

Request for Records Disposition Authority

Records Schedule Number DAA-0572-2017-0008
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 Business - Cooperative Service
Minor Subdivision Rural Business, Cooperatives, and Community Economic Development
Schedule Subject USDA's Rural Development Business Cooperative Service. Includes Business Program records, Cooperative Programs and Community Economic Development records.

Internal agency concurrences will be provided No

Background Information

Business Programs

Business Programs provide financial backing and technical assistance to stimulate business creation and growth. The programs work through partnerships with public and private community based organizations and financial institutions to provide financial assistance, business development, and technical assistance to rural businesses. These programs help to provide capital, equipment, space, job training, and entrepreneurial skills that can help to start and/or grow a business. Business Programs also support the creation and preservation of quality jobs in rural areas.

Loans, loan guarantees, and grants are available to individuals, businesses, cooperatives, farmers and ranchers, public bodies, non-profit corporations, Native American Tribes, and private companies in rural communities. The financial resources of the Business Programs are often leveraged with those of other public and private credit source lenders to meet business and credit needs in under-served areas. The funding is intended to help improve the quality of life in rural communities by enhancing economic opportunities and ensuring self-sustainability for generations to come.

Rural Development Business Programs
•Business and Industry Loan Guarantees (B&I)

- Intermediary Relending Program (IRP)
- Rural Business Development Grants (RBDG)
- Rural Business Investment Program (RBIP)
- Rural Economic Development Loan and Grant (REDLG)
- Rural Microentrepreneur Assistance Program (RMAP)
- Value Added Producer Grants (VAPG)

Cooperative Programs

Cooperatives are an essential part of the U.S. economy, especially in rural communities and areas. In addition to helping farmers and ranchers market their products and acquire farm supplies, cooperatives help meet many other needs, such as supplying electricity, telecommunications, credit and financial services, housing, food, hardware and building supplies, among other services. Co-ops are usually organized to meet a need that the marketplace is not fulfilling adequately.

USDA Cooperative Programs is the nation's major source for information about cooperatives. Our library of more than 150 co-op publications – many of which are available in hard copy, as well as online – range from basic co-op primers, such as "Co-ops 101," to in-depth reports on technical topics, such as "Tax Law for Cooperatives," to reports that focus on co-op economic theory, such as "The Nature of the Cooperative." To access these publications, please see Publications for Cooperatives.

USDA helps rural residents form new cooperatives and improve the operations of existing ones through the following services:

Education – USDA Cooperative Programs develops educational reports and programs that promote the understanding of cooperative principles and practices. Our publications and other educational products are used for or by:

- Helping people decide if they should form a co-op, and how to do so;
- Agriculture and business classes taught in secondary schools and colleges;
- Cooperative director training and member education;
- Enhancing the skills of co-op managers and other co-op employees;
- Professionals who work with co-ops, such as accountants, lawyers and consultants;
- Extension agents and economic development practitioners;
- Youth groups of all types, such as FFA and 4H.
- Trade associations and co-op councils.

Community Economic Development:

- Spearheads poverty strategies such as StrikeForce for Rural Growth and Opportunity, The Promise Zone initiative, and POWER along with Rural Development programs like Stronger Economies Together, Strategic Economic & Community Development, IMCP and key focus areas like local food, rural business, and bio economies.

- Engages with local leaders and community members, supporting community-based and Tribal efforts to plan regional strategies, set benchmarks, and measure progress.

- Strategically connects people with existing RD programs, other Federal agencies, nonprofit organizations, cooperatives, philanthropic organizations and local institutions in order to develop long-term partnerships.

The Community Economic Development approach helps communities/regions strengthen their readiness and capacity for success. – Our customers submit higher-quality applications for projects, increasing the amount of support Rural Development can provide to areas of greatest need.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
10	0	10	0

GAO Approval

Outline of Records Schedule Items for DAA-0572-2017-0008

Sequence Number	
1	General Files Disposition Authority Number: DAA-0572-2017-0008-0001
2	Field Activity Reports Disposition Authority Number: DAA-0572-2017-0008-0002
3	Routine Studies and Projects Disposition Authority Number: DAA-0572-2017-0008-0003
4	Loan Applications - Rejected, withdrawn, canceled, or expired Disposition Authority Number: DAA-0572-2017-0008-0004
5	Loss to the Government Disposition Authority Number: DAA-0572-2017-0008-0005
6	4274- D Intermediary Relending Program (IRP) Disposition Authority Number: DAA-0572-2017-0008-0006
7	4279 Business and Industry Guaranteed Loans (B&I) Disposition Authority Number: DAA-0572-2017-0008-0007
8	4280-A Rural Economic Development Loan Program Disposition Authority Number: DAA-0572-2017-0008-0008
9	4280-D Rural Micro entrepreneur Assistance Program (RMAP) Disposition Authority Number: DAA-0572-2017-0008-0009
10	4290-A Rural Business Investment Program (RBIP) Disposition Authority Number: DAA-0572-2017-0008-0010

Records Schedule Items

Sequence Number	
1	<p>General Files</p> <p>Disposition Authority Number DAA-0572-2017-0008-0001</p> <p>Correspondence files maintained by Rural Development (RD) Business and Cooperative Programs, 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? Yes</p> <p>Do any of the records covered by this item exist as structured electronic data? Yes</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cutoff files at the end of Each Fiscal Year</p> <p>Retention Period Destroy 3 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-0572-2017-0008-0002</p> <p>Material relating to visits/reviews/meetings/evaluations of field offices, applicants/borrowers/partnerships/special interest groups, etc. Filed by state 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? Yes</p> <p>Do any of the records covered by this item exist as structured electronic data? Yes</p>

3

Disposition Instruction

Cutoff Instruction Cutoff files at the end of Each Fiscal Year
Retention Period Destroy 3 year(s) after Cutoff

Additional Information

GAO Approval Not Required

Routine Studies and Projects

Disposition Authority Number DAA-0572-2017-0008-0003

Documents and correspondence relating to routine projects and studies both internal and external to the Business and Cooperative Programs.

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 files at the end of the fiscal year in which project or study has been completed and closed.
Transfer to Inactive Storage If volume warrants, transfer to the FRC 3 years after Cutoff
Retention Period Destroy 7 year(s) after Cutoff or when no longer needed occurs, whichever is later

Additional Information

GAO Approval Not Required

4

Loan Applications - Rejected, withdrawn, canceled, or expired

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

Loan applications that have been rejected, withdrawn, canceled, or have expired

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

5	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
	GRS or Superseded Authority Citation	NC1-96-74-01 / 2033.10/ B/ 4/ III
	Disposition Instruction	
	Cutoff Instruction	Cutoff files at the end of the fiscal year when final determination has been made
	Transfer to Inactive Storage	Transfer to the FRC after Cutoff, in groups, on an annual basis.
	Retention Period	Destroy 7 year(s) after Cutoff
	Additional Information	
	GAO Approval	Not Required
	Loss to the Government	
	Disposition Authority Number	DAA-0572-2017-0008-0005
	Borrower (case file), 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?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	GRS or Superseded Authority Citation	NC1-96-74-01 / 2033.10/ B/ 4/ II
	Disposition Instruction	
	Cutoff Instruction	Cutoff files at the end of the fiscal year when the borrower case file, resulting in the financial loss, has been closed
Transfer to Inactive Storage	Transfer to the FRC, 1 Fiscal Year after Cutoff, when volume warrants	

6

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

4274- D Intermediary Relending Program (IRP)

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

The purpose of the program is to alleviate poverty and increase economic activity and employment in rural communities, especially disadvantaged and remote communities, through financing targeted primarily towards smaller and emerging businesses, in partnership with other public and private resources, and in accordance with State and regional strategy based on identified community needs. This purpose is achieved through loans made to intermediaries that establish programs for the purpose of providing loans to ultimate recipients for business facilities and community developments in a rural area. The types of entities which may become intermediaries are: (1) Private nonprofit corporations. (2) Public agencies - Any State or local government, or any branch or agency of such government having authority to act on behalf of that government, borrow funds, and engage in activities eligible for funding under this subpart. (3) Indian groups - Indian tribes on a Federal or State reservation or other federally recognized tribal groups. (4) Cooperatives - Incorporated associations, at least 51 percent of whose members are rural residents, whose members have one vote each, and which conduct, for the mutual benefit of their members, such operations as producing, purchasing, marketing, processing, or other activities aimed at improving the income of their members as producers or their purchasing power as consumers.

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 files at the end of the fiscal year when paid in full and no further obligation is due to the government

Retention Period Destroy 3 year(s) after Cutoff

Additional Information

7	GAO Approval	Not Required
	4279 Business and Industry Guaranteed Loans (B&I)	
	Disposition Authority Number	DAA-0572-2017-0008-0007
	The purpose of the B&I Guaranteed Loan Program is to improve, develop, or finance business, industry, and employment and improve the economic and environmental climate in rural communities. This purpose is achieved by bolstering the existing private credit structure through the guarantee of quality loans that will provide lasting community benefits. It is not intended that the guarantee authority will be used for marginal or substandard loans or for relief of lenders having such loans.	
	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 files at the end of the fiscal year when paid in full and no further obligation is due to the government
	Transfer to Inactive Storage	Transfer to the FRC after Cutoff
Retention Period	Destroy 7 year(s) after Cutoff	
Additional Information		
GAO Approval	Not Required	
8	4280-A Rural Economic Development Loan Program	
	Disposition Authority Number	DAA-0572-2017-0008-0008
	The Rural Economic Development Loan program provides funding for rural projects through local utility organizations. USDA provides zero-interest loans to local utilities which they, in turn, pass through to local businesses (ultimate recipients) for projects that will create and retain employment in rural areas. The ultimate recipients repay the lending utility directly. The utility is responsible for repayment to USDA.	
	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 files when paid in full and no further obligation is due to the government
	Transfer to Inactive Storage	Transfer to the FRC after Cutoff
	Retention Period	Destroy 7 year(s) after Cutoff
	Additional Information	
	GAO Approval	Not Required
9	4280-D Rural Micro entrepreneur Assistance Program (RMAP)	
	Disposition Authority Number	DAA-0572-2017-0008-0009
	Provides loans and grants to Microenterprise Development Organizations (MDOs) to: •Provide microloans to help microenterprises startup and growth through a Rural Microloan Revolving Fund •Provide training and technical assistance to microloan borrowers and micro entrepreneurs	
	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 files when paid in full and no further obligation is due to the government
	Transfer to Inactive Storage	Transfer to the FRC when Cutoff
	Retention Period	Destroy 7 year(s) after cutoff
	Additional Information	

10	GAO Approval	Not Required
	4290-A Rural Business Investment Program (RBIP)	
	Disposition Authority Number	DAA-0572-2017-0008-0010
	This program provides a Rural Business Investment Company (RBIC) license to newly formed venture capital organizations to help meet the equity capital investment needs in rural communities.	
	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 files when paid in full and no further obligation is due to the government
	Transfer to Inactive Storage	Transfer to the FRC when Cutoff
	Retention Period	Destroy 7 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
10/03/2017	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
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
05/21/2018	Submit for Concurrence	John Hulmston	Senior Records Analyst	National Archives and Records Administration - ACRA
05/22/2018	Concur	Kate Flaherty	Appraiser	National Archives and Records Administration - ACRA
06/14/2018	Return to Submitter	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
06/14/2018	Return to Submitter	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
06/26/2018	Submit for Concurrence	John Hulmston	Senior Records Analyst	National Archives and Records Administration - ACRA

06/26/2018	Concur	Kate Flaherty	Appraiser	National Archives and Records Administration - ACRA
07/03/2018	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
07/14/2018	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist