

Illinois Contract File Assembly and Management

Contract Folder Assembly - Each contract must be organized in a 6-part folder maintained in the field office. The folder must be organized as follows:

1st Cover	2nd Cover	3rd Cover
<p>Form NRCS-CPA-1200, "Conservation Program Application" and documents supporting eligibility</p> <p>Form NRCS-CPA-1202, "Conservation Program Contract"</p> <p>Copy of NRCS-CPA-1202 with contract obligation signature (participants do not sign this copy)</p> <p>CPC appendix</p> <p>Application evaluation and ranking worksheet (including CMT reports)</p> <p>EQIP Eligibility Documentation Checklist</p> <p>Producer Ag Operation maps for CSP & farm data report</p> <p>Signature authority for business</p> <p>Form FSA-211(revision 2009), "Power of Attorney"</p> <p>Joint agreements</p> <p>Form NRCS-CPA-153, "Agreement Covering Non-Compliance with Provisions of Contract"</p> <p>Form NRCS-CPA-152, "Conservation Program Contract Transfer Agreement" (and page with approver's e-signature)</p>	<p>Form NRCS-CPA-13, "Contract Review"</p> <p>Appeals and mediation records</p> <p>Conservation assistance notes</p> <p>General correspondence (with most recent on top)</p> <ul style="list-style-type: none"> • Preapproval Letter • Annual Practice Reminder Letters • Other correspondence <p>ROOT Checklist</p> <p>Quality Assurance Checklists completed by Area or State Office staff</p>	<p>Conservation plan map and legend</p> <p>Soil map and legend</p> <p>Location map</p> <p>CSP Pastured Cropland maps and evaluation</p>
4th Cover	5th Cover	6th Cover
<p>Form NRCS-CPA-1155, "Conservation Plan or Schedule of Operations"</p> <p>Form NRCS-CPA-1156, "Revision of Plan/Schedule of Operations or Modification of a Contract" (and page with approver's e-signature)</p> <p>Conservation Plan</p>	<p>Practice design and drawings</p> <p>Job sheets</p> <p>Practice specifications</p> <p>Worksheets</p> <p>Environmental evaluation or assessment</p> <p>Archaeological information</p> <p>NEPA documentation</p> <p>Operation and maintenance agreements</p>	<p>Form NRCS-CPA-1245, "Practice Approval and Payment Application" (and page with approver's e-signature)</p> <p>Invoices and receipts for Actual Not-to-Exceed Average (AA) and Actual Not-to-exceed Maximum (AM) contract items</p> <p>Checkout and certification notes attached to applicable payment</p> <p>Practice implementation data supplied by technical service providers</p>

Note: Documents with personally identifiable information (PII) must be filed in a locked cabinet. Forms such as SF-1199A, NRCS-CPA-1236 (or CCC-36), or CCC-901 may only be kept in the contract file if social security number (SSN), Tax identification number, banking number, and routing number are removed.

Contract File Content:

Examples of information the field office must not include in the contract file:

- Email correspondence between NRCS employees.
- NRCS guidance documents such as bulletins or step-by-step directions.
- Multiple copies of a document when one copy is required (i.e. job sheets, Appendix). Do not have the applicant/participant unnecessarily sign documents. For example, the field office should not have the applicant sign the Contract Appendix multiple times throughout the application process. The Appendix is only to be signed once when the contract is being signed.
- Deeds and other forms of control for contract years 2012 to current. Only when control documents are requested by the State Office for a spot check should they be filed in the contract folder.

Managing multiple versions of a document:

Rankings and CMTs -

- At times when working on an application, there might be a need to update a ranking after obtaining the applicant's signature on the original. It should be noted on the older version of the version status. The files should be organized by keeping all newer copies on top and the older versions below.
- All official rankings that the applicant agrees to and signs must be maintained. Unsigned working copies should not be kept.

Disposition of Program Files:

When the timeframes specified below have passed, files can be shredded.

Applications - Cancelled or Ineligible applications must be maintained for 1 year after the end of the fiscal year in which the applicant cancelled their application or NRCS determined the application to be ineligible and the letter was sent with appeal rights.

For example, the applicant requests to cancel his application on 6-10-2013. The field office would change the application status in ProTracts and make a note on the NRCS-CPA-1200 application that the applicant requested cancellation and the date of the request. On 9-30-2014, the District Conservationist would shed the application and other application documents. Also any other applications cancelled or determined ineligible in fiscal year 2013 would be shredded.

Contract Files - Completed, expired, cancelled, or terminated contract files must be maintained for 6 years and 3 months after the final payment is approved. The field office must note on the contract file the date of the last payment and the disposition date of when the file can be shredded. The field office can retain survey notes, drawings, field sheets, etc., that may have future value.

Contract File Label Example:

Contract Number	
Participant	
Program	FY
Date Last Payment:	
Disposition Date:	