

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse)		LEAVE BLANK (NARA use only)	
TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER NI-258-09-11	DATE RECEIVED 8/31/09
1 FROM (Agency or establishment) United States Department of Agriculture		NOTIFICATION TO AGENCY	
2 MAJOR SUBDIVISION Risk Management Agency (RMA)			
3 MINOR SUBDIVISION			
4 NAME OF PERSON WITH WHOM TO CONFER Debbie Lackey or Erin Tecce	5 TELEPHONE 816-926-7915	DATE 14 Dec 11	ARCHIVIST OF THE UNITED STATES

6 AGENCY CERTIFICATION
I hereby certify that I am authorized to act for this agency in the matters pertaining to the disposition of its records and that the records proposed for disposal on the attached 3 page(s) are not needed for the business of this agency or will not be needed after the retention periods specified, and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manuel for Guidance of Federal Agencies,

is not required, is attached, or has been requested

DATE 8/24/09	SIGNATURE OF AGENCY REPRESENTATIVE 	TITLE Agency Records Coordinator
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7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	<p>PROGRAM COMPLIANCE SYSTEM</p> <p>Program compliance systems are used to protect the integrity of the crop insurance program This is achieved through a system of review, analysis and evaluation as to whether laws, policies and procedures are followed and administered correctly and the detection and prevention of crop insurance program abuse</p> <p>The system is also used to identify possible areas for improvement in agency programs and to provide statistical information for standard reinsurance agreement negotiations</p> <p>See attached</p>		

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ATTACHMENT A

Authority N1-258-09-11	Existing Authority	Approved
Major Subdivision Risk Management Agency (RMA)	Physical Medium Media Neutral	
Minor Sub	Location	
Item Name		

RISK MANAGEMENT AGENCY

Item No.	Description of Item and Proposed Disposition	GRS or Superseded Job Citation	Action Taken (NARA Use Only)
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Program Compliance Systems (PCS) are used to protect the integrity of the crop insurance program. This is achieved through a system of review, analysis and evaluation as to whether laws, policies and procedures are followed and administered correctly, and, the detection and prevention of crop insurance program abuse.

The systems are also used to identify possible areas of improvement in agency programs and to provide statistical information for standard reinsurance agreement negotiations.

This schedule includes systems such as the Compliance Case File Tracking System and the Strategic Data Analysis (Data Warehousing and Data Mining) systems.

A. Compliance Case File Systems are used to protect the integrity of the crop insurance program. This is achieved through a system of review, analysis and evaluation as to whether laws, policies and procedures are followed and administered correctly, and, the detection and prevention of crop insurance program abuse. These systems which include MAGNUM and CARS are used as a document repository and tracking mechanism for compliance investigator case files and materials from the court.

The system contains Personal Identifiable Information (PII).

1 Inputs

~~The system inputs include personal and policy information on individual producers, the crops insured, coverage levels, price elections, production and yield history, acreage information, farming practices, planting dates, premium and liability data, a legal description and identification of insured's land, and any associated loss data, and information on the Approved Insurance Providers (AIPs) and their authorized Agent or Loss Adjuster.~~

~~Disposition - TEMPORARY - Delete when data have been entered into the~~

GRS 20 Item 2(c)

Item No.	Description of Item and Proposed Disposition	GRS or Superseded Job Citation	Action Taken (NARA Use Only)
2	<p>master file or database and verified, or when no longer needed to support reconstruction of, or serve as a backup to the master file or database, whichever is later</p> <p>Master File</p> <p>The master file consists of (1) Compliance review files containing evidence gathered in the course of a compliance review, (2) the results of any research and analyses indicating anomalies or the existence of fraud, waste or abuse, (3) information on policy holders identified through other means where there are indications of potential fraud, waste and abuse, and (4) reports and inter/intra Agency recommendations from the OIG, the RMA, or other USDA agencies, private insurance companies and any other sources regarding individuals or entities who may have failed to comply with the Federal Crop Insurance Act, any regulations promulgated there under, the terms of the policy, or any procedure or directive established by the FICI</p> <p>Disposition: TEMPORARY Case file data will be maintained in the system until the case is closed. Closed case files will be electronically transferred to the RMA Electronic Records Management System, where they are retained according to a previously approved schedule for Compliance Case Files (N1-258-96-1). Related master file records will be deleted after verification and validation of the transfer. Other data will be retained in the system for a minimum of 25 years. Delete when no longer needed for administrative, legal, audit or other operational purposes.</p>	NEW	
3	<p>Reports are generated by pulling data from accessible tables.</p> <p>Outputs</p> <p>Disposition: TEMPORARY Destroy or delete when the agency determines that the reports or related outputs are no longer needed for administrative, legal audit, or other operational purposes.</p>	GRS 20 Item 4	
4	<p>Data systems specification, file specifications, codebooks, record layouts, user guides, output specifications, and final reports relating to the master file, database or other electronic records.</p> <p>Systems Documentation</p> <p>Disposition: TEMPORARY Destroy or delete when superseded or obsolete.</p>	GRS 20 Item 11.a.1	

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	<p>System outputs consist of reports for program investigators on producers whose behavior patterns are anomalous. The system also produces reports for program managers that include programmatic information such as how a procedural change in federal crop insurance program's policy manual would affect the overall effectiveness of the program—and other information on data and program performance. Any reports or other records generated will be maintained under the appropriate record schedule.</p>		
	<p>Disposition: TEMPORARY Destroy or delete when the agency determines that the reports or related outputs are no longer needed for administrative, legal audit, or other operational purposes.</p>	GRS Item 4	
4	<p>Systems Documentation</p> <p>Data systems specification, file specifications, codebooks, record layouts, user guides, output specifications, and final reports relating to the master file, database or other electronic records.</p>		
	<p>Disposition: TEMPORARY Destroy or delete when superseded or obsolete.</p>	GRS 20 Item 11.a.1	

Item No.	Description of Item and Proposed Disposition	GRS or Superseded Job Citation	Action Taken (NARA Use Only)
	<p><u>B. Strategic Data Analysis (Data Warehousing and Data Mining)</u> <u>Systems</u> provides a data dashboard and reports to compliance investigators, OIG officials, and RMA management officials to track fraud, waste and abuse. The system is also used to identify possible areas for improvement in agency programs and to provide statistical information for standard reinsurance agreement negotiations.</p>		
	<p>The system contains Personal Identifiable Information (PII).</p>		
1	<p>Inputs</p> <p>Insurance companies participating in the program provide crop insurance information to the RMA on program participants including producers, insurance agents, and loss adjusters. The crop insurance data contains personal identifiers that can be linked to program participants.</p> <p>The system uses digital maps from the Public Land Survey System registered by the Bureau of Land Management that depict public survey information, such as township locations referred to in legal land descriptions. Analysts use this information to determine whether there is a discrepancy between a producer's claim and land records.</p> <p>Public weather records from the National Oceanic and Atmospheric Administration to assist validating specific causes of loss for further investigation.</p> <p>Soil data from the USDA Natural Resources Conservation Service to determine whether soil on a producers land is acceptable for growing an insured crop.</p> <p>Disposition: TEMPORARY Delete when data have been entered into the master file or database and verified, or when no longer needed to support reconstruction of, or serve as a backup to, the master file or database, whichever is later.</p>	GRS 20 Item 2(c)	
2	<p>Master File</p> <p>Data warehousing and data mining directly supports the RMA's Strategic Plan Objective which is to improve program integrity and to comply with the Agricultural Risk Protection ACT (ARPA) of 200. The ARPA requires the FCIC/RMA to use data warehousing and data mining technologies to identify producers, agents and adjusters that exhibit anomalous behavior and policy outcomes and to assist FCIC/RMA in improving the integrity of the crop insurance program.</p> <p>Disposition: TEMPORARY Data will be retained in the system for a minimum of 25 years. Delete when no longer needed for administrative, legal, audit, or other operational purposes.</p>	NEW	
3	<p>Outputs</p>		