

Request for Records Disposition Authority

Records Schedule Number DAA-0572-2017-0007

Schedule Status Modified Approved Version

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 Multi-Family Housing Program

Schedule Subject Multi-Family Housing Records

Internal agency concurrences will be provided No

Background Information **We provide affordable multi-family rental housing in rural areas by financing projects geared for low-income, elderly and disabled individuals and families as well as domestic farm laborers. We extend our reach by guaranteeing loans for affordable rental housing designed for low to moderate-income residents in rural areas and towns.**

We preserve our portfolio of some 14,000 properties by aggressively restructuring loans for existing rural rental housing and off-farm labor housing projects to allow for sufficient reserves to meet major repairs and improvements over the lifetime of the property. On a yearly basis we provide grants to sponsoring organizations to repair or rehabilitate housing for needy families. We also subsidize rents for low-income tenants in our projects who cannot afford to pay their full rent.

Item Count

| Number of Total Disposition Items | Number of Permanent Disposition Items | Number of Temporary Disposition Items | Number of Withdrawn Disposition Items |
|-----------------------------------|---------------------------------------|---------------------------------------|---------------------------------------|
| 7 | 0 | 7 | 0 |

GAO Approval

Outline of Records Schedule Items for DAA-0572-2017-0007

| Sequence Number | |
|-----------------|---|
| 1 | General Files Disposition Authority Number: DAA-0572-2017-0007-0001 |
| 2 | Field Activity Reports Disposition Authority Number: DAA-0572-2017-0007-0002 |
| 3 | Routine Studies and Projects Disposition Authority Number: DAA-0572-2017-0007-0003 |
| 4 | Loan Applications - Rejected, withdrawn, canceled, or expired Disposition Authority Number: DAA-0572-2017-0007-0004 |
| 5 | Loss to the Government Disposition Authority Number: DAA-0572-2017-0007-0005 |
| 6 | Loan Docket File Disposition Authority Number: DAA-0572-2017-0007-0006 |
| 7 | Official Borrower's Case File Disposition Authority Number: DAA-0572-2017-0007-0007 |

Records Schedule Items

| Sequence Number | |
|-----------------|---|
| 1 | <p>General Files</p> <p>Disposition Authority Number DAA-0572-2017-0007-0001</p> <p>Correspondence files maintained by the Rural development (RD) Multi-Family Housing Program, not cover 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 the Fiscal Year</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-0572-2017-0007-0002</p> <p>Material relating to visits/reviews/meetings/evaluations of field offices, applicants/borrowers/partnerships/special interest groups, etc. Filed by state and or employee</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 the Fiscal Year</p> <p>Retention Period Destroy 7 year(s) after Cutoff</p> |

| | | |
|--------------|--|---|
| 3 | Additional Information | |
| | GAO Approval | Not Required |
| | Routine Studies and Projects | |
| | Disposition Authority Number | DAA-0572-2017-0007-0003 |
| | Documents and correspondence relating to routine projects and studies both internal and external to the Multi-Family 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 | Cutoff 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 when no longer needed for agency business |
| | Additional Information | |
| GAO Approval | Not Required | |
| 4 | Loan Applications - Rejected, withdrawn, canceled, or expired | |
| | Disposition Authority Number | DAA-0572-2017-0007-0004 |
| | Loan applications that have been rejected, withdrawn, canceled, or have 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 |
| | GRS or Superseded Authority Citation | NC1-96-74-01 / 2033.10/ B/ 4/ III |
| | Disposition Instruction | |

| | | |
|-------------------------------------|---|---|
| 5 | Cutoff Instruction | Cutoff files when final determination has been made |
| | Transfer to Inactive Storage | Transfer paper records to the FRC in groups 1 year after Cutoff |
| | Retention Period | Destroy 7 year(s) after Cutoff |
| | Additional Information | |
| | GAO Approval | Not Required |
| | Loss to the Government | |
| | Disposition Authority Number | DAA-0572-2017-0007-0005 |
| | Borrower (case file) in which has caused a financial loss to the Government | |
| | 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 |
| | GRS or Superseded Authority Citation | NC1-96-74-01 / 2033.10/ B/ 4/ II |
| | Disposition Instruction | |
| Cutoff Instruction | Cutoff files when the borrower case file, resulting in the financial loss, has been closed | |
| Transfer to Inactive Storage | Transfer paper records to the FRC 1 year after Cutoff | |
| Retention Period | Destroy 7 year(s) after the end of the Fiscal Year in which the case file was Cutoff | |
| Additional Information | | |
| GAO Approval | Not Required | |
| 6 | Loan Docket File | |
| | Disposition Authority Number | DAA-0572-2017-0007-0006 |
| | 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 | |

| | | |
|---------------------|---|---|
| 7 | 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 |
| | Official Borrower's Case File | |
| | Disposition Authority Number | DAA-0572-2017-0007-0007 |
| | Official Borrower Case file includes all records of transactions and correspondence with an individual borrower regardless of their form or organizational location within the agency. | |
| | 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 |
| | Retention Period | Return to Borrower original files when loan is repaid or rescinded. Destroy all extra copies 3 years 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 |
| 09/14/2017 | Submit For Certification | Andrea Jenkins | Records Officer | Rural Development - Rural Housing, Rural Business, Rural Utilities |
| 09/14/2017 | 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 |
| 10/18/2017 | Return for Revision | John Hulmston | Senior Records Analyst | National Archives and Records Administration - ACRA |
| 11/16/2017 | Submit For Certification | Andrea Jenkins | Records Officer | Rural Development - Rural Housing, Rural Business, Rural Utilities |

| | | | | |
|------------|------------------------|------------------|---|--|
| 11/16/2017 | Certify | Andrea Jenkins | Records Officer | Rural Development - Rural Housing, Rural Business, Rural Utilities |
| 03/26/2018 | Submit for Concurrency | John Hulmston | Senior Records Analyst | National Archives and Records Administration - ACRA |
| 04/09/2018 | Return to Submitter | Margaret Hawkins | Director of Records Management Services | National Records Management Program - ACNR Records Management Services |
| 04/11/2018 | Submit for Concurrency | John Hulmston | Senior Records Analyst | National Archives and Records Administration - ACRA |
| 04/16/2018 | 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 |