

## Request for Records Disposition Authority

Records Schedule Number           DAA-0103-2018-0001

Schedule Status                     Approved

  

Agency or Establishment           Farm Credit Administration

Record Group / Scheduling Group   Records of the Farm Credit Administration

Records Schedule applies to       Major Subdivision

Major Subdivision                  Office of Inspector General

Schedule Subject                    Records of the Office of Inspector General

Internal agency concurrences will be provided   No

Background Information           Established within the Farm Credit Administration pursuant to the Inspector General Act of 1978, as amended, the Office of Inspector General is tasked with providing independent and objective oversight of Farm Credit Administration programs and operations. The OIG seeks to promote economy and efficiency and to prevent and detect fraud, waste, and abuse by conducting and supervising audits, inspections, evaluations, investigations, and other reviews. The OIG also keeps agency leadership and Congress informed as to problems facing the agency.

### Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
<b>16</b>	<b>3</b>	<b>13</b>	<b>0</b>

### GAO Approval

## Outline of Records Schedule Items for DAA-0103-2018-0001

Sequence Number	
1	Final Reports of Audits, Inspections, Evaluations and Other Reviews with Significant Value Disposition Authority Number: DAA-0103-2018-0001-0001
2	All Other Final Reports of Audits, Inspections, Evaluations and Other Reviews Disposition Authority Number: DAA-0103-2018-0001-0002
3	Audit, Inspection, Evaluation, and Other Review Workpapers Disposition Authority Number: DAA-0103-2018-0001-0003
4	Significant Investigative Records Disposition Authority Number: DAA-0103-2018-0001-0004
5	Non-significant Investigative Records Disposition Authority Number: DAA-0103-2018-0001-0005
6	Complaint Records Disposition Authority Number: DAA-0103-2018-0001-0006
7	Semiannual Reports to Congress and Substantive Non-Routine Congressional Correspondence Disposition Authority Number: DAA-0103-2018-0001-0007
8	Planning and Performance Measurement Records Disposition Authority Number: DAA-0103-2018-0001-0008
9	Legal Review Files Disposition Authority Number: DAA-0103-2018-0001-0009
10	Peer Review Files Disposition Authority Number: DAA-0103-2018-0001-0010
11	Policies and Procedures Disposition Authority Number: DAA-0103-2018-0001-0011
12	Routine Congressional Correspondence Disposition Authority Number: DAA-0103-2018-0001-0012
13	Educational Records Disposition Authority Number: DAA-0103-2018-0001-0013
14	Training Records Disposition Authority Number: DAA-0103-2018-0001-0015
15	Council of the Inspectors General on Integrity and Efficiency Records Disposition Authority Number: DAA-0103-2018-0001-0016
16	Semiannual Reports to Congress Supporting Documentation Disposition Authority Number: DAA-0103-2018-0001-0017

## Records Schedule Items

Sequence Number					
1	<p><b>Final Reports of Audits, Inspections, Evaluations and Other Reviews with Significant Value</b></p> <p>Disposition Authority Number      <b>DAA-0103-2018-0001-0001</b></p> <p>Final reports of audits, inspections, evaluations, and other non-investigative reviews conducted or supervised by the Office of Inspector General with significant historical value, as determined by the Inspector General based on one or more of the following criteria: (a) the subject of the report is a member of the FCA Board or a senior management official (grade VH-42 and higher); (b) the report attracts widespread, national media or Congressional attention; (c) the report results in major substantive changes to FCA policies and procedures; or (d) the subject of the report is an FCA program/mission-related activity.</p> <p>Final Disposition                      <b>Permanent</b></p> <p>Item Status                              <b>Active</b></p> <p>Is this item media neutral?          <b>Yes</b></p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      <b>No</b></p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 50%;">Manual Citation</th> <th style="width: 50%;">Manual Title</th> </tr> </thead> <tbody> <tr> <td style="text-align: center;"><b>8.1</b></td> <td><b>Farm Credit Administration Comprehensive Records Schedule</b></td> </tr> </tbody> </table> <p>GRS or Superseded Authority Citation      <b>N1-103-11-001 / 1, in part, OIG only</b></p> <p><b>Disposition Instruction</b></p> <p>Cutoff Instruction                      <b>Cutoff at the end of the fiscal year in which the report is issued.</b></p> <p>Transfer to the National Archives for Accessioning      <b>Transfer to the National Archives in 5 year blocks when the most recent record is 20 years old.</b></p> <p><b>Additional Information</b></p> <p>First year of records accumulation      <b>1989</b></p> <p>What will be the date span of the initial transfer of records to the National Archives?      <b>From 1989 To 1999</b></p>	Manual Citation	Manual Title	<b>8.1</b>	<b>Farm Credit Administration Comprehensive Records Schedule</b>
Manual Citation	Manual Title				
<b>8.1</b>	<b>Farm Credit Administration Comprehensive Records Schedule</b>				

How frequently will your agency transfer these records to the National Archives? **Every 5 Years**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	200 MB	1 MB
Paper	2 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

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**All Other Final Reports of Audits, Inspections, Evaluations and Other Reviews**

Disposition Authority Number **DAA-0103-2018-0001-0002**

Final reports of audits, inspections, evaluations, and other non-investigative reviews conducted or supervised by the Office of Inspector General, which the Inspector General has not determined to have significant historical value.

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**

Manual Citation	Manual Title
<b>8.2</b>	<b>Farm Credit Administration Comprehensive Records Schedule</b>

GRS or Superseded Authority Citation **N1-103-99-2 / 1/A/2**

**Disposition Instruction**

Cutoff Instruction **Cutoff at the end of the fiscal year in which issued.**

Retention Period **Destroy 10 year(s) after cutoff**

**Additional Information**

GAO Approval **Not Required**

3

**Audit, Inspection, Evaluation, and Other Review Workpapers**

Disposition Authority Number      **DAA-0103-2018-0001-0003**

Records created or acquired that are used to develop final reports of audits, inspections, evaluations, and other non-investigative reviews conducted or supervised by the Office of Inspector General. Workpapers include documentation used to support report findings, conclusions, and recommendations--including, but not limited to, interview notes, pre-review findings, planning materials, correspondence, memoranda and draft reports. Also included are follow-up files, which are created after a report is issued and are used by the OIG to monitor and document actions taken in response to OIG reports.

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**

Manual Citation	Manual Title
<b>8.3</b>	<b>Farm Credit Administration Comprehensive Records Schedule</b>

GRS or Superseded Authority Citation      **N1-103-99-002 / 1/C  
N1-103-99-002 / 1/B**

**Disposition Instruction**

Cutoff Instruction                      **Cutoff at the end of fiscal year in which created or acquired.**

Retention Period                        **Destroy 10 year(s) after cutoff.**

**Additional Information**

GAO Approval                            **Not Required**

4

**Significant Investigative Records**

Disposition Authority Number      **DAA-0103-2018-0001-0004**

Records developed or acquired during investigations conducted by the OIG of known or alleged activity constituting a potential violation of law, rule, or regulation, mismanagement, gross waste of funds, abuse of authority, or a substantial and specific danger to the public health and safety; which the Inspector General has

determined have significant historical value based on one or more of the following criteria: (a) the subject of the investigation is a member of the FCA Board or a senior management official (grade VH-42 and higher); (b) the investigation attracts widespread, national media or Congressional attention; (c) the investigation results in major substantive changes to FCA policies and procedures; or (d) the subject of the investigation is an FCA program/mission-related activity. Records are organized in case files consisting of investigative reports and related documents such as correspondence, notes, memoranda of activity, background research and similar workpapers.

Final Disposition **Permanent**  
 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**

Manual Citation	Manual Title
8.4	Farm Credit Administration Comprehensive Records Schedule

GRS or Superseded Authority Citation **N1-103-11-001 / 1, in part, OIG only**

**Disposition Instruction**

Cutoff Instruction **Cutoff at the end of fiscal year in which the case is closed.**

Transfer to the National Archives for Accessioning **Transfer to the National Archives in 5 year blocks when the most recent record is 20 years old.**

**Additional Information**

First year of records accumulation **1989**

What will be the date span of the initial transfer of records to the National Archives? **From 1989 To 1999**

How frequently will your agency transfer these records to the National Archives? **Every 5 Years**

	Estimated Current Volume	Annual Accumulation

Electronic/Digital	100 MB	5 MB
Paper	1 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

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**Non-significant Investigative Records**

Disposition Authority Number      **DAA-0103-2018-0001-0005**

All other investigative files not covered under items 4 or 6 of this schedule. These are records developed or acquired during investigations conducted by the OIG of known or alleged activity constituting a potential violation of law, rule, or regulation, mismanagement, gross waste of funds, abuse of authority, or a substantial and specific danger to the public health and safety. Records are organized in case files consisting of investigative reports and related documents such as correspondence, notes, memoranda of activity, background research, and similar workpapers.

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**

Manual Citation	Manual Title
<b>8.5</b>	<b>Farm Credit Administration Comprehensive Records Schedule</b>

GRS or Superseded Authority Citation      **N1-103-99-002 / 2/A/2**

**Disposition Instruction**

Cutoff Instruction                      **Cutoff at end of fiscal year in which case is closed.**

Retention Period                        **Destroy 10 year(s) after cutoff**

**Additional Information**

6

GAO Approval **Not Required**

**Complaint Records**

Disposition Authority Number **DAA-0103-2018-0001-0006**

These records include complaints and information submitted to the OIG concerning the possible existence of activity constituting a violation of law, rule, or regulation, mismanagement, gross waste of funds, abuse of authority, or a substantial and specific danger to the public health and safety, which are not associated with an investigation. These allegations may be submitted by any source and may take the form of one or more of the following: hard copy complaints received through hand delivery, interoffice mail, fax, U.S. mail or private mail carrier service; email; and notes memorializing telephonic or in-person interviews. In addition, these files may include supporting documentation. Also included in this item are records documenting the receipt, review, and disposition of complaints and information received. Complaints and information that result in investigation are maintained with the corresponding case file under items 4 or 5.

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**

Manual Citation	Manual Title
<b>8.6</b>	<b>Farm Credit Administration Comprehensive Schedule</b>

GRS or Superseded Authority Citation **N1-103-99-002 / 2/B**

**Disposition Instruction**

Cutoff Instruction **Cutoff files at the end of the fiscal year in which the complaint is resolved or closed.**

Retention Period **Destroy 10 year(s) after cutoff.**

**Additional Information**

GAO Approval **Not Required**



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**Semiannual Reports to Congress and Substantive Non-Routine Congressional Correspondence**

Disposition Authority Number **DAA-0103-2018-0001-0007**

Reports summarizing activities of the OIG during the six-month periods ending March 31 and September 30 of each year. The report is submitted to Congress in accordance with section 5(b) of the Inspector General Act of 1978, as amended. The report includes descriptions of significant problems, abuses, and deficiencies related to the administration of FCA programs and operations; recommendations for corrective action; matters referred to prosecutorial authorities and the results of these prosecutions; closed investigations; statistical tables demonstrating the dollar results of the OIG's internal program audits and contract audits performed during the reporting period. This item also includes official requests and final responses to requests received from members and committees of the U.S. House of Representatives and U.S. Senate.

Final Disposition **Permanent**

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**

Manual Citation	Manual Title
<b>8.7</b>	<b>Farm Credit Administration Comprehensive Records Schedule</b>

GRS or Superseded Authority Citation **N1-103-11-001 / 1, in part, OIG only**

**Disposition Instruction**

Cutoff Instruction **Cutoff at the end of fiscal year in which the report or correspondence were generated.**

Transfer to the National Archives for Accessioning **Transfer to the National Archives in 5-year blocks when the most recent record is 15 years old.**

**Additional Information**

First year of records accumulation **1989**

What will be the date span of the initial transfer of records to the National Archives? **From 1989 To 1999**

How frequently will your agency transfer these records to the National Archives? **Every 5 Years**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	60 MB	1 MB
Paper	2 Cubic feet	.5 Cubic feet
Microform		
Hardcopy or Analog Special Media		

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**Planning and Performance Measurement Records**

Disposition Authority Number **DAA-0103-2018-0001-0008**

These records are used for documenting OIG goals, objectives, and performance measures and the office's progress in meeting the same.

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**

Manual Citation	Manual Title
<b>Item 8.8</b>	<b>Farm Credit Administration Comprehensive Schedule</b>

**Disposition Instruction**

Cutoff Instruction **Cutoff at the end of the fiscal year in which the record is created.**

Retention Period **Destroy 10 year(s) after cutoff**

**Additional Information**

GAO Approval **Not Required**

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**Legal Review Files**

Disposition Authority Number **DAA-0103-2018-0001-0009**

Records of matters which have been assigned to OIG counsel for primary responsibility for review, coordination, and response that are not associated with specific audits, inspections, evaluations, investigations, or other reviews. Includes formal legal opinions, informal legal opinions, and advice on matters including OIG authorities and administrative functions such as human resources, financial management, and facility management. Also includes comments on proposed and existing legislation and regulations and documents created or acquired during formulation of the same.

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**

Manual Citation	Manual Title
<b>8.9</b>	<b>Farm Credit Administration (FCA) Comprehensive Schedule</b>

**Disposition Instruction**

Cutoff Instruction **Cut off at the end of fiscal year in which the review is completed.**

Retention Period **Destroy 10 year(s) after cutoff.**

**Additional Information**

GAO Approval **Not Required**

**Peer Review Files**

Disposition Authority Number **DAA-0103-2018-0001-0010**

Records summarizing the results of external peer reviews of OIG audit, inspection and evaluation, or investigative functions. Includes final reports and associated attachments for reviews conducted by or of the FCA OIG. Also includes documentation used to support FCA OIG findings, conclusions, and recommendations--including, but not limited to, interview notes, pre-review findings, planning materials, correspondence, memoranda and draft reports.

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

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Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **No**

Manual Citation	Manual Title
<b>8.11</b>	<b>Farm Credit Administration Comprehensive Records Schedule</b>

**Disposition Instruction**

Cutoff Instruction **Cutoff at the end of the fiscal year in which the review is completed.**

Retention Period **Destroy 10 year(s) after cutoff.**

**Additional Information**

GAO Approval **Not Required**

**Policies and Procedures**

Disposition Authority Number **DAA-0103-2018-0001-0011**

**Records defining or documenting the policies and procedures established for planning, directing, controlling, performing, and assessing OIG functions, including directives, delegations of authority, operations manuals, and standard operating procedures.**

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**

Manual Citation	Manual Title
<b>8.12</b>	<b>Farm Credit Administration (FCA) Comprehensive Schedule</b>

GRS or Superseded Authority Citation **N1-103-11-001 / 6.2, in part, OIG only**

**Disposition Instruction**

Cutoff Instruction **Cutoff at the end of the year in which the policy or procedures are superseded or become obsolete.**

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Retention Period Destroy 7 year(s) after cutoff.

Additional Information

GAO Approval Not Required

Routine Congressional Correspondence

Disposition Authority Number DAA-0103-2018-0001-0012

Correspondence with staff of members and committees of the U.S. House of Representatives and U.S. Senate that is of a routine nature, such as briefings and requests for status updates.

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

Manual Citation	Manual Title
8.13	Farm Credit Administration Comprehensive Records Schedule

GRS or Superseded Authority Citation N1-103-11-001 / 6.1, in part, OIG only

Disposition Instruction

Cutoff Instruction Cutoff at of end of fiscal year in which correspondence was sent or received.

Retention Period Destroy 7 year(s) after cutoff.

Additional Information

GAO Approval Not Required

13

Educational Records

Disposition Authority Number DAA-0103-2018-0001-0013

Records created and distributed to educate FCA employees and others regarding OIG roles, responsibilities, and practices. Includes intra-agency newsletters and training materials.

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**

Manual Citation	Manual Title
<b>8.13</b>	<b>Farm Credit Administration (FCA) Comprehensive Schedule</b>

GRS or Superseded Authority Citation **N1-103-11-001 / 6.1, in part, OIG only**

**Disposition Instruction**

Cutoff Instruction **Cutoff at end of year in which published or issued.**

Retention Period **Destroy 7 year(s) after cutoff.**

**Additional Information**

GAO Approval **Not Required**

**Training Records**

Disposition Authority Number **DAA-0103-2018-0001-0015**

**Records created or obtained for the purposes of documenting and tracking employee participation in mission-related professional training.**

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 at the end of the fiscal year in which the professional training was completed.**

Retention Period **Destroy 7 year(s) after cutoff**

**Additional Information**

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15	GAO Approval	Not Required
	<b>Council of the Inspectors General on Integrity and Efficiency Records</b>	
	Disposition Authority Number	DAA-0103-2018-0001-0016
	Records created pursuant to involvement in the Council of the Inspectors General on Integrity and Efficiency and subsidiary committees or working groups thereof, as well as any predecessor or successor entities.	
	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
	<b>Disposition Instruction</b>	
	Cutoff Instruction	Cutoff at the end of the fiscal year in which document was created.
Retention Period	Destroy 10 year(s) after cutoff	
<b>Additional Information</b>		
GAO Approval	Not Required	
16	<b>Semiannual Reports to Congress Supporting Documentation</b>	
	Disposition Authority Number	DAA-0103-2018-0001-0017
	Supporting documentation for Semiannual Reports to Congress, including correspondence, comments, justifications and other background notes related to the preparation of the final reports.	
	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
	<b>Disposition Instruction</b>	
	Cutoff Instruction	Cut off at the end of each fiscal year.

Retention Period	Destroy 10 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
01/05/2018	Certify	Edward Dukes	Records Officer	Independent Agency - Independent Agency
01/12/2018	Return for Revision	Andreea Vlaicu	Archives Specialist	National Archives and Records Administration - Records Management Operations Appraisal Team 1
05/10/2018	Submit For Certification	Edward Dukes	Records Officer	Independent Agency - Independent Agency
05/10/2018	Certify	Edward Dukes	Records Officer	Independent Agency - Independent Agency
06/12/2018	Return for Revision	Andreea Vlaicu	Archives Specialist	National Archives and Records Administration - Records Management Operations Appraisal Team 1
12/21/2019	Submit For Certification	Edward Dukes	Records Officer	Independent Agency - Independent Agency
12/27/2019	Certify	Edward Dukes	Records Officer	Independent Agency - Independent Agency
06/09/2020	Submit for Concurrence	Andreea Vlaicu	Archives Specialist	National Archives and Records Administration - Records Management Operations Appraisal Team 1
06/16/2020	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
06/16/2020	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration

06/17/2020	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist
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