

Request for Records Disposition Authority

Records Schedule Number **DAA-0572-2017-0004**

Schedule Status **Approved**

Agency or Establishment **Rural Development**

Record Group / Scheduling Group **Records of USDA Rural Development Programs**

Records Schedule applies to **Major Subdivision**

Major Subdivision **Rural Housing**

Minor Subdivision **Community Facilities Programs**

Schedule Subject **The Community Facilities Direct Loan program finances essential community facilities in rural areas with populations of 20,000 people or less. Eligible applicants are public bodies, non-profit organizations, and federally recognized Indian tribes.**

Internal agency concurrences will be provided **No**

Background Information **Loan and Borrower Programs**

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
9	0	9	0

GAO Approval

Outline of Records Schedule Items for DAA-0572-2017-0004

Sequence Number	
1	General Files Disposition Authority Number: DAA-0572-2017-0004-0001
2	Field Activity Reports Disposition Authority Number: DAA-0572-2017-0004-0002
3	Routine Studies and projects Disposition Authority Number: DAA-0572-2017-0004-0003
4	Loan applications - Rejected, withdrawn, canceled, or expired Disposition Authority Number: DAA-0572-2017-0004-0004
5	Loss to the Government Disposition Authority Number: DAA-0572-2017-0004-0005
6	1944-B Loan Docket File Disposition Authority Number: DAA-0572-2017-0004-0006
7	1944-B Official Borrower Case File Disposition Authority Number: DAA-0572-2017-0004-0007
8	Fire and Rescue Loans - The Community Facilities Direct Loan Program provides loans for fire and rescue and small loan projects in rural areas with populations of 20,000 or less. Eligible applicants are public bodies, non-profit organizations, and federally recognized Indian tribes. 1. Loan Docket File Disposition Authority Number: DAA-0572-2017-0004-0008
9	Fire and Rescue Loans - Fire and Rescue Loans - The Community Facilities Direct Loan Program provides loans for fire and rescue and small loan projects in rural areas with populations of 20,000 or less. Eligible applicants are public bodies, non-profit organizations, and federally recognized Indian tribes. 2. Official Borrower Case File. Disposition Authority Number: DAA-0572-2017-0004-0009

Records Schedule Items

Sequence Number	
1	<p>General Files</p> <p>Disposition Authority Number DAA-0572-2017-0004-0001</p> <p>Correspondence files maintained by the Rural Development (RD) Community Facilities Program, not covered elsewhere in this schedule</p> <p>Final Disposition Temporary</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? No</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cutoff files at the end of each Fiscal Year</p> <p>Transfer to Inactive Storage Transfer paper records to the FRC 1 year after cutoff</p> <p>Retention Period Destroy 7 year(s) after Cutoff</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>
2	<p>Field Activity Reports</p> <p>Disposition Authority Number DAA-0572-2017-0004-0002</p> <p>Material relating to visits/reviews/meetings/evaluations of field offices, applicants/borrowers/partners/special interest groups, etc. Filed by state and or Employee name</p> <p>Final Disposition Temporary</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? No</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cut of files at the end of the Fiscal Year</p>

3	Transfer to Inactive Storage	Transfer paper records to the FRC one year after Cutoff
	Retention Period	Destroy 7 year(s) after Cutoff
	Additional Information	
	GAO Approval	Not Required
	Routine Studies and projects	
	Disposition Authority Number	DAA-0572-2017-0004-0003
	Documents and correspondence relating to routine projects and studies both internal and external for the CF Program	
	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	
Disposition Instruction		
Cutoff Instruction	Cut off files when project or study has been completed and closed	
Transfer to Inactive Storage	Transfer paper records to the FRC 3 years after Cutoff	
Retention Period	Destroy 7 year(s) after Cutoff or until no longer needed for business purposes	
Additional Information		
GAO Approval	Not Required	
4	Loan applications - Rejected, withdrawn, canceled, or expired	
	Disposition Authority Number	DAA-0572-2017-0004-0004
	Loan applications that have been rejected, withdrawn, canceled, or expired	
	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

5	Disposition Instruction	
	Cutoff Instruction	Cut of files when final determination has been made
	Transfer to Inactive Storage	Transfer paper records to the FRC 1 year after case is closed
	Retention Period	Destroy 7 year(s) after case closes.
	Additional Information	
	GAO Approval	Not Required
	Loss to the Government	
	Disposition Authority Number	DAA-0572-2017-0004-0005
	Borrower Case file in which a financial loss to the Government occurred.	
	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	
6	Disposition Instruction	
	Cutoff Instruction	Cutoff files when the Case file has been closed.
	Transfer to Inactive Storage	Transfer paper records to the FRC 1 year after Cutoff
	Retention Period	Destroy 7 year(s) after Cutoff
	Additional Information	
	GAO Approval	Not Required
	1944-B Loan Docket File	
	Disposition Authority Number	DAA-0572-2017-0004-0006
	Original basic documents of all loans for a borrower, clearinghouse comments; environmental assessments; letter of conditions; letter of intent to meet conditions; any agreement for services such as engineering, architectural, legal, accounting, auditing, maintenance, management, plant operations; construction contract and bidding documents; evidence of compliance with any required State and local laws or regulations; all legal documents; evidence of the organization; balance sheet; operating budget; all other required forms needed for a completed loan docket.	
	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**

Disposition Instruction

Cutoff Instruction **Cut off files when paid in full or rescinded**

Transfer to Inactive Storage **Transfer paper records to the FRC 2 years after Cutoff**

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

Additional Information

GAO Approval **Not Required**

1944-B Official Borrower Case File

Disposition Authority Number **DAA-0572-2017-0004-0007**

All records of transactions and correspondence with an individual borrower regardless of their form or organizational location within the agency. Return all originals to borrower and apply retention to copies as listed below.

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**

Disposition Instruction

Cutoff Instruction **Cutoff files when paid in full or rescinded**

Transfer to Inactive Storage **Transfer paper case file COPIES to the FRC 1 year after Cutoff**

Retention Period **Destroy 7 year(s) after Cutoff**

Additional Information

GAO Approval **Not Required**

Fire and Rescue Loans - The Community Facilities Direct Loan Program provides loans for fire and rescue and small loan projects in rural areas with populations of 20,000 or less. Eligible applicants are public bodies, non-profit organizations, and federally recognized Indian tribes. 1. Loan Docket File

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Disposition Authority Number DAA-0572-2017-0004-0008

Loan Docket File: Original basic documents of all loans for a borrower, clearinghouse comments; environmental assessments; letter of conditions; letter of intent to meet conditions; any agreement for services such as engineering, architectural, legal, accounting, auditing, maintenance, management, plant operations; construction contract and bidding documents; evidence of compliance with any required State and local laws or regulations; all legal documents; evidence of the organization; balance sheet; operating budget; all other required forms needed for a completed loan docket.

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

Disposition Instruction

Cutoff Instruction Cutoff files when paid in full or rescinded

Transfer to Inactive Storage Transfer paper records to the FRC 2 years after Cutoff

Retention Period Destroy 10 year(s) after Cutoff

Additional Information

GAO Approval Not Required

Fire and Rescue Loans - Fire and Rescue Loans - The Community Facilities Direct Loan Program provides loans for fire and rescue and small loan projects in rural areas with populations of 20,000 or less. Eligible applicants are public bodies, non-profit organizations, and federally recognized Indian tribes. 2. Official Borrower Case File.

Disposition Authority Number DAA-0572-2017-0004-0009

Official Borrower Case Files. All records of transactions and correspondence with an individual borrower regardless of their form or organizational location within the agency. Return all originals to borrower and apply retention to copies as listed below.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in

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electronic format(s) other than e-mail and word processing?

Disposition Instruction

Cutoff Instruction

Cut off files when paid in full or rescinded

Transfer to Inactive Storage

Transfer all paper COPIES to the FRC 2 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
06/14/2017	Certify	Andrea Jenkins	Records Officer	Rural Development - Rural Housing, Rural Business, Rural Utilities
08/25/2017	Return for Revision	John Hulmston	Senior Records Analyst	National Archives and Records Administration - ACRA
09/26/2017	Submit For Certification	Andrea Jenkins	Records Officer	Rural Development - Rural Housing, Rural Business, Rural Utilities
09/26/2017	Certify	Andrea Jenkins	Records Officer	Rural Development - Rural Housing, Rural Business, Rural Utilities
09/28/2017	Return for Revision	John Hulmston	Senior Records Analyst	National Archives and Records Administration - ACRA
09/29/2017	Submit For Certification	Andrea Jenkins	Records Officer	Rural Development - Rural Housing, Rural Business, Rural Utilities
09/29/2017	Certify	Andrea Jenkins	Records Officer	Rural Development - Rural Housing, Rural Business, Rural Utilities
10/13/2017	Return for Revision	John Hulmston	Senior Records Analyst	National Archives and Records Administration - ACRA
10/18/2017	Return for Revision	John Hulmston	Senior Records Analyst	National Archives and Records Administration - ACRA
11/15/2017	Submit For Certification	Andrea Jenkins	Records Officer	Rural Development - Rural Housing, Rural Business, Rural Utilities
11/15/2017	Certify	Andrea Jenkins	Records Officer	Rural Development - Rural Housing, Rural Business, Rural Utilities

04/03/2018	Submit for Concurrency	John Hulmston	Senior Records Analyst	National Archives and Records Administration - ACRA
04/12/2018	Concur	Kate Flaherty	Appraiser	National Archives and Records Administration - ACRA
04/17/2018	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
04/18/2018	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist