

Request for Records Disposition Authority

Records Schedule Number DAA-0572-2019-0001
Schedule Status Approved

Agency or Establishment Rural Development
Record Group / Scheduling Group Records of USDA Rural Development Programs
Records Schedule applies to Agency-wide
Schedule Subject Audits and Investigations

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Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
9	0	9	0

GAO Approval

Outline of Records Schedule Items for DAA-0572-2019-0001

Sequence Number	
1	OIG Audits Disposition Authority Number DAA-0572-2019-0001-0001
2	OIG Audits - State Copies Disposition Authority Number DAA-0572-2019-0001-0002
3	Hotline and Whistleblower Complaints Disposition Authority Number DAA-0572-2019-0001-0003
4	OIG Investigative Case Files - Cases that May Warrant a Special Investigation or Result in Prosecution Disposition Authority Number DAA-0572-2019-0001-0004
5	OIG Investigative Case Files - Other Disposition Authority Number DAA-0572-2019-0001-0005
6	GAO Reports and Formal Informational Requests/Inquiries Disposition Authority Number DAA-0572-2019-0001-0006
7	GAO Reports and Formal Informational Requests/Inquiries - State Office Copies Disposition Authority Number DAA-0572-2019-0001-0007
8	Program Servicing Audits
8.1	External Audits Conducted by Electric and Telecommunications Disposition Authority Number DAA-0572-2019-0001-0008
8.2	External Audits Conducted by Third Parties Disposition Authority Number DAA-0572-2019-0001-0009

Records Schedule Items

Sequence Number	
1	<p>OIG Audits</p> <p>Disposition Authority Number DAA-0572-2019-0001-0001</p> <p>OIG Audits - External audits, evaluations, and other reviews conducted by the Office of Inspector General (OIG) to assist management in identifying, analyzing and resolving program and organizational issues. Audits and reviews may relate to agency programs and operations, including contractors and others that have a relationship with the agency. Final OIG reports, files, and other documents (exclusive of workpapers) are considered non-historical if they do not result in substantive changes to RD policy or produce significant national or regional media attention. This item is specific to records maintained by the Office of the Chief Risk Officer during their involvement in an audit conducted by the OIG at the Department level.</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? No</p> <p>Disposition Instruction</p> <p>Cutoff Instruction End of the Fiscal Year following final action</p> <p>Retention Period Destroy 5 year(s) after cutoff</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>
2	<p>OIG Audits - State Copies</p> <p>Disposition Authority Number DAA-0572-2019-0001-0002</p> <p>State office are not required to maintain OIG audit files or working papers once the final report has been issued. RD's Office of the Chief Risk Officer (OCRO) is the Office of Record and will maintain all files until their final disposition.</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p>

3	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	Date final report is issued
	Retention Period	Destroy immediately after final report is issued
	Additional Information	
	GAO Approval	Not Required
	Hotline and Whistleblower Complaints	
	Disposition Authority Number	DAA-0572-2019-0001-0003
	Complaint files Records contain information or allegations which are of an investigative nature and may or may not relate or lead to an investigation Files include anonymous or vague allegations not warranting an investigation, matters referred to other USDA units or Federal agencies for handling and support information for the initiation of an investigation	
	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?	No	
Disposition Instruction		
Cutoff Instruction	End of the Fiscal Year following final action	
Retention Period	Destroy 5 year(s) after cutoff	
Additional Information		
GAO Approval	Not Required	
OIG Investigative Case Files - Cases that May Warrant a Special Investigation or Result in Prosecution		

Disposition Authority Number DAA-0572-2019-0001-0004

Case files are developed during investigations of known or alleged fraud and abuse, and of irregularities and violations of laws and regulations that warrant an investigation. Cases relate to agency programs and operations administered or financed by the agency, and of agency personnel, contractors, and other persons having a relationship with the agency. Investigative files may consist of memorandums of interview or activity, reports of investigation, and related documents such as correspondence, notes, attachments, and working papers. This category applies to investigative case files containing information or allegations that warrant a specific investigation and may result in prosecution. This item is specific to records maintained by the Office of the Chief Risk Officer during their involvement in an audit conducted by the OIG at the Department level.

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? No

Disposition Instruction

Cutoff Instruction End of the Fiscal Year following closure

Retention Period Destroy 10 year(s) after cutoff

Additional Information

GAO Approval Not Required

OIG Investigative Case Files - Other

Disposition Authority Number DAA-0572-2019-0001-0005

Case files are developed during investigations of known or alleged fraud and abuse and irregularities and violations of laws and regulations that warrant an investigation. Cases relate to agency programs and operations administered or financed by the agency, and of agency personnel, contractors, and other persons having a relationship with the agency. Investigative files may consist of memorandums of interview or activity, reports of investigation, and related documents such as correspondence, notes, attachments, and working papers. This category applies to case files containing information or allegations that may or may not warrant a specific investigation or may result in administrative action. These files include anonymous or vague allegations, matters referred to constituents or other agencies for handling, and support files providing general information. This

item is specific to records maintained by the Office of the Chief Risk Officer during their involvement in an audit conducted by the OIG at the Department level

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? No

Disposition Instruction

Cutoff Instruction End of the Fiscal Year following closure

Retention Period Destroy 5 year(s) after cutoff

Additional Information

GAO Approval Not Required

GAO Reports and Formal Informational Requests/Inquiries

Disposition Authority Number DAA-0572-2019-0001-0006

GAO reports and formal informational requests are generally undertaken at the request of Congress, although some are required by legislative mandate, and some are initiated by GAO itself RD or RD programs may or may not be the primary focus of the report

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? No

Disposition Instruction

Cutoff Instruction End of the Fiscal Year following closure

Retention Period Destroy 5 year(s) after cutoff

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Additional Information

GAO Approval Not Required

GAO Reports and Formal Informational Requests/Inquires - State Office Copies

Disposition Authority Number DAA-0572-2019-0001-0007

State offices are not required to maintain GAO Report files or working papers once the final report has been issued RD's Office of the Chief Risk Officer (OCRO) is the Office of Record and will maintain all audit files until their final disposition

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? No

Disposition Instruction

Cutoff Instruction Date final report is issued

Retention Period Destroy immediately after after final report is issued

Additional Information

GAO Approval Not Required

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**Program Servicing Audits
Borrower Audit Records**

8 1

External Audits Conducted by Electric and Telecommunications

Disposition Authority Number DAA-0572-2019-0001-0008

Audits/Reviews conducted by RD accountants on RD borrowers and/or grantees Deliverables to the Government include correspondence between RD and the accountant, the audit report, borrower reports, potential findings and all supporting documentation These Audits/Reviews would include items such as 1)Loan Fund Accounting Reviews (LFARs), 2)Grant Fund Accounting Reviews (GFARs), 3)Distance Learning and Telemedicine Reviews (DLTRs), 4)Community Connect Reviews (CCRs) and 5)all Broadband Reviews

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?	No
	Disposition Instruction	
	Cutoff Instruction	When the next review is conducted and previous findings have been corrected
	Transfer to Inactive Storage	Transfer to the FRC after cutoff
	Retention Period	Destroy 8 year(s) after cutoff
	Additional Information	
	GAO Approval	Not Required
82	External Audits Conducted by Third Parties	
	Disposition Authority Number	DAA-0572-2019-0001-0009
	Audits conducted by third party Auditors on RD programs as required by RD and/or law Deliverable to the Government include correspondence between RD and the Accountant, the audit report, borrower reports, potential findings and all supporting documentation	
	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?	No
	Disposition Instruction	
	Cutoff Instruction	When the next review is conducted and previous findings have been corrected
	Transfer to Inactive Storage	after cutoff
	Retention Period	Destroy 8 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
05/07/2019	Certify	Andrea Jenkins	Records Officer	Rural Development - Rural Housing, Rural Business, Rural Utilities
07/25/2019	Return for Revision	Jessica Blessman	Appraisal Archivist	National Archives and Records Administration - ACRA
08/22/2019	Submit For Certification	Andrea Jenkins	Records Officer	Rural Development - Rural Housing, Rural Business, Rural Utilities
08/22/2019	Certify	Andrea Jenkins	Records Officer	Rural Development - Rural Housing, Rural Business, Rural Utilities
02/26/2020	Submit for Concurrence	Jessica Blessman	Appraisal Archivist	National Archives and Records Administration - ACRA
03/05/2020	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
03/05/2020	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
03/09/2020	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist