> Home <input type="checkbox"/> Office	
2a. EMERGENCY CONTACT PERSON	2b. TELEPHONE NO. <small>(Include area code)</small>
	2c. RELATIONSHIP
3a. OFFICE NAME AND LOCATION	3b. HEAD OF OFFICE <small>(Signature)</small>
	3c. DATE
PRIVACY ACT STATEMENT	
AUTHORITY: Public Law 109-148.	
PRINCIPAL PURPOSE(S): To facilitate the implementation of the Records Incident Preparedness and Response plan.	
ROUTINE USE(S): This information is For Official Use Only. This information shall be released/provided only to those individuals properly designated by the Agency to have a demonstrated need to know the information. The information shall be used to place Agency management in the best possible position to quickly, efficiently, and effectively contact the Records Incident Coordinator's designated emergency contact person.	
DISCLOSURE: Voluntary; however, failure to furnish the requested information may result in the employee being declared ineligible to serve as a Records Incident Coordinator and/or negatively impact the ability of Agency management to contact the Records Incident Coordinator's designated emergency contact person.	

B Example of FSA-811

The following is an example of FSA-811.

FSA-811 (06-01-16)	U.S. DEPARTMENT OF AGRICULTURE Farm Service Agency RECORDS INCIDENT PREPAREDNESS (Physical Site Survey)	
One of the key measures used in hazard assessment is to initially conduct a physical site survey and utilize this information in the event of an incident. This includes evaluation of site location, asset conditions and human factors.		
1. OFFICE NAME AND LOCATION	2. INCIDENT DATE(S)	3. INCIDENT TYPE
4. SITE SURVEY		
ITEM	CONDITION/LOCATION	POSSIBLE HAZARDS
a. Structure location	SAMPLE DATA-FILL ENTRY: North end of federal complex, 1 st and Main, 2 levels utilized by FSA.	SAMPLE DATA-FILL ENTRY: Retention pond 20 feet away from building; drainage issues. Lower level at risk for potential flooding.
b. Surrounding area	SAMPLE DATA-FILL ENTRY: Other federal buildings are located west and south. Frankfurt River is located 200 feet from structure.	SAMPLE DATA-FILL ENTRY: Structure is within the river's flood zone.
c. Location of paper records		
d. Environmental stability		
e. Roof type		
f. Drainage/sprinkler system		
g. Fire protection system		
h. Telecommunications		
i. Electronic equipment		
j. Records		
k. Chemical		
l. Other (Specify):		
5. COMMENTS		
6A. RECORDS INCIDENT COORDINATOR (Signature)		6B. DATE PREPARED (MM-DD-YYYY)

190 Records Incident Forms (Continued)

C Example of FSA-812

The following is an example of FSA-812.

FSA-812 <small>(06-01-16)</small>		U.S. DEPARTMENT OF AGRICULTURE <small>Farm Service Agency</small> RECORDS INCIDENT PREPAREDNESS (Hazards Evaluation)					
PART A - GENERAL INFORMATION							
1. OFFICE NAME AND LOCATION		2. INCIDENT DATE(S)	3. INCIDENT TYPE				
4A. REPORT COMPLETED BY <i>(Please type or print name)</i>		4B. POSITION TITLE	4C. DATE COMPLETED <small>(MM-DD-YYYY)</small>				
4D. PHONE NO. <i>(Include Area Code)</i>		4E. EMAIL ADDRESS					
PART B - HAZARDS EVALUATION							
HAZARD	OCCURRENCE POTENTIAL 1/ <small>(Check as applicable)</small>						EXPLANATION/COMMENTS
	H	MH	M	ML	L	VL	
a. Airplane crashes							
b. Bomb/ bomb threats							
c. Building access/ closing							
d. Computer network failure							
e. Disease/medical emergencies							
f. Disgruntled employee/sabotage							
g. Flooding							
h. Fire							
i. Hazardous materials							
j. Hurricane							
k. Lightning damage							
l. Power failure							
m. Telecommunications failures							
n. Terrorism							
o. Tornado							
p. Toxic fumes							
q. Seismic stability							
r. Severe storm							
s. Water damage							
t. Winter storm							
u. Other <i>(Specify):</i>							
1/ Occurrence Potential: H High MH Moderately High M Moderate ML Moderately Low L Low VL Very Low							

190 Records Incident Forms (Continued)

D Example of FSA-813

The following is an example of FSA-813.

FSA-813 <small>(06-01-16)</small>	U.S. DEPARTMENT OF AGRICULTURE <small>Farm Service Agency</small> RECORDS INCIDENT DAMAGE ASSESSMENT			
1. OFFICE NAME AND LOCATION	2. INCIDENT DATE(S)	3. INCIDENT TYPE		
4. DESCRIBE EXACT CIRCUMSTANCES SURROUNDING THE ALIENATION, DEFACING, OR DAMAGE TO RECORDS:				

PART A - DETAILED RECORDS DESCRIPTION				
FILE TYPE NAMES	VOLUME AND YEAR SPAN(S) <small>(If Known)</small>	RECORD TYPE <small>(Check as applicable)</small>		
		Vital	Program	Administrative
1				
2				
3				
4				
5				
6				
7				
8				
9				
10				
11				
12				
13				
14				
15				
16				
17				
18				
19				
20				
21				
22				
23				
24				
25				
26				

190 Records Incident Forms (Continued)

D Example of FSA-813 (Continued)

FSA-813 (06-01-16)

Page 2 of 2

PART B – SAFEGUARDS ESTABLISHED

BRIEFLY DESCRIBE THE SAFEGUARDS ESTABLISHED TO PREVENT FURTHER LOSS OF DOCUMENTATION
 (EXAMPLE: Water drained from facility; resolved all hazards to the site.)

PART C – RECORDS RECOVERY

DESCRIBE DETAILS OF ACTIONS TAKEN TO SALVAGE, RETRIEVE, OR RECONSTRUCT THE RECORDS (where appropriate)
 (EXAMPLE: Once safe, initiated preliminary recovery procedures. Document recovery company will arrive tomorrow to retrieve records for salvage efforts.)

PART D – DAMAGE TYPE (Check all that apply)

- | | | | |
|---|--|-------------------------------------|---|
| <input type="checkbox"/> a. Debris | <input type="checkbox"/> d. Water, high (dripping wet) | <input type="checkbox"/> g. Fire | <input type="checkbox"/> j. Rodents |
| <input type="checkbox"/> b. Mold/mildew | <input type="checkbox"/> e. Water, low (damp) | <input type="checkbox"/> h. Sewage | <input type="checkbox"/> k. Contaminants (Specify): |
| <input type="checkbox"/> c. Mud | <input type="checkbox"/> f. Smoke | <input type="checkbox"/> i. Insects | |

PART E – MEDIA TYPE (Check all that apply)

- | | | | |
|---|--|---|--|
| <input type="checkbox"/> a. Paper | <input type="checkbox"/> d. Slides | <input type="checkbox"/> g. Oversized materials (maps, posters) | <input type="checkbox"/> j. CD-ROMS |
| <input type="checkbox"/> b. Books | <input type="checkbox"/> e. Videos/audio tapes | <input type="checkbox"/> h. Glossy paper (magazine stock) | <input type="checkbox"/> k. Other (Specify): |
| <input type="checkbox"/> c. Photographs | <input type="checkbox"/> f. Microfilm/microfiche | <input type="checkbox"/> i. Computer disks | |

5A. RECORDS INCIDENT COORDINATOR (Signature)

5B. DATE & TIME PREPARED

190 Records Incident Forms (Continued)

E Example of FSA-814

The following is an example of FSA-814.

FSA-814 <small>(06-01-16)</small>		U.S. DEPARTMENT OF AGRICULTURE <small>Farm Service Agency</small>	
RECORDS INCIDENT AFTER-ACTION REPORT			
<p>At the very end of an incident recovery, the Office Head and the Records Incident Coordinator will each need to write a report detailing what happened, how it happened, what response was taken, the results of the response, and the casualty report of damage. The Office Head will focus on overall response and efforts. The Records Incident Coordinator should focus on records response and recovery.</p>			
PART A - GENERAL INFORMATION			
1. OFFICE NAME AND LOCATION		2. INCIDENT DATE(S)	3. INCIDENT TYPE
4a. REPORT COMPLETED BY <i>(Please type or print name)</i>		4b. POSITION TITLE	4c. DATE COMPLETED <small>(MM-DD-YYYY)</small>
4d. PHONE NO. <i>(Include Area Code)</i>		4e. EMAIL ADDRESS	
PART B - EVALUATION OF MANAGEMENT SERVICES DIVISION'S RESPONSE AND EFFORTS			
ITEM	CHECK AS APPLICABLE		NEEDS IMPROVEMENT EXPLANATION <small>(If "Needs Improvement" block at left is checked, please explain.)</small>
	Satisfactory	Needs Improvement	
a. Planning			
b. Training			
c. Responsiveness			
d. Communications			
e. Followup			
PART C - HIERARCHICAL ORGANIZATIONAL SUPPORT EVALUATION			
ITEM	CHECK AS APPLICABLE		NEEDS IMPROVEMENT EXPLANATION <small>(If "Needs Improvement" block at left is checked, please explain.)</small>
	Satisfactory	Needs Improvement	
a. Planning			
b. Training			
c. Responsiveness			
d. Communications			
e. Followup			
PART D - EVALUATION OF ACQUISITION MANAGEMENT DIVISION'S RESPONSE AND EFFORTS			
ITEM	CHECK AS APPLICABLE		NEEDS IMPROVEMENT EXPLANATION <small>(If "Needs Improvement" block at left is checked, please explain.)</small>
	Satisfactory	Needs Improvement	
a. Responsiveness			
b. Communications			
c. Followup			

190 Records Incident Forms (Continued)

E Example of FSA-814 (Continued)

FSA-814 (06-01-16)		Page 2 of 2		
PART E – AFTER-ACTION REPORT QUESTIONNAIRE				
ITEM		CHECK AS APPLICABLE		
		YES	NO	N/A
a. Were procedures established and in place for response to the incident?				
b. Were procedures used to organize initial and ongoing response?				
c. Was communication established and maintained between agency incident points of contact?				
d. Did you respond to an order for evacuation?				
e. Did you relocate operations? <i>If yes, complete blocks f-h below.</i>				
f. For how long?	g. Number of personnel:	h. Number/type of equipment used:		
i. Was there any part of the COOP or Records Incident Response and Recovery that did not work for your organizational entity? <i>If yes, complete block j below.</i>				
j. How would (did) you change the system to meet your needs?				
k. As a result of your response, are any changes needed in your plans or procedures? <i>If yes, complete block l below.</i>				
l. Please provide a brief explanation:				
m. Narrative – Use this block for additional comments. Identify issues, recommended solutions to issues, and levels that might be involved in implementing those recommendations.				

191-200 (Reserved)

Part 7 Litigation Holds**201 Policy****A Definition of Litigation Hold and Documentary Material**

Litigation hold means the procedure for identifying, locating, and ensuring the retention and preservation of all documentary material that may constitute potentially relevant evidence in pending or reasonably foreseeable litigation.

Documentary material means, collectively, records and non-records, in whatever form or format, including but **not** limited to ESI, data, data compilations, spreadsheets, correspondence, notes, e-mails, writings, drawings, graphs, charts, photographs, sound recordings, images, and any other materials, whether original or duplicative, draft or final versions, partial or complete versions, informal or formal, internal or external, proprietary or nonproprietary.

B To Whom Does the Litigation Hold Apply

A litigation hold:

- applies to all employees and contractors, when contracts specify which documentary deliverables or other ESI belong to the government, to the extent that the employees or contractors have documentary material subject to the litigation hold
- extends to documentary material stored or maintained on property, and material created on or stored in computers owned by employees, consultants, and contractors
- **requires:**
 - managers to preserve the relevant documentary material and ESI of departing employees
 - information technology staff to ensure that e-mails or other relevant ESI of departing employees that exists on agency servers is preserved (see Part 8).

201 Litigation Hold Policy (Continued)**C Failure to Comply With a Litigation Hold**

Failure to comply with a litigation hold can result in:

- sanctions against the government or disadvantage the government's position in litigation
- monetary or other contempt sanctions against individuals who failed to take appropriate steps to locate and segregate materials subject to a litigation hold.

In extreme cases, agency performance-based action or disciplinary sanction may be warranted under **5 U.S.C. 4301**, et seq., or **5 U.S.C. 7501**, et seq.

D Records Freezes and Litigation Holds

Records freezes prevent destruction of temporary records by their normal disposal schedule because of special circumstances, such as a court order or investigation. A temporary extension of the approved retention period is **required**.

FSA implements a litigation hold when it **must**:

- suspend normal disposition actions (for example, transfer (accession), disposal, recycling, or destruction), related to documentary material
- segregate and preserve materials because of legal, audit, or investigative needs.

201 Litigation Hold Policy (Continued)**E Litigation Hold Requirements**

The requirements of a litigation hold vary from case-to-case and depend on the nature of the claims asserted by the parties, any agreements reached by the parties, and any relevant court orders. Whatever the scope of a litigation hold, preservation **must** occur regardless of whether the documentary material may ultimately be withheld as privileged or determined to be unreasonably burdensome to produce.

Note: A hold generally **requires** that documentary material be retained for longer periods of time than identified in the normal disposition guidance. A litigation hold is often broader than a records freeze, because it **requires** preserving materials beyond materials that constitute records as defined by the Federal Records Act.

F Litigation Hold Removal

After employees have received official notification from the MSD Records Staff that a litigation hold has been removed, records held because of the litigation hold can be returned to the offices administrative or program files or transferred (accessioned) to FRC. If employees determine that the records are also pertinent to other litigation, they **must** continue to be retained as directed with other litigation hold cases.

G Action

All FSA employees and contractors are affected by litigation holds and shall, until further notice:

- **not** destroy written documents pertaining to a litigation hold of any sort
- retain electronically created and/or stored documents in their native format.

Supervisors and managers must take steps to ensure that the litigation hold is carried out by employees under their supervision, including issuing periodic reminders about the litigation hold **requirements**.

202 Preserving Documentary Material**A Documentary Material Preservation Requirements**

Preserving documentary material **requires** that documentary material that might be or might become relevant to pending or threatened litigation hold is preserved. If the documentary material was created in electronic format, it **must** be preserved in the original, native format. Preserve documentary material as follows.

- Do **not** destroy or manipulate any documentary material, including temporary records that are eligible for destruction.
- Do **not** transfer (accession) permanent records to NARA, unless a transfer (accession) is permitted according to the litigation hold.
- Do **not** transfer (accession) records to FRC, unless a transfer (accession) is permitted according to the litigation hold.
- Do **not** donate, to interested individuals or organization, any documentary material or temporary records that are eligible for destruction.

Employees shall **not delete** or **destroy** any documentary material, whether records or non-records that are potentially the subject of litigation hold or records retention freeze, without first obtaining clearance from the MSD Records Staff.

202 Preserving Documentary Material (Continued)

B Filing Litigation Hold Documentary Material Folders

Litigation records shall be filed **separately** from administrative and program files. All litigation hold files shall be preserved and secured in a **locked** file drawer. File folders shall be labeled and placed in the center of the subject file folder with the following information:

- litigation hold title
- litigation hold case number
- litigation hold date.

Example: Following are examples of litigation hold subject file folder labels.

GRS 1/30 Administrative Grievance Files File Code: Jones, John Opened: 2007 (LEFT SIDE LABEL)	Litigation Hold FSA-2013-0040-John Jones vs. USDA Litigation Date: Jan 4, 2013 (CENTER LABEL)	Destroy no sooner than 4 years, but no later than 7 years after case is closed. (RIGHT SIDE LABEL)
GRS 1/30 Administrative Grievance Files File Code: Jones, John FSA-2013-0040 Opened: 2007 (LEFT SIDE LABEL)	Litigation Hold FSA-2013-0040-John Jones vs. USDA Litigation Date: Jan 4, 2013 (CENTER LABEL)	Destroy no sooner than 4 years, but no later than 7 years after case is closed. (RIGHT SIDE LABEL)

Electronic records should be saved using the case number in a Microsoft Outlook folder.

Note: For FLP case folders, use the front cover of a straight-cut, pressboard folder and place the litigation hold subject label on the left and the disposition on the right of the folder.

202 Preserving Documentary Material (Continued)**C Storing Litigation Hold Documentary Material**

Litigation hold records **must** be maintained on-site at all times until dismissed. To store litigation hold records off-site at FRC, **prior** approval from the records officer **must** be obtained.

Litigation hold records already stored at FRCs shall remain at FRC's. If employees have documentary material about litigation hold cases, use **FSA-297** to indicate at which FRC the records are stored.

D Penalties for Unlawful Destruction of Litigation Hold Documentary Material

Employees could face severe penalties imposed by a court, or agency performance-based or disciplinary action, for **not** preserving documentary material subject to a litigation hold, as follows:

- for DOJ, failure to preserve operational records could constitute an unlawful destruction of records that **must** be referred to the Attorney General
- for civil or criminal court, employees that fail to comply with a litigation hold that is in place because of a court order could individually be sanctioned or held in contempt by the court, and destruction of records under certain circumstances is potentially a criminal violation for which an employee could be prosecuted.

203-214 (Reserved)

Part 8 Departing Employees**215 Departing Employee Clearance Process****A Records Management Exit Clearance Process**

Before leaving employment with USDA, or reporting to a new USDA duty location, all departing employees **must** follow the clearance procedures according to this part. FSA and FAS supervisors are responsible for ensuring that **all** political and/or senior level officials, employees, contractors, and volunteers comply with guidance for completing **AD-1106-2**. Supervisor shall also ensure that **AD-1106-2** is completed and reviewed by the assigned records custodian and/or officer **before** an employee's departure.

AD-1106-2 is available at:

<http://fsaintranet.sc.egov.usda.gov/dam/ffasforms/currentforms.asp>.

Note: **AD-1106-2** **must** be cleared by the MSD Records Staff at least 1 week before an employee's departure.

State and County Office employees shall submit **AD-1106-2** and, if applicable, **AD-3001** to their assigned records custodian for final signature.

National Office employees shall submit **AD-1106 (FSA or FAS)**, **AD-1106-2**, and if applicable, **AD-3001** to their assigned records custodian for final signature.

B Role and Responsibilities for FSA and FAS Offices

Each office is **required** to ensure that employees certify that all Federal records and files, created or received, have been transferred to a supervisor or COTR or custody has been assigned to another employee.

215 Departing Employee Clearance Process (Continued)

C USDA Regulation

FSA and FAS Offices are responsible for ensuring that all material created, received, or maintained during an employee's employment or appointee's tenure with the Federal Government, that meet the criteria for a Federal record, remains in the Federal Government's custody when an employee or appointee departs FSA or FAS.

Note: DR 3099-001 available at <http://www.ocio.usda.gov/sites/default/files/docs/2012/DR3099-001.pdf> provides USDA's records management policy for departing employees, contractors, volunteers, and political appointees, including using AD-3001 that is available at <http://www.ocio.usda.gov/policy-directives-records-forms/forms-management/approved-computer-generated-forms>.

D PA Guidance for Departing Employees

PA (5 U.S.C. 552a) provides access to individuals to information about them contained in Agency files and prevents release or disclosure of information about individuals to third parties, **except** under limited circumstances. PA applies to records that contain information about an individual and that are contained in a PA System of Records.

System of Records means any grouping of records, paper or electronic, about an individual that are retrieved by the Agency using the individual's name, identifying number, symbol, or other identifying particular assigned to the individual. Through the course of the employee's official duties, employees may have accessed and used PA records about other individuals.

Employees and officials are permitted to access and use PA records for official purposes; however, after the employee or official has separated, access or use is **prohibited**. A departing employee who keeps copies of PA records and accesses them after employment is violating PA and may be subject to criminal or civil penalties. Accordingly, employees should **not** remove any PA records when departing. If there are questions about specific records, consult with the manager or the agency's PA official.

216 Departing Employee Record Certification**A AD-3001**

AD-3001 must be completed by the departing employee, contractor, volunteer, or political appointee, certifying that all Federal records, regardless of media (including social media), have been identified and transferred to the records custodian or liaison, COTR, or have been reassigned to another employee. The departing employee and the appropriate Agency records officer, Staff Office records officer, or records liaison and program manager **must** sign **AD-3001**.

B Maintaining Documentary Material

The following guidance helps to ensure that only appropriate documentary material is removed.

- Separation of Personal Papers. Personal papers, as defined in **DR 3099-001-6-m**, shall be clearly designated as personal papers and shall at all times be maintained separately from Agency's records.
- Partial Federal and Personal Record. If information about personal matters and USDA business appears in the same document, the document shall be copied with the personal information deleted, and the remaining material treated as a Federal record or Non-record material, as appropriate. See **DR 3099-001-7-b-2** for additional guidance.
- Usage Labeling. Documentary material labeled "personal", "confidential", "private", etc., used in the transaction of public business and that meet the definition of record, are Federal records or non-record materials subject to the provisions of pertinent laws and regulations. Using a label, such as "personal", is **not** sufficient to determine the record status of documentary material.

216 Departing Employee Record Certification (Continued)

C Removing Documentary Material

The following types of documentary material may **never** be removed by departing employees:

- Federal records
- the only copy of any documentary material involved in the conduct of the affairs of USDA or any other components of the Federal Government, whether or **not** judged to be records, including any copy that is unique, for example, because it contains the signature or initials of the writer, reviewers, and/or concurring parties
- any documentary material, whether or **not** judged to be records, the removal of which will create such a gap in the files as to impair the completeness of essential documentation

Note: Indexes, or other finding aids, necessary for using the official files may **not** be removed.

- the only copy of indexes or other finding aids, whether or **not** judged to be records, that are necessary to using office files
- portions of documentary material, whether or **not** judged to be records, that constitutes classified information
- portions of documentary material, whether or **not** judged to be records, that constitutes information subject to PA (**5 U.S.C. 552a**)
- portions of other documentary material, whether or **not** judged to be records that constitutes information the disclosure of which is prohibited by law, such as grand jury, tax, and trade secret information.

All other types of nonpublic federally owned documentary material, including privileged material, may be removed **only** with specific approval from the appropriate agency records officer.

216 Departing Employee Record Certification (Continued)

C Removing Documentary Material (Continued)

Departing or former employees and political appointees of USDA may request the following:

- removal of or access to documentary material that was reasonably related to the requester's official responsibilities while an employee
- maintenance of assembled documentary material for a specific period of time, **not** to exceed 1 year following departure from USDA's employment, during which he or she may request removal or access.

All records, originals and copies, are under the control of USDA, regardless of how and by whom they were created or obtained. Removal of documentary material **must** be approved according to this paragraph to ensure that USDA's ability to claim privileges in litigation, to claim FOIA exemptions, and to protect sensitive and classified information.

D Senior Officials

Although Federal records may **not** be removed, departing senior officials are allowed to create a **limited** number of copies of unclassified documents for personal use when warranted by the level of the position, or significance of the work or research. Copies are considered non-record material and **must** be reviewed and approved by their supervisor or agency records officer, Staff Office records officer, or Field Office records liaison **before** they may be removed. An accounting **must** be made of all non-record and personal papers that are removed. Classified and PA documents may **not** be duplicated or removed from Federal custody.

Before departure, senior officials and political appointees shall identify Federal records of which they have custody.

Records, regardless of media (including social media), shall be inventoried and records on file servers, hard drives, and in e-mail systems shall be copied and removed or reassigned, as follows:

- Inactive records shall be transferred to a records custodian and active records shall be reassigned to another employee.
- All file searches for which the employee has been tasked **must** be completed or reassigned, such as FOIA, Congressional, or litigation-related document requests.

216 Departing Employee Record Certification (Continued)

E Employees, Contractors, Volunteers, and Temporary Hires

All employees are responsible for the Federal records in their custody. This responsibility applies to employees separating from USDA or transferring to another USDA Agency.

Before departure, employees, contractors, volunteers, and temporary hires shall identify Federal records for which they have custody and are responsible for any applicable procedures described as follows.

- Records, regardless of media (including social media), shall be inventoried and records on file servers, hard drives, and in e-mail systems shall be copied and removed or reassigned, as follows.
 - Inactive records shall be transferred to a records custodian and active records shall be reassigned to another employee.
 - Depending on the status of the contract, departing contractor employee's records shall be reassigned to another contractor or Federal employee, or incorporated into USDA's official files.
 - All file searches for which the employee, contractor, volunteer, or temporary hire has been tasked **must** be completed or reassigned, such as FOIA, Congressional, or litigation-related document requests.
- Maintain record and non-record documentary material according to prescribed USDA policy and procedures.
- Safeguard records until they are authorized for disposition. The unauthorized removal, concealment, falsification, mutilation, or disposition of official records is prohibited by law and is subject to penalty (**18 U.S.C. 2071**).

216 Departing Employee Record Certification (Continued)

E Employees, Contractors, Volunteers, and Temporary Hires (Continued)

- Clearly designate as personal, papers of a private or nonofficial nature pertaining solely to personal affairs. Personal papers shall be filed separately from records of the office.
- Report any apparent instances of unauthorized disposition to his or her supervisor and the mission area, agency, or staff office records officer.
- Request permission to remove copies of materials **before** leaving USDA. The request **must** be submitted, in writing, to the head of the component in which the requester is or was employed. The request **must** describe the documentary material with sufficient detail to permit retrieval. Departing employees should assemble the requested material and attach the requested material to the request, or if the material is voluminous, a detailed inventory list should be attached explaining how the requested material may be readily assembled.
- Meet with their Federal supervisor or COTR and the agency records officer, staff office records officer, or Field Office records officer before departing USDA.

216 Departing Employee Record Certification (Continued)

F Example of AD-1106-2

The following is an example of AD-1106-2.

This form is available electronically. AD-1106-2 (10-04-12)		U.S. Department of Agriculture Farm Service Agency Foreign Agricultural Service		A. Date Prepared (MM-DD-YYYY)		B. Agency (Check One) <input type="checkbox"/> FSA <input type="checkbox"/> FAS	
FSA AND FAS RECORDS MANAGEMENT EXIT CLEARANCE SHEET				C. Office Location (Check One) <input type="checkbox"/> Headquarters <input type="checkbox"/> State <input type="checkbox"/> County <input type="checkbox"/> Country: _____			
				D. Type of Employee (Check One) <input type="checkbox"/> Political (Complete Parts A, C and E) <input type="checkbox"/> Non-Political/Contractors (Complete Parts A, D and E)			
				INTRODUCTION: This form establishes responsibilities and procedures for FSA and FAS, Political and/or Senior Level Officials, Contractors and Employees regarding the exit clearance process. Penalties for Unlawful removal of records: Criminal penalties are provided for the unlawful removal or destruction of Federal records (18 U.S.C. 641 and 2071) and for the unlawful disclosure of certain information pertaining to national security (18 U.S.C. 793, 794, 798 and 952).			
PART A – EMPLOYEE GENERAL INFORMATION							
I am employed by an office in FSA or FAS, Immediate Office all offices of the Administrator, Deputy Administrator, Associate Administrator, Chief Information Office (CIO), Office of the General Counsel (OGC) or as a Contractor.							
1. Employee Name				2. Employee Position Title			
3. Organization (Division/Branch)		4. Duty Station/Location		5. Last Day of Active Service (MM-DD-YYYY)		7. Actual Separation Date (MM-DD-YYYY)	
PART B – INSTRUCTIONS							
1. Employee is responsible for obtaining clearances on or before the last active duty day. This form should be hand carried or unless otherwise indicated by the employee through all appropriate designations. DO NOT MAIL. 2. Procedures on Page 3 must be reviewed by ALL employees. Senior Official and Political Appointees refer to Page 4. 3. All "initial" boxes must be initialed by immediate supervisor or designee. 4. Supervisors who indicate clearance by their initials in the "Initial" box are certifying that records have been properly accounted for. 5. Employee and supervisor must complete the entire form and give it to the Records Office for certification. - County Office shall send completed form to the State Office. - State Office approves and maintains copies of completed AD-1106-2 in the State Office. 6. Records Officer or Records Custodian should certify that the employee has completed the clearance process by signing in Part E. 7. Records that may NOT be removed: A. Any material regardless of the media that meets the definition of a Federal record. B. Any information not normally released to the general public, unless prior approval is obtained.							
PART C – POLITICAL AND SENIOR LEVEL EMPLOYEE INFORMATION							
EMPLOYEE ACTIONS - Administrator, Deputy Administrator, Associate Administrator, Office of the Director, Staff Assistant to the Administrator, CIO, OGC and Contractor shall complete this Part.						Completed by Employee YES NO	
						Completed by Supervisor Initials Date	
1. Do you have any documentary material hard copies or electronic documents involved in any litigation cases? (Tobacco Industry Litigation, TIL, freeze records hold, or any other litigation holds. See your Records Officer for a complete list of holds and freezes). My files are located in (Room Number):							
2. I have notified the Records Officer that my hard drive contains information to be preserved, and I have arranged for FSA/FAS-OCIO to have it removed and stored upon my departure. (This process MUST be completed.)							
3. I have maintained (or had maintained for me) a paper or electronic calendar (appointment book(s), schedule, log or similar record).							
4. I have printed out (in a legible format), or had printed out for me, all data in my electronic calendar, filed with my paper calendar records, and notified my office that (Check all that apply):							
A. These records need to be retained for 5 calendar years following my departure from the position, if I have held any of the following positions: Administrator, Deputy Administrator, Assistant Administrator, OGC, or Inspector General. Then the records need to be transferred to the National Archives and Records Administration for permanent safekeeping.							
B. These records need to be retained for 3 calendar years, following my departure from the position, if I have held any of the following positions: Deputy Administrator Secretary, Office of the Director, or Staff Assistant to any of the positions referenced in Item 4A.							
C. These records need to be retained for 2 calendar years, following my departure from my position, if I have held any other position, if they contain substantive information relating to official activities that has not been incorporated into other official files, as attested to by the signature of my supervisor or records custodian/file manager.							
5. I have transferred electronically ALL files in my possession that need to be retained, or had this accomplished for me, and transferred all records in my possession to my supervisor or Records Custodian. (This process MUST be completed.)							

216 Departing Employee Record Certification (Continued)

F Example of AD-1106-2 (Continued)

AD-1106-2 (10-04-12)		Page 2 of 4	
PART D – EMPLOYEES, CONTRACTORS, VOLUNTEERS, and COLLEGE INTERNS			
EMPLOYEE ACTIONS		<div style="display: flex; justify-content: space-between;"> <div>Completed by Employee</div> <div>Completed by Supervisor</div> </div>	
		YES	NO
		Initials	Date
1. I have transferred all electronic files in my possession that need to be retained, to my supervisor or office Records custodian/file manager, as attested to by the signature of this individual. (This process MUST be completed.)			
2. Did you inform your immediate supervisor of the location of your active files?			
3. Are you removing any non-record documents, such as extra copies of Agency records, from the Agency?			
4. Do you have any documentary material hard copies or electronic documents involved in any litigation cases? (TIL freeze record holds, or any other litigation holds. See your Records Officer for a complete list of holds and freezes.)			
5. I have notified the Records Officer that my hard drive contains information to be preserved and have arranged for it to be removed and stored upon my departure.			
6. I have maintained (or had maintained for me) a paper or electronic calendar (appointment book, schedule, log or similar record).			
PART E – CERTIFICATION OFFICIALS APPROVING (Political, Non-Political and Senior Level Employee or Designee)			
CERTIFICATION: Employees, contractors, volunteers, and political appointees, etc., must complete the certification below. Employees and political appointees must meet with their immediate supervisor. Contractors must meet with the Contract Officer Representative (COR). Volunteers/Interns must meet with the unit's Volunteer Coordinator.			
1. Are you removing any non-record documents, such as extra copies of agency records, from the agency? <input type="checkbox"/> YES <input type="checkbox"/> NO If "YES," complete Part E, Item 1A. If "NO," complete Part E, Item 1B.			
A. <input type="checkbox"/> YES , I certify that appropriate agencies Records Officer or Records Custodian officials named in Item 3A have reviewed the documents I am removing from the Department of Agriculture and/or associated Agencies, and do not include any documents relating to any pending or contemplated civil, criminal, or administrative proceeding or other program information, that if released, would impair or prejudice the outcome of the proceeding or Government policy determination, decisions, or other actions (Examples: classified documents; record copies; documents, even though judged to be non-records, that will create a gap in the files; and indexes and finding aids necessary to use the official files). If you checked "YES," complete form AD-3001, Documentary Materials Removal/Non-Removal Certification and Non-Disclosure Statement. AD-3001 can be accessed from Departmental Regulation (DR3099-001) at http://www.ocio.usda.gov/directives/doc/DR3099-001.pdf .			
B. <input type="checkbox"/> NO , I certify that I am not removing any documents from the Department of Agriculture or associated Agencies.			
2A. Employees Signature (Political, Non-Political, and/or Senior Level Employee or Designee)		2B. Date (MM-DD-YYYY)	
3A. Employees Supervisor/ Designee Signature	3B. Telephone No. (Including Area Code)	4C. Date (MM-DD-YYYY)	
5A. Records Officer/Records Custodian Signature (Certifying)		5B. Date (MM-DD-YYYY)	
6. Additional Remarks			

216 Departing Employee Record Certification (Continued)

F Example of AD-1106-2 (Continued)

AD-1106-2 (10-04-12)	Page 3 of 4
PART F – RECORDS MANAGEMENT EXIT PROCEDURES	
<ol style="list-style-type: none"> 1. Departing employees, contractors, and volunteers shall meet with their Federal supervisor or Contracting Officer's Technical Representative (COTR) and the Agency Records Officer or Field Office Records Liaison to: <ol style="list-style-type: none"> a. Identify location and content of all record/nonrecord material in employee's custody, regardless of media (paper, computer hard drive, compact disks, electronic mail systems, servers, etc.); <ol style="list-style-type: none"> (1) Identify for reassignment active records needed for work in progress; (2) Identify for reassignment classified and vital records; (3) Identify employee personal papers and nonrecord copies for removal; b. Return ANY records taken from file stations or records repositories; c. Turn in file cabinet keys, vault/restricted access combinations, and computer/system passwords needed for access to any official records. 2. Agency Records Officers shall ensure that: <ol style="list-style-type: none"> a. All documentary material of departing employees are inventoried; b. All records are scheduled and sent to a records management custodian unless reassigned to another employee by the Federal supervisor or COTR; c. Prepare an SF-115 "Request for Records Disposition Authority" to schedule any unscheduled records; d. Permanent records that are no longer needed by USDA are sent to the National Archives and Records Administration; e. Employee files residing on servers, hard drives, and in electronic mail system systems are: <ol style="list-style-type: none"> (1) reviewed for record material; (2) reassigned to another employee, and/or (3) dispositioned in accordance with approved schedules; f. Records are NOT destroyed: <ol style="list-style-type: none"> (1) Without an approved records disposition schedule; (2) Until they have satisfied retention requirements; (3) If they come under an epidemiology, litigation or other moratorium; 3. The Federal employee's supervisor or contractor's COTR shall ensure that : <ol style="list-style-type: none"> a. Active records needed for work-in-progress, and classified, quality assurance, and vital records are reassigned to another employee (with appropriate clearance); b. Inactive records are transferred to a records management custodian; c. Controlled operating manuals and handbooks are collected; d. Removal of material by the employee is documented and limited to personal papers and a preapproved amount of nonrecord copies. <p>Federal supervisors, COTRs, and records staff shall document and report the unauthorized destruction or loss of records to the Departmental Records Officer.</p> <p>The employee shall certify that all Federal records and files created or received have been transferred to a records management custodian, a COTR, or custody has been reassigned to another employee.</p>	

216 Departing Employee Record Certification (Continued)

F Example of AD-1106-2 (Continued)

AD-1106-2 (10-04-12)	Page 4 of 4
PART G – PREPARING THE OFFICIAL RECORDS OF EXECUTIVE OFFICIALS	
<ol style="list-style-type: none"> 1. Separate the official's personal papers from the record material. These include: <ol style="list-style-type: none"> a. Papers Created Before Entering Government Service. Examples: previous work files, political materials, and reference files. b. Private Papers Brought Into, Created, or Received in the Office. Family and personal correspondence and materials documents and drafts for articles and books and business or political pursuits. Examples include manuscripts and drafts for articles and books and volunteer and community service records. c. Work-Related Personal Papers. Extra copies maintained for convenience of reference are excluded from the definition of records. Personal papers may refer to our comment on the subject matter of agency business, provided they are not used in the conduct of that business. d. Personal Copies of Records and Nonrecord Materials. Officials may duplicate some agency records (usually those that they have originated, reviewed, signed, or otherwise acted upon) so that, with agency approval, they may take these nonrecord copies with them when they leave office. 2. Eliminate duplicates, superseded or obsolete directives from other organization or offices, outdated meeting notices and notes (unless your executive was the sponsor or chair for the meetings). 3. Separate correspondence and briefing given to the President, Vice President, or Executive Office of the President. These may fall under the requirements of the <i>Presidential Records Act of 1978</i> (44 U.S.C. 2201 et seq.). 4. Organize the remaining documents by topic area. Use the categories in the USDA file plan. If records for a subject, project, or programs are not addressed in the file plan, label the file with pertinent information, for example the executive's name, the project name, starting and ending dates. Arrange the documents within each file in chronological order. 5. Label the files. Labels should include the file category (<i>if one is available</i>), the executive's name, topic, the opening and ending dates of the documents contained in the files. 6. Box the files. Separate and box the files by type: personal papers, records which fall under the requirements of the <i>Presidential Records Act of 1978</i> (44 U.S.C. 2201 et seq.); files already covered in the USDA file plan; and all remaining files. Number the boxes in pencil. 7. Prepare file lists. Excluding the official's personal papers, prepare files lists for the boxed files: one for the records which fall under the requirements of the <i>Presidential Records Act of 1978</i> (44 U.S.C. 2201 et seq.), a second for files already covered in the USDA file plan, and a third list for all remaining files. Show box number and file name. 8. Contact the _____. They will arrange pickup of the files and files lists. 	

Reports, Forms, Abbreviations, and Redelegations of Authority

Reports

None.

Forms

This table lists all forms referenced in this handbook.

Number	Title	Display Reference	Reference
AD-700	Procurement Request		31
AD-1106 FAS	Final FAS Clearance Report		215
AD-1106 FSA	Final FSA Clearance Report		215
AD-1106-2	FSA and FAS Records Management Exit Clearance Sheet	216	57, 215
AD-3001	Documentary Materials Removal/Non-Removal Certification and Non-Disclosure Agreement		215, 216
FSA-159	Request for Supplies, Forms, and/or Publications		150
FSA-297	Certification for Stored Litigation Hold Documents		202
FSA-342	FSA and FAS Supply Store Needs List		150
FSA-808A	Vital Records Inventory Plan		188, 189
FSA-808B	Vital Records Plan Identification and Implementation Data		188, 189
FSA-810	Records Incident Coordinator Designation Form	190	72
FSA-811	Records Incident Preparedness (Physical Site Survey)	190	72
FSA-812	Records Incident Preparedness (Hazards Evaluation)	190	72
FSA-813	Records Incident Damage Assessment	190	72
FSA-814	Records Incident After-Action Report	190	72
FSA-851	Environmental Risk Survey Form		174
FSA-2026	Promissory Note		174
FSA-2065	Annual Statement Loan Account		170
FSA-2071	Transmittal of Document		173
FSA-2526	Borrower Response to an Intent to Accelerate		174
FSA-2540	Notice of Availability of Homestead Protection – Post Acquisition		174
FSA-2550	Report of Problem Case Request for Foreclosure/Legal Action		174
FSA-2570	Offer to Convey Security		174
FSA-2591	Lease of Real Property		174
FSA-2593	Standard Sales Contract Sale of Real Property by the United States		174

Reports, Forms, Abbreviations, and Redelegations of Authority (Continued)

Forms (Continued)

Number	Title	Display Reference	Reference
FSA-2720	Checklist For Currently Not Collectible Debt		170
FSA-2721	List of Currently Not Collectible (CNC) Debts Eligible to be Referred to Treasury for Cross-Servicing		170
FSA-2722	Update to TOP and Cross-Servicing Information		170
FSA-2731	Cancellation of Debt Without Application		170
KC-703	Request for Onsite Destruction of Records		72
NA-13001	Notice of Eligibility for Disposal		125
OF-24	Shelf File Charge Out Record		28, 166
SF-135	Records Transmittal and Receipt	151	125, 150, 152, 153

Reports, Forms, Abbreviations, and Redelegations of Authority (Continued)

Abbreviations

The following abbreviations are used in this handbook.

Approved Abbreviation	Term	Reference
ARCIS	Archives and Records Centers Information System	Part 4
APFO	Aerial Photography Field Office	1, 150, 154
BPA	blanket purchase agreement	152
CNC	currently not collectible	166, 170
CRC	County Record Custodians	152, 154
COOP	Continuity of Operations	72, 73
COTR	Contracting Officer's Technical Representative	215, 216
DoD	Department of Defense	45
e-OPF	electronic official personnel folder	138
ERA	electronic records archive	16, 154
ESI	electronically stored information	2, Part 7
FRC	Federal Records Center	Text
GRS	General Records Schedule	30, 44, 150
IMB	Information Management Branch, MSD	16
IMS	Information Management Section, KCASB, MSD	74
IPS	information processing system	59
KCASB	Kansas City Administrative Services Branch, MSD	125, 166
MADS	Management Analysis and Directives Section	16
NARA	National Archives and Records Administration	Text
NAID	National Association for Information Destruction	83
NIST	National Institute of Standards and Technology	83, 86
NPRC	National Personnel Records Center	123
NSN	National Stock Number	150
OGC	Office of General Counsel	3, 170
PA	Privacy Act	Text
PII	personally identifiable information	Text
PRS	Program Records Schedule	30
RMO	Receivable Management Office	154
SRL	State Record Liaison	152, 154
USPAP	Uniform Standards of Professional Appraisal Practice	87, 88

Definitions of Terms Used in This Handbook

ARCIS

ARCIS is the web-based IT system of the FRC's of the NARA. The system is the online portal through which your agency can do business with the FRCs. Access the system at <https://www.archives.gov/frc/arcis/about.html>.

Case File

A case file means a folder or folders containing all of the papers documenting a specific action, event, person, place, project, or other topic.

Disposal

Disposal means the elimination of record and nonrecord material by:

- burning, shredding, or any other special means to obliterate the record content
- selling as wastepaper
- transferring to another Federal agency
- donating to an eligible person or organization outside the Federal Government
- destroying with routine office trash.

Disposition

Disposition means movement or elimination of record and nonrecord material by retirement, transfer, or disposal.

Documentary Material

Documentary material means, collectively, records and nonrecords, in whatever form or format, including but not limited to, ESI, data, data compilations, spreadsheets, correspondence, notes, e-mails, writings, drawings, graphs, charts, photographs, sound recordings, images, and any other materials, whether original or duplicative, draft or final versions, partial or complete versions, informal or formal, internal or external, proprietary or nonproprietary.

Definitions of Terms Used in This Handbook (Continued)**Electronic Record**

Electronic record, as defined in 36 CFR 1234.2, means any information that is recorded in a form that only a computer can process and that satisfies the definition of a Federal record under the Federal Records Act.

E-Mail

E-mail means a document that was created or received on an e-mail system, including brief notes, more formal or substantive narrative documents, and any attachments, such as word processing documents that may be transmitted with the e-mail.

E-Mail System

E-mail system means a computer application that is used to create, receive, and transmit e-mails and attached documents, or create calendars that can be used by multiple staff members.

Essential FLP Records

Essential FLP records mean the originals of any documents or records that provide evidence of indebtedness or obligation to FSA.

Federal Records

Federal records includes all recorded information, regardless of form or characteristics, made or received by a federal agency under federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the United States Government or because of the informational value of data in them; and does not include library and museum material made or acquired and preserved solely for reference or exhibition purposes; or duplicate copies of records preserved only for convenience.

Federal Records Center (FRC) and Federal Archives and Records Center (FARC)

FRC and FARC mean GSA centers for the storage of inactive Government official records.

Definitions of Terms Used in This Handbook (Continued)**File**

File means an accumulation of records or nonrecord material arranged according to a plan.

General Records Schedules (GRS's)

GRS's mean mandatory record retention schedules that:

- are published by NARA
- cover a wide range of administrative records found throughout the Government.

Inactive Records

Inactive records mean records required so seldom to conduct Agency business that these should be moved to a holding area or directly to FRC.

Litigation Hold

Litigation hold means the procedure for identifying, locating, and ensuring the retention and preservation of all documentary materials that may constitute potentially relevant evidence in pending or reasonably foreseeable litigation.

Definitions of Terms Used in This Handbook (Continued)

Nonrecord Documentary Material

Non-record documentary material means federal government-owned documentary material that does **not** meet the legal or statutory definition of an official record or that are excluded from the coverage (defined as non-record materials by NARA regulations). Documentary material excluded from the definition of a record includes the following:

- extra copies of documents that are retained only for convenience of reference
- library and museum materials intended solely for reference or exhibition purposes
- stocks of publications and of processed documents.

A non-record paper document is a document that **requires** no official action on the part of USDA and on which no official action is taken on the part of USDA.

Nonrecord Material

Nonrecord material means material that:

- has no legal, administrative, or historical value
- is kept only for convenience
- should be destroyed when no longer needed.

Official Record Copy

Official record copy means:

- initialed copies of outgoing correspondence with any attachments
- original incoming correspondence with attachments
- copies of all executed documents.

Official Records

Official records mean all books, papers, maps, photographs, machine readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an Agency of the U.S. Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that Agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data in them.
[44 U.S.C. 3301]

Definitions of Terms Used in This Handbook (Continued)

Permanent Records

Permanent records mean records determined by NARA as having sufficient historical or other value to warrant continued preservation by the Federal Government beyond the time they are needed for administrative, legal, or fiscal purposes.

Personal Papers

Personal papers mean papers that are nonofficial, or private papers, relating solely to an individual's own affairs and do not affect the conduct of Agency business. These papers must be clearly designated as personal and kept separate from FFAS' official records.

Personal Records

Personal records mean documentary material belonging to an individual that does **not** document Agency business. Personal records are related solely to an individual employee's affairs or are used exclusively for that individual's convenience.

Position Filing

Position filing means, within a folder, the segregated arranging of functionally related material in a predetermined folder position. The filing position is the specific place where records are fastened within a folder.

Primary Subjects

Primary subjects mean:

- major functions, programs, or activities
- added to the guide **only** by MSD.

Definitions of Terms Used in This Handbook (Continued)

Quaternary Subjects

Quaternary subjects:

- mean subdivisions of tertiary subjects
- add quaternary file divisions
- are added by offices, as necessary, only upon prior approval of the Records Staff
- **may not** change quaternary divisions already in this guide.

Records

Records includes all recorded information, regardless of form or characteristics, made or received by a federal agency under federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the United States Government or because of the informational value of data in them; and does not include library and museum material made or acquired and preserved solely for reference or exhibition purposes; or duplicate copies of records preserved only for convenience.

Retention Period

Retention period means the period for which records are to be kept.

Definitions of Terms Used in This Handbook (Continued)

Secondary Subjects

Secondary subjects mean:

- major subdivisions of primary subjects
- added to the guide **only** by MSD.

Shredding

Shredding means a destruction process that is used to dispose of certain documents to prevent these documents from being reconstructed.

System of Records

System of Records means any grouping of records, paper or electronic, about an individual that are retrieved by the Agency using the individual's name, identifying number, symbol, or other identifying particular assigned to the individual.

Temporary Records

Temporary records mean records approved by NARA as approved for disposal, namely destruction or donation, either immediately or after a specified time. The majority of Federal records are temporary. That means that, even if they are kept for 30 years, they will eventually be destroyed. Temporary records can be program or administrative in nature and exist in all formats.

Tertiary Subjects

Tertiary subjects:

- mean subdivisions of secondary subjects
- add tertiary file divisions
- **may not** change tertiary divisions already in this guide.

Transfer

Transfer means moving records to FRC, FARC, or another Agency of the Federal Government.

Transitory Files

Transitory files mean files for short-lived materials that do not contain policy or procedural matters applicable to the receiving office.

