

## Request for Records Disposition Authority

Records Schedule Number: **DAA-0572-2017-0005**  
 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 Utilities**  
 Minor Subdivision: **Water and Environmental Programs**  
 Schedule Subject: **WEP provides loans, grants and loan guarantees for drinking water, sanitary sewer, solid waste and storm drainage facilities in rural areas and cities and towns of 10,000 or less. Public bodies, non-profit organizations and recognized Indian tribes may qualify for assistance.**

**WEP also makes grants to non-profit organizations to provide technical assistance and training to help rural communities with their water, wastewater and solid waste problems.**

Internal agency concurrences will be provided: **No**

Background Information

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
<b>13</b>	<b>0</b>	<b>13</b>	<b>0</b>

GAO Approval

## Outline of Records Schedule Items for DAA-0572-2017-0005

Sequence Number	
1	170029.1 National Office – General Files (by State) Disposition Authority Number: DAA-0572-2017-0005-0001
2	170029.2 National Office – State Files Disposition Authority Number: DAA-0572-2017-0005-0002
3	1700.29.3 Field Office – Active Files 1. General Correspondence Disposition Authority Number: DAA-0572-2017-0005-0003
4	1700.29.3 Field Office – Active Files 2. Contracts Disposition Authority Number: DAA-0572-2017-0005-0004
5	1700.29.3 Field Office – Active Files 3. Loan Legal Documents Disposition Authority Number: DAA-0572-2017-0005-0005
6	1774 Field Office – Section 306C Water and Waste Disposal (WWD) Loans 1. Gen eral Correspondence Disposition Authority Number: DAA-0572-2017-0005-0006
7	1774 Field Office – Section 306C Water and Waste Disposal (WWD) Loans. Disposition Authority Number: DAA-0572-2017-0005-0007
8	1774 Field Office – Section 306C Water and Waste Disposal (WWD) Loans and Lo an Legal Documents Disposition Authority Number: DAA-0572-2017-0005-0008
9	1775 National Office – National Rural Water Circuit Rider Contract Disposition Authority Number: DAA-0572-2017-0005-0009
10	1775 National Office – Rural Community Assistance Program Disposition Authority Number: DAA-0572-2017-0005-0010
11	1779 Field Office – Water and Waste Program Guaranteed Loans 1. General Corre spondence Disposition Authority Number: DAA-0572-2017-0005-0011
12	1779 Field Office – Water and Waste Program Guaranteed Loans 2. Contracts Disposition Authority Number: DAA-0572-2017-0005-0012
13	1779 Field Office – Water and Waste Program Guaranteed Loans 3. Loan Legal D ocuments Disposition Authority Number: DAA-0572-2017-0005-0013

## Records Schedule Items

Sequence Number	
1	<p><b>170029.1 National Office – General Files (by State)</b></p> <p>Disposition Authority Number      <b>DAA-0572-2017-0005-0001</b></p> <p>Copies of correspondence addressed to the state office staff regarding Water Programs such as servicing actions (un-liquidated obligations, re-amortization, responses to OMB Circular A-133, requests for legal determination, etc.) and processing actions (thank you letters to congressmen regarding the Technical Assistance and Training (TAT) grant program, inquiries from the public requesting information about the various water programs etc.,)</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>Yes</b></p> <p><b>Disposition Instruction</b></p> <p>Cutoff Instruction                        <b>Cutoff at the end of the 3rd FY</b></p> <p>Transfer to Inactive Storage            <b>Transfer to the FRC after Cutoff</b></p> <p>Retention Period                         <b>Destroy 7 year(s) after Cutoff</b></p> <p><b>Additional Information</b></p> <p>GAO Approval                              <b>Not Required</b></p>
2	<p><b>170029.2 National Office – State Files</b></p> <p>Disposition Authority Number      <b>DAA-0572-2017-0005-0002</b></p> <p>Correspondence relating to material sent to and received from Federal Agencies, Members of Congress, Water and Wastewater policy, training conferences, agency program reviews, and other agencies within USDA.</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>

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? **Yes**

**Disposition Instruction**

Cutoff Instruction **Cutoff at the end of the FY**

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

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

**Additional Information**

GAO Approval **Not Required**

**1700.29.3 Field Office – Active Files 1. General Correspondence**

Disposition Authority Number **DAA-0572-2017-0005-0003**

**State files for each Water and Wastewater borrower for loan and grant processing and servicing. Borrower files are maintained in the Area Office until the loan has been paid in full and/or grant funds have been completely disbursed.**

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? **Yes**

**Disposition Instruction**

Cutoff Instruction **Cutoff when loan is paid in full OR the grant is completely disbursed**

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

**Additional Information**

GAO Approval **Not Required**

**1700.29.3 Field Office – Active Files 2. Contracts**

Disposition Authority Number **DAA-0572-2017-0005-0004**

3

4

State files for each Water and Wastewater borrower for loan and grant processing and servicing. Borrower files are maintained in the Area Office until the loan has been paid in full and/or grant funds have been completely disbursed

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? Yes

**Disposition Instruction**

Cutoff Instruction Cutoff when the loan is paid in full OR the grant is completely disbursed

Transfer to Inactive Storage Transfer to the FRC 1 year after the loan is paid in full OR the grant is completely disbursed

Retention Period Destroy 10 year(s) after Cutoff

**Additional Information**

GAO Approval Not Required

1700.29.3 Field Office – Active Files 3. Loan Legal Documents

Disposition Authority Number DAA-0572-2017-0005-0005

State files for each Water and Wastewater borrower for loan and grant processing and servicing. Borrower files are maintained in the Area Office until the loan has been paid in full and/or grant funds have been completely disbursed.

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? Yes

**Disposition Instruction**

5

6

Cutoff Instruction                      Cut off when the loan is paid in full  
Retention Period                        Return to the Borrower after the loan is paid in full

**Additional Information**

GAO Approval                            Not Required

**1774 Field Office – Section 306C Water and Waste Disposal (WWD) Loans 1.  
General Correspondence**

Disposition Authority Number        DAA-0572-2017-0005-0006

The objective of this program is to provide water and waste disposal facilities and services to low income Rural communities whose residents face significant health risks

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?                            Yes

**Disposition Instruction**

Cutoff Instruction                        Cutoff when the loan is paid in full.

Retention Period                         Destroy 7 year(s) after Cutoff

**Additional Information**

GAO Approval                            Not Required

**1774 Field Office – Section 306C Water and Waste Disposal (WWD) Loans.**

Disposition Authority Number        DAA-0572-2017-0005-0007

The objective of this program is to provide water and waste disposal facilities and services to low income Rural communities whose residents face significant health risks.

Final Disposition                        Temporary

Item Status                                Active

Is this item media neutral?            Yes

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

7

8

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

Do any of the records covered by this item exist as structured electronic data? **Yes**

**Disposition Instruction**

Cutoff Instruction **Cutoff when the loan is paid in full**

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

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

**Additional Information**

GAO Approval **Not Required**

**1774 Field Office – Section 306C Water and Waste Disposal (WWD) Loans and Loan Legal Documents**

Disposition Authority Number **DAA-0572-2017-0005-0008**

The objective of this program is to provide water and waste disposal facilities and services to low income Rural communities whose residents face significant health risks.

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? **Yes**

**Disposition Instruction**

Cutoff Instruction **Cutoff when the loan is paid in full**

Retention Period **Return to the Borrower after the loan is paid in full**

**Additional Information**

GAO Approval **Not Required**

9

**1775 National Office – National Rural Water Circuit Rider Contract**

Disposition Authority Number **DAA-0572-2017-0005-0009**

Rural Water (RW) Circuit Rider provides on-site technical assistance to help assure cost-effective operation of rural water systems. RW Circuit Rider assistance

is provided at no charge and may be requested by officials of rural water systems or by Rural Development Personnel.

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? Yes

**Disposition Instruction**

Cutoff Instruction Cutoff at the end of the FY

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

Retention Period Destroy 7 year(s) after Cutoff

**Additional Information**

GAO Approval Not Required

1775 National Office – Rural Community Assistance Program

Disposition Authority Number DAA-0572-2017-0005-0010

The mission of the Rural Community Assistance Program (RCAP) is to help rural people improve the quality of life in their communities. RCAP and its regional partners help to connect communities, as well as Native American and Tribal Communities, with the resources they need to obtain the quality of life they want and to meet the requirements of Federal Laws and regulations. RCAP offers information on what resources are available and how other communities have solved similar problems. RCAP provides hands-on technical assistance to rural communities as they work to meet their needs

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? Yes

10



11

**Disposition Instruction**

Cutoff Instruction                      **Cutoff at the end of the FY**  
Transfer to Inactive Storage            **Transfer to the FRC 1 year after Cutoff**  
Retention Period                        **Destroy 7 year(s) after Cutoff**

**Additional Information**

GAO Approval                            **Not Required**

**1779 Field Office – Water and Waste Program Guaranteed Loans 1. General Correspondence**

Disposition Authority Number        **DAA-0572-2017-0005-0011**

The purpose of the WWP guaranteed loan program is to provide a loan guarantee for the construction or improvement of water and waste projects serving the financially needy communities in rural areas

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?                            **Yes**

**Disposition Instruction**

Cutoff Instruction                        **Cutoff when paid in full**  
Retention Period                        **Destroy 7 year(s) after year after Cutoff**

**Additional Information**

GAO Approval                            **Not Required**

12

**1779 Field Office – Water and Waste Program Guaranteed Loans 2. Contracts**

Disposition Authority Number        **DAA-0572-2017-0005-0012**

The purpose of the WWP guaranteed loan program is to provide a loan guarantee for the construction or improvement of water and waste projects serving the financially needy communities in rural areas.

Final Disposition                        **Temporary**

Item Status                                **Active**

13

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? **Yes**

**Disposition Instruction**

Cutoff Instruction **Cutoff when paid in full**

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

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

**Additional Information**

GAO Approval **Not Required**

**1779 Field Office – Water and Waste Program Guaranteed Loans 3. Loan Legal Documents**

Disposition Authority Number **DAA-0572-2017-0005-0013**

**The purpose of the WWP guaranteed loan program is to provide a loan guarantee for the construction or improvement of water and waste projects serving the financially needy communities in rural areas.**

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? **Yes**

**Disposition Instruction**

Cutoff Instruction **Cutoff when paid in full**

Retention Period **Return to Borrower when paid in full**

**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
09/29/2017	Submit For Certification	Andrea Jenkins	Records Officer	Rural Development - Rural Housing, Rural Business, Rural Utilities
11/13/2017	Certify	Andrea Jenkins	Records Officer	Rural Development - Rural Housing, Rural Business, Rural Utilities
01/03/2018	Submit for Concurrence	John Hulmston	Senior Records Analyst	National Archives and Records Administration - ACRA
01/05/2018	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
01/05/2018	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
01/11/2018	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist