

Request for Records Disposition Authority

Records Schedule Number **DAA-0145-2014-0006**
 Schedule Status **Approved**

Agency or Establishment **Farm Service Agency**
 Record Group / Scheduling Group **Records of the Farm Service Agency**
 Records Schedule applies to **Agency-wide**
 Schedule Subject **Investigative and Audit Case Files**
 Internal agency concurrences will be provided **Yes**

Background Information **These records contain "Personally identifiable information" (PII)**

This schedule is applicable to all records regardless of medium

This schedule covers records related to the investigations and audits done by the Farm Service Agency (FSA). The record copy of the final report and all relevant documentation will be maintained by FSA and Office of Inspector General (OIG).

Case files developed during investigation of known alleged frauds, abuse and irregularities or violations of laws and regulations. Cases relate to agency personnel and programs and operations administered or financed by the agency, including contractors and others having a relationship with the agency. This includes investigative files relating to employee and hotline complaints, and other miscellaneous complaint files. Files consist of investigative reports and related documents, such as correspondence, notes attachments, and working papers.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
5	2	3	0

GAO Approval

Outline of Records Schedule Items for DAA-0145-2014-0006

Sequence Number	
1	SIGNIFICANT INVESTIGATIVE CASE FILES Disposition Authority Number: DAA-0145-2014-0006-0001
2	SIGNIFICANT AUDIT CASE FILES Disposition Authority Number: DAA-0145-2014-0006-0002
3	Complaint Files Disposition Authority Number: DAA-0145-2014-0006-0003
4	All other investigative case files Disposition Authority Number: DAA-0145-2014-0006-0004
5	ALL OTHER AUDIT CASE FILES Disposition Authority Number: DAA-0145-2014-0006-0005

Records Schedule Items

Sequence Number		
1	<p>SIGNIFICANT INVESTIGATIVE CASE FILES</p> <p>Disposition Authority Number DAA-0145-2014-0006-0001</p> <p>Case files that result in national media attention, congressional investigation and/or changes in agency policy or procedures.</p> <p>Final Disposition Permanent</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes</p> <p>Do any of the records covered by this item exist as structured electronic data? No</p> <p>GRS or Superseded Authority Citation N1-145-00-1/1a(1)</p> <p>Disposition Instruction</p> <p>If this item has multiple sections, indicate here records to which this section apply Electronic Records</p> <p>Cutoff Instruction Cutoff at the end of the fiscal year in which the case is closed. Transfer to NARA 15 years after cutoff.</p> <p>Transfer to the National Archives for Accessioning Transfer to the National Archives 15 year(s) after cutoff</p> <p>Additional Information</p> <p>First year of records accumulation 2000</p> <p>What will be the date span of the initial transfer of records to the National Archives? From 2000 To 2015</p> <p>How frequently will your agency transfer these records to the National Archives? Every 15 Years</p>	
	Estimated Current Volume	Annual Accumulation
	3 MB	

Paper	50 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

2

SIGNIFICANT AUDIT CASE FILES

Disposition Authority Number **DAA-0145-2014-0006-0002**

Case files of internal audits of agency programs, operations and procedures and of external audits of contractors and grantees, containing audit reports, correspondence, memorandums, and support working papers. **SIGNIFICANT AUDIT CASE FILES PERMANENT: Cutoff at the end of the fiscal year in which the case is closed. Transfer to the FRC 3 years after cutoff. Transfer to NARA 15 years after cutoff.**

Final Disposition **Permanent**

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? **No**

GRS or Superseded Authority Citation **N1-145-00-1/2a(1)**

Disposition Instruction

Cutoff Instruction **Cutoff at the end of the fiscal year in which the case is closed. Transfer to the FRC 3 ears after cutoff. Destroy 15 years after cutoff.**

Transfer to Inactive Storage **Transfer to the FRC 3 ears after cutoff.**

Transfer to the National Archives for Accessioning **Transfer to the National Archives 15 year(s) after cutoff**

Additional Information

What will be the date span of the initial transfer of records to the National Archives? **From 2000 To 2015**

How frequently will your agency transfer these records to the National Archives? **Every 15 Years**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	5 MB	
Paper	100 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

3

Complaint Files

Disposition Authority Number **DAA-0145-2014-0006-0003**

Files containing information or allegations which are of an investigative nature but do not related to a specific investigation. They include anonymous or vague allegations not warranting an investigation, matters referred to constituents or other agencyies for handling and support files providing general information which may prove useful in Inspector General Investigations

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? **No**

GRS or Superseded Authority Citation **N1-145-00-1-1b**

Disposition Instruction

Cutoff Instruction **Cutoff at the end of the fiscal year in which the case is closed.**

Transfer to Inactive Storage **Transfer to the FRC 2 years after cutoff**

Retention Period **Destroy 5 year(s) after cutoff**

Additional Information

GAO Approval **Not Required**

4

All other investigative case files

Disposition Authority Number **DAA-0145-2014-0006-0004**

Records consist of correspondence, reports and other documentation

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**

GRS or Superseded Authority Citation **N1-145-00-1-1c**

Disposition Instruction

Cutoff Instruction **Cutoff at the end of the fiscal year in which the case is closed.**

Transfer to Inactive Storage **Transfer to the FRC 3 years after cutoff.**

Retention Period **Destroy 10 year(s) after cutoff**

Additional Information

GAO Approval **Not Required**

ALL OTHER AUDIT CASE FILES

Disposition Authority Number **DAA-0145-2014-0006-0005**

Case files of internal audits of agency programs, operations and procedures and of external audits of contractors and grantees, containing audit reports, correspondence, memorandum and supporting working papers

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**

GRS or Superseded Authority Citation **N1-145-00-1/2b**

Disposition Instruction

5

Cutoff Instruction	Cutoff at the end of the fiscal year in sheich the case is closed.
Transfer to Inactive Storage	Transfer to the FRC 3 years after cutoff
Retention Period	Destroy 10 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
08/11/2015	Return to Submitter	Keith Holden	Records Officer	Farm Service Agency - Foreign Agricultural Service
08/12/2015	Certify	Keith Holden	Records Officer	Farm Service Agency - Foreign Agricultural Service
09/29/2015	Return for Revision	Tom Cotter	Appraiser	National Archives and Records Administration - Records Management Services
10/01/2015	Submit For Certification	Debra Lackey	Records Analyst	Management Service Division - Information Management Section
12/10/2015	Certify	Keith Holden	Records Officer	Farm Service Agency - Foreign Agricultural Service
12/17/2015	Return for Revision	Tom Cotter	Appraiser	National Archives and Records Administration - Records Management Services
12/17/2015	Submit For Certification	Debra Lackey	Records Analyst	Management Service Division - Information Management Section
12/17/2015	Certify	Keith Holden	Records Officer	Farm Service Agency - Foreign Agricultural Service
01/13/2016	Return for Revision	Tom Cotter	Appraiser	National Archives and Records Administration - Records Management Services
01/13/2016	Submit For Certification	Debra Lackey	Records Analyst	Management Service Division - Information Management Section

01/13/2016	Certify	Keith Holden	Records Officer	Farm Service Agency - Foreign Agricultural Service
05/02/2016	Submit for Concur rence	Tom Cotter	Appraiser	National Archives and Records Administration - Records Management Services
05/09/2016	Concur	Margaret Hawkins	Director of Records Management Servic es	National Records Management Program - ACNR Records Management Services
05/09/2016	Concur	Margaret Hawkins	Director of Records Management Servic es	National Records Management Program - ACNR Records Management Services
05/11/2016	Approve	David Ferriero	Archivist of the Unite d States	Office of the Archivist - Office of the Archivist