

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-103-11-001

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 6/29/2022

ACTIVE ITEMS

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

All items, except those listed below are active.

SUPERSEDED AND OBSOLETE ITEMS


The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

Item 1 was superseded in part (OIG only) by DAA-0103-2018-0001

Item 6.1 was superseded in part (OIG only) by DAA-0103-2018-0001

Item 6.2 was superseded in part (OIG only) by DAA-0103-2018-0001

REQUEST FOR RECORDS DISPOSITION AUTHORITY	
<i>(See Instructions on reverse)</i>	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408	
1. FROM (Agency or establishment)	
Farm Credit Administration	
2. MAJOR SUBDIVISION	
3. MINOR SUBDIVISION	
4. NAME OF PERSON WITH WHOM TO CONFER	5. TELEPHONE
John M. von Reyn, Records Officer	703-883-4120

LEAVE BLANK (NARA use only)	
JOB NUMBER	
N1-103-11-1	
DATE RECEIVED	
12/7/10	
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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
DATE	ARCHIVIST OF THE UNITED STATES
19 Sept 11	

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 17 page(s) are not now needed for the business of 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,

is not required; is attached; or has been requested.

DATE	SIGNATURE OF AGENCY REPRESENTATIVE	TITLE
11/24/2010		Records Officer

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
1	Farm Credit Administration (FCA) Comprehensive Schedule attached. It will replace all existing records schedules for FCA. Included with the schedule is an Introduction (2 pages), the Comprehensive Schedule (7 pages), a cross-walk from the new schedule to existing schedules (5 pages), and a section that addresses NARA Bulletin 2008-04, "Guidance for Flexible Scheduling." (3 pages).	See attachment.	

Farm Credit Administration – Comprehensive Records Schedule

Background Information

About the Farm Credit Administration

The Farm Credit Administration (FCA or Agency) is an independent agency within the executive branch of the U.S. Government. FCA is the safety and soundness regulator for the Farm Credit System (FCS or System), comprised of Farm Credit banks, associations, related entities and the Federal Agricultural Mortgage Corporation (Farmer Mac). The FCS is a nationwide network of borrower-owned, non-depository financial institutions that provide credit to farmers, ranchers, producers and harvesters of aquatic products, rural homeowners, agricultural cooperatives, rural utility systems, and agribusinesses.

FCA was created by a 1933 Executive order of President Franklin D. Roosevelt. The Agency derives its powers and authorities from the Farm Credit Act of 1971, as amended (Farm Credit Act). The U.S. Senate Committee on Agriculture, Nutrition, and Forestry and the U.S. House of Representatives Committee on Agriculture oversee FCA and the FCS. As an independent federal Agency, FCA does not receive a Federal appropriation, but is instead funded through assessments paid by System institutions and by reimbursable activities.

FCA is responsible for ensuring the safe and sound operations of the System. It does this in two specific ways: on-site examinations of FCS institutions and issuing regulations to implement the Farm Credit Act. If a System institution violates a law or regulation, or if its operations are unsafe or unsound, FCA may use its enforcement authority to ensure that the problem is corrected. FCA also issues and changes the charters of FCS institutions, reports to Congress on the financial condition and performance of the FCS, and approves the issuance of System-wide debt obligations.

The Agency maintains its headquarters and a field office in McLean, Virginia. There are also field offices in Bloomington, Minnesota; Dallas, Texas; Denver, Colorado; and Sacramento, California.

FCA is lead by a full-time, three-person Board, whose members are appointed by the President of the United States with the advice and consent of the Senate. They serve six-year terms and may not be reappointed. The President designates one member as Chairman of the Board, who serves until the end of his or her own term. The Chairman also serves as FCA's Chief Executive Officer (CEO) and, in that capacity, directs the administrative functions of the Agency.

FCA Comprehensive Records Schedule – Introduction

FCA's Comprehensive Records Schedule is arranged functionally and reflects simplified and standardized recordkeeping practices to better support the Agency's business processes. The Agency is currently working under a "patchwork" of schedules, using 40 NARA-approved records retention schedules that were approved over a 30 year period and 51 retention schedules from NARA's General Records Schedule. These schedules were approved when most of the Agency's records were maintained in hard copy.

As a small agency of less than 300 employees, we produce a correspondingly small volume of records. Where a large Departmental agency may have file rooms full of hardcopy records and store terabytes of data in multiple data centers, FCA produces relatively small volumes of records –file drawers of hardcopy records and gigabytes of data on a single server. In the case of administrative records, we may only have one folder for a particular record that is covered in the General Records Schedule. Using simplified, standardized and flexible records retentions will not only make work processes easier, but much more

Farm Credit Administration – Comprehensive Records Schedule

efficient. This is particularly true for records maintained electronically, where a standardized retention will be much easier to administer.

Based on our current records retention schedule, we have identified those records that the National Archives has viewed as permanent records and generally assigned a standard 20 year retention period (30 years for those that contain privacy and sensitive financial information), after which they will be transferred to the National Archives. In certain instances, particularly with electronic records, FCA may need to transfer physical custody of these records to the NARA earlier, with the understanding that their availability to the public will not occur until the legal transfer date. The remainder of FCA records will be temporary records and will typically be held for 7 years or less, depending on the category of records. This 7 year retention is based on the GAO audit period that applies to many of the government's records. For certain administrative records, FCA will continue to use records retentions established in the NARA's *General Records Schedule*. These exceptions are identified in the schedule.

This schedule incorporates the requirement of NARA regulation 36 CFR 1225.12(e) that all records schedules submitted after December 17, 2007, be media-neutral, unless the schedule identifies a specific medium. It also incorporates the guidance contained in NARA's August 4, 2010, "Frequently Asked Questions about Media Neutral Schedules," that advises agencies to transfer permanent electronic records (either physically or legally) within 2-3 years of creation.

Included with the new Comprehensive Records schedule is a crosswalk from the new schedule to the existing schedules used by FCA and a section that outlines FCA's need for flexible scheduling that addresses the questions posed in NARA Bulletin 2008-04, "Guidance for Flexible Scheduling."

Questions pertaining to the new Comprehensive Records Schedule may be addressed to John von Reyn, Records Officer, at the Farm Credit Administration.

Farm Credit Administration – Comprehensive Records Schedule

FCA Comprehensive Records Schedule Arranged functionally with Standardized Retentions

1. **FCA General Mission Related Records.** These records document the overall mission of the Farm Credit Administration and may be produced in various formats (print, electronic, audio-visual, etc.). They include decisions made by the FCA Board, public and Congressional communications, guidance distributed by the Agency, and reports and correspondence discussing the Agency's overall management and performance. They consist of the following types of records:
 - 1.1 **FCA Board Records.** Records documenting decisions of the FCA Board, Board Meeting minutes, Notational Votes, Board Meeting Briefing Books and audio recordings of closed meetings.
 - 1.2 **Public and Congressional Relations Records.** Information and publications produced by the Agency that discuss the FCA and Farm Credit System, such as the Agency's annual reports, strategic plans, press releases, and speeches by FCA officials, information disseminated to the public on FCA's Website, as well as Congressional hearing testimony by FCA officials, and annual budget submissions to Congress and OMB and Congress.
 - 1.3 **Agency Guidance.** Documents that explain and interpret how the Agency conducts its mission-critical work, e.g. FCA's Examination Manual, Bookletters, Informational Memorandums and other formal communications that provide guidance to Farm Credit System institutions and related entities.
 - 1.4 **Agency Reports, Studies and Planning Documents.** Significant reports, studies and planning documents that are related to the Agency's mission, audit and investigative reports of mission-related activities and records documenting major re-organizations within the Agency. Reports of Examination of Farm Credit System institutions are covered in item 2.1
 - 1.5 **Agency General Mission-Related Correspondence.** General correspondence to and from external sources such as the Farm Credit System, Congress and other Government agencies pertaining to the Agency's mission and discussing the Agency's overall management and performance. Correspondence related to specific mission functions such, as the examination, policy development and corporate restructurings of Farm Credit System institutions, are filed in one of the more specific categories described later in this schedule.

DISPOSITION: Permanent. Transfer to the National Archives when 20 years old or 20 years after close of the project or case, whichever is applicable. *Records may be transferred to a Federal Records Center or to the National Archives prior to official transfer date when volume warrants. (The physical transfer of records in electronic format should occur within 2-3 years of their creation, with legal transfer at 20 years or sooner at the discretion of the Agency). FCA may retain copies of these records until no longer needed for reference purposes.*

pre-accessioning policy revoked 4/19/2022
Note: Audio records of closed meetings are covered under GRS 21, Audiovisual Records, items 22, Records of Meetings Made Exclusively for Note Taking or Transcriptions, EXCLUDING recordings of proceedings of Presidential Commissions and other executive commissions.

2. **Records pertaining to Examination of Farm Credit System Institutions.** Under 12 U.S.C. 2254, FCA is authorized to conduct examinations of Farm Credit System institutions. FCA's examination records consist of records in all formats (print, electronic, audio-visual, etc.) that document the examination and supervision of Farm Credit System institutions by the Farm Credit Administration. They consist of the following types of records:

Farm Credit Administration – Comprehensive Records Schedule

- 2.1 Reports of Examination of Farm Credit System Institutions.** Formal reports produced by FCA that document the scheduled examinations of individual Farm Credit System institutions.

DISPOSITION: Permanent. Transfer to the National Archives when 30 years old. *Records may be transferred to a Federal Records Center or to the National Archives prior to official transfer date when volume warrants. (The physical transfer of records in electronic format should occur within 2-3 years of their creation, with legal transfer at 30 years or sooner at the discretion of the Agency.) FCA may retain copies of these records until no longer needed for reference purposes.* Pre-accession policy revoked 4/19/2022

- 2.2 Farm Credit System Uniform Financial Data.** Financial data reported to FCA by Farm Credit System institutions as part of formal reporting required under 12 U.S.C. 2257a. The data are commonly referred to as Consolidated Reporting System (CRS) data. These data are used to create financial reports to assist in examination planning, financial and policy analyses and monitoring the financial strength of Farm Credit System institutions.

DISPOSITION: Permanent. Transfer to the National Archives when 20 years old. *Records may be transferred to a Federal Records Center or to the National Archives prior to official transfer date when volume warrants. (The physical transfer of records in electronic format should occur within 2-3 years of their creation, with legal transfer at 20 years or sooner at the discretion of the Agency.) FCA may retain copies of these records until no longer needed for reference purposes.*

- 2.3 Examination and Monitoring of FCS Institutions - Background Documentation and Work Papers.** Records pertaining to the examination of Farm Credit System Institutions, including financial and other information provided by FCS institutions, used as support in preparing Examination reports and monitoring of FCS institutions. Also includes tools and processes developed and used to monitor FCS institutions and conduct examinations.

DISPOSITION: Destroy/delete when 7 years old or 7 years after close of a project or case, or when no longer needed for documentation purposes, whichever is applicable.

- 2.4. Examiner Commissioning/Training Records.** FCA employees who are hired as FCA examiners undergo a formal process in order to become commissioned examiners. Records created during this process include training materials, tests, and tracking records documenting each employee's progress through the commissioning process. When the employee receives his/her commission, a Standard Form 50, "Notification of Personnel Action" is included in the employee's Official Personnel Folder documenting the commissioning. Specialized "post-commission" training provided to commissioned examiners is also covered by this category.

DISPOSITION: TEMPORARY.

- a. **Employee Commissioning Training Records.** - Destroy/delete 7 years after employee's commissioning or withdrawal from the program.
- b. **Training materials/tests.** Destroy/delete when superseded or when no longer needed for reference.

- 2.5 Enforcement Actions.** Documents and work papers pertaining to enforcement and supervisory activities of FCS institutions.

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DISPOSITION: TEMPORARY. Destroy/delete when 7 years after close of an enforcement action, or when no longer needed for documentation purposes, whichever is applicable.

3. FCA Policy Development Records. Under 12 U.S.C. 2252(a)(9), FCA issues rules and regulations necessary or appropriate for carrying out its responsibilities under the Farm Credit Act. These are records in all formats (print, electronic, audio-visual, etc.) that document the development of Agency regulations and policies pertaining to the mission of the Farm Credit Administration. They consist of the following types of records:

3.1 Public Rulemaking File. This is a formal file available to the public containing copies of proposed and final regulations that have been published in the Federal Register. It includes any substantive analyses by the Agency on a rulemaking, comments submitted on a rulemaking and Agency responses to comments received from the public.

DISPOSITION: Permanent. Transfer to the National Archives when 20 years old. ~~Records may be transferred to a Federal Records Center or to the National Archives prior to official transfer date when volume warrants. (The physical transfer of records in electronic format should occur within 2-3 years of their creation, with legal transfer at 20 years or sooner at the discretion of the Agency). FCA may retain copies of these records until no longer needed for reference purposes.~~ *Re-accession policy revoked 4/11/2022*

3.2 Regulation and Policy Development Records. Records produced in the development of Agency regulations and policies but not necessary for long-term documentation purposes. They include non-substantive draft, background materials and non-substantive comments received from the public.

DISPOSITION: Destroy/delete when 7 years old or 7 years after close of the project, or when no longer needed for documentation purposes.

4. Farm Credit System Institutions Corporate Restructuring and Prior Approval Records. Under 12 U.S.C. 2252(a)(2) and (a)(13)-(15), FCA issues and approves amendments to federal charters of institutions of the System, as well as approves other types of activities of FCS institutions, including funding requests. These records are in all formats (print, electronic, audio-visual, etc.). They consist of the following types of records:

4.1 Corporate Documents of Farm Credit System Institutions. These documents include Charters, By-laws and other substantive materials that document mergers and territorial realignments of FCS institutions.

DISPOSITION: Permanent. Transfer to the National Archives 20 years after close of the institution. ~~Records may be transferred to a Federal Records Center or to the National Archives prior to official transfer date when volume warrants. (The physical transfer of records in electronic format should occur within 2-3 years of their creation, with legal transfer at 20 years or sooner at the discretion of the Agency). FCA may retain copies of these records until no longer needed for reference purposes.~~

Re-accession policy revoked 4/19/2022

4.2 Corporate Restructuring and Prior Approval Records. These records include correspondence, background documentation and work papers, drafts and other documentation pertaining to corporate restructurings and prior approvals, including shareholder disclosure documents that are not needed for long term preservation.

DISPOSITION: Destroy/delete 7 years after close of the project or close of the institution, or when no longer needed for reference purposes, whichever is applicable.

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- 4.3 Funding requests.** Pursuant to 12 U.S.C. 2160(b)(2), the Federal Farm Credit Banks Funding Corporation (Funding Corporation) must obtain FCA's approval for determining the terms and conditions of the Farm Credit banks' interests in System-wide issuances. FCA reviews requests submitted by the Funding Corporation and after reviewing them, notifies the Funding Corporation of approval or disapproval. Documentation maintained includes: funding requests submitted by the Funding Corporation and related background information; offering circulars; term sheets, sale confirmations; issuance activity reports; FCA approval/disapproval forms and supporting information; and other similar documentation.

DISPOSITION: Destroy/delete when 7 years old or 7 years after close of a project or case, or when no longer needed for documentation purposes, whichever is applicable.

- 5. Farm Credit Administration - Legal Matters.** These are records in all formats (print, electronic, audio-visual, etc.) and consist of formal legal opinions, legal advice and reviews, litigation involving or affecting the Agency, and other matters requiring legal review, such as guidance on ethics matters, criminal referrals and financial disclosures by Agency employees. Legal opinions and advice requested by FCA offices are maintained by the requesting office in the recordkeeping system to which the opinion/advice pertains.

- 5.1 Legal Opinions - Internal.** Legal opinions issued within the General Counsel's office. Legal opinions and advice issued outside the office are maintained by the requesting office. Prior to July 2005, legal opinions were filed by subject in FCA's Central Files.

DISPOSITION: Permanent. Transfer to the National Archives when 30 years old. ~~Records may be transferred to a Federal Records Center or to the National Archives prior to official transfer date when volume warrants. (The physical transfer of records in electronic format should occur within 2-3 years of their creation, with legal transfer at 30 years or sooner at the discretion of the Agency). FCA may retain copies of these records until no longer needed for reference purposes.~~ *Re-accession policy revoked 4/19/2022*

- 5.2 Litigation Pertaining to the Farm Credit Administration.**

A. Litigation affecting/involving FCA.

DISPOSITION: Permanent. Transfer to the National Archives when 30 years old. ~~Records may be transferred to a Federal Records Center or to the National Archives prior to official transfer date when volume warrants. (The physical transfer of records in electronic format should occur within 2-3 years of their creation, with legal transfer at 30 years or sooner at the discretion of the Agency). FCA may retain copies of these records until no longer needed for reference purposes.~~ *Re-accession policy revoked 4/19/2022*

B. Litigation of interest, but not directly affecting FCA.

DISPOSITION: Destroy/delete when 7 years old or 7 years after settlement of a case, or when no longer needed for documentation purposes, whichever is applicable.

- 5.3 Criminal Referrals.** Documentation and work papers pertaining to referrals of known or suspected criminal violations by FCS borrowers or FCS employees to the U.S. Attorney's office and FCA or Secret service for investigation and possible prosecution.

DISPOSITION: Destroy/delete when 7 years old, or when no longer needed for documentation purposes, whichever is applicable.

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6. FCA Administrative Records. These are records in all formats (print, electronic, audio-visual, etc.) that pertain to the day-to-day operations of the Agency, rather than the mission of the Agency. They include documentation pertaining to the operation of administrative programs, administrative guidance, and administrative records maintained by FCA offices. They include:

- Audits, Inspections and Internal Control Programs
- Communications: Mail and Couriers; Telecommunications
- Financial Management: including accounting, investments, FCS assessments, budget development and Implementation
- Information requests, such as FOIA/Privacy Act and other public inquiries such as *borrower complaints*
- Information Technology - *Computer System Backup Files will continue to be covered under NARA's General Records Schedule.*
- Personnel (includes Equal Employment Opportunity, Ethics, Pay and Benefits, and Employee Programs) *Official Personnel Folders, Employee Performance, Financial Disclosures, Grievance, Discrimination Complaints will continue to be covered under NARA's General Records Schedule.*
- Procurement
- Property Management, including supplies and vehicles
- Records Management
- Security and Safety
- Training of employees
- Travel of employees

6.1. Administrative Program Records. Records accumulated by the office responsible for administering the program. Certain administrative records will be covered under the National Archives' *General Records Schedule (GRS)* – see below.

DISPOSITION: Destroy/delete when 7 years old or 7 years after close of a project or case, or when no longer needed for documentation purposes, whichever is applicable. *Records may be transferred to a Federal Records Center prior to destruction or deletion when volume warrants.*

6.2. Administrative Guidance. These include directives, manuals, training materials and other procedural guidance pertaining to administrative functions. Also includes mailing list and address information.

DISPOSITION: Destroy/delete when superseded or when no longer needed for reference. Record sets of formal directives, procedural and operating manuals, publications, and management improvement reports submitted to the Office of Management and Budget (OMB) and the case files documenting their development are potentially permanent records.

6.3. Office Administrative Records. Records accumulated by individual offices that relate to the internal administration or housekeeping activities of the office rather than the functions for which the office exists. In general these records relate to the office organization, staffing, procedures and communications, the expenditure of funds, day-to-day administration of office personnel including training and travel; small purchases, supplies and office services and equipment requests and receipts (under small purchase threshold). They may also include copies of internal activity and workload reports prepared in the office and forwarded to higher levels.

DISPOSITION: Destroy when 3 years old or when no longer needed for reference purposes.

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FCA Administrative Records still covered under NARA's General Records Schedule

Certain Agency administrative records series will continue to be covered under NARA's *General Records Schedule*, as noted below:

Official Personnel Files	Transferred employees. — Transfer to hiring Agency per instructions in the Federal Personnel Manual. (Authority: GRS 1, item 1a) Separated employees. — Transfer to National Records Center 30 days after separation. (Authority: GRS 1, item 1b)
Employee Performance Files	Destroy 4 years after date of appraisal. (Authority: GRS 1, item 23[a][4])
Administrative Grievance, Disciplinary and Adverse Action Files	Destroy 4 years after case is closed. (Authority: GRS 1, item 30a)
Leave Bank Files	Destroy 1 year after the end of the year in which the file is closed. (Authority: GRS 1, item 37, "Donated Leave Program Case Files")
Discrimination Complaint Case Files	Destroy 4 years after resolution of case. (Authority: GRS 1, item 25a)
FCA Computer System—Backup Files	Delete/destroy incremental backup tapes when superseded by a full backup, or when no longer needed for system restoration, whichever is later. (Authority: GRS 24, item 4a(1)) Delete/destroy full backup tapes when second subsequent backup is verified as successful or when no longer needed for system restoration, whichever is later. (Authority: GRS 24, item 4a(2))
Financial Disclosure Reports	Destroy when 6 years old — except documents needed in ongoing investigations will be retained until no longer needed (Authority: GRS 25, item 2)

7. Short-Term Informational Records and Non-Record Materials. These are records in all formats (print, electronic, audio-visual, etc.) of short-term interest that are retained by offices and employees for informational and reference purposes.

7.1 ~~Transitory records of short-term interest having minimal documentary or evidential value.~~ Included are such records as:

- ~~• Routine notifications of meetings, scheduling of meetings and work-related trips and visits and other scheduling related activities.~~
- ~~• Routine requests for information or publications and copies of replies which require no administrative action, no policy decision and no special compilation or research for reply.~~
- ~~• Transmittal information that does not add any information to that contained in the transmitted materials.~~
- ~~• Quasi-official notices that do not serve as the basis of official actions,~~
- ~~• To-do and task lists that serve as reminders.~~
- ~~• Reference/extra copies of documents where the record copy is filed in an Agency recordkeeping systems.~~

DISPOSITION: Destroy immediately, or when no longer needed for reference, or according to a predetermined time period or business rule (e.g., implementing the auto-delete feature

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of electronic mail systems). (N1-GRS-04-5, item 1). **GRS 23, Records Common to Most Offices within Agencies, item 7, Transitory Files.**

7.2 — Non-record Materials. Non-record materials are U.S. Government-owned documentary materials that do not meet the conditions of records status (see 36 § 1222.12(b)) or that are specifically excluded from the statutory definition of records (see 44 U.S.C. 3301). There are three specific categories of materials excluded from the statutory definition of records:

(a) Library and museum material (but only if such material is made or acquired and preserved solely for reference or exhibition purposes), including physical exhibits, artifacts, and other material objects lacking evidential value.

(b) Extra copies of documents (but only if the sole reason such copies are preserved is for convenience of reference).

(c) Stocks of publications and of processed documents. Catalogs, trade journals, and other publications that are received from other Government agencies, commercial firms, or private institutions and that require no action and are not part of a case on which action is taken. (Stocks do not include serial or record sets of Agency publications and processed documents, including annual reports, brochures, pamphlets, books, handbooks, posters and maps.

DISPOSITION: Purge when no longer needed for reference.

7.3 — Employee Electronic Storage Areas. These are electronic storage areas used by Agency employees for creating and storing the employee's copy of documents (including incoming and outgoing emails) and storing reference copies (including emails), maintaining personal calendars and task lists. ***Final documents that document the Agency's business are not maintained here — they are filed in the official Agency recordkeeping systems.***

DISPOSITION: Purge when no longer needed for reference. [Authority: Non-record – 36 CFR 1222.16 (b)(3)] Note: The Agency routinely deletes employee email and personal drives 6 months after the employee separates from the Agency.

7.4 — Shared and Collaborative Work Areas. These are electronic storage areas used by Agency employees for creating and sharing copies of documents and storing reference copies of documents. ***Final documents that document the Agency's business are not maintained here — they are filed in the official Agency recordkeeping systems.***

DISPOSITION: Purge when no longer needed for reference. [Authority: Non-record. 36 CFR 1222.16 (b)(3)]

Farm Credit Administration – Comprehensive Records Schedule

“Crosswalk” from New to Existing Schedules

New Series	Old Series Name	Old Disposition Authority
1.1 FCA Board Records	Minutes of the Farm Credit Administration Board	N1-103-87-3, item 1a
1.1 FCA Board Records	Board Meeting Briefing Books	N1-103-99-2, item 3
1.1 FCA Board Records	Notational Votes of the Farm Credit Administration Board	N1-103-99-2, item 4
1.1 FCA Board Records	Board Digest and Board Actions	N1-103-06-1, item 1
1.1 FCA Board Records	Board Meeting Audio Tapes	N1-103-91-2, item 1
1.2 Public and Congressional Relations Records	FCA Published Materials: Periodic publications, Speeches, Press Release Files, and Biographical Information.	N1-103-94-3, item 1 a,e,f,g
1.2 Public and Congressional Relations Records	Audiovisual Records of the FCA. – Mission related. <i>Records Officer Note: FCA does not produce mission related posters and videos. Photographs are used in Agency publications.</i>	N1-103-01-1, item 2
1.2 Public and Congressional Relations Records	FCA Web Site <i>Records Officer Note: FCA Website is captured each year electronically as a PDF (2-levels).</i>	N1-103-01-1, item 1a
1.3 Agency Guidance	FCA Published Materials: Directives	N1-103-94-3, item 1c
1.4 Agency Reports, Studies and Planning Documents	FCA Published Materials: Reports/Studies, Organization Documents,	N1-103-94-3, items 1 b, e
1.4 Agency Reports, Studies and Planning Documents	Audit and Inspection Reports – Mission/Program Audits/Inspections	N1-103-99-2, item 1a1 and N1-103-99-2, item 2a1)
1.4 Agency Reports, Studies and Planning Documents	Investigative Case Files	N1-103-99-2, item 2a1
1.5 Agency General Mission Correspondence	Farm Credit System Subject Files	N1-103-89-4, item 2
1.5 Agency General Mission Correspondence	Farm Credit Administration - General Subject Files	N1-103-89-4, item 1

*Removed.
Not covered by this schedule per 4/15/2019 correspondence.*

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2.1 Reports of Examination	Examination Reports	N1-103-99-1, item 2
2.2 FCS Uniform Financial Data	Consolidated Reporting System (CRS)	N1-103-93-2, item 1 A, B, C, E, F
2.2 FCS Uniform Financial Data	FCA 1000 Database	N1-1-3-99-2, item 8
2.3 Examination and Monitoring Documentation and Workpapers	Examination Workpapers	N1-103-99-1, item 3
2.3 Examination and Monitoring Documentation and Workpapers	Examination Permanent Reference Files	N1-103-92-3, item 1
2.3 Examination and Monitoring Documentation and Workpapers	Shareholder Reports produced by System Institutions or Entities	N1-103-89-3, item 4
2.3 Examination and Monitoring Documentation and Workpapers	Loan Account Reporting System (LARS) data	N1-103-93-2, item 1D
2.3 Examination and Monitoring Documentation and Workpapers	FCS Data Submissions	N1-103-99-1, item 1; N1-103-89-3, item 4; N1-103-89-3, item 5
2.4 Examiner Commissioning /Training Records	Examiner Commissioning/Certification Files	N1-103-93-1, item 1 and item 2.
2.4 Examiner Commissioning/ Training Records	Training materials developed by or for FCA <i>Records Officer Note: Item originally scheduled as permanent. Most training is external content, changes frequently and should not be considered Permanent.</i>	N1-103-94-3, item 2a
2.5 Enforcement Actions	Enforcement Case Files.	N1-103-92-2, item 1
2.5 Enforcement Actions	Board approved Enforcement actions	N1-103-87-3, item 8
3.1 Public Rulemaking Files	Public Rulemaking Files	N1-103-77-1, item 13
3.2 Regulation and Policy Development Records	Regulation Development Files <i>Records Officer Note: These are workpapers and should not be transferred as permanent. Formal regulation approval documentation is contained in Board Meeting Briefing Books. – See item 1.1.</i>	NC1-103-77-1, item 13a
4.1 Corporate Documents of FCS Institutions	Corporate Papers of Farm Credit System Financial Institutions	N1-103-89-3, item 2
4.2 Corporate	Association Correspondence Files	N1-103-91-3, item 1

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Restructuring and Prior Approval Records		
4.2 Corporate Restructuring and Prior Approval Records	Stockholder Disclosure Information	N1-103-89-3, item 3
4.3 Funding Requests	Funding Approval Requests	N1-103-02-1, item 2
5.1 Legal Opinions	Legal Opinions	N1-103-89-4, item 2
5.2 Litigation pertaining to FCA	Litigation Files- Precedential	N1-103-94-7, item 1a
5.2 Litigation pertaining to FCA	Litigation Files – Non Precedential	N1-103-94-7, item 1b and 1c
5.3 Criminal Referrals	Criminal Referrals	N1-103-94-7, item 2
6.1 Administrative Program Records	Appointee Clearance and Vetting Files.	N1-103-96-1, item 1
6.1 Administrative Program Records	Assessment Files	N1-103-90-1
6.1 Administrative Program Records	Audit and Inspection Workpapers	N1-103-99-2, item 1b and 2a2
6.1 Administrative Program Records	Automated Acquisition Log	GRS 3, item 3a GRS 3, item 5d
6.1 Administrative Program Records	Borrower complaints/congressional inquiries	N1-103-94-4.1
6.1 Administrative Program Records	Budget/Accounting Files/Reports	GRS 5, item 3b
6.1 Administrative Program Records	Budget Call System	GRS 5, item 2
6.1 Administrative Program Records	Career Opportunities	GRS 1, item 7b
6.1 Administrative Program Records	Desk Audit Files	GRS 1, item 7c[1]
6.1 Administrative Program Records	Ethics Subject Files	GRS 25, item 1a
6.1 Administrative Program Records	Farm Credit Administration Subject Files - Administrative	N1-103-02-1, item 1
6.1 Administrative Program Records	FCA Awards	GRS 1, item 12d
6.1 Administrative Program Records	Financial Management System	GRS 6, item 1a GRS 7, item 2
6.1 Administrative Program Records	FOIA Files	GRS 14-11a.1&2
6.1 Administrative Program Records	Individual Development Plans	GRS 1, item 18a
6.1 Administrative Program Records	Information Requests	N1-103-06-1, item 2
6.1 Administrative Program Records	Internal Control Files and Workpapers.	N1-103-91-1
6.1 Administrative Program Records	Investment Files	Not scheduled.
6.1 Administrative	Mail Room Operations Files	GRS 12

Removed Records are not administrative
 per 5/15/2019 correspondence
 Superseded by:
 GRS
 DATE (MM/DD/YYYY):
 per 5/15/2019 correspondence
 Superseded by:
 GRS
 DATE (MM/DD/YYYY):
 per 5/15/2019 correspondence

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6.1 Administrative Program Records	Management, Organizational and Other Special Studies - Work papers.	N1-103-06-1, item 3	per 5/15/2019 correspondence	GRS	Superseded by:
6.1 Administrative Program Records	Merit Promotion Files	GRS 1, item 33m			
6.1 Administrative Program Records	Motor Vehicle Files	GRS 10			
6.1 Administrative Program Records	Payment Files – Maintained by Service provider – Bureau of Public Debt	GRS 6, item 1	per 5/15/2019 correspondence	GRS	Superseded by:
6.1 Administrative Program Records	Payroll Files on Employees	GRS 2, item 4a(2) & b(2)			
6.1 Administrative Program Records	Payroll Project Modeling System	GRS 5, item 2			
6.1 Administrative Program Records	Performance Plans & Ratings	GRS1, item 23[a][1] and [a][4]			
6.1 Administrative Program Records	Personnel Database	N1-103-94-1, item 1			
6.1 Administrative Program Records	Personnel Payroll System. Maintained by Service provider – National Finance Center.	GRS 2 – applicable schedules			
6.1 Administrative Program Records	Personnel Security Files	GRS 18, item 22			
6.1 Administrative Program Records	Photo Personnel Directory	N1-103-94-1, item 1			
6.1 Administrative Program Records	Procurement Files	GRS 3, item 3a(1)b			
6.1 Administrative Program Records	Property Management Files	GRS 4, item 3a GRS 4, item 3b GRS 8, items 3 and 4			
6.1 Administrative Program Records	Property Management System	GRS 8, items 3 and 4			
6.1 Administrative Program Records	Records Management Files	GRS 16, item 2a(2) GRS 16, item 2a)	per 5/15/2019 correspondence	GRS	Superseded by:
6.1 Administrative Program Records	Retirement Case Files	GRS 1, item 39			
6.1 Administrative Program Records	Salary Adjustment and Administration System (SAAS)	GRS 1, item 38			
6.1 Administrative Program Records	Service Request Database	GRS 24, item 10b			
6.1 Administrative Program Records	Software Tracking	GRS 8, item 5			
6.1 Administrative Program Records	Supply Requisition Files	GRS 3, item 4 a			
6.1 Administrative Program Records	Time and Attendance Records	GRS 2, item 7			
6.1 Administrative Program Records	Timecards & Leave Requests	GRS2, item 7			
6.1 Administrative Program Records	Training and Eval Database	GRS 1, item 10			
6.1 Administrative Program Records	Travel Vouchers	GRS 6, item 1a			

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6.1 Administrative Program Records	Work Schedules	GRS 1, item 42
6.2 Administrative Guidance	Forms Database	GRS 16, item 3a
6.2 Administrative Guidance	IT Documents & Procedures	GRS 16, item 1
6.2 Administrative Program Records	Performance Standards database	GRS 16, item 1
6.2 Administrative Guidance/Mailing Lists	Rostal Sort	GRS 13, item 4b
6.2 Administrative Guidance	Technology Tips	GRS 16, item 1
6.2 Administrative Guidance	Training materials developed by or for FCA	N1-103-94-3, item 2a, b and c
6.3 Office Administrative Files	Administrative Files of the FCA Board	N1-103-87-3, item 6
6.3 Office Administrative Files	Office Administrative Files	GRS 23, item 1
6.3 Office Administrative Files	Minutes of Routine Administrative Meetings and Staff meetings	N1-103-99-2, item 6b
6.3 Office Administrative Files	Tracking and Control Records	GRS 23, item 8
7.1 Transitory Records	Transitory Files	GRS 23, item 7
7.3 Employee Reference Storage Areas	Official Files of Members of Farm Credit Administration Board. <i>Records Officer Note: In recent years these have typically consisted of trip folders and some subject files and do not contain substantive information.</i>	N1-103-89-4, item 4
Non-record	Reading/Chronological Files	NC1-103-77-1, item 11
Non-record	User Accounts	GRS 20, item 8
Obsolete	Training Materials related to FCA's primary functions. <i>Records Office Note: FCA has never produced these types of materials. Any materials would be covered under new schedule item 1.3 "Agency Guidance".</i>	N1-103-94-3, item 2b
Obsolete	Early Warning System <i>Records Office Note: The application that produced this data was discontinued over 5 years ago.</i>	N1-103-93-2, item 2

Superseded by:
GRS
DATE (MM/DD/YYYY):
Per 5/15/2019 correspondence

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FCA Rationale for Flexible Schedule

The Farm Credit Administration has reviewed NARA Bulletin 2008-04, “Guidance for Flexible Scheduling” and has determined that a “big bucket” or large aggregation, flexible schedule best meets its needs.

Below we have addressed the “considerations that help determine when it is most appropriate to use a “big bucket” or large aggregation flexible schedule” that are listed in item 8 of the Bulletin.

- a. ***The agency can clearly identify its mission and the work processes or business functions that allow it to accomplish that mission and wants to manage its records in the context of its work process or business functions.*** The Farm Credit Administration has a clearly defined and consistent mission of regulating the Farm Credit System and well-defined work processes. FCA’s business function can be broken down into 3 major responsibilities: 1) Under section 5.19 of 12 U.S.C. 2254, FCA is empowered to conduct examinations of Farm Credit System institutions. 2) Under item 9 of Section 5/17 of 12 U.S.C. 2252, FCA prescribes rules and regulations necessary or appropriate for carrying out its responsibilities under the Farm Credit Act. 3) Under section 5.17 of 12 U.S.C. 2252, FCA is empowered to issue and approve amendments to Federal charters of institutions of the System and also approve other types of activities of FCS institutions, including Bank funding requests. There have been no major statutory changes in FCA’s mission in almost 25 years. As a financial regulator of the Farm Credit System, the agency uses standard audit methodologies and work processes to handle these responsibilities. These processes have been adapted and improved as new information technology has developed that provides better analytical tools.

 - b. ***The agency wants to simplify all or part of its records control schedule by providing consistent or uniform disposition instructions (e.g. “harmonizing” disposition) to bodies of like records.*** A review of our current disposition instructions shows a variety of retentions. FCA is currently using 40 NARA-approved records retention schedules and 51 retention schedules from NARA’s General Records Schedule. As a small agency of less than 300 employees, we produce a correspondingly small volume of records. Where a large departmental agency may have rooms of identical records, FCA produces relatively small volumes of records – a few file drawers in most cases, or gigabytes, rather than terabytes of electronic data. In the case of administrative records, we may only have one folder for a particular record that is covered in the General Records Schedule. For this reason, it makes sense to reduce the number of retentions the Agency needs to follow in order to make work processes easier and more efficient. This is particularly true for records maintained electronically.
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Farm Credit Administration – Comprehensive Records Schedule

- c. ***The agency is able to clearly identify records in each business process or functional area in all media and all formats.*** As discussed above, FCA has three main functions and the major records produced can be readily identified. For example the main product of the examination of FCS institutions is an examination report. The main produce and records of the policy development function is the regulations we promulgate. The Agency performs an annual review of its recordkeeping systems, so has current information on the recordkeeping systems in the agency and any changes that may have occurred in recordkeeping practices.
- d. ***The agency wants to manage their records in the context of their work processes or business functions rather than by individual records series or electronic systems.*** As discussed above, FCA has a well-defined mission and standardized work processes that make managing our records by functions and business processes the most practical approach for us. As FCA's business processes become more and more integrated into the Agency's information technology platform, there is an even greater need to use a simplified and standardized approach that can be easily integrated in to new systems and applications as they are developed.
- e. ***The agency is in need of simplifying all or part of its business processes, and wishes to reduce the number of individual disposition instructions to ensure proper management of its records.*** FCA continuously refines and improves its work processes, leveraging information technology whenever possible to automate processes. As a result, much of our recordkeeping is migrating from paper to electronic sources. Simplified, comprehensive retention schedules will make disposition of records much easier, cost effective and understandable to employees.
- f. ***The agency is considering adopting a records management application (RMA) and managing records in larger aggregations will simplify recordkeeping for individual staff.*** FCA began using SharePoint in 2008, a Microsoft product that is used for collaboration and document management. SharePoint includes some records management functionality that allows records to be automatically deleted or moved to an electronic repository. Fewer, more standardized retentions will make recordkeeping more understandable to FCA employees,
- g. ***When organizational changes or changes in work methods are frequent, but the underlying function and purpose of the records does not change or remains substantially the same.*** FCA itself has not had much organizational change and its primary functions have had little change in the last 25 years. The function and purpose of FCA's recordkeeping has
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remained unchanged. Work methods do change frequently in order to regulate the ever-evolving financial industry.

Notes

- A rough draft of this Records Schedule was sent to NARA in 2008 for comment. As a result of further agency review, we have made the following revisions:
 - Arranged the schedule functionally
 - Revised retentions
 - Reviewed NARA Bulletin 2008-04, "Guidance for Flexible Scheduling" from NARA and have addressed the concepts laid out in this document. See above.
- FCA may request to transfer Permanent records in electronic format to NARA annually prior to their official transfer date, but these records should not be available to the public until they meet the legal transfer date. We would appreciate a recommendation from NARA as far as an electronic format that would be acceptable for transfer. We are currently planning on using PDF/A format for most transfer of textual materials and will continue to use ASCII format to transfer financial data.
- Although it is increasingly unlikely FCA will need to store hardcopy records at the Federal Records Center, we may need to transfer some hardcopy records when volume warrants.