

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b> (See Instructions on reverse)		<b>LEAVE BLANK (NARA use only)</b>	
TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER NI-258-08-5	DATE RECEIVED 5/12/08
1. FROM (Agency or establishment) United States Department of Agriculture		NOTIFICATION TO AGENCY	
2. MAJOR SUBDIVISION Risk Management Agency (RMA)			
3. MINOR SUBDIVISION			
4. NAME OF PERSON WITH WHOM TO CONFER Erin Tecce or Debbie Lackey	5. TELEPHONE 816 926-7394	DATE 7/7/09	ARCHIVIST OF THE UNITED STATES <i>Adriane Thomas</i>

6. AGENCY CERTIFICATION  
I hereby certify that I am authorized to act for this agency in the matters pertaining to the disposition of its records and that the records proposed for disposal attached **2** page(s) are not 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 5/2/08	SIGNATURE OF AGENCY REPRESENTATIVE Rodger M Matthews <i>Rjmatthews</i>	TITLE Agency Records Coordinator
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7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
1	<p>The Federal Agriculture Improvement and Reform Act of 1996 established Risk Management Agency (RMA) Prior to 1996, the Federal Crop Insurance Corporation (FCIC) administered crop insurance programs</p> <p>The role of RMA is to help producers manage their business risk through effective, market based risk management solutions and to preserve and strengthen the economic stability of America's agricultural producers RMA operates and manages the FCIC in accordance with the Act</p> <p>This schedule is applicable to all records regardless of medium</p> <p><b>Program/Crop/Plans of Insurance Files</b></p> <p>Program-Specific, Crop-specific and Plans of Insurance specific Correspondence, Decision Memorandums, Congressional Correspondence, Legal Advice and Opinions Correspondence</p> <p><b>DISPOSITION:</b> Cutoff at the end of the calendar year. Destroy 7 years after cutoff.</p>		
2	<p><b>Program/Crop/Plans of Insurance Pilot Program-Specific Records</b></p> <p>Records include correspondence related to Specific RMA Pilot Programs</p> <p><b>DISPOSITION:</b> Cutoff when the pilot becomes a regulatory program or is terminated. Transfer to the Federal Records Center 5 years after cutoff. Destroy 10 years after cutoff.</p>		

REQUEST FOR RECORDS DISPOSITION AUTHORITY-CONTINUATION		JOB NUMBER	PAGE 2 OF 2
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
3	<p><b>Program/Crop/Plans of Insurance Reports and Testimonies to Congress</b></p> <p>Records include program-specific reports and testimonies</p> <p><b>DISPOSITION:</b> Cutoff at the end of the calendar year. Transfer to the Federal Records Center 3 years after cutoff. Destroy 7 years after cutoff.</p>		
4	<p><b>508(h) Program Documentation (excludes Final Policy Materials)</b></p> <p>Records include General and specific 508(h) correspondence, original submissions, Internal and External Reviews, Board Material and Resolutions, OGC Comments, Reimbursement Requests and Actions, Electronic Submissions, Official Electronic Files and Additional Documentation</p> <p><b>DISPOSITION:</b> <del>Cutoff at the end of the calendar year. Transfer to the Federal Records Center 7 years after cutoff. Destroy 10 years after cutoff.</del> Cut off after final Board action. Transfer to Federal Records Center 7 years after cutoff. DESTROY 25 years after cutoff</p>		
5	<p><b>508(h) Program Final Policy Materials</b></p> <p>Records include Board Approved 508(h) Program Final Policy forms, policy, and materials</p> <p><b>DISPOSITION:</b> Cutoff after final Board action. Transfer to NARA 7 years after cutoff. <b>Permanent</b></p>		
6	<p><b>General Program/Crop/Plans of Insurance</b></p> <p>General program correspondence and records not scheduled elsewhere</p> <p><b>DISPOSITION:</b> Cutoff at the end of the calendar year. Destroy 3 years after cutoff.</p> <p>* see e-mail dated 11.24.2008 approving change.</p>		



# *National Archives and Records Administration*

**CENTRAL PLAINS REGION**  
2312 EAST BANNISTER ROAD  
KANSAS CITY, MISSOURI 64131-3011  
*www.nara.gov/regional*

Date: November 21, 2008  
Appraiser: Robin Riat, NREM  
Agency: Risk Management Agency  
Subject: N1-258-08-5

## **INTRODUCTION**

### **Schedule Overview**

Program, Crop, and Plans of Insurance Files

### **Administrative History**

The Risk Management Agency (RMA), part of the U.S. Department of Agriculture, was established in 1996 by the Federal Agriculture Improvement and Reform Act. RMA provides crop insurance to American agricultural producers via the Federal Crop Insurance Corporation (FCIC, established 1938), which it operates and manages. While private-sector companies sell and service crop insurance policies, RMA develops and approves the premium rates, administers premium and expense subsidies, approves and supports insurance products, and reinsures the companies. RMA also sponsors educational and outreach programs on risk management.

### **Additional Background Information**

RMA has three primary divisions. Insurance Services oversees program delivery, managing the contracts with the companies that sell and service policies. Product Management oversees crop insurance product development. Risk Compliance monitors producer and insurance company compliance with the program. RMA insures approximately 100 different crops, ranging from almonds to fruit trees to wheat. More background information may be found on RMA's Web site at <http://www.rma.usda.gov>

### **Overall Recommendation**

I recommend approval of the attached schedule with the changes outlined in item 4

## **APPRAISAL**

### **Item 1: Program/Crop/Plans of Insurance Files**

The records described by this item consist of files documenting specific crop insurance plans for each of the over 100 crops insured by RMA. Background and program administrative information for each insurance program is captured in the files. Records are typically filed by program or crop name, and files are usually subdivided by document type, such as decision memoranda, Congressional correspondence, etc.

**Proposed Disposition:** Temporary

**Appropriateness of Proposed Disposition:** Appropriate

**Appraisal Justification:**

- Records have little or no research value
- Records do not document significant actions of Federal officials

#### **Adequacy of Proposed Retention Period(s) for temporary records**

Adequate from the standpoint of legal rights and accountability. These are routine program administration records.

**Media Neutrality:** Approved

### **Item 2: Program/Crop/Plans of Insurance Pilot Program-Specific Records**

The records covered by this item include correspondence and other supporting documentation for specific RMA Pilot Programs. Pilot Programs are used to test and evaluate the feasibility of new crop insurance products before they are considered for conversion to permanent programs.

**Proposed Disposition:** Temporary

**Appropriateness of Proposed Disposition:** Appropriate

**Appraisal Justification:**

- Records have little or no research value.
- Records do not document significant actions of Federal officials

#### **Adequacy of Proposed Retention Period(s) for temporary records**

Adequate from the standpoint of legal rights and accountability. These are routine program administration records.

**Media Neutrality:** Approved

### **Item 3: Program/Crop/Plans of Insurance Reports and Testimonies to Congress**

**Proposed Disposition:** Temporary

**Appropriateness of Proposed Disposition.** Appropriate

**Appraisal Justification**

- Records have little or no research value.
- Records do not document significant actions of Federal officials.

**Adequacy of Proposed Retention Period(s) for temporary records:**

Adequate from the standpoint of legal rights and accountability These are routine program administration records

**Media Neutrality** Approved

### **Item 4: 508(h) Program Documentation (excludes Final Policy Materials)**

508(h) refers to the numbered section in the Federal Crop Insurance Act The 508(h) program is the process through which FCIC and RMA consider potential new crop insurance programs and products that are proposed by private entities New 508(h) insurance products approved through this process are made available nationwide and must be reinsured by RMA The submitter is also eligible for reimbursement of research and development costs for the product. The records described in this section consist of concept proposals, background documentation for each proposal, including the original submission, correspondence, internal and external reviews, and reports on methodology.

I met with RMA Records Managers and Program staff on Nov. 20 to review these records After further discussion with staff, RMA wishes to modify the disposition instructions in this item from "Cutoff at the end of the calendar year. Transfer to the Federal Records Center 7 years after cutoff. Destroy 10 years after cutoff" to.

Cut off after final Board action. Transfer to Federal Records Center 7 years after cutoff. Destroy 25 years after cutoff

This aligns the cutoff with the related records in item 5 (see below) and extends the retention period to better meet RMA program needs

**Proposed Disposition** Temporary

**Appropriateness of Proposed Disposition:** Appropriate with changes described above

**Appraisal Justification.**

- Records do not document significant actions of Federal officials
- Captured elsewhere in permanent records (see item 5 of this schedule – 508(h) Program Final Policy Materials)

**Adequacy of Proposed Retention Period(s) for temporary records**

Adequate from the standpoint of legal rights and accountability

**Media Neutrality** Approved

**Item 5: 508(h) Program Final Policy Materials**

The materials covered by this item include the final policy docket materials reviewed and decided by the FCIC Board. New 508(h) insurance products approved through this process are made available nationwide and must be reinsured by RMA. The submitter is also eligible for reimbursement of research and development costs for the product. These decisions represent the final action taken regarding the proposals submitted for consideration.

**Proposed Disposition:** Permanent

**Appropriateness of Proposed Disposition:** Appropriate

**Appraisal Justification**

- Records document significant actions of Federal officials

**Adequacy of Proposed Transfer Instructions (permanent records)**

Appropriate. Current record copies are maintained in paper form. Transfer instructions as written will help to ensure that any future electronic versions of these documents will be transferred to NARA for maintenance and preservation in a timely fashion.

**Media Neutrality:** Approved

**Format of records:**

The official record copies of these materials are currently maintained in paper form. Future materials may be scanned from paper to PDF or saved/printed directly to PDF and maintained in an agency records management application with associated metadata. The agency is aware of NARA's guidance for transfer of records in PDF format and scanned textual records.

**Volume of records:**

Less than one cubic foot per year. Existing paper records date from the 1990s to the present – estimated current volume is one to two cubic feet, total.

**Item 6: General Program/Crop/Plans of Insurance**

This item covers additional routine, general supporting and background documentation not covered elsewhere in the schedule.

**Proposed Disposition:** Temporary

**Appropriateness of Proposed Disposition:** Appropriate

**Appraisal Justification:**

- Records have little or no research value.
- Records do not document significant actions of Federal officials.

**Adequacy of Proposed Retention Period(s) for temporary records**

Adequate from the standpoint of legal rights and accountability.

**Media Neutrality:** Approved

Appraiser

*Robin Riat*

Robin Riat, CRM

Senior Records Analyst

National Archives and Records Administration – Central Plains Region

**From:** Robin Riat  
**To:** kitty.carter@nara.gov  
**Date:** 11/21/2008 10:46:11 AM  
**Subject:** RMA N1-258-08-5 (Program, Crop, and Plans of Insurance Files)

Hi Kitty,

The appraisal report for N1-258-08-5 is attached. I am recommending approval of the schedule with one change to item 4.

I met with RMA Records Managers Erin Tecce and Debbie Lackey and with RMA program staff on Nov 20 to review some questions I had about the 508(h) records described in items 4 and 5 of this schedule. After further discussion with staff, RMA wishes to change the cutoff and disposition instructions in item four from "Cutoff at the end of the calendar year. Transfer to the Federal Records Center 7 years after cutoff. Destroy 10 years after cutoff" to this:

"Cut off after final Board action. Transfer to Federal Records Center 7 years after cutoff. Destroy 25 years after cutoff."

This aligns the cutoff with the related records in item 5 and extends the retention period to better meet staff needs for the program documentation described in item 4.

I have noted that change in the appraisal report.

If you'd like additional written confirmation from RMA, please let me know.

Thanks,  
Robin

Robin Riat, CRM  
Senior Records Analyst  
NARA-Central Plains Region  
2312 East Bannister Road, KC, MO 64131  
(816) 268-8035

# REQUEST FOR STAKEHOLDER UNIT ACTION

Job No N1-258-~~2015~~ Date sent 12/8/2008 Date received 12-10-2008  
Program/Crop/Plans of Insurance

Return to sender by 12/16/2008

Route To (CIRCLE APPROPRIATE STAKEHOLDER)
1. <u>NWME; NWMWN; NWMD; NWCS; NWCT; NWCT-2P; NWCT-2R; NWCTF; NWL; NWM, NR</u>
Return to

- A  This Job has also been sent to NWME; NWMWN; NWMD; NWCS; NWCT; NWCT-2P; NWCT-2R; NWCTF; NWL; NWM, NR
- B  NWML general comments on this job GRS 20 submission Are any permanent series covered by the schedule subject to such high reference use that NARA should consider retaining electronic copies in addition to recordkeeping copies? If so, specify
- C  NWML wishes assistance in appraising these records

FOR STAKEHOLDER USE Check and fill out the line that applies

- 1 Waives informal review \_\_\_ wants /  does not want to receive completed job
- \_\_\_ 2 Wishes to review appraisal report \_\_\_ wants/ \_\_\_ does not want to receive completed job
- \_\_\_ 3 Wishes to participate directly in the appraisal of the entire job or the following selected items  
\_\_\_\_\_ SHU point of contact for appraisal is  
\_\_\_\_\_ - phone no \_\_\_\_\_

SHU comments \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Date Sent 12-15-2008 SHU Signature Madelaine Proctor

NWML Contact <b>KITTY CARTER</b>	Room number <b>5320</b>
	Phone No <b>x71582</b>



# National Archives and Records Administration

8601 Adelphi Road  
College Park, Maryland 20740-6001

Date: 12 December 2008  
To: NWML  
From: Paula Larich, NWME  
Subject: N1-258-08-005: Risk Management Agency

Thank you for sending for review the appraisal report of the proposed disposition schedule (N1-258-08-005) submitted by the Risk Management Agency, Department of Agriculture, for possible future electronic records. There are six items on this schedule, as well as on the accompanying appraisal report.

The Risk Management Agency proposes temporary disposition instructions for five items. We agree with NWML's appraisal analysis that these items do not warrant long-term preservation.

The Risk Management Agency proposes permanent disposition instructions for one item (item 5: Program Final Policy Materials). We agree with NWML's appraisal analysis that this item has historical value that will document high-level Department of Agriculture policies and activities.

Media neutrality was requested, and approved, for this schedule.

*P. Larich*

P. LARICH  
Archivist  
Electronic and Special Media Records Services Division

Concurrence:

*Margaret Christ Adams*      DEC 17 2008  
\_\_\_\_\_  
MARGARET ADAMS      Date  
Supervisor  
Electronic and Special Media Records Services Division

Concurrence:

*Michael Carlson*      12/15/2008  
\_\_\_\_\_  
MICHAEL CARLSON      Date  
Director  
Electronic and Special Media Records Services Division

**REQUEST FOR STAKEHOLDER UNIT ACTION:  
INFORMAL REVIEW OF APPRAISAL REPORT**

Job Number: N1-258-08-5

ROUTE TO: NWME M. ADAMS	DATE SENT: December 8, 2008	DATE RECEIVED.  DEC -9 2008
[REDACTED]	DATE DUE TO SENDER December 31, 2008	DATE RECEIVED BY SENDER

**FOR STAKEHOLDER USE.** This job is transmitted for review of the appraisal report

Concur:  Date: 12/30/08 Signature M. Adams, NWME

Comment: please see attached memo

Do Not Concur:  Date: \_\_\_\_\_ Signature: \_\_\_\_\_

Comment: \_\_\_\_\_

Contact: KITTY CARTER Tel. No 301-837-1582

<p align="center">USE THIS FOR CONCURRENCES, APPROVALS, CLEARANCES, OR OTHER SIMILAR ACTIONS ATTACH ADDITIONAL FORMAL COMMENTS IF NEEDED</p>
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# REQUEST FOR STAKEHOLDER UNIT ACTION

Job No N1-258-08-5

Date sent: July 16, 2008

Date received JUL 16 2008

Return to sender by July 25, 2008

Route To (CIRCLE APPROPRIATE STAKEHOLDER)
1. NWME; NWMWN; NWMD; NWCS; NWCT; NWCT-2P; NWCT-2R; NWCTF; NWL; NWM, NR
Return to

- A  This Job has also been sent to NWME; NWMWN; NWMD; NWCS; NWCT; NWCT-2P; NWCT-2R; NWCTF; NWL; NWM, NR
- B  NWML general comments on this job GRS 20 submission Are any permanent series covered by the schedule subject to such high reference use that NARA should consider retaining electronic copies in addition to recordkeeping copies? If so, specify
- C  NWML wishes assistance in appraising these records

FOR STAKEHOLDER USE Check and fill out the line that applies

- 1 Waives informal review  wants /  does not want to receive completed job
- 2 Wishes to review appraisal report  wants /  does not want to receive completed job
3. Wishes to participate directly in the appraisal of the entire job or the following selected items  
\_\_\_\_\_ SHU point of contact for appraisal is  
\_\_\_\_\_ - phone no \_\_\_\_\_

SHU comments \_\_\_\_\_  
\_\_\_\_\_ *One permanent, possibly electronic,*  
\_\_\_\_\_ *items*

Date Sent July 23, 08

SHU Signature Craig Smith

NWML Contact <b>KITTY CARTER</b>	Room number <b>5320</b>
	Phone No <b>x71582</b>

# REQUEST FOR STAKEHOLDER UNIT ACTION

Job No N1-258-08-5 Date sent May 19, 2008 Date received \_\_\_\_\_

Return to sender by May 26, 2008

Route To (CIRCLE APPROPRIATE STAKEHOLDER)
I. <del>NWME; NWMW; NWMD; NWCS; NWCT; NWCT-2P; NWCT-2R; NWCTF; NWL; NWM, NR</del>
Return to

- A  This Job has also been sent to ~~NWME; NWMW; NWMD; NWCS; NWCT; NWCT-2P; NWCT-2R; NWCTF; NWL; NWM, NR~~
- B  NWML general comments on this job GRS 20 submission Are any permanent series covered by the schedule subject to such high reference use that NARA should consider retaining electronic copies in addition to recordkeeping copies? If so, specify
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FOR STAKEHOLDER USE Check and fill out the line that applies

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\_\_\_\_\_ SHU point of contact for appraisal is  
\_\_\_\_\_ - phone no \_\_\_\_\_

SHU comments \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Date Sent 5/22/08 SHU Signature [Signature]

NWML Contact <b>KITTY CARTER</b>	Room number <b>5320</b>
	Phone No.: <b>x71582</b>

# REQUEST FOR STAKEHOLDER UNIT ACTION

Job No N1-258-08-5 Date sent May 19, 2008 Date received \_\_\_\_\_

Return to sender by: May 26, 2008

Route To (CIRCLE APPROPRIATE STAKEHOLDER)
1. <del>NWME</del> ; <del>NWMW</del> ; <del>NWMD</del> ; <del>NWCS</del> ; <del>NWCT</del> <u>NWCT-2P</u> ; <u>NWCT-2R</u> ; <del>NWCTF</del> ; <del>NWL</del> ; <del>NWM</del> , <u>NR</u>
Return to:

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FOR STAKEHOLDER USE Check and fill out the line that applies

- X 1 Waives informal review X wants / \_\_\_ does not want to receive completed job
- \_\_\_ 2 Wishes to review appraisal report \_\_\_ wants/ \_\_\_ does not want to receive completed job
- \_\_\_ 3. Wishes to participate directly in the appraisal of the entire job or the following selected items:  
\_\_\_\_\_  
\_\_\_\_\_- phone no \_\_\_\_\_

SHU comments: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Date Sent 23 May 08 SHU Signature Jackie Arly

NWML Contact. <b>KITTY CARTER</b>	Room number. <b>5320</b>
	Phone No.: <b>x71582</b>

# REQUEST FOR STAKEHOLDER UNIT ACTION

Job No N1-258-08-5 Date sent May 19, 2008 Date received MAY 20 2008

Return to sender by May 26, 2008

Route To (CIRCLE APPROPRIATE STAKEHOLDER)
I. <del>NWME; NWMW; NWMD; NWCS; NWCT; NWCT-2P; NWCT-2R; NWCTF; NWL; NWM, NR</del>
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\_\_\_\_\_ SHU point of contact for appraisal is  
\_\_\_\_\_ - phone no \_\_\_\_\_

SHU comments \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Date Sent 5/27/08 SHU Signature *Nancy Jones*

NWML Contact <b>KITTY CARTER</b>	Room number <b>5320</b>
	Phone No.: <b>x71582</b>