

## Part 10 – Grant and Loan Program Records

ED/RDS ITEM NO.	DESCRIPTION OF RECORDS	DISPOSAL AUTHORITY
-----------------------	------------------------	-----------------------

The most widely known activities in the Department of Education are the disbursement of Federal monies through grant and loan programs. Some programs are administered from the headquarters office, and others from the regional offices. All fiscal activities of grant and loan transactions are documented by the Chief Financial Officer's Financial Management Operations, headquarters office.

Formula grant programs distribute money according to a formula established by the basic legislation of each program. The formula may be based on population, ethnic distribution, presence of Federal activities, disasters, etc. Certain records pertaining to construction grants programs are accorded longer retention periods due to specific legal requirements to retain written guarantees made by States or institutions.

**1. Certification of Accreditation, and Related Correspondence.**

These certifications establish or verify eligibility of institutions for Federal grant or loan programs.

a. Official File of Certifications of Accreditation.

**Disposition:** TEMPORARY. Destroy when obsolete or superseded. ED/RDS, Part 10, Item 1a (NC-12-75-1, Item 18a)

b. Related Correspondence.

**Disposition:** TEMPORARY. Destroy when 2 years old. ED/RDS, Part 10, Item 1b (NC-12-75-1, Item 18b)

**2. Certification of Federal Property Ownership and Related Correspondence.**

These certifications establish or verify eligibility of an institution or local educational agency for Federal grant or loan programs.

a. Property Folder (including correspondence).

**Disposition:** TEMPORARY. Destroy 3 years after completion of last project relating to property. ED/RDS, Part 10, Item 2a (NC-12-75-1, Item 19a)

b. Real Estate Inventories.

**Disposition:** TEMPORARY. Destroy when obsolete or superseded. ED/RDS, Part 10, Item 2b (NC-12-75-1, Item 19b)

## Part 10 – Grant and Loan Program Records

ED/RDS ITEM NO.	DESCRIPTION OF RECORDS	DISPOSAL AUTHORITY
	<p>c. Correspondence Not Affecting Federal Status.</p> <p><b><u>Disposition:</u></b> TEMPORARY. Purge from property folders annually and destroy.</p>	ED/RDS, Part 10, Item 2c (NC-12-75-1, Item 19c)
3.	<p><b>Grant Administration Records for Formula and Discretionary Grant Programs.</b> Included are progress reports and other correspondence related to grants. This item does not include fiscal records.</p> <p><b><u>Disposition:</u></b></p> <p>a. TEMPORARY. Destroy 5 years after final payment to grantee, or after audit, whichever is sooner, except as noted below.</p> <p>b. Retain (as PERMANENT) a sample of significant grants (for example, grants mentioned in ED annual report, or of public note) to be selected by ED and not to exceed 1% of all grants in a given year. Offer to the National Archives and Records Administration (NARA) 5 years after payment or after audit, whichever is sooner.</p>	ED/RDS, Part 10, Item 2c (NC-12-75-1, Item 19c)
4.	<p><b>Duplicate (Non-Record/Working Copies) of Grant or Loan Administration Records.</b> These are reference copies maintained in offices other than the office with the primary responsibility for signing/awarding and closing-out the grant or loan transaction.</p> <p><b><u>Disposition:</u></b> TEMPORARY. Destroy when convenient, but no later than one year after final grant payment.</p>	ED/RDS, Part 10, Item 3a (NC-12-75-1, Item 20a)
5.	<p><b>Record Set of Final Products of Grants.</b> This includes, but is not limited to, final published technical reports, textbooks, audiovisual items such as films, slides or tapes.</p> <p><b><u>Disposition:</u></b> PERMANENT. Transfer to the Archives when 10 years old.</p>	ED/RDS, Part 10, Item 3b (NC-12-75-1, Item 20b)
		ED/RDS, Part 10, Item 4 (NC-12-75-1, Item 22)
		ED/RDS, Part 10, Item 5 (NC-12-75-1, Item 23)

## Part 10 – Grant and Loan Program Records

ED/RDS ITEM NO.	DESCRIPTION OF RECORDS	DISPOSAL AUTHORITY
6.	<p><b>State Plans.</b> These are plans submitted annually by the various states which describe what the state proposes to do with potential Federal monies. They often recapitulate previous year reports.</p> <p>a. <u>Original ED Copy.</u></p> <p><b>Disposition:</b> TEMPORARY. Dispose after 5 years, or after Program Audit, whichever is sooner.</p> <p>b. <u>State Plans of: Alabama, California, Illinois, Massachusetts, New York, New Mexico, Kansas, and Texas for every fifth fiscal year beginning FY 75.</u></p> <p><b>Disposition:</b> PERMANENT. Transfer to the Archives when 10 years old.</p> <p>c. <u>Duplicate Copies.</u></p> <p><b>Disposition:</b> TEMPORARY. Destroy when 2 years old or no longer needed, whichever is sooner.</p>	<p>ED/RDS, Part 10, Item 6a (NC-12-75-1, Item 24a)</p> <p>ED/RDS, Part 10, Item 6b (NC-12-75-1, Item 24b)</p> <p>ED/RDS, Part 10, Item 6c (NC-12-75-1, Item 24c)</p>
7.	<p><b>Correspondence Relating to the Selection of Panelists (Field Readers for Discretionary Grants).</b></p> <p><b>Disposition:</b> TEMPORARY. Destroy when 5 years old.</p>	<p>ED/RDS, Part 10, Item 7 (NC-12-75-1, Item 25)</p>
8.	<p><b>Proposals or Plans Not Resulting in Grant Awards (Discretionary Grants).</b></p> <p><b>Disposition:</b> TEMPORARY. Destroy 3 years after rejection or withdrawal.</p>	<p>ED/RDS, Part 10, Item 8 (GRS 3, Item 13)</p>
9.	<p><b>Approved Fellowship Administration Records and Payment Records.</b> Most fellowships are administered through institutions of higher education and are similar in many respects to grants.</p> <p><b>Disposition:</b> TEMPORARY. Disposition is the same as Items 3 and</p>	<p>ED/RDS, Part 10, Item 9</p>

## Part 10 – Grant and Loan Program Records

ED/RDS ITEM NO.	DESCRIPTION OF RECORDS	DISPOSAL AUTHORITY
	4 above.	(NC-12-75-1, Item 27)
10.	<p><b>Unsuccessful, Withdrawn, and Declined Fellowship Program Applications.</b> Including correspondence with institutions, cost estimates, and working files.</p> <p><b>Disposition:</b> TEMPORARY. Destroy 3 years after rejection or withdrawal.</p>	ED/RDS, Part 10, Item 10 (GRS 3, Item 13)
11.	<p><b>Lists or Indices of Individuals Participating in Fellowship Programs.</b></p> <p><b>Disposition:</b> TEMPORARY. Dispose of after administrative values have ceased or after 10 years, whichever is sooner. <b>Do not store in Federal Centers.</b></p>	ED/RDS, Part 10, Item 11 (NC-12-75-1, Item 29)
12.	<p><b>Certification of Right to Construct, Maintain, and Operate Facilities.</b> Assurances or certification that local educational agency or institution of higher learning has right to construct and maintain, and will continue to operate, facilities to be constructed with Federal money for the period provided by law.</p> <p>a. <u>For construction grants related to higher education facilities.</u></p> <p><b>Disposition:</b> TEMPORARY. Destroy when 50 years old.</p> <p>b. <u>For construction grants related to areas affected by Federal activities (P.L. 81-815).</u></p> <p><b>Disposition:</b> TEMPORARY. Destroy when 20 years old.</p> <p>c. <u>For all other construction grants.</u></p> <p><b>Disposition:</b> TEMPORARY. Destroy 5 years after final payment or after audit, whichever is sooner.</p>	ED/RDS, Part 10, Item 12a (NC-12-75-1, Item 30a)
		ED/RDS, Part 10, Item 12b (NC-12-75-1, Item 30b)
		ED/RDS, Part 10, Item 12c (NC-12-75-1, Item 30c)

## Part 10 – Grant and Loan Program Records

ED/RDS ITEM NO.	DESCRIPTION OF RECORDS	DISPOSAL AUTHORITY
-----------------------	------------------------	-----------------------

**13. Application and Grant Administration Correspondence other than when Described in Item 12, including Construction Project Information and Payment Records.**

a. Applications Determined to be Ineligible.

**Disposition:** TEMPORARY. Destroy at the end of the fiscal year for which application was made. ED/RDS, Part 10, Item 13a (NC-12-75-1, Item 31a)

b. Applications and Correspondence for Projects which are Eligible.

**Disposition:** TEMPORARY. Same as Items 3 and 4 above. ED/RDS, Part 10, Item 13b (NC-12-75-1, Item 31b)

***NOTE: Student Assistance Program Records.** The distribution of Federal monies or interest payments in support of student loan programs is a major function of ED. There are two categories of loans. First are the basic grant programs in which the Government allocates money directly to institutions of higher learning on the basis of a pre-established formula. The second group is insured loans. The Government is a guarantor of loans from various institutions (banks, universities, state agencies) to students, and underwrites a certain amount of the interest payment on the loans.*

**14. Institution Files for Insured Loan Programs.** This group of records documents the participation of institutions (usually banks) in insured loan programs. Included are applications and audits, various administrative reports, and requests for interest payments.

a. Applications and Audits.

**Disposition:** TEMPORARY. Destroy 5 years after end of an institution's participation in a program, or after final audit of institution, whichever is sooner. ED/RDS, Part 10, Item 14a (NC1-12-82-1, Item 2a)

b. Request for Federal Interest Payments.

**Disposition:** TEMPORARY. Destroy when 5 years old or after audit, whichever is sooner. ED/RDS, Part 10, Item 14b (NC1-12-82-1, Item 2b)

## Part 10 – Grant and Loan Program Records

ED/RDS ITEM NO.	DESCRIPTION OF RECORDS	DISPOSAL AUTHORITY
-----------------------	------------------------	-----------------------

- c. All other records or correspondence with the institutions for administration of the program.

**Disposition:** TEMPORARY. Destroy after 2 years.

ED/RDS, Part 10, Item 14b  
(NC1-12-82-1, Item 2c)

- 15. Institution Fields for Basic Grants.** This group of records documents the participation of an institution in the basic grant programs. Included are applications, audits, and annual requests for funds.

- a. Basic Applications and Audits.

**Disposition:** TEMPORARY. Destroy 5 years after the end of institutional participation in program, or after final audit of institutional program, whichever is sooner.

ED/RDS, Part 10, Item 15a  
(NC-12-75-1, Item 13a)

- b. Annual Request for Funds and Payment Records.

**Disposition:** TEMPORARY. Dispose of 5 years after final payment or after audit, whichever is sooner.

ED/RDS, Part 10, Item 15b  
(NC-12-75-1, Item 13b)

- c. All Other Records or Correspondence with an Institution for the Administration of the Program.

**Disposition:** TEMPORARY. Destroy after 2 years.

ED/RDS, Part 10, Item 15c  
(NC-12-75-1, Item 13c)

- 16. Individual Files for Insured Loan Programs.** Document participation of individual students in loan program.

- a. Approved Applications and Certifications.

**Disposition:** TEMPORARY. Destroy after microfilming in accordance with 36 CFR 1230 parts 10-16.

ED/RDS, Part 10, Item 16a  
(NC-12-75-1, Item 15a)

- b. Microfilm of Application.

**Disposition:** TEMPORARY. Destroy 3 years after repayment or

ED/RDS, Part 10, Item 16b

## Part 10 – Grant and Loan Program Records

ED/RDS ITEM NO.	DESCRIPTION OF RECORDS	DISPOSAL AUTHORITY
	cancellation of loan.	(NC-12-75-1, Item 15c)
	c. <u>Unapproved Applications.</u>	
	<b><u>Disposition:</u></b> TEMPORARY. Destroy at the close of fiscal year in which application was made.	ED/RDS, Part 10, Item 16c (NC-12-75-1, Item 15c)
	d. <u>Machine Readable Records.</u>	
	<b><u>Disposition:</u></b> TEMPORARY. Destroy 3 years after repayment or cancellation of loan.	ED/RDS, Part 10, Item 16d (GRS 20, Item 3b(2))
	e. <u>Approved Application Certifications and Related Papers, ED Hard (Paper) Copy.</u>	
	<b><u>Disposition:</u></b> TEMPORARY. Destroy 3 years after repayment or cancellation of loan.	ED/RDS, Part 10, Item 16e (NC1-12-80-2, Item 15e)
<b>17.</b>	<b>Pell Grant Program Records.</b> The Pell Grant Program awards grants to help financially needy students meet the cost of their postsecondary education.	
	a. <u>Student Records.</u> The student record series includes: application, payment voucher (report portion of student aid report (SAR), multiple data entry (CSX, USAF and CSS ACT)), correspondence and related documents.	
	<b><u>Disposition:</u></b> TEMPORARY. Transfer to a Federal Records Center after final payment to grantee. Destroy 15 years after final payment or audit, whichever is sooner.	ED/RDS, Part 10, Item 17a (N1-441-92-1, Item 1a)
	b. <u>Institution Records.</u> This file series documents the participation of an institution in the Pell Grant Program. Records include: statement of account (SOA), institutional payment summary, original payment voucher, processed payment document, recipient data exchange record, electronic payment voucher, electronic transmittals, student eligibility and validation rosters and progress reports.	
	<b><u>Disposition:</u></b> TEMPORARY. Transfer to a Federal Records	ED/RDS, Part 10, Item 17b

## Part 10 – Grant and Loan Program Records

ED/RDS ITEM NO.	DESCRIPTION OF RECORDS	DISPOSAL AUTHORITY
	Center after final payment to grantee. Destroy 15 years after final payment or audit, whichever is sooner.	(N1-441-92-1, Item 1b)
	<p>c. <u>Pell Grant Program History.</u> Documentation of program legislation, budget histories, policy papers, congressional correspondence impacting on program activities, organization charts, and program management studies.</p> <p><b>Disposition:</b> PERMANENT. Transfer to a Federal Records Center when 3 years old. Transfer to the National Archives and Records Administration when 10 years old.</p>	<p>ED/RDS, Part 10, Item 17c (N1-441-92-1, Item 1d)</p>
	<p>d. <u>Unsuccessful Pell Grant Applications.</u> Applications, correspondence, and other records relating to unsuccessful (rejected or withdrawn) applications.</p> <p><b>Disposition:</b> TEMPORARY. Transfer to a Federal Records Center 120 days after rejection or withdrawal. Destroy 3 years after date of rejection.</p>	<p>ED/RDS, Part 10, Item 17d (N1-441-92-1, Item 1f)</p>
	<p>e. <u>Pell Grant Administration Records.</u> Correspondence and/or subject files relating to routine operations and daily activities in administration of the Pell Grant Program</p> <p><b>Disposition:</b> TEMPORARY. Destroy when 2 years old.</p>	<p>ED/RDS, Part 10, Item 17e (N1-441-92-1, Item 1g)</p>

### OFFICE OF POSTSECONDARY EDUCATION

#### Accrediting Agency Files.

This schedule relates to records submitted to the Department of Education from accrediting agencies seeking initial or renewed recognition from the Secretary of Education. For the recognition process, the Accrediting Agency Evaluation Branch reviews the accrediting agency’s application and supporting documentation to determine if they are a reliable authority concerning the quality of education or training provided by the institutions they accredit.



## Part 10 – Grant and Loan Program Records

ED/RDS ITEM NO.	DESCRIPTION OF RECORDS	DISPOSAL AUTHORITY
-----------------------	------------------------	-----------------------

### 18. Accreditation Case Files.

These records consist of materials submitted from state approval agencies and non-governmental accrediting agencies. Includes petitions, interim reports, accrediting decisions, and annual reports submitted to the Secretary, which are included in the files. Also included in the files is correspondence to and from the accrediting agency that contains complaints received from concerned individuals regarding the agency's recognition status.

a. Case files for Agencies Recommended for Approval.

**Disposition:** TEMPORARY. Cut off at end of calendar year in which the accreditation process terminates. Retire to the Federal Records Center 1 year after cut off. Destroy 11 years after cut off. ED/RDS, Part 10, Item 18a (N1-441-98-1)

b. Application Case files for Agencies Denied Approval or Recognition. ED/RDS, Part 10, Item 18b (N1-441-98-1)

**Disposition:** TEMPORARY. Cut off at end of calendar year. Retire to the Federal Records Center 1 year after cut off. Destroy 3 years after cut off.

c. Working Papers. Consists of drafts, notes, background material and reference copies of documents. ED/RDS, Part 10, Item 18c (N1-441-98-1)

**Disposition:** TEMPORARY. Destroy when no longer needed.

d. Electronic Records. Consists of electronic mail, word processing documents, and other items created electronically that are used solely to generate a recordkeeping copy.

**Disposition:** TEMPORARY. Destroy when business need is complete, or recordkeeping copy has been created and filed, whichever is later. ED/RDS, Part 10, Item 18d (N1-441-98-1)

***NOTE:** Some Accreditation Case Files may be worthy of permanent retention if they significantly interpret Department of Education agency accreditation regulations, reflect significant developments, or attract extensive public attention. These should be brought to the*

## Part 10 – Grant and Loan Program Records

ED/RDS ITEM NO.	DESCRIPTION OF RECORDS	DISPOSAL AUTHORITY
-----------------------	------------------------	-----------------------

*attention of NARA via an SF 115, Request for Disposition Authority, so that they can be appraised and appropriate disposition authorized.*

**19. CD-ROM Copy of Accreditation Case files for Agencies Recommended for Approval.**

CD-ROM copy of Agency petitions, interim reports, accrediting decisions, annual reports and related correspondence with agencies recommended for approval or recognition.

**Disposition:** TEMPORARY. Destroy 11 years after creation of CD-ROM images.

ED/RDS, Part 10, Item 19  
(N1-441-98-1)

**OFFICE OF STUDENT FINANCIAL ASSISTANCE**

**Case Management Files.**

The following schedule is for records created by ED documenting the process by which an institution is approved to participate in Student Financial Assistance (SFA) programs authorized by Title IV of the Higher Education Act (HEA) of 1965, as amended. The records also document oversight of an institution’s compliance with the regulations governing Title IV Programs. The records include documentation provided by the financial aid community (institutions, accreditation and state licensing agencies, guaranty agencies and lenders, and auditors) pertaining to an institution’s participation in the Title IV Programs. This schedule applies to records maintained by the Department (Case Management and Oversight, formerly known as the Institutional Participation and Oversight Service) in headquarters and at the Washington National Records Center.

Included are the following: 1) Application for Approval to Participate in Federal Student Financial Aid Programs required from institutions submitting applications for initial participation, recertification, changes in ownership or restructure, reinstatement, and other changes in their relation to ED student financial aid programs. Beginning July 1, 1998, institutions are encouraged to submit their applications electronically. The Department, however,

## Part 10 – Grant and Loan Program Records

ED/RDS ITEM NO.	DESCRIPTION OF RECORDS	DISPOSAL AUTHORITY
-----------------------	------------------------	-----------------------

will continue to accept paper applications. 2) Financial statements that report the financial condition of institutions participating in Title IV programs. The reports include audit opinions, balance sheets, income statements, statements of cash flow, and correspondence with financial institutions. 3) Audit reports, which detail Title IV program audits of participating postsecondary institutions. The reports provide the audited period, management assertions, the auditor information sheet, schedule of findings, questioned costs, summary schedules A, B and C, and a corrective action plan. 4) Program review reports that monitor, document, and determine a participating postsecondary institution’s compliance with the Title IV SFA programs. The program review reports drafted by the Department emphasize the scope of the review, findings of non-compliance, regulatory authority, and corrective action.

**20. Eligibility Files.**

- a. Applications completed by educational institutions and submitted to the Department of Education in order to certify for participation in Title IV SFA Programs, and Program Participation Agreements made between the Department and certified educational institutions.

**Disposition:** TEMPORARY. Cut off files 1 year after the institution’s next re-certification into the program. Retire to a certified records center 1 year after cut off. Destroy 8 years after cut off.

ED/RDS, Part 10, Item 20a  
(N1-441-00-1, Item 1a)

- b. Correspondence, memoranda, and other documents relevant to applications and Program Participation Agreements.

**Disposition:** TEMPORARY. Cut off files 1 year after the institutions re-certification into program. Destroy 8 years after cutoff, or when no longer needed by the Department of Education for reference purposes.

ED/RDS, Part 10, Item 20b  
(N1-441-00-1, Item 1b)

- c. Electronic copies of applications received through the Postsecondary Education Participants System (PEPS) via the Internet.

## Part 10 – Grant and Loan Program Records

ED/RDS ITEM NO.	DESCRIPTION OF RECORDS	DISPOSAL AUTHORITY
-----------------------	------------------------	-----------------------

**Disposition:** TEMPORARY. A hard copy of the application is printed out and placed in the appropriate file (see item 1A). PEPS will be scheduled at a later date. ED/RDS, Part 10, Item 20c (N1-441-00-1, Item 1c)

- d. Word processing and electronic records (electronic version of records created by electronic mail or word processing applications).

**Disposition:** TEMPORARY. Delete when file copy is generated or when no longer needed for reference or updating, whichever is sooner. ED/RDS, Part 10, Item 20d (N1-441-00-1, Item 1d)

### 21. Financial Statement Files.

- a. Includes financial statements submitted annually by participating Title IV institutions, balance sheets, cash flow information, information concerning income/retained earnings, and other related correspondence. These records are compiled in support of applications completed to certify or re-certify an organization as eligible to participate in Title IV SFA Programs.

**Disposition:** TEMPORARY. Cut off files 2 years after the end of the fiscal year in which the review is completed. Retire files to the Washington National Records Center 2 years after cut off. Destroy 8 years after cut off. ED/RDS, Part 10, Item 21a (N1-441-00-1, Item 2a)

- b. Word processing and electronic records (electronic version of records created by electronic mail or word processing applications).

**Disposition:** TEMPORARY. Delete when file copy is generated or when no longer needed for reference or updating, whichever is sooner. ED/RDS, Part 10, Item 21b (N1-441-00-1, Item 2b)

### 22. Audit Reports.

- a. Includes compliance audit reports, audit clearance documents, schedules of findings, summary schedules, and other correspondence submitted by participating Title IV institutions in

## Part 10 – Grant and Loan Program Records

ED/RDS ITEM NO.	DESCRIPTION OF RECORDS	DISPOSAL AUTHORITY
-----------------------	------------------------	-----------------------

support of applications completed to certify or re-certify an organization as eligible to participate in Title IV SFA Programs.

**Disposition:** TEMPORARY. Cut off files 2 years after the end of the fiscal year in which the review is completed. Retire to the Washington National Records Center 2 years after cut off. Destroy 8 years after cut off. ED/RDS, Part 10, Item 22a (N1-441-00-1, Item 3a)

- b. Word processing and electronic records (electronic version of records created by electronic mail or word processing applications).

**Disposition:** TEMPORARY. Delete when file copy is generated or when no longer needed for reference or updating, whichever is sooner. ED/RDS, Part 10, Item 22b (N1-441-00-1, Item 3b)

### 23. Program Review Files.

- a. Includes program review reports, which monitor, document, and determine whether participating post-secondary institutions comply with Title IV SFA financial and other program requirements, with other correspondence.

**Disposition:** TEMPORARY. Cut off files 1 year after the institution terminates from the Title IV SFA programs. Retire to the Washington National Records Center 1 year after cut off. Destroy 8 years after cut off. ED/RDS, Part 10, Item 23a (N1-441-00-1, Item 4a)