

PART 2033 - RECORDS

Subpart C - Management of National Office Records

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PART 2033 - RECORDS

Subpart C - Management of National Office Records

§2033.101 Purpose.

This Instruction prescribes the policies and methods for the management of Rural Development, National Office records. This Instruction DOES NOT PROVIDE FOR the maintenance of Official Personnel and Employee Performance folders. These folders are subject to Office of Personnel Management regulations and will be the responsibility of the Assistant Administrator for Human Resources (AAHR).

§2033.102 [Reserved]

§2033.103 Authorities and responsibilities.

(a) Support Services Division (SSD), General Services Branch (GSB).

Authority and primary responsibility for administering the National Office records program are vested in the SSD, GSB. Annually, GSB personnel will evaluate the application and effectiveness of the National Office Central Files System to determine compliance with the disposition of record and nonrecord material contained in this Instruction.

(b) Central Files Unit (CFU). The CFU is responsible for the servicing, disposition, and/or transfer of records to the Federal Records Center (FRC)/National Archives and Records Administration (NARA) for future disposition or archiving for historical purposes. The CFU Team Leader is responsible for training the CFU staff and for a continuing review of National Office records. The CFU Team Leader has the responsibility for assigning the maintenance, servicing, and disposition functions of the various record segments to individual CFU employees. The CFU Team Leader will keep the Records Officer informed of any major problems encountered and recommend necessary changes in policy.

(c) Other offices. Official records that are temporarily maintained in offices other than the CFU, as shown in the National Office Records Manual, are the responsibility of the Division or Staff until sent to the CFU.

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Administrative Services  
Records

§2033.104 Definitions.

The following definitions apply to terms used in this Instruction:

Active records. Records used at least once a year.

Agency disposal schedules. Disposal schedules developed by Rural Development to provide disposition authority when certain records are not covered by existing General Records Schedules (GRS) or existing GRS do not adequately meet Agency needs.

Applicant/borrower case files. These files contain correspondence and documents concerning Rural Development borrowers, applicants, and/or individuals and associations expressing interest in obtaining Rural Development loan or grant assistance.

Association. As used in this Instruction, "association" includes associations, organizations, cooperatives, or other groups not eligible as an individual for Rural Development assistance. "Association" also includes Multi-Family Housing and Business and Industrial Loan borrowers to whom loans and grants are made or guaranteed by Rural Development.

Block. One or more chronological segments of cutoff, or closed, records that are in the same series and are dealt with as a unit for disposition purposes.

Charge out. Form RD 2033-3, "Correspondence Charge and Routing Slip," will replace material removed from a file; Form RD 2033-2, "Out-Card," will replace the complete folder.

Classification system. This system organizes record filing and shows how to locate them after they have been filed. Each document is classified by the subject to which it relates, based on the 1900 and 2000 Series Table of Contents.

Disposal authority. Legal approval empowering an Agency to transfer permanent records to the NARA or carry-out the disposal of temporary records.

Electronic records. Any record that is created, used, maintained, transmitted, and disposed of in electronic form. These records may be stored in fixed or removable media such as PC hard disk, floppy diskettes, CD-ROMs, optional disks, or magnetic tapes. Offices may or may not have nonrecord paper copies of electronic records. Electronic records are also referred to as machine-readable records because they require machine processing for conversion to human-readable form.

§2033.104 (Con.)

Essential Rural Development records. Designated files or documents requiring special protective measures in the event of fire, flood, tornado, civil disorder, or other disruptive emergency situation.

Federal Records Center (FRC). A low-cost storage facility maintained by NARA for the storage and servicing of inactive records of Federal agencies.

File break/File cutoff. Breaking or ending files at regular intervals, usually at the close of a fiscal or calendar year, to permit their disposal or transfer in complete blocks and, for correspondence files, to permit the establishment of new files.

General Records Schedules (GRS). Records retention and disposal schedules developed and issued by NARA to provide disposition authority for records common to all Federal agencies.

Inactive records. Records that are no longer required in the day-to-day operations of the office and therefore may be sent to inactive storage or transferred to off site depositories.

National Archives and Records Administration (NARA). A facility where permanent records are located after being accessioned by an archival agency.

Nonrecord material. Informational type material made or acquired for convenient reference purposes consisting of reader files; extra copies of documents; reference publications in the format of books, pamphlets, and factsheets; commercial advertising matter; rough drafts; personal papers; or any similar material maintained solely for the user's benefit.

Official records. All documents prepared, received, or processed which indicate the policies, procedures, decisions, and transactions of the National Office in its conduct of Rural Development programs. The carbon or duplicate copy is the official file copy of letters written in the National Office.

Operational files. Official records of general, administrative, and program functions and reports.

Records. Includes 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 data in them. Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and of processed documents are not included.

Records disposition. Removal and destruction as wastepaper or by shredding, burning, or other suitable disposal methods of records exceeding established retention periods. (Note: Destruction methods must not compromise the confidentiality of information contained in the records.)

Records inventory. A count of all official records by cubic feet.

Retention period. The period of time which must elapse before records are destroyed by Rural Development or FRC, or transferred to the NARA for historical purposes.

Temporary folder. A substitute folder placed in the files during the prolonged absence of a regularly maintained case folder to hold records accumulated during the interim period. (Note: Temporary folders should be frequently reviewed to preclude the loss or misplacement of the official case folder.)

§2033.105 Official records.

Federal regulations require a record of official business complete enough to facilitate informed action by Rural Development employees, permit auditing and review, and protect the legal, financial, and other rights of the Government and of persons directly affected by Rural Development activities. Therefore, official records will not be withheld from the official files of the National Office. Official records will be located in the CFU, AAHR office, and in certain other offices that temporarily retain official records as shown in the Records Manual.

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(a) Removal, theft, falsification, mutilation, and destruction of official records. The removal or transfer of official records from Rural Development custody is prohibited, except as provided in this Instruction. The theft, falsification, mutilation, or destruction of official records by employees is punishable under public law. Report the theft of such records or their loss, damage, or destruction by fire, water, or vandalism to the Director, SSD, for advice concerning appropriate action. Obtain concurrence and approval of both the Freedom of Information Officer and the Records Officer, National Office, before transferring records to other Government agencies, institutions, corporations, or persons requesting them.

(b) Retention and disposal of official records. The retention and disposal requirements for official records maintained in the CFU are mandatory and will not be changed without prior approval of the Director, SSD, AND AN APPROPRIATE CHANGE IN THE NATIONAL OFFICE RECORDS MANUAL.

(c) Confidential nature of work. All oral or written information of a confidential nature that comes to the knowledge of an employee must neither be disclosed to nor discussed with any person unless the official duties of such employee make such information a proper subject for disclosure or discussion. This includes, but is not limited to information obtained by employees concerning the personal and financial affairs of borrowers and applicants, of fellow employees, and of other persons who may become involved in the work of this Agency. RD Instructions 2015-E and 2018-F prescribe the policy, restrictions, and requirements with respect to public access to, use, and availability of official records.

§2033.106 Nonrecord material.

Accumulation of nonrecord material as defined in §2033.104 of this Instruction must be held to a minimum. Nonrecord material will be kept in the offices of the users and will be destroyed at their discretion.

§2033.107 Electronic records.

Electronic records are subject to the same laws and regulations as paper records and will be maintained and disposed of in accordance with this Instruction, Departmental Regulations, and the NARA guidelines.

(a) Determining record material. In determining record material, use the following criteria:

(1) Is the record identified in the Agency records disposal schedule or other Agency regulations?

(2) Will the electronic copy serve as the official documentation of the transaction?

(3) If the answer to either of paragraph (a)(1) or (2) of this section is yes, then the record should be properly identified and maintained in accordance with this Instruction. It should be labeled with the file code, record name, brief description of the record, date of origination, revision(s), and retention period to assure easy accessibility for future use of the file.

(b) Indexes. Indexes will also be established in a manner which will allow the ready retrieval of the material whenever necessary throughout the authorized retention period. The indexes will include the following:

(1) Name of organization unit responsible for the data.

(2) The file series.

(3) The time covered by the records.

(4) Name of the equipment used to create the record.

(c) Nonrecord material associated with electronic records. Guidelines will not be established for the retention of nonrecord material. This material will be created solely for the purpose of convenience and reference, and will not be made a part of the official indexes. Nonrecord material will be disposed of by the user when no longer needed for reference purposes. They may include the following types of information:

(1) Reading file copies of correspondence.

(2) Tickler, follow-up, or suspense copies of correspondence.

(3) Identical duplicate copies of all documents maintained in the same file.

(4) Extra copies of printed or processed materials, of which official copies have been retained for record purposes.



§2033.107(c) (Con.)

(5) Superseded manuals and other directives maintained outside the office that is responsible for retaining them.

(6) Materials documenting such fringe activities of agencies as employee welfare activities and charitable fund drives.

(7) Routing slips.

(8) Working papers.

(9) Drafts of reports and correspondence.

(10) Transmittal sheets.

(11) Correspondence and other records of short term value that, after action has been completed, have neither evidentiary nor informational value, such as requests for publication and communications on hotel reservation.

(12) Information copies of correspondence and other papers on which no documented administrative action is taken.

(d) Disposal of electronic records. As with the paper version, electronic records must be disposed of in a timely manner. Due to the relative small space required to store electronic records, they are subject to be held longer than the authorized retention period. However, because of legal ramifications, records eligible for disposition must be completely removed from the system. They are to be removed or disposed of by erasing or overwriting. (Not merely deleting the information from the system.) Electronic records MUST not be kept beyond the authorized retention periods. Permanent electronic records will be maintained in accordance with the requirements of NARA regulations. They will be converted to paper, microfilm, or other media approved by the Archivist of the United States for retiring purposes. Such records, along with adequate documentation and adjunct files to permit access to them, will be transferred to the NARA as soon as possible after it is determined that their purposes have been served. For assistance in retiring electronic records contact SSD.

§2033.108 Procedures for CFU filing system.

Procedures for organizing and servicing the Central Files System are designed for completeness and continuity of records, and for expediting filing, findings, and servicing operations. The official files and records of the National Office are divided into two categories: Program applicant and borrower case (individual and association) files, and operational files.

(a) Classification of record material. The classification of record material requires a thorough knowledge of the functions of each mission area Agency and of record usage in the transaction of Rural Development business. Employees of the CFU are responsible for classifying all official record material by subject matter. To determine the file classification, the classifier will:

(1) Read the document for the subject matter. Underline the key words or phrases to determine file code selection.

(2) Select the subject file code from the National Office Records Manual.

(3) Enter in blue pencil the selected file code in the upper right corner of the document. Even though a letter may pertain to more than one subject, only one file code will be used.

(b) Files management. Each record must be checked before filing to make certain that it belongs in the CFU and is ready for filing. To avoid premature filing of material in the CFU, offices sending other than routine-type records to be filed should enter "CFU - File" in the upper right corner of the document. If the file clerk is unable to determine if a record is to be filed, the CFU Team Leader should be shown the material in question. The CFU Team Leader should contact the sender of the material if he/she is unable to make the necessary determination. Material to be filed will not be accumulated. Related material, such as incoming letters, a copy of the reply, and/or any other pertinent attachments, will be kept together by date of the reply. If an official record attachment is not furnished with the covering letter, a notation will be made on the file copy of such letter stating that the attachment was not furnished to the CFU. Material not needed (i.e., duplicates, envelopes, routing slips not containing record information, paper clips, rubber bands, etc.) should be removed prior to filing. The file clerks should arrange all material in alphabetical order for applicant/borrower case files, or in numerical order by subject code for operational files prior to filing. Documents will be placed in the folder with the latest dated material on top.

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(c) Folder maintenance standards. When a folder is charged out, all papers will be fastened to the folder with prong fasteners. For ease in handling and in reference, continuation folders may be used. When this is done, the INITIAL folder is considered as the "1" of \_\_\_\_\_ case folders, the first continuation folder as the "2" of \_\_\_\_\_ case folders, and so forth, depending on the total number of folders. The inclusive dates of the material in the previous folder will be shown on the labels. To avoid folder deterioration, and to provide for more rapid filing and retrieval, at least 2 inches of filing space should be left in each file drawer.

(1) Operational folders. Prescribed file codes and headings listed in the Records Manual will be shown on the label of the folder. When volume warrants, new folders will be established at the beginning of each fiscal year (FY) with the FY entered on the label. Otherwise, divider sheets will be used to separate material within an operational file folder by FY for ease in records usage and disposition. Position type filing may also be used to separate specific documents within a folder.

(2) Applicant/borrower case folders.

(i) File code "4A" will be used for all Single Family Housing case records. Commercially pre-labeled A through Z guide folders will be used. Records on each applicant/borrower will be kept together and filed alphabetically by surname in each folder. However, if volume warrants, a separate, right-tab folder will be used. Separate folders, labeled with the name of the applicant/borrower and the State will be placed directly behind the applicable A through Z folder.

(ii) File code "4B" will be used for association applicant/borrower case records on separate, right-tab folders for each applicant/borrower. The type of loan, name of the association, and the State will be shown on the folder label. File in alphabetical sequence by name of the association. Prepare labels for each folder, coded as follows:

(A) 4B1-WW\_\_\_\_\_ (This code will be used for all Water and Waste Disposal loan/grant cases.)

(B) 4B2-CF\_\_\_\_\_ (This code will be used for all Community Facility, and Community Recreation Facility loan cases, and Industrial Development grant cases.)

(C) 4B4-MH\_\_\_\_\_ (This code will be used for all rental and cooperative housing, labor housing loans to individuals and associations, technical assistance for self help housing and rural housing site loans to organizations.)

(D) 4B5-B&I\_\_\_\_\_ (This code will be used for all Business and Industrial loan cases, and co-op loans.)

(E) 4B6-IRP\_\_\_\_\_ (This code will be used for all Intermediary Relending Program and/or Rural Development Loan Program borrowers.)

(iii) Use the following alphabetical filing guides in filing "4A" and "4B" records:

(A) File names of individuals by surname first, first name next, and middle name(s) or initial(s) last. A dual surname such as Garcia-Valdez, will be filed by the first surname; some Spanish dual surnames are not hyphenated.

(B) Names beginning with prefixes, such as "Mc," "O," or "Van," are considered as one word and should be filed alphabetically as written beginning with the first letter.

(C) File names of associations as written in their legal or official title. Each word in the title will be considered separately in determining file sequence. For example, "Mount View" will come before "Mountview"; "North West Hills" will come before "Northwest Hills." A hyphen between two words will be disregarded and the two words considered as one. Thus, "Pine-view" and "Pineview" are considered the same. Words such as "the," "for," or "and" will not be considered in determining file sequence.

(D) File abbreviations as though written in full.

(3) U.S. Department of Agriculture (USDA) audits and investigations, and discrimination complaint folders. These folders will not contain any material concerning investigations of Rural Development employees since these records are maintained by the Financial Management Division. Office of the Inspector General (OIG) investigations, audits, and discrimination complaint files are restricted "For Official Use Only" records and will be kept in lock-file cabinets. Only the Chief, GSB; Records Officer; and CFU Team Leader, and one other CFU employee will be authorized to file or

§2033.108(c)(3) (Con.)

retrieve material from these cabinets. These records are to be made available only to authorized Rural Development users. File folders for audits, investigations, and discrimination complaint cases will be segregated into National Office, Finance Office, and State Office categories. Special audits pertaining to a loan program or program operation which cannot be segregated by location will be kept in one alphabetical sequence by title of the special audit, and filed preceding the audits and investigations for National, Finance, and State Offices. The following is an example of the arrangement of audit, investigation, and discrimination complaint file folders that can be segregated by location:

Alabama

2012-A Audits

2012-A1 Federal Bureau of Investigation Reports

2012-B OIG Investigations (by headquarters city) for office(s) being investigated; (by name) for individuals or associations being investigated; (by title) for investigations concerning "unknown" persons. Enter "P" after the file code on the label for employees being investigated. EXAMPLE: "2012 P - Smith, John A. (Alabama)."

2012-B1 Discrimination Complaints (Including Investigations) (by name of person or organization filing complaint) for an organization complaint, the name of the organization official who signed the complaint will also be shown on the label. When there are two or more complaints concerning the same office, the file will be established in the name of the county or office concerned and a listing of the names of the complainants will be maintained with the file. When the complaint is made by an employee, enter "P" after the file code.

(d) Requests for files and records. To maintain an accurate record of charged-out files, only CFU employees will remove files from the CFU.

(1) Telephone requests. Telephone requests for files may be made to CFU. Adequate information should be provided by the requester to expedite locating the file. Personnel requesting records should allow sufficient time to permit the file clerk to locate the material and prepare for pickup. If the record is needed immediately, the requester may arrange to pickup the file from the CFU. If a requested file cannot be located, the file clerk must promptly notify the requester and the CFU Team Leader.

(2) Form RD 2033-5, "Request for Future Delivery of File(s) and/or Establishing a Follow up." Form RD 2033-5 (original only) may be used by personnel desiring the delivery of a file on a given date. Sufficient descriptive information must be given to identify the file requested. Generally, Form RD 2033-5 is attached by the requester to the file copy of an outgoing letter. These forms are filed in the CFU in a suspense or tickler file by date of requested delivery. At that time, the CFU will attach the form to the file requested and send it to the requester.

(e) Cross reference and charge out.

(1) Form RD 2033-1, "X-Reference Card." This form will be used to indicate the exact filing location of a folder if its identification has been changed or when the file logically could be filed in another place.

(2) Form RD 2033-2, "Out-Card."

(i) When a file folder is charged out of the CFU, Form RD 2033-2 will replace the file, showing the name of the requester and date of charge out; this will be lined through upon return of the file to the CFU. The person to whom the file is last charged is responsible for the file. If an individual transfers a file to another office, that individual will be responsible for notifying the CFU of the transfer so that Form RD 2033-2 may be changed accordingly. During the time the file is charged out, the CFU will keep Form RD 2033-2 and any correspondence received during charge out in a "red" temporary folder, which is for CFU use only; and may not be charged out to any requester. A new file folder will not be established during the absence of a file from the CFU.

(ii) All red folders will be reviewed by the CFU in July. Individuals holding files 3 months or more will be contacted by the file clerk to see if they are still needed. If the file is still needed and correspondence has accumulated in the red temporary file folder, the holder of the permanent file folder should be requested to return the file to the CFU in order for the accumulated correspondence to be filed, after which it will be returned to the user. If the file cannot be located, the file clerk will report this to the CFU Team Leader. Upon completion of the review of all red folders, the CFU Team Leader will report to the Records Officer, all files which cannot be located.

§2033.108(e) (Con.)

(3) Form RD 2033-3, "Correspondence Charge and Routing Slip." When material from a file is charged out, one copy of Form RD 2033-3 will be stapled on top of the material removed and delivered to the requester. The other copy will be placed in the file folder

to identify the material and the individual to whom the material was sent. The CFU will destroy the Form RD 2033-3 when the material is returned. Form RD 2033-3 will not be used for controlled correspondence.

(4) Cross-reference copies. When a single letter contains more than one subject, additional cross-reference copies will be made and placed in the related subject folders. These copies will show the file code of the official copy.

(f) Index reference system. A white manifold carbon copy or a duplicate of most letters written in the National Office is prepared for the CFU to use as a cross-reference (001) in locating files. The CFU will indicate the file classification on the lower portion of each copy, and it will be filed in one of the following categories, of which copies will be retained for 3 FYs and then destroyed:

(1) Congressional (Letters addressed to Members of Congress--filed alphabetically by name of Representative.)

(2) Individuals (Letters to individuals outside of Government--filed in date order in A through Z folders by name of addressee.)

(3) State Directors (Letters to Rural Development State Offices--filed by State.)

(4) Finance Office, St. Louis (Letters to the Finance Office.)

(5) Rural Development Divisions (Letters to Rural Development National Office Divisions/Staffs offices--filed by Division/Staff or office.)

(6) Departmental (Letters to USDA offices, other than Rural Development.)

(7) Government (Letters to Government agencies, other than USDA.)

§2033.109 Processing incoming mail.

Incoming mail will be processed as follows, but not necessarily in the order listed. Priority correspondence (paragraph (c)(1) of this section) will be given precedence over other correspondence and handled as quickly as possible because there is a time limit within which a reply must be made.

(a) Classification. All incoming mail, except mail addressed to individual employees, will be classified as prescribed in §2033.108(a) of this Instruction. The file classification code will be entered in blue pencil in the upper right corner of the mail.

(b) Previous correspondence (PC) search. A search for PC will be made:

(1) For each incoming letter which indicates there may have been prior written correspondence, or

(2) If the file clerk determines the related subject or applicant/borrower file may be helpful to the individual preparing the reply. The PC will be attached to the incoming letter for delivery to the office responsible for preparing the reply. Each letter will be stamped "PC" in the upper right corner (and the information concerning the PC will be entered).

(c) Routing. The initials of the office to which the correspondence will be routed will be entered in blue pencil in the upper left corner, except mail directed to the Administrator or his/her staff. For this mail, enter "AD" and the name of the individual to whom it will be sent. Mail will be routed as follows:

(1) Priority correspondence will be routed to the Executive Secretariat Staff (ESS). Priority correspondence consists of all letters addressed to Rural Development from Members of Congress.

(2) Correspondence from Rural Development offices will be routed to the office responsible for preparing the reply. However, when an incoming letter is addressed to the attention of a certain individual or office, the letter should be routed to the individual or office mentioned.

(3) Correspondence from the general public will be routed to ESS.



§2033.110 Daily reading file (Administrator's circulating file).

To keep the Administrator and his/her staff informed of transactions handled through written communications, a copy of each letter written in the National Office (except letters of a confidential nature) is prepared for the daily reading file. Copies of letters dispatched each day will be placed in a file folder (reading file) by the CFU for delivery the next workday to the Administrator and his/her staff. The "Daily Reading File" routing sheet, showing the date of the correspondence, will be stapled to the cover of the file and circulated to the individuals listed. When the daily reading file is returned to the CFU after circulation, and the routing sheet indicates that it has cleared each office listed, the copies will be destroyed.

§2033.111 Records schedules, disposition, and transfer to FRC.

The Records Disposal Act of 1950 requires that "no records of the United States Government shall be alienated or destroyed except in accordance with provisions of the Act."

(a) Records schedules. The GSB will develop and coordinate the clearance of all Rural Development records disposal authorities and schedules with RD and, if necessary, the General Accounting Office (GAO). Standard Form (SF)-115, "Request for Records Disposition Authority," will be used for this purpose.

(1) Records that show a GRS number in the "authority" column of the Records Manual are common to all Federal agencies. After the specified period of time shown in the "retention period" columns, such records will not have any further administrative, legal, fiscal, research, or other value to warrant their further preservation.

(2) Records that do not show a GRS number in the "authority" column of the Records Manual pertain only to Rural Development. The retention period for these records is based primarily upon the need of the user.

(3) Records listed as "permanent" in the "archives" column of the Records Manual have potential historical and research value, and will be offered to the NARA after the end of the scheduled retention period. The Archivist will determine whether these records will be retained in the NARA or destroyed.

(b) Transfer of records to the FRC. Records to be transferred to the FRC for further retention and disposal, or to be archived, are indicated in the Records Manual. The criteria for transferring records to the FRC is based on: infrequent reference by users, retention periods, and availability of filing equipment and space in the CFU. However, records will not be transferred to FRC unless they are to be retained there for at least 3 years and each transfer includes at least 6 cubic feet of records.

(1) SF-135, "Records Transmittal and Receipt." An SF-135 and, if needed, SF-135A, "Records Transmittal and Receipt, Continuation," will be prepared as shown on the reverse of SF-135 when records are to be transferred to the FRC. The contents of each box must be sufficiently described on SF-135 to identify and expedite retrieving records in a given box. The original and two copies of SF-135 must arrive at the FRC at least 2 weeks (10 workdays) before the desired date of shipment of the records. When the transfer is approved, the FRC will return two copies of SF-135. One copy will be placed in the first carton of the shipment. The second copy will be retained by GSB to serve as an inventory of Rural Development records in the FRC and as a source of information if the retrieval of specified records is requested.

(2) Records shipment boxes. Use only boxes obtained from the Federal Supply Service (National Stock Number 8115-00-117-8249). As the boxes are packed, number them in sequence beginning with the number "1" for each accession number assigned to the shipment. Before shipment, mark (using black felt marking pen) the front of each box with:

(i) The accession number (shown on SF-135) in the upper left corner; and

(ii) The box number (e.g., 1/25, 2/25, 3/25, etc.) in the upper right corner.

(3) Form National Archives (NA) 13001, "Notice of Intent to Destroy Records." Before destroying records that have been transferred, the FRC will notify the GSB by Form NA 13001. Eligible records will be destroyed 90 days from the date of notice unless Rural Development does not concur. If approval is withheld, Form NA 13001 will be returned to the FRC with a justification for continued retention (including a proposed new disposal date) entered on the reverse of the form and signed by the Records Officer. When disposal is approved, annotate the related SF-135 by drawing lines through the box numbers and the description of the records to be destroyed, and entering "Form NA 13001" and the notice date opposite the records to

## §2033.111(b)(3) (Con.)

be destroyed. File Form NA 13001 under file code 2033-C, "Federal Records Center accessions excluding Finance Office" with related SF-135.

(4) Retrieval of transferred records. Transferred records may be retrieved from the FRC by submitting Optional Form 11, "Reference Request - Federal Records Centers." Requests for such records will be made through the GSB. To readily identify a file retrieved from the FRC, the CFU will staple to such file Form RD 2033-2 to indicate the FRC box from which the file was removed and the date forwarded to the requester.

(c) Storage of inactive records in the CFU. Records that are no longer needed in the day-to-day operations of the Division/Staff offices may be sent to the CFU. Offices requesting inactive storage of these records MUST contact the Records Officer for specific guidance.

§2033.112 Annual files review and disposition.

No later than September 30 of each year, the CFU will complete a review of the official records maintained in CFU. Material eligible for destruction will be extracted, measured for reporting purposes, and destroyed. Official records maintained by Divisions/Staffs will be disposed of in the same process. Records containing confidential information, such as "For Official Use Only" personnel records, and other records (as determined by the Records Officer) will be mutilated beyond reconstruction. The CFU Team Leader is

responsible for maintaining a record of material destroyed by the CFU during each FY. Division/Staff offices are responsible for maintaining a record of material destroyed by each office. A copy of this record should be forwarded to the Records Officer at the end of the FY. Under supervision of the Records Officer, a review of official records maintained in offices other than CFU will be completed annually.

§2033.113 Authority for disposition of National Office records.

NARA has granted Rural Development authority to retain its official records according to the schedule found in the National Office Records Manual (NARA Job Nos. NC96-75-1, NC96-78-1, NC1-96-75-1, NC1-96-76-2, NC1-96-77-1, NC1-96-78-1 and N1-96-92-1). No official records may be destroyed outside of this schedule without first seeking approval from NARA and GAO.

§§2033.114 - 2033.150 [Reserved]

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