

National Archives and Records Administration
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0103-2023-0001

Status: APPROVED
Date Approved: 10/09/2024

General Information

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|--------------------------------------------------------------------|-----------------------------------------------------------------------------|
| Agency or Establishment | Farm Credit Administration |
| Record/Scheduling Group | 0103 - Records of the Farm Credit Administration |
| Records Schedule Applies To | Agency Subdivision |
| Major Subdivision | Office of Inspector General |
| Minor Subdivision | N/A |
| Schedule Subject | Records of the Office of Inspector General |
| Is There a Classified Version of This Schedule? | No |
| Is consultation and coordination with Tribal Governments required? | No - the records covered by this schedule do not implicate Tribal interests |

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Item Count

Total number of disposition items: 8

Number of Temporary disposition items: 5

Number of Permanent disposition items: 3

Number of Items with Disposition Not Approved: 0

Number of Inactive disposition items: 0

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Outline of Records Schedule Items for DAA-0103-2023-0001

| Item # | Title | Disposition |
|---------------|--------------------------------------------------------------------------------------------|--------------------|
| 0001 | Final Reports of Audits, Inspections, Evaluations and Other Reviews with Significant Value | Permanent |
| 0002 | All Other Final Reports of Audits, Inspections, Evaluations and Other Reviews | Temporary |
| 0003 | Audit, Inspection, Evaluation, and Other Review Workpapers | Temporary |
| 0004 | Significant Investigative Records | Permanent |
| 0005 | Complaint Records | Temporary |
| 0006 | Semiannual Reports to Congress and Substantive Non-Routine Congressional Correspondence | Permanent |
| 0007 | Semiannual Reports to Congress Supporting Documentation | Temporary |
| 0008 | Educational Records | Temporary |

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Records Schedule Items

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| DAA-0103-2023-0001-0001 | | STATUS: Active |
| ITEM GENERAL INFORMATION | | |
| Item Title | Final Reports of Audits, Inspections, Evaluations and Other Reviews with Significant Value | |
| Item Description | 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 report concerns the examination or regulation of the Farm Credit System. | |
| Is this item media neutral? | Yes | |
| Is this item a Big Bucket? | No | |
| MANUAL CITATION | | |
| Agency Code | 8.1 | |
| Manual Title | Farm Credit Administration Comprehensive Records Schedule | |
| SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS | | |
| Does this item supersede existing disposition authorities? | Yes | |
| | Superseded Items | |
| Superseded Item | Item Superseded in Part? | Explanation |
| DAA-0103-2018-0001-0001 | No | |
| Is this item a deviation from the GRS? | No | |
| DISPOSITION INSTRUCTION | | |
| Final Disposition | Permanent | |
| Cutoff Instructions | Cut off at end of Fiscal year when report is issued. | |
| Are there multiple instructions for this item? | Yes | |
| | Instructions | |
| Records to which this instruction applies | Transfer Instruction | |
| Textual data | Other: Transfer to the National Archives in 5 year blocks for Accessioning when the most recent record is 20 years old. | |

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| ADDITIONAL INFORMATION | |
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| Current Records Format | Textual data:50 MB or less |
| Approximate first year of records covered by this authority | 1989 |
| End year of records covered by this authority | Still being created |
| Date span of the initial transfer | From: 01/01/1989 To: --/--/---- |
| Frequency of transfer | 5 |
| Are any of the records covered by this item subject to a FOIA exemption? | Yes |
| FOIA Exemption(s) | Other, FOIA (b)(5) Inter-agency or Intra-agency Memorandums or Letters Not Available by Law, FOIA (b)(6) Personal Information, FOIA (b)(8) Regulation or Supervision of Financial Institutions |

| DAA-0103-2023-0001-0002 | | STATUS: Active |
|--------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------|
| ITEM GENERAL INFORMATION | | |
| Item Title | All Other Final Reports of Audits, Inspections, Evaluations and Other Reviews | |
| Item Description | 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. | |
| Is this item media neutral? | Yes | |
| Is this item a Big Bucket? | No | |
| MANUAL CITATION | | |
| Agency Code | 8.2 | |
| Manual Title | Farm Credit Administration Comprehensive Records Schedule | |
| SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS | | |
| Does this item supersede existing disposition authorities? | Yes | |
| | Superseded Items | |
| Superseded Item | Item Superseded in Part? | Explanation |
| DAA-0103-2018-0001-0002 | No | |
| Is this item a deviation from the GRS? | No | |
| DISPOSITION INSTRUCTION | | |
| Final Disposition | Temporary | |

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| Cutoff Instructions | Other: Cutoff at the end of the fiscal year in which the report is issued. |
| Retention Period | Destroy 10 year(s) after cutoff |
| ADDITIONAL INFORMATION | |
| Are any of the records covered by this item national security classified? | No |
| GAO Approval Required | No |

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| DAA-0103-2023-0001-0003 | | STATUS: Active | |
| ITEM GENERAL INFORMATION | | | |
| Item Title | Audit, Inspection, Evaluation, and Other Review Workpapers | | |
| Item Description | 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. | | |
| Is this item media neutral? | Yes | | |
| Is this item a Big Bucket? | No | | |
| MANUAL CITATION | | | |
| Agency Code | 8.3 | | |
| Manual Title | Farm Credit Administration Comprehensive Records Schedule | | |
| SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS | | | |
| Does this item supersede existing disposition authorities? | Yes | | |
| Superseded Item | Superseded Items | | |
| | Item Superseded in Part? | Explanation | |
| DAA-0103-2018-0001-0003 | No | | |
| Is this item a deviation from the GRS? | No | | |
| DISPOSITION INSTRUCTION | | | |
| Final Disposition | Temporary | | |
| Cutoff Instructions | Other: Cutoff at the end of fiscal year in which the associated report is issued. | | |

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| Retention Period | Destroy 10 year(s) after cutoff |
| ADDITIONAL INFORMATION | |
| Are any of the records covered by this item national security classified? | No |
| GAO Approval Required | No |

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| DAA-0103-2023-0001-0004 | STATUS: Active |
| ITEM GENERAL INFORMATION | |
| Item Title | Significant Investigative Records |
| Item Description | 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 investigation substantiates allegations of wrongdoing by the subject of the investigation when the subject is a member of the FCA Board or a senior management official (grade VH-42 and higher). It should be noted that investigative reports include a conclusion as to whether an allegation of wrongdoing under investigation (a violation of law, rule, or regulation, gross mismanagement, abuse of authority, or something similar) supported by OIG findings; (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 investigation concerns the examination or regulation of the Farm Credit System. 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. |
| Is this item media neutral? | Yes |
| Is this item a Big Bucket? | No |
| MANUAL CITATION | |
| Agency Code | 8.4 |
| Manual Title | Farm Credit Administration Comprehensive Records Schedule |
| SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS | |
| Does this item supersede existing disposition authorities? | Yes |
| | Superseded Items |

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| Superseded Item | Item Superseded in Part? | Explanation |
|--------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------|
| DAA-0103-2018-0001-0004 | No | |
| Is this item a deviation from the GRS? | No | |
| DISPOSITION INSTRUCTION | | |
| Final Disposition | Permanent | |
| Cutoff Instructions | Cut off at end of Fiscal year when case is closed. | |
| Are there multiple instructions for this item? | No | |
| Transfer Instruction | Other: Transfer to the National Archives in five-year blocks when the most recent record is twenty years old. | |
| ADDITIONAL INFORMATION | | |
| Current Records Format | Textual data:100 MB | |
| Approximate first year of records covered by this authority | 1989 | |
| End year of records covered by this authority | Still being created | |
| Date span of the initial transfer | From: 01/01/1989 To: 12/31/1999 | |
| Frequency of transfer | 5 | |
| Are any of the records covered by this item subject to a FOIA exemption? | Yes | |
| FOIA Exemption(s) | Other, FOIA (b)(3) Statute, FOIA (b)(5) Inter-agency or Intra-agency Memorandums or Letters Not Available by Law, FOIA (b)(6) Personal Information, FOIA (b)(7c) Law Enforcement, FOIA (b)(7d) Law Enforcement, FOIA (b)(7e) Law Enforcement, FOIA (b)(8) Regulation or Supervision of Financial Institutions | |
| What is the related statute for the FOIA B(3) exemption? | incorporating 5 U.S.C. § 407(b) | |

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| DAA-0103-2023-0001-0005 | STATUS: Active |
| ITEM GENERAL INFORMATION | |
| Item Title | Complaint Records |

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| Item Description | 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; online forms; 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 DAA-0103-2023-0001-0004 (Significant Investigative Records) and DAA-0103-2018-0001-0005 (Non-significant Investigative Records). | |
| Is this item media neutral? | Yes | |
| Is this item a Big Bucket? | No | |
| MANUAL CITATION | | |
| Agency Code | 8.6 | |
| Manual Title | Farm Credit Administration Comprehensive Schedule | |
| SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS | | |
| Does this item supersede existing disposition authorities? | Yes | |
| | Superseded Items | |
| Superseded Item | Item Superseded in Part? | Explanation |
| DAA-0103-2018-0001-0006 | No | |
| Is this item a deviation from the GRS? | No | |
| DISPOSITION INSTRUCTION | | |
| Final Disposition | Temporary | |
| Cutoff Instructions | Other: 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 | | |
| Are any of the records covered by this item national security classified? | No | |

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| GAO Approval Required | No |
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| DAA-0103-2023-0001-0006 | | STATUS: Active |
| ITEM GENERAL INFORMATION | | |
| Item Title | Semiannual Reports to Congress and Substantive Non-Routine Congressional Correspondence | |
| Item Description | <p>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 the Inspector General Act of 1978, as amended, 5 U.S.C. § 405(b). 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.</p> | |
| Is this item media neutral? | Yes | |
| Is this item a Big Bucket? | No | |
| MANUAL CITATION | | |
| Agency Code | 8.7 | |
| Manual Title | Farm Credit Administration Comprehensive Schedule | |
| SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS | | |
| Does this item supersede existing disposition authorities? | Yes | |
| | Superseded Items | |
| Superseded Item | Item Superseded in Part? | Explanation |
| DAA-0103-2018-0001-0007 | No | |
| Is this item a deviation from the GRS? | No | |
| DISPOSITION INSTRUCTION | | |
| Final Disposition | Permanent | |
| Cutoff Instructions | Other: Cutoff at the end of fiscal year in which the report or correspondence were generated. | |
| Are there multiple instructions for this item? | No | |

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| Transfer Instruction | Other: Transfer to the National Archives in 5-year blocks for Accessioning when the most recent record is 15 years old. |
| ADDITIONAL INFORMATION | |
| Current Records Format | Textual data:60 MB |
| Approximate first year of records covered by this authority | 1989 |
| End year of records covered by this authority | Still being created |
| Date span of the initial transfer | From: 01/01/1989 To: --/--/---- |
| Frequency of transfer | 5 |
| Are any of the records covered by this item subject to a FOIA exemption? | No |

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| DAA-0103-2023-0001-0007 | | STATUS: Active | |
| ITEM GENERAL INFORMATION | | | |
| Item Title | Semiannual Reports to Congress Supporting Documentation | | |
| Item Description | Supporting documentation for Semiannual Reports to Congress, including correspondence, comments, justifications and other background notes related to the preparation of the final reports. | | |
| Is this item media neutral? | Yes | | |
| Is this item a Big Bucket? | No | | |
| SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS | | | |
| Does this item supersede existing disposition authorities? | Yes | | |
| | Superseded Items | | |
| Superseded Item | Item Superseded in Part? | Explanation | |
| DAA-0103-2018-0001-0017 | No | | |
| Is this item a deviation from the GRS? | No | | |
| DISPOSITION INSTRUCTION | | | |
| Final Disposition | Temporary | | |
| Cutoff Instructions | Other: Cut off at the end of the fiscal year in which the relevant Semiannual Report to Congress was issued. | | |
| Retention Period | Destroy 10 year(s) after cutoff | | |
| ADDITIONAL INFORMATION | | | |
| Are any of the records covered by this item national security classified? | No | | |

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| GAO Approval Required | No |
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| DAA-0103-2023-0001-0008 | STATUS: Active |
| ITEM GENERAL INFORMATION | |
| Item Title | Educational Records |
| Item Description | Records created and distributed to educate FCA employees and others regarding OIG roles, responsibilities, and practices. Includes intra-agency newsletters and training materials. |
| Is this item media neutral? | Yes |
| Is this item a Big Bucket? | No |
| SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS | |
| Does this item supersede existing disposition authorities? | Yes |
| | Superseded Items |
| Superseded Item | Item Superseded Explanation in Part? |
| DAA-0103-2018-0001-0013 | No |
| Is this item a deviation from the GRS? | No |
| DISPOSITION INSTRUCTION | |
| Final Disposition | Temporary |
| Cutoff Instructions | Other: Cutoff at end of year in which created. |
| Retention Period | Destroy 7 year(s) after cutoff |
| ADDITIONAL INFORMATION | |
| Are any of the records covered by this item national security classified? | No |
| GAO Approval Required | No |

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Signatory Information

| Action | User | Date |
|---------------|----------------|-------------|
| Approve | Colleen Shogan | 10/09/2024 |