

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Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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4	Loan applications - Rejected, withdrawn, canceled, or expired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

General Files

Disposition Authority Number DAA-0572-2017-0004-0001

Correspondence files maintained by the Rural Development (RD) Community Facilities Program, not covered elsewhere in this schedule

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 at the end of each Fiscal Year

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

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Field Activity Reports

Disposition Authority Number DAA-0572-2017-0004-0002

Material relating to visits/reviews/meetings/evaluations of field offices, applicants/borrowers/partners/special interest groups, etc. Filed by state and or Employee name

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 of files at the end of the Fiscal Year

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

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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

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

6

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

7. **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

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

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

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

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 No



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