

REQUEST FOR RECORDS DISPOSITION AUTHORITY
 (See instructions on reverse)

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 von Reyn 703-883-4120

LEAVE BLANK (NARA use only)

JOB NUMBER
 N1-103-99-2

DATE RECEIVED
 6/2/1999

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10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
 10-27-00 John W. Paul

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 6 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
 5/24/99 Cheryl Thomas Records Officer

7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	See attachment (8 items)		

8 Sent to Agency, NWMD, NWMU, NR, NWMF

1. **Audit Reports and Audit Case Files.** Audit reports and supporting case files of internal audits of agency programs, operations and procedures, and external audits of contractors. Case files contain correspondence, memoranda, and supporting working papers

ARRANGEMENT Chronological by fiscal year conducted, then sequentially by audit number

DISPOSITION

a Audit Reports

- 1 Audit reports of program/mission-related activities. - Permanent Send record copy to Central Files. Retire to FRC in 5-year blocks when most recent records are 15 years old. Offer to NARA in 10 year segments when 20 years old (New authority). Note: These records will be retired with "FCA Published Materials" (N1-103-94-3, item 1)
 - 2 Audit reports pertaining to agency administrative activities - Send record copy to Central Files. Central Files will destroy when 10 years old (New authority)
- b Audit Case Files May be transferred to Federal Records Center. Destroy 8 years after end of fiscal year in which the case is closed (Previous authority. GRS 22, item 2)
- c Audit Follow-up Files Files containing documentation on agency responses to audits -- Destroy 8 years after end of fiscal year in which the case is closed (Previous authority. GRS 22, item 2)
- d Electronic copies created by electronic mail and word processing and used for creation, updating, revision or reference purposes. -- Destroy when recordkeeping copy is produced, and no longer needed for updating, revision or reference, but no later than the destruction or transfer date for the record copy (New authority)

- 2 **Investigative Case Files.** Case files of investigations performed by the Inspector General's office

ARRANGEMENT: Chronological by fiscal year in which investigation was conducted

DISPOSITION

a Files relating to specific investigations.

- 1) Significant investigative cases Cases resulting in national media attention, Congressional investigation, and or substantive changes in Agency policy or procedures – PERMANENT. Cutoff when investigation is closed. Transfer to National Archives 10 years after cutoff (New authority)
 - 2) All other Cases. -- Cut off inactive file at the end of the fiscal year. Destroy 10 years after cutoff (Previous authority. GRS-22, item 1),
- b Files containing information or allegations which are of investigative nature but do not relate to a specific investigation They include anonymous or vague allegations not warranting an investigation, matters referred to constituents or other agencies for

handling, and support files providing general information, which may prove useful in investigations -- Files are maintained by the Office of Inspector General and are destroyed when 5 years old (Previous authority GRS 22, item 1a)

- c Electronic copies created by electronic mail and word processing and used for creation, updating, revision or reference purposes. -- Destroy when recordkeeping copy is produced, and no longer needed for updating, revision or reference, but no later than the destruction or transfer date for the record copy (New authority)

- 3 **Board Meeting Briefing Books (Meeting folders).** Record copy of the briefing materials prepared for each member prior to each Board meeting Contains background documentation relating to the topics to be discussed

ARRANGEMENT Chronological by meeting date

DISPOSITION

- a Record copy PERMANENT May be transferred to Federal Records Center Transfer to NARA when the most recent records are 20 years old (Previous Authority N1-103-87-3, items 1c) in 5-year blocks ^Δ
- b. Electronic copies created by electronic mail and word processing and used for creation, updating, revision or reference purposes. -- Destroy when recordkeeping copy is produced, and no longer needed for updating, revision or reference, but no later than the destruction or transfer date for the record copy (New authority)

- 4 **Notational Votes of the Farm Credit Administration Board.** The Farm Credit Administration Board will on occasion vote on items using a written, or notational, voting process rather than voting during a Board meeting The notational voting process involves the circulation of documentation discussing the issue to each Board member The Board member records his written vote for or against the proposal in the circulated documentation Each proposal circulated for notational voting is assigned a notational vote control number

The Secretary of the Board maintains the file of notational votes The file consists of the circulated documentation, the votes and comments of the Board members, and a log containing a subject index that references the notational vote number.

ARRANGEMENT Chronological by year, then sequential by notational vote number

DISPOSITION

- a Record Copy PERMANENT ^{Maybe transferred to Federal Records Center.} Transfer to NARA when the most recent records are 20 years old (Previous Authority N1-103-87-3, item 2) in 5-year blocks ^Δ
- b. Electronic copies created by electronic mail and word processing and used for creation, updating, revision or reference purposes. -- Destroy when recordkeeping copy is produced, and no longer needed for updating, revision or reference, but no later than the destruction or transfer date for the record copy (New authority)

- 5 Electronic Mail (Item withdrawn)

Δ Changes approved by agency, JVR, August 8, 2000. ^{PHH} Via telephone.

○ Changes approved by agency, JVR, August 9, 2000. ^{PHH} Via telephone.

N1-103-98-2

6. **Meeting Minutes.** Records in either hardcopy or electronic format that document business transacted at meetings (Minutes of the FCA Board are scheduled separately under N1-103-87-3, item 1)
- a. Minutes of Senior Staff and other meetings discussing the agency's program and mission that document the unique, substantive functions for which FCA is responsible. These include meetings of special task forces and committees charged with developing policies pertaining to FCA's mission
- DISPOSITION Permanent Send to subject files (CF-2) ~~Transfer with subject files to the appropriate file~~ *Transfer to National Archives in 10 year segments when 20 years old.**
- b. Minutes of Routine Administrative Meetings and Staff meetings that are informational and administrative in nature
- DISPOSITION Destroy when 3 years old or when no longer needed for reference, whichever is sooner ~~(Similar to GRS-16, item 8(b)-1)~~ *
- c. Electronic copies created by electronic mail and word processing and used for creation, updating, revision or reference purposes. -- Destroy when recordkeeping copy is produced, and no longer needed for updating, revision or reference, but no later than the destruction or transfer date for the record copy (New authority).

7. **User Accounts.** Each FCA employee is granted a file/storage space on the network computer system. These workspaces are the personal accounts of individual users of the computer system. Employees use them to store electronic files they receive or create. Employees send the record copies to the official files of the agency, so these workspaces do not contain official records. These accounts are deactivated by IRD when the employee separates from the agency.
- DISPOSITION Deactivate accounts upon notification of separation of employee or discontinuation of account. Archive inactive accounts semiannually. Delete/destroy archived accounts 3 years after downloading (New authority)

8. **FCA 1000 Database.** Contains quantitative examination results on each FCS institution, including the CAMEL rating. Information is obtained from page one of FCA form 1000, which is completed after the examination of each Farm Credit System institution. System contains data from 1986 to present

DISPOSITION

1) **System data**

- a. Permanent copy -- Transfer to National Archives when data is 10 years old. Restrict access for 20 years (Previous authority N1-103-93-2, item 1F1(a))
- b. FCA copy - Store data off-line when 12 years old. Delete data when 30 years old, or when no longer needed, whichever is sooner (Previous authority N1-103-93-2, item 1F1(b))

* Changes approved by agency, JVR, June 28, 2000. *RKH* via telephone.

N1-103-99-2 Commentary

No.	Series Name	Comments
1	Audit Reports and Audit Case Files	1a1. Program-related audit reports are being scheduled as permanent Retention will be the same as the disposition authority for FCA Publications (N1-103-94-3, item 1b) so the small volume of audit reports can be retired at the same time as agency publications 1a2 Audit reports of administrative activities are being scheduled for disposal when 10 years old 1b Audit Case Files are being disposed of when 8 years old – same retention as the old GRS22, item 2 1c. Audit Follow-up Files – same retention as 1 b above 1d New schedule for electronic copies of above
2	Investigations and Investigative Case Files	2a1 New schedule item for significant investigations Proposing permanent retention 2a2 Other investigative cases will be destroyed when 10 years old This follows the old GRS 22 retention 2b Investigative information will be destroyed when 5 years old This follows the old GRS 22 retention. 2c New schedule for electronic copies of above
3	Board Meeting Briefing Books	3a Schedule is being changed so records will be transferred to NARA when 20 years old instead of 10 years 3b New schedule for electronic copies of above
4	Notational Votes of FCA Board.	4a. Schedule is being changed so records will be transferred to NARA when 20 years old instead of 10 years 4b New schedule for electronic copies of above
5	Email	<i>As discussed with NARA, this item is being withdrawn.</i> 5a1 New schedule provides for filing email documenting FCA mission activities in the appropriate recordkeeping system 5a2 New schedule for electronic copies of above 5b1 New schedule provides for deletion of administrative/non-mission email when it is no longer needed or when 3 years old 5b2 New schedule for electronic copies of above
6	Meeting Minutes	6a New schedule provides for filing meeting minutes documenting FCA mission activities in the appropriate recordkeeping system 6b New schedule provides for disposal of meeting minutes pertaining to administrative/non-mission matters when they are no longer needed or when 3 years old, whichever is sooner (similar to GRS16, item 8b1) * 6c New schedule for electronic copies of above
7	User Accounts	7 New schedule provides for deletion of user accounts when 3 years after employee leaves the agency.
8	FCA 1000 Database	8a Schedule is being changed Previous schedule called for transferring 2 copies – public access version and restricted version. Because data is sensitive and cannot be easily segregated, FCA proposes to send only one restricted copy 8b Schedule is being changed to retain data for 30 years instead of 10 years FCA needs agency copy for FCA research/trend purposes and therefore needs to maintain FCA copy for 30 years

* Changes approved by agency, JVR, June 28, 2000. *RHH* Via telephone.