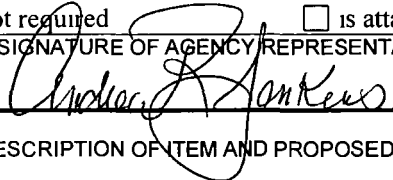


<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		JOB NUMBER <b>NI-572-09-5</b>	
To NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received <b>9/29/09</b>	
1 FROM (Agency or establishment) <b>United States Department of Agriculture Rural Development Operations and Management SSD STOP 0742 1400 Independence Ave , SW Washington, DC 20250-0742</b>		NOTIFICATION TO AGENCY  In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
2 MAJOR SUBDIVISION <b>Rural Housing Service</b>			
3 MINOR SUBDIVISION <b>Commercial System</b>			
4 NAME OF PERSON WITH WHOM TO CONFER <b>Andrea R Jenkins Andrea.Jenkins@wdc.usda.gov</b>	5 TELEPHONE NUMBER <b>202 692-0029</b>	DATE <b>7/3/12</b>	ARCHIVIST OF THE UNITED STATES <b>WITHDRAWN</b>
6 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 on the attached <u>  8  </u> page(s) are not needed now for the business for this agency or will not be needed after the retention periods specified, and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,  <input type="checkbox"/> is not required <input type="checkbox"/> is attached, or <input checked="" type="checkbox"/> has been requested			
DATE <b>09/10/09</b>	SIGNATURE OF AGENCY REPRESENTATIVE 		TITLE <b>Rural Development Records Officer</b>
7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	<b>U S Department of Agriculture Rural Development Record Group 572  Electronic Information System – Commercial (see attached)</b>		

Rural Development Record Group Number 572

**Final:**

**Title:** Commercial

**IT Manager:** Brenda Operle, Chief  
Commercial Loan Technologies Branch  
Enterprise Design and Development Division  
Office of the Deputy Chief Information Officer  
brenda.operle@stl.usda.gov  
(314) 457-5030

**Business Manager:** James Newby, Acting Deputy Administrator  
Rural Utilities Service  
jim.newby@wdc.usda.gov  
(202) 720-9545

**Applicability:** Rural Utilities Programs

**WITHDRAWN**

**Agency File Code:**

Rural Utilities Programs

**General**--7 CFR Parts--1700, 1710, 1770, 1773, 1780, 1786, 1788, 1789, 1790,  
1792, 1794

Rural Utilities **Electric** Programs--7 CFR Parts--1700, 1703, 1709, 1710, 1714, 1717,  
1718, 1720, 1721, 1724, 1726, 1728, 1730, 1767, 1773,  
1785, 1786, 1788, 1789, 1792, 1794

Rural Utilities **Telecommunication** Programs--7 CFR Parts--1600-1744 and 1770

Rural Utilities **Water and Waste** Programs--7 CFR Parts--1775, 1776, 1777, 1778, 1780,  
1781, 1782, 1783, 1792, 1794

**NARA Disposal Authority:**

**Description:**

Commercial system consists of 5 components

- 1 Rural Utilities Loan Servicing System (RULSS)
- 2 Commercial Program Application Processing (CPAP)
- 3 Rural Utilities System Legacy (RUS Legacy)
- 4 Commercial Extensions
- 5 Commercial Support

**WITHDRAWN**

**RURAL UTILITIES LOAN SERVICING SYSTEM (RULSS)**

RULSS is being developed to replace functionality of the old, obsolete, labor-intensive Rural Utilities Service (RUS) legacy system. RULSS tracks and services the borrowers, obligations, loans, grants, and payments for electric, telephone,

distance learning, broadband, water and environmental loans. The system will provide a complete program management and financial information system, utilizing state-of-the-art technologies. It will be a totally integrated system with seamless interfaces to other agency systems.

RULSS is replacing the Cable Television, Federal Finance Bank (FFB), Rural Telephone Bank (RTB), and the RUS loan accounting systems, as well as various other personal computer (PC) applications currently being utilized. These systems maintain accountability and provide authorization for advancing approved Rural Electric and Telephone (RET) funds, RTB funds, and FFB funds to borrowers. Once funds have been advanced, the system bills borrowers, processes payment collections from the borrower, maintains payments, prepayments and delinquent payments, and manages irregular borrower situations, and other various loan servicing actions. Additionally, this system handles deferments for Rural Development projects and Energy Resource Conservation loans directed toward electric borrowers.

The current functional applications that are utilized in RULSS production are listed below:

- **Borrower Directory Management System** Module provides a solid foundation on which to build a web-enabled application that gathers and maintains borrower information and supports RUS and Deputy Chief Financial Officer (DCFO) loan and grant business processes for the electric and telecommunications program.
- **Water and Environmental Programs** Module includes the functionality to pull in application data from the Commercial Program Application Processing (CPAP) and transmits the data needed to generate obligations/deobligations in the Program Loan Accounting System (PLAS) during the nightly update. PLAS is the financial system of record for WEP loans/grants. The obligations/deobligations results, i.e., processed, rejected, from the nightly update are sent back to be used for update into RULSS and CPAP.
- **Loan and Grant Management System** Module implemented web transactions, which included obligations/recessions, advances/disbursements, and cancellations that interface with the Program Funds Control System, notes, and designation notices. The advances/disbursements are processed through an interface to the Automated Clearing House (ACH) process on the National Information Technology Center (NITC) mainframe. Temporary interfaces were implemented to send updates to the legacy system for the notes and advances.
- **Cash Application** Module (CASH) Module includes the functionality to reconcile all Rural Development cash receipts with vouchers. The CASH Module allocates the cash receipts for the RUS electric and telecommunications transactions across the appropriate accounts for reporting to the General Ledger and Cash Tracking on the NITC mainframe. Temporary interfaces were implemented to the legacy systems for the payment/bill matching process.

**WITHDRAWN**

- **RUS Loan Servicing (RLS)** Module creates and maintains receivable accounts, calculates daily interest accrual and late fees, and performs billing, payment and collections services, and some unique loan servicing transactions. Currently only the Distance Learning & Telemedicine/Broadband Loans (DLT/BBL) have been converted to this module as part of the first phase of the account servicing requirements

**COMMERCIAL PROGRAM APPLICATION PROCESSING (CPAP)**

CPAP is a tool used by RUS (Water and Waste) personnel to process Water & Waste loan and grant applications. The data entered in this system includes all data required for completion of forms needed to process the obligation of the loan/grant. Data is entered on the Client CPAP program and is stored on a SQL Server in the Web Farm. The data is used on the Client program primarily to print forms. Each night the data is also transferred to the Data Warehouse for reporting.

CPAP RUS is a tool used by RUS (Electric and Telecom) personnel to perform their daily task. Since the information is accessible by all Electric and Telecom personnel, all are kept updated on the latest actions concerning the Electric and Telecom Borrowers. The data is entered in the Client CPAP RUS program and is stored on a SQL Server in the Web Farm. The database and the Web Server is the same as the CPAP for Water and Waste.

**RURAL UTILITIES SYSTEM LEGACY (RUS LEGACY)**

RUS Legacy is a mainframe system that maintains USDA Rural Utilities borrower account information. It is comprised of five separate applications: Rural Electric and Telephone (RET), Rural Telephone Bank (RTB), Federal Finance Bank (FFB), Cable Television (CATV), Loan Document System application (LDS application).

RET, RTB, FFB, and CATV Applications work together to maintain loan account information for borrowers. When funds have been advanced in RULSS, a temporary interface sends data to the legacy system to set up an account, the systems bill borrowers, process payment collections from the borrower, maintain prepayments and delinquent payments, manage irregular borrower situations, and other various loan servicing actions. These systems also handle deferments for Rural Development projects and Energy Resource Conservation loans directed toward electric borrower's consumers. Each application is described specifically below.

- **Rural Electric and Telephone System (RET)** is the electric and telephone program post approval loan processing system provides servicing for electric and telephone borrowers throughout rural America
- **Rural Telephone Bank (RTB)** is the telephone program post approval loan processing system that provides loan servicing for telephone borrowers throughout rural America. It provides interest bearing loans, pre-basis/post-basis accounts, and 20 through 35-year maturity loans

WITHDRAWN

- **Federal Financing Bank (FFB)** is a post approval loan processing system that provides loan servicing for both electric and telephone borrowers throughout rural America. The FFB System also includes additional functionality for the servicing of an Accounts Receivable (A/R) for each borrower. The receivable account is used when the borrower does not pay their FFB bill on the due date. The amount of the bill, which includes unpaid billed amounts (principal, interest, premium fees, and refinance fees) and is paid to FFB and the amount, is set up as a receivable and accrues and capitalizes interest until that amount is paid by the borrower.
- **Cable Television (CATV)** is the telephone program post approval loan processing system that provides loan servicing for telephone borrowers throughout rural America.
- **Loan Document System (LDS)** application was created to eliminate the need to manually update and reconcile both the Loan Document Records for each Rural Electrification Administration (REA) (Now Rural Utilities Service – RUS) borrower and the Loan Document Register for each accounting register relating to the REA load program. At the present time, the REA – Electric and REA – Telephone systems are in operation.

The Loan Document Record is the primary document used by the collections and custodial branch of the Fiscal Accounting Division for tracking the following (1) the amounts and approval dates of loans, transfers and recessions, (2) the date loan contracts are received, (3) the amounts and dates received of notes or bonds, (4) the amounts of and dates the notes or bonds are repaid, and (5) the dates and types of various other documents related to the above. In addition, these records keep “running totals” of approved loans not covered by notes and effective amounts of notes on hand. LDS maintains the history of all loans issued to borrowers.

#### **COMMERCIAL EXTENSIONS**

Commercial extensions consist of the Rural Development Utilities Programs Customer Initiated Payment (RDUPCIP) application. RDUPCIP is an electronic collection method that enables borrowers with Rural Utilities Program loans to make payments through an on-line collection system. RUS customers access the site utilizing Level II eAuthentication IDs and provide payment information including amount and bank account and routing numbers. Also they have the ability to view status of payment. The scheduled payments are transmitted daily to Pay gov, the federal government’s free Internet collection portal.

Pay gov uses the information to transmit an Automated Clearing House (ACH) transaction for an electronic withdrawal from the bank account designated by the borrower. The borrower is given credit at the time the payment is withdrawn.

**WITHDRAWN**

Pay gov transmits the funds to Treasury and sends an electronic file to USDA The file is used to update the borrower's account

**COMMERCIAL SUPPORT**

Commercial Support consists of 7 separate applications Advances (ADV), Automated Legal Practices Services (ALPS), DocFactory, Electric and Telephone Loan Statistics, Fox Pro Loan Statistics, Staff Review and Reporting System (SRRS), Value Added Producer Grants (VAPG)

- **Advances (ADV)** is a home grown application developed in Visual FoxPro The system is used to control disbursements of electronic advances to RUS Electric Borrowers after monies have been approved Financial Assistants manually enter approved loan data, including total money being entered in the system and the total RUS money being entered The system then verifies the availability of the monies by checking with the FoxPro Loan Stats application and breaks the money down by budgetary purposes The system then generates requisitions which are used to send money to borrowers ADV also produces a report which is sent to borrowers, RUS accountants, engineers, and operations personnel
- **Automated Legal Practices Services (ALPS)** is a document assembly system that automates the preparation of Telecommunications and Electric Programs' loan documents The ALPS system runs in the CAPS User 3 1 environment with the assistance of the third-party software product FDFMerge so the system can produce PostScript files
- **DocFactory** is an application which implements an enterprise document assembly solution utilizing the COTS package Exari to implement a system and workflow that aids in the selection and assembly of appropriate documents using data from other systems and/or data retrieved via an interview process DocFactory\Electric will be the first implementation of the document assembly solution When fully implemented, DocFactory will replace the current ALPS system
- **Electric and Telephone Loan Statistics** is, primarily, a mainframe developed system that tracks loans and loan guarantees approved for the Rural Utilities Service's Telephone and Electric Borrowers Borrower loan figures from this system are used in the RUS Accounting System (Debt Service/State Summary reports) and cumulative Borrower totals are forwarded from this system to be used in the Data Collection System (DCS) for calculating Annual Statistical Report (ASR) and Borrower Statistical Profile (BSP) Items, both important RUS analytical tools The loan activity recorded in this system is also used in various other statistical reports in addition to its use for analysis by RUS
- **Fox Pro Loan Statistics** is an online version of the mainframe Loan Stats system developed in Visual FoxPro (Ver 6 0), however it only tracks loans and loan guarantees for RUS Electric Borrowers It allows users the ability to view an Electric Borrower's current total loan balances and the balances of most any of

**WITHDRAWN**

the borrower's individual loans (net of rescissions). Due to decisions made prior to the development of this system, all loans prior 10/01/1980 are included in a single summary record with a designation of "\*OLD\*" The system also has viewable tracking information that is posted each time a transaction is entered against an existing loan and allows Electric Program users the ability to enter actual loan information into the system as application data when the borrower applies for a loan The online FoxPro Loan Stat system is used primarily to view the current status of individual Borrowers' loans and to track pending loan applications as well It also is referenced by the Advances (ADV) system in the process of controlling the disbursement of loan funds for Electric Borrowers

Electric Program users enter loan data (RUS loan, Guarantee, Supplemental funds) required when a borrower applies for a loan They enter the date the application was received and the RUS interest rate (if any), and when the loan is approved they forward RUS Form 130, "Detail of Recommended Action" to the management Services Division (MSD), where the application data is verified online and corrected (if needed) and the approval date and Administrative Action number are entered, thereby removing the record from Application Status to Loan Status

- **Staff Review and Reporting System (SRRS)** The Rural Development Utilities Programs Program Accounting Services Division (PASD) is responsible for providing the Administrator and The Rural Development Utilities Programs with an independent assessment of the overall operations of the loan programs administered by The Rural Development Utilities Programs As such, PASD conducts loan fund and accounting reviews of electric and telecommunications borrowers PASD is also responsible for establishing the Agency's accounting and auditing policies and procedures as well as ensuring consistency and reliability in the financial information upon which the Agency's lending decisions are made

PASD provides technical accounting and auditing advice and assistance to The Rural Development Utilities Programs electric and telecommunications borrowers, their certified public accountants (CPA), and The Rural Development Utilities Programs program officials to ensure compliance with - and the uniform application of The Rural Development Utilities Programs accounting policies and procedures

SRRS supports PASD in tracking various activities related to the Rural Development Utilities Programs CPA audit program and the review of the Loan Fund and Accounting Reviews

**WITHDRAWN**

SRRS interfaces with RULSS/BDMS and LGMS.

- **Value Added Producer Grants (VAPG)** is a mechanism to allow the Rural Development Business and Cooperative Programs staff to post Value-Added Grant applications to a web site so that both internal and external reviewers of the

applications can download them in a secure way. A VAPG administrator promotes grant applications to the VAPG web application site and posts those grant applications on individual directories. These directories are created for each individual internal/external reviewer that accesses the application, so that they can download only those grant applications within their own directory, if any are available.

**Inputs:**

Inputs includes borrower, geographic, program/sub-program info, data for RUS and DCFO loan/grant processes, CPA and ACH banking information, obligation data, cash receipts, application of payments, and other servicing transactions

**Disposition:**

Data is kept indefinitely

**Master File:**

- Customer profiles including the applicant name, address, taxpayer identification number (TIN), contact personnel, legal name, financial disposition, and payment status
- Certified Public Accounting (CPA) firms profile information such as the name of the firm and contact information
- Bank account information, such as bank name, account number and type, bank routing number, and contact information
- USDA personnel information including account representatives names, contact information, and relationship to borrowers
- Congressional District and Representative profile information including District number and Representative's name and contact information
- Borrower information such as president and officers, merger information, counties served, services provided, migration and poverty indicators
- Change history, disaster status, and billing and payment method
- Borrower ID number, loan/grant designation, program approval, and obligation date and status
- Agreement information from the note signed, including the original amount of loan or grant, date reviewed and cleared, last date for advance, and final maturity date
- Information on advances, such as the date, bank account number, amount, and numbers and dates of disbursements
- Information on the borrower's history, including obligations, notes, advances and disbursements, and details of all loans
- The history of each loan, including the original obligation, note, and actions
- Billing and payment information

**WITHDRAWN**

**Disposition:**



Data is kept indefinitely

**Outputs:**

Outputs include reports related to appropriations and allotments, obligations and disbursements, project and loan status, general ledger, transaction processing and input/output balancing, financial data balancing, congressional reporting, Internal Revenue Service (IRS) data, statements, commercial credit bureau reporting, Federal Funding Accountability and Transparency Act (FFATA) and Federal Assistance Award Data System (FAADS) reporting

Other outputs include reports on borrowers, financials, findings, management, project, project summary, monthly and quarterly reports, semi-annual reports, and other reports and screens used to monitor and manage the rural utilities programs

**Disposition:**

Destroy or delete when superseded or obsolete  
Many outputs are maintained indefinitely on microfiche in the DCFO

**System Documentation:**

Operations guide, data dictionary, system security plan, online help, application hosting profile, application recovery plan, installation manual, software manifest, system diagram, and user security guide

**Disposition:**

Destroy or delete when superseded or obsolete

**Type of Records:** Data Files

**Format:** Media Neutral

**Functions Supported:**

Commercial is an overall complete program management and financial information system of the Rural Utilities programs.

**WITHDRAWN**