

Request for Records Disposition Authority

Records Schedule Number DAA-0572-2017-0006

Schedule Status Returned Without Action

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 Electric Program

Schedule Subject
 The Electric Program provides capital and leadership to maintain, expand, upgrade and modernize America's vast rural electric infrastructure. The loans and loan guarantees finance the construction or improvement of electric distribution, transmission and generation facilities in rural areas. The Electric Program also provides funding to support demand-side management, energy efficiency and conservation programs, and on-and off-grid renewable energy systems.

Loans are made to cooperatives, corporations, states, territories, subdivisions, municipalities, utility districts and non-profit organizations.

Internal agency concurrences will be provided No

Background Information
 Providing reliable, affordable electricity is essential to sustaining the economic well-being and quality of life for all of the nation's rural residents. The Electric Program provides leadership and capital to maintain, expand, upgrade, and modernize America's vast rural electric infrastructure. Under the authority of the Rural Electrification Act of 1936, the Electric Program makes direct loans and loan guarantees (FFB), as well as grants and other energy project financing to electric utilities (wholesale and retail providers of electricity) that serve customers in rural areas.

The loans and loan guarantees finance the construction of electric distribution, transmission, and generation facilities, including system improvements and replacement required to furnish and improve electric service in rural areas, as well as demand side management, energy efficiency and conservation programs, and on-grid and off-grid renewable energy systems. Loans are made to cooperatives as well as to corporations, states, territories and subdivisions and agencies

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such as municipalities, people's utility districts, and nonprofit, limited-dividend, or mutual associations that provide retail electric service needs to rural areas or supply the power needs of distribution borrowers in rural areas.

RUS also provides a loan program under section 313A of the Rural Electrification Act of 1936, as amended (7 U.S.C. § 940c-1) entitled Guarantees for Bonds and Notes Issued for Electrification or Telephone Purposes. The proceeds of the guaranteed bonds will be used by the guaranteed lender to make loans to borrowers for electrification or telephone purposes eligible for assistance under this chapter, or to refinance bonds or notes previously issued by the guaranteed lender. For additional details, see the Code of Federal Regulations 7 CFR 1720 .

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
0	0	0	15

GAO Approval

Outline of Records Schedule Items for DAA-0572-2017-0006

Sequence Number	
1	1700 Routine Studies or Projects Disposition Authority Number: DAA-0572-2017-0006-0001
2	1700 General Files - Borrower Disposition Authority Number: DAA-0572-2017-0006-0002
3	1710.50 Insured Loans: Municipal and Hardship rate loans 1. Loan Docket Area File Disposition Authority Number: DAA-0572-2017-0006-0003
4	1710.50 Insured Loans: Municipal and Hardship rate loans 2. Loan Docket Official File Disposition Authority Number: DAA-0572-2017-0006-0004
5	1710.51 Direct Loans: Treasury rate loan 1. Loan Docket Area File Disposition Authority Number: DAA-0572-2017-0006-0005
6	1710.51 Direct Loans: Treasury rate loan 2. Loan Docket Official File Disposition Authority Number: DAA-0572-2017-0006-0006
7	1710.52 Loan Guarantee 1. Loan Docket Area File Disposition Authority Number: DAA-0572-2017-0006-0007
8	1710.52 Loan Guarantees 2. Loan Docket Official File Disposition Authority Number: DAA-0572-2017-0006-0008
9	1724 - Engineering Files Disposition Authority Number: DAA-0572-2017-0006-0009
10	1714 - Pre-Loan Policies and Procedures for Insured Electric Loans 1. Loan Budget Disposition Authority Number: DAA-0572-2017-0006-0010
11	1714 - Pre-Loan Policies and Procedures for Insured Electric Loans 2. Requisitions Disposition Authority Number: DAA-0572-2017-0006-0011
12	1714 - Pre-Loan Policies and Procedures for Insured Electric Loans 3. Inventory of Work Orders & Special Equipment Summaries Disposition Authority Number: DAA-0572-2017-0006-0012
13	1710- General and Pre-Loan Policies and Procedures Common to Electric Loans and Guarantees 1. Wholesale Rate Files Disposition Authority Number: DAA-0572-2017-0006-0013
14	1710- General and Pre-Loan Policies and Procedures Common to Electric Loans and Guarantees 2. Irregularities Files Disposition Authority Number: DAA-0572-2017-0006-0014
15	1710- General and Pre-Loan Policies and Procedures Common to Electric Loans and Guarantees 3. Audit Files

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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: DAA-0572-2017-0006

Disposition Authority Number: DAA-0572-2017-0006-0015

Records Schedule Items

Sequence Number	
1	<p data-bbox="324 372 1531 414">1700 Routine Studies or Projects</p> <p data-bbox="324 425 1531 468">Disposition Authority Number DAA-0572-2017-0006-0001</p> <p data-bbox="324 478 1531 563">Documents and correspondence relating to routine projects and studies both internal and external to the Electric Program.</p> <p data-bbox="324 574 1531 617">Final Disposition Temporary</p> <p data-bbox="324 627 1531 670">Item Status Withdrawn</p> <p data-bbox="324 680 1531 723">Is this item media neutral? Yes</p> <p data-bbox="324 734 1531 883">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 data-bbox="324 893 1531 989">Do any of the records covered by this item exist as structured electronic data? Yes</p> <p data-bbox="324 1021 1531 1064">Disposition Instruction</p> <p data-bbox="324 1074 1531 1159">Cutoff Instruction Cutoff files after the completion of the routine study or project</p> <p data-bbox="324 1170 1531 1212">Transfer to Inactive Storage Transfer paper records to the FRC 5 CY's after Cutoff</p> <p data-bbox="324 1223 1531 1266">Retention Period Destroy 10 year(s) after Cutoff</p> <p data-bbox="324 1298 1531 1340">Additional Information</p> <p data-bbox="324 1351 1531 1415">GAO Approval Not Required</p>
2	<p data-bbox="324 1425 1531 1468">1700 General Files - Borrower</p> <p data-bbox="324 1478 1531 1521">Disposition Authority Number DAA-0572-2017-0006-0002</p> <p data-bbox="324 1532 1531 1734">Correspondence and printed material sent to and received from RUS borrowers, agencies of the Department, Federal Agencies, Member of Congress, state and local governments, industries and association; including copies of reports, sales of property, partial releases of lien, general funds approval requests, discussions of proposed projects, meeting minutes, etc.</p> <p data-bbox="324 1744 1531 1787">Final Disposition Temporary</p> <p data-bbox="324 1798 1531 1840">Item Status Withdrawn</p> <p data-bbox="324 1851 1531 1893">Is this item media neutral? Yes</p> <p data-bbox="324 1904 1531 1972">Do any of the records covered by this item currently exist in</p>

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

Do any of the records covered by this item exist as structured electronic data? No

Disposition Instruction

Cutoff Instruction Cutoff files 2 years after creation.

Transfer to Inactive Storage Transfer paper records to the FRC 5 years after Cutoff

Retention Period Destroy 6 year(s) after Cutoff

Additional Information

GAO Approval Not Required

1710.50 Insured Loans: Municipal and Hardship rate loans 11 Loan Docket Area File

Disposition Authority Number DAA-0572-2017-0006-0003

Includes basic documents of a loan for a borrower, including but not limited to administrative findings, loan recommendation, financial forecast, status of loans, financial statements, and statement of adequacy of borrower's records. Also includes approval and rescission of loan and release of funds pertaining to the specific loan. A folder is retained for each loan application received and approved, etc.

Final Disposition Temporary

Item Status Withdrawn

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

Disposition Instruction

Cutoff Instruction Cutoff files at the end of the CY in which loan funds are advanced in full.

Transfer to Inactive Storage Transfer paper records to the FRC 2 CY's after Cutoff

Retention Period Destroy 7 years after ALL loans are paid in full

Additional Information

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GAO Approval Not Required

1710.50 Insured Loans: Municipal and Hardship rate loans 2. Loan Docket Official File

Disposition Authority Number DAA-0572-2017-0006-0004

Includes copy of official signed/approved loan docket, together with acknowledged loan commitment/approval letter, signed RUS Form 740c, Condition of Records memorandum, Form 10 and Form 10a, if appropriate, and all other appropriate loan approval documentation, etc. Place five fiscal years of loans in each folder.

Final Disposition Temporary

Item Status Withdrawn

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

Disposition Instruction

Cutoff Instruction Cutoff files 5 CY's after loan servicing ends

Transfer to Inactive Storage Transfer paper records to the FRC 5 CY after cutoff

Retention Period Destroy 10 year(s) after Cutoff

Additional Information

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GAO Approval Not Required

1710.51 Direct Loans: Treasury rate loan 1. Loan Docket Area File

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

Includes basic documents of a loan for a borrower, including but not limited to administrative findings, loan recommendation, financial forecast, status of loans, financial statements, and statement of adequacy of borrower's records. Also includes approval and rescission of loan and release of funds pertaining to the specific loan. A folder is retained for each loan application received and approved, etc.

Final Disposition Temporary

Item Status Withdrawn

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?

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

No

Disposition Instruction

Cutoff Instruction

Cutoff files at the end of the CY in which loan funds are advanced in full.

Transfer to Inactive Storage

Transfer paper records to the FRC 2 CY's after Cutoff

Retention Period

Destroy 7 years after ALL loans are paid in full

Additional Information

GAO Approval

Not Required

1710.51 Direct Loans: Treasure rate loan 2. Loan Docket Official File

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

Includes copy of official signed/approved loan docket, together with acknowledged loan commitment/approval letter, signed RUS Form 740c, Condition of Records memorandum, Form 10 and Form 10a, if appropriate, and all other appropriate loan approval documentation, etc. Place five fiscal years of loans in each folder

Final Disposition

Temporary

Item Status

Withdrawn

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

Disposition Instruction

Cutoff Instruction

Cutoff files 5 CY's after loan servicing ends.

Transfer to Inactive Storage

Transfer paper records to the FRC 5 CY's after cutoff

Retention Period

Destroy 10 year(s) after Cutoff

Additional Information

GAO Approval

Not Required

1710.52 Loan Guarantee 1. Loan Docket Area File

Disposition Authority Number DAA-0572-2017-0006-0007

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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

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Includes basic documents of a loan for a borrower, including but not limited to administrative findings, loan recommendation, financial forecast, status of loans, financial statements, and statement of adequacy of borrower's records. Also includes approval and rescission of loan and release of funds pertaining to the specific loan. A folder is retained for each loan application received and approved, etc.

Final Disposition Temporary

Item Status Withdrawn

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

Disposition Instruction

Cutoff Instruction Cutoff files at the end of the CY in which the loan funds are advanced in full.

Transfer to Inactive Storage Transfer paper records to the FRC 2 CY's after Cutoff

Retention Period Destroy 7 years after ALL loans are paid in full

Additional Information

GAO Approval Not Required

1710.52 Loan Guarantees 2. Loan Docket Official File

Disposition Authority Number DAA-0572-2017-0006-0008

Includes copy of official signed/approved loan docket, together with acknowledged loan commitment/approval letter, signed RUS Form 740c, Condition of Records memorandum, Form 10 and Form 10a, if appropriate, and all other appropriate loan approval documentation, etc. Place five fiscal years of loans in each folder.

Final Disposition Temporary

Item Status Withdrawn

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

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Disposition Instruction

Cutoff Instruction Cutoff files 5 CY's after loan servicing ends.
Transfer to Inactive Storage Transfer paper records to the FRC 5 CY's after cutoff
Retention Period Destroy 10 year(s) after cutoff

Additional Information

GAO Approval Not Required

1724 - Engineering Files

Disposition Authority Number DAA-0572-2017-0006-0009

Includes correspondence, forms, reports relating to the design and construction of electric system lines, transmission facilities, generation plants, central office headquarters buildings, area coverage design, construction cost estimate, selection and approval of contractors, engineers and architects; final inspection, cutover and final Inventories, etc. Correspondence relating to all or more than one generating plant of a power-type borrower and to electric distribution projects are filed by borrower.

Final Disposition Temporary

Item Status Withdrawn

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

Disposition Instruction

Cutoff Instruction Cutoff files 2 CY's after creation date
Transfer to Inactive Storage Transfer paper records to the FRC 5 CY's after cutoff
Retention Period Destroy 15 year(s) after Cutoff

Additional Information

GAO Approval Not Required

1714 - Pre-Loan Policies and Procedures for Insured Electric Loans 1. Loan Budget

Disposition Authority Number DAA-0572-2017-0006-0010

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Includes copy of the loan budget, notice of receipt, consolidated loan budget consisting of individual budget purpose sheets, loan and note control, approved budget and encumbrance control for work orders, special equipment summaries, and contracts, temporary normal inventory, copy of material relating to loan conditional agreements and stop orders including clearance, copy of field activity reports relating to review and approval of funds expenditures, and the record copy of correspondence and forms relating to budgetary adjustments and transfer of funds, etc.

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Item Status Withdrawn

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

Disposition Instruction

Cutoff Instruction Cutoff files 5 CY's after the last day of Advance

Transfer to Inactive Storage Transfer paper records to the FRC 3 CY's after Cutoff

Retention Period Destroy 15 year(s) after Cutoff

Additional Information

GAO Approval Not Required

1714 - Pre-Loan Policies and Procedures for Insured Electric Loans 2. Requisitions

Disposition Authority Number DAA-0572-2017-0006-0011

Includes financial requirement and expenditure statements for advance of loan funds, and the record copy of correspondence relating to approval of requisitions authorization for a borrower's employee to sign financial requirements statements, the original copy of RUS Form 266 (or equal) "compliance assurance," and the original signed loan clearance memorandum, etc.

Final Disposition Temporary

Item Status Withdrawn

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

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

No

Disposition Instruction

Cutoff Instruction

Cut off files 5 CY's after the last date of Advance

Transfer to Inactive Storage

Transfer paper records to the FRC 10 years after Cutoff.

Retention Period

Destroy 15 year(s) after Cutoff

Additional Information

GAO Approval

Not Required

1714 - Pre-Loan Policies and Procedures for Insured Electric Loans 3. Inventory of Work Orders & Special Equipment Summaries

Disposition Authority Number DAA-0572-2017-0006-0012

Includes work orders and special equipment summaries and the records copy of related correspondence, etc.

Final Disposition

Temporary

Item Status

Withdrawn

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

Disposition Instruction

Cutoff Instruction

Cutoff files 5 CY's after the last date of advance

Transfer to Inactive Storage

Transfer paper records to the FRC 5 CY's after Cutoff

Retention Period

Destroy 15 year(s) after Cutoff

Additional Information

GAO Approval

Not Required

1710- General and Pre-Loan Policies and Procedures Common to Electric Loans and Guarantees 1. Wholesale Rate Files

Disposition Authority Number DAA-0572-2017-0006-0013

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Correspondence and forms relating to wholesale rates, provisions of power contracts, approval of contracts and cost of electric power for Power Supply Borrowers. Maintain 2 rate approval materials. Replace oldest rate with the new approved rate approval material.

Final Disposition Temporary

Item Status Withdrawn

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

Disposition Instruction

Cutoff Instruction Cutoff files 5 CY's after last date of advance

Retention Period Destroy immediately after Cutoff

Additional Information

GAO Approval Not Required

1710- General and Pre-Loan Policies and Procedures Common to Electric Loans and Guarantees 2. Irregularities Files

Disposition Authority Number DAA-0572-2017-0006-0014

Includes correspondence and inquires regarding borrower or borrower employee misappropriation of funds, professional misconduct or other unethical or unlawful conduct. Make a folder for each irregularity.

Final Disposition Temporary

Item Status Withdrawn

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

Disposition Instruction

Cutoff Instruction Cutoff files 1 CY after closed or referred to Office of General Council. (OIG)

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Retention Period Destroy 7 year(s) after cutoff

Additional Information

GAO Approval Not Required

1710- General and Pre-Loan Policies and Procedures Common to Electric Loans and Guarantees 3. Audit Files

Disposition Authority Number DAA-0572-2017-0006-0015

Includes copies of Audit Reports made by certified public accountants, and loan fund audits made by Agency field accountants together with a copy of the audit review letter, etc.. Make folder for first audit. Keep latest two years of audit on file. Replace oldest audit with the new audit received.

Final Disposition Temporary

Item Status Withdrawn

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

Disposition Instruction

Cutoff Instruction Cutoff files 5 CY's after the Audit is completed

Retention Period Destroy 2 year(s) after Cutoff

Additional Information

GAO Approval Not Required

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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: DAA-0572-2017-0006

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
09/22/2017	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
10/18/2017	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
10/18/2017	Return for Revision	John Hulmston	Senior Records Analyst	National Archives and Records Administration - ACRA
11/13/2017	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
01/24/2018	Return Without Action	John Hulmston	Senior Records Analyst	National Archives and Records Administration - ACRA

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