

## Request for Records Disposition Authority

Records Schedule Number DAA-0572-2018-0005

Schedule Status Approved

Agency or Establishment Rural Development

Record Group / Scheduling Group Records of USDA Rural Development Programs

Records Schedule applies to Agency-wide

Schedule Subject Civil Rights Records

Internal agency concurrences will be provided No

Background Information Civil Rights records comprise of the documents necessary to identify, enforce and promote applicable national laws and policies prohibiting discrimination and ensuring equal opportunity and access to activities or services conducted or guaranteed by Rural Development and the US Department of Agriculture

### Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
6	0	6	0

GAO Approval

## Outline of Records Schedule Items for DAA-0572-2018-0005

Sequence Number	
1	Discrimination Case Files Disposition Authority Number: DAA-0572-2018-0005-0001
2	Programmatic Case Files Disposition Authority Number: DAA-0572-2018-0005-0002
3	Incomplete Case Files (Discrimination and Programmatic) Disposition Authority Number: DAA-0572-2018-0005-0003
4	Compliance Reviews - (Non Compliant) Disposition Authority Number: DAA-0572-2018-0005-0004
5	Compliance Reviews - (Compliant) Disposition Authority Number: DAA-0572-2018-0005-0005
6	Civil Rights Impact Analysis - (CRIAs) Disposition Authority Number: DAA-0572-2018-0005-0006

## Records Schedule Items

Sequence Number	
1	<p><b>Discrimination Case Files</b></p> <p>Disposition Authority Number      <b>DAA-0572-2018-0005-0001</b></p> <p>Investigative case files containing information or allegations which warrant a specific investigation and may result in administrative action. Case files should include the original complaint, any affidavits, incoming correspondence, copies of outgoing correspondence, receipts for certified mail, and the Agency Position Statement (APS) or conciliation agreement Case files should include the original complaint, any affidavits, incoming correspondence, copies of outgoing correspondence, receipts for certified mail, and the Agency Position Statement (APS) or conciliation agreement.</p> <p>Final Disposition                      <b>Temporary</b></p> <p>Item Status                              <b>Active</b></p> <p>Is this item media neutral?           <b>Yes</b></p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      <b>Yes</b></p> <p>Do any of the records covered by this item exist as structured electronic data?                      <b>No</b></p> <p><b>Disposition Instruction</b></p> <p>Cutoff Instruction                      <b>Cutoff after final action has been completed and case is closed.</b></p> <p>Transfer to Inactive Storage          <b>Transfer to the FRC 1 year after Cutoff</b></p> <p>Retention Period                        <b>Destroy 10 year(s) after Cutoff</b></p> <p><b>Additional Information</b></p> <p>GAO Approval                           <b>Not Required</b></p>
2	<p><b>Programmatic Case Files</b></p> <p>Disposition Authority Number      <b>DAA-0572-2018-0005-0002</b></p> <p>All other investigative case files containing information or allegations, which warrant a specific investigation but result in no prosecutorial or administrative action.</p> <p>Final Disposition                        <b>Temporary</b></p>

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Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? No

#### Disposition Instruction

Cutoff Instruction Cutoff when final action has been completed and case is closed.

Transfer to Inactive Storage Transfer to the FRC 1 year after Cutoff

Retention Period Destroy 5 year(s) after Cutoff

#### Additional Information

GAO Approval Not Required

#### Incomplete Case Files (Discrimination and Programmatic)

Disposition Authority Number DAA-0572-2018-0005-0003

Cases that do not proceed to full or regular investigation because of lack of jurisdiction, the charging party cannot be located or the complaint is withdrawn.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? No

#### Disposition Instruction

Cutoff Instruction Cutoff after final action has been completed and case is determined closed. A case is closed when the agency has exhausted all efforts.

Transfer to Inactive Storage Transfer to the FRC 1 year after Cutoff

Retention Period Destroy 2 year(s) after Cutoff

4	<b>Additional Information</b>	
	GAO Approval	Not Required
	<b>Compliance Reviews - (Non Compliant)</b>	
	Disposition Authority Number	DAA-0572-2018-0005-0004
	Contain a chronological history of compliance review activity for the case from initiation to final action. Includes findings and recommendations concerning a recipient's compliance or non compliance with relevant statutes and regulations. Files should include any plan for voluntary compliance. Transition plans will be issued, monitored and collected as part of the file. The file may also include exhibits and background documents. Records will not be cutoff until the transition has been met.	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	No
	<b>Disposition Instruction</b>	
	Cutoff Instruction	Cutoff at the end of the fiscal year in which the transition plans was satisfied.
	Transfer to Inactive Storage	Transfer to the 1FRC after Cutoff.
	Retention Period	Destroy 5 year(s) after Cutoff
5	<b>Additional Information</b>	
	GAO Approval	Not Required
	<b>Compliance Reviews - (Compliant)</b>	
	Disposition Authority Number	DAA-0572-2018-0005-0005
	Contain a chronological history of compliance review activity for the case from initiation to final action. Includes findings and recommendations concerning a recipient's compliance or noncompliance with relevant statutes and regulations. Files should include any plan for voluntary compliance. The file may also include exhibits and background documents.	
	Final Disposition	Temporary
	Item Status	Active

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Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? No

#### Disposition Instruction

Cutoff Instruction Cutoff - at the end of the fiscal year in which the compliance review report is issued

Transfer to Inactive Storage Transfer to the FRC 1 year after Cutoff

Retention Period Destroy 5 year(s) after Cutoff

#### Additional Information

GAO Approval Not Required

#### Civil Rights Impact Analysis - (CRIAs)

Disposition Authority Number DAA-0572-2018-0005-0006

Civil Rights Impact Analysis (CRIA) examines the Civil Rights implications of proposed agency actions related to management, program development and delivery, and decision making. Performance of this analysis is directed by Departmental Regulation (DR) 4300-4, "Civil Rights Impact Analysis," which requires agencies to identify, evaluate, and address the Civil Rights implications of policy actions before the actions are approved and implemented. The agency must obtain either a 'Concurrence' or a 'Contingent Concurrence' from the Civil Rights Director prior to implementing any proposed action. If an adverse or disproportionate impact is projected, mitigation strategies must be established to lessen any potential adverse impact.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? No

#### Disposition Instruction

Cutoff Instruction	Cutoff files at the end of the fiscal year in which the report is issued
Transfer to Inactive Storage	Transfer to the FRC 3 year after Cutoff
Retention Period	Destroy 5 year(s) after Cutoff
Additional Information	
GAO Approval	Not Required

## Agency Certification

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

## Signatory Information

Date	Action	By	Title	Organization
04/30/2018	Certify	Andrea Jenkins	Records Officer	Rural Development - Rural Housing, Rural Business, Rural Utilities
05/22/2018	Return for Revision	John Hulmston	Senior Records Analyst	National Archives and Records Administration - ACRA
11/20/2018	Submit For Certification	Andrea Jenkins	Records Officer	Rural Development - Rural Housing, Rural Business, Rural Utilities
11/20/2018	Certify	Andrea Jenkins	Records Officer	Rural Development - Rural Housing, Rural Business, Rural Utilities
08/21/2019	Submit for Concurrence	Jessica Blessman	Appraisal Archivist	National Archives and Records Administration - ACRA
09/05/2019	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
09/05/2019	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
09/09/2019	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist