

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

LEAVE BLANK

JOB NO.

NC1-136-83-1

DATE RECEIVED

1-19-83

NOTIFICATION TO AGENCY

In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10.

TO: **GENERAL SERVICES ADMINISTRATION,
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408**

1. FROM (AGENCY OR ESTABLISHMENT)
U.S. Department of Agriculture

2. MAJOR SUBDIVISION
Packers and Stockyards Administration (P&SA)

3. MINOR SUBDIVISION
Washington and Field

4. NAME OF PERSON WITH WHOM TO CONFER

Roland M. Colbert

5. TEL. EXT.

447-7965

5-20-83
Date

Robert M. Wase
Archivist of the United States

6. CERTIFICATE OF AGENCY REPRESENTATIVE.

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of 13 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

☐ **A Request for immediate disposal.**

☒ **B Request for disposal after a specified period of time or request for permanent retention.**

C. DATE <i>1/2/83</i>	D. SIGNATURE OF AGENCY REPRESENTATIVE <i>[Signature]</i>	E. TITLE Chief, Paperwork Planning & Systems Branch
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7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>Packers and Stockyards Administration (P&SA) was reestablished as an autonomous agency within the Department of Agriculture on September 30, 1981.</p> <p>P&SA is responsible for administering the Packers and Stockyards Act, 1921, and enforcing the provisions of the Consumer Credit Protection Act with respect to activities subject to the Packers and Stockyards Act, 1921, as amended and supplemented.</p> <p>P&SA is authorized to carry out the enforcement of the Packers and Stockyards Act relating to tariffs, and stockyard services and facilities. P&SA supervises operations of stockyard companies, market agencies, dealers, packers and poultry dealers and licensees to assure compliance with the Act; conducts investigations to determine existence of and develops evidence of unfair trade practices including false weighing practices; investigates and studies adequacy of stockyard facilities and services; analyzes and investigates complaints received to determine validity and to effect adjustments or settlements; prepares reports of investigations and studies and recommends actions to be taken; audits applications for registration, licenses, and supporting information and data for completeness and accuracy; presents evidence and renders</p>		<i>67 items</i>

115-107

to agency, by RTB, 5/24/83

to NNF and ANB, and all FRC's except 6 KP - SENT BY DMU

MDC Sheet Attached to FRC copies

STANDARD FORM 115
Revised April 1975
Prescribed by General Services Administration
GPO: 1975-0-250-000-000-0

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	<p>assistance to the Office of the General Counsel and the Department of Justice in the prosecution of cases; and confers with trade and livestock and poultry producer groups and others concerning enforcement and attaining the objectives of the Act.</p> <p>This comprehensive records disposal schedule supersedes Items 100-109 of the Agricultural Marketing Service (AMS) Schedule NC1-136-79-1. Items referenced represent program records transferred from AMS to P&SA. It covers records of the P&SA created and accumulated in the administration of its responsibilities enumerated above.</p> <p>P&SA records covered by the General Records Schedules (GRS) of the General Services Administration (GSA) are disposable by those schedules without further authorization.</p> <p>This P&SA disposal schedule and the General Records Schedules are mandatory.</p> <p>NOTE: All files are to be broken annually by fiscal year. This is called file break. The disposition of records is determined from the year of the file break. Screen and destroy obsolete material.</p> <p>AMS provides some administrative and technical services and other management support functions as required by P&SA. The National Finance Center (NFC) provides financial management support to P&SA.</p> <p>1. <u>General Administrative Records</u>, unless described in the General Records Schedules 1-24 or specifically listed elsewhere in this schedule, records pertaining to management functions such as procurement of supplies, equipment, and services, property accountability, budgeting, payrolling, obligation and other accounting, travel, transportation of things, personnel management, communications activities, records management, space, information, automated data processing, etc., will be disposed of as follows:</p>		

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1. Cont'd	<p><u>Washington and Field</u></p> <p>a. Records concerning repetitive or individual routine transactions and matters, legislative reporting, Office of Inspector General (OIG) Reports, activity reports, housekeeping, and purely facilitative functions not covered by other schedules.</p> <p>(1) <u>Record Copy</u></p> <p>Destroy when 2 years old or when no longer needed, whichever is sooner.</p> <p>(2) <u>Other Copies</u></p> <p>Destroy when 1 year old.</p> <p>b. Records described above which cannot be removed from active files during regular file breaks because they pertain to ongoing, unsettled matters.</p> <p>(1) <u>Record Copy</u></p> <p>Remove from file when matter is settled, terminated, closed, or consummated. Destroy 3 years after end of fiscal year material is removed from file.</p> <p>(2) <u>Other Copies</u></p> <p>Destroy when 1 year old.</p> <p>c. Working papers and drafts of material as described above.</p> <p>Destroy when 1 year old.</p>	GRS 23, Item 1 (same)	

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2.	<p><u>General Subject Files</u></p> <p>Arranged alphabetically by subject.</p> <p>a. <u>Significant</u></p> <p>Records documenting significant agency and program policy and procedure. Memoranda, correspondence, reports and other records pertaining to the establishment, planning and development of P&SA programs, such as, bonding requirements under the Packers and Stockyards Act, the placing of firms on notice of violation of the Act, the closing of meat packing plants or beef processing plants, commercial bribery, marketing and price penalties, reviewing of proposed contracts between beef and slaughtering packers, marketing problems, and regulatory changes. Includes controlled or jacketed correspondence and substantive program interagency correspondence which are signed by the Secretary, Assistant Secretary, Administrator, Deputy Administrator, Assistant to the Administrator and/or Division/Staff Director.</p> <p>These are not filed in a case file. These files are maintained in the originating office, and may be filed at the branch/staff and/or division level.</p> <p>(1) <u>Washington Office (Record Copy)</u></p> <p>PERMANENT. Transfer to FARC when 5 years old. Offer to Archives when 15 years old in 5-year blocks. 20</p> <p>(2) <u>Field Office</u></p> <p>Destroy when 3 years old or when no longer needed for administrative use.</p> <p>(3) <u>Other Copies</u></p> <p>Destroy when 1 year old.</p>	<p>RTB RC 5/2/83</p> <p>NCI-136-79-1, Item 100a</p> <p>NCI-136-79-1, Item 100b</p>	<p>6" yr</p>

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2. Cont'd	<p>b. <u>Nonsignificant</u></p> <p>Unless described elsewhere in this schedule, memoranda, correspondence, reports, and other records relating to routine program operations.</p> <p>(1) <u>Record Copy</u></p> <p>Destroy when 3 years old.</p> <p>(2) <u>Other Copies</u></p> <p>Destroy when 1 year old.</p>		
3.	<p><u>Lectures and Speeches</u></p> <p>File chronologically. (<i>negligible volume</i>)</p> <p>a. Lectures and speeches for the P&SA Administrator and assistants which pertain to major P&SA programs and/or operations.</p> <p>(1) <u>Record Copy</u></p> <p>PERMANENT. Transfer to FARC when 3 years old. Offer to Archives in 5-year blocks when 20 years old.</p> <p>(2) <u>Other Copies</u></p> <p>Destroy when 1 year old.</p> <p>b. All other lectures and speeches written by P&SA personnel which do not pertain to major P&SA programs and operations.</p> <p>Destroy when 3 years old.</p>	GRS 14, Item 1a	

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4.	<p><u>Delegations of Authority</u></p> <p>File chronologically.</p> <p>Includes authority to represent P&SA at hearings, court proceedings, and delegation to sign official documents or act in official capacity, etc.</p> <p>a. <u>Record Copy</u></p> <p>Destroy 5 years following end of fiscal year in which authority was given or when superseded or obsolete.</p> <p>b. <u>Other Copies</u></p> <p>Destroy when superseded or obsolete.</p> <p>NOTE: Other official delegations are issued in agency directives and instructions.</p>		
5.	<p><u>Legislative History</u></p> <p>Historical records pertaining to the formulation and revision of program planning to include any significant case files or other documents of a precedent nature which are not covered elsewhere in this schedule. Includes summaries of comments and copies of legislative reports or history regarding any proposed legislation, legal opinions, decisions, laws, regulations, and orders.</p> <p>a. <u>Washington or Field</u> - whichever has the record copy. <i>1/10 cf/yr</i></p> <p><i>PERMANENT.</i> <i>1</i> Transfer to FARC when 5 years old. <i>Offer to NARS when</i> years old. <i>20 yrs. old,</i> Destroy when 15</p> <p>b. <u>Other Copies</u></p> <p>Destroy when 3 years old or when no longer needed.</p>	<i>RTB RC 5/12/83</i>	

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6.	<p><u>Time and Attendance (T&A) Report Files</u></p> <p>a. <u>Form OF-1130 or equivalent (AD-321).</u></p> <p><u>All Offices</u></p> <p>Destroy 2 years after the end of the pay period.</p> <p>NOTE: The payroll preparation and processing record copies are maintained at the National Finance Center.</p> <p>b. <u>T&A Supporting Documents.</u> Supplemental T&A records, such as leave requests, sign-in/sign-out and work records used for time accounting under flexitime systems.</p> <p>Destroy after GAO audit or when 3 years old, whichever is sooner.</p>	<p>Reference NCL-15-78-1</p> <p>GRS 2/3a(2) - deviation</p> <p>GRS-2, Item 3b (same)</p>	
7.	<p><u>Employee Services Files</u></p> <p>Files relating to the general administration and operation of social, fraternal, and recreational organizations. This includes welfare activities, credit unions, fund raising campaigns, bond drives, etc.</p> <p>Destroy after 2 years.</p>		
8.	<p><u>Performance Standards Files</u></p> <p>Standards developed for use in evaluating employee performance. Includes material concerning supervisory grade level scoring and merit pay.</p> <p>Destroy when superseded or obsolete.</p>		
9.	<p><u>Budget Policy Files</u></p> <p>Records documenting Agency policy and procedures governing budget administration, and reflecting policy decisions affecting expenditures for Agency programs.</p> <p>a. <u>Record Copy</u></p> <p>Destroy when 6 years old.</p> <p>b. <u>Other Copies</u></p> <p>Destroy when 3 years old.</p>		

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10.	<u>Budget Estimates</u> a. Budget estimates and justifications prepared or consolidated in formally organized budget offices at the Agency level. Included are appropriation language sheets, narrative statements, and related schedules and data. (1) <u>Record Copy</u> (Maintained by Financial Management Division, AMS) Transfer to FARC when 5 years old. Destroy when 25 years old. (2) <u>Other Copies</u> Destroy when 3 years old. b. Working papers, cost statements, and rough data accumulated in the preparation of budget estimates, including duplicates of papers described in item 10a and originating offices' copies of reports submitted to budget office. Destroy 1 year after the close of the fiscal year covered by the budget.	GRS 5, Item 4	
11.	<u>Publicity and Information Records</u> a. An Information Publication supplied to individuals or institutions outside the Agency. The pamphlet explains the functions of the Agency. GPO prints the publication and maintains the record copy. Destroy when 5 years old or when no longer needed for administrative use. b. <u>Press Releases</u> <u>All Offices</u> Destroy when 3 years old. NOTE: The press release record copies of the Washington and field offices are maintained in the office of Governmental and Public Affairs at the Department level.		

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12.	<p><u>Task Forces</u></p> <p>Case filed by name of task force.</p> <p>a. Agenda, minutes, final reports, and/or recommendations and related material of substantive or significant meetings concerned with broad aspects of the Agency, such as advisory and inter-agency task forces. Includes task forces chaired by P&SA top level employees and administrative management representatives.</p> <p>(1) <u>Record Copies</u></p> <p>PERMANENT. Transfer to FARC when 3 years old or after termination of task force. Offer to Archives when 25 years old. 2"/yr.</p> <p>(2) <u>Other Copies</u></p> <p>Destroy when 3 years old.</p> <p>b. Work papers relating to 12a above and material pertaining to administrative activities and functions not having long term significance.</p> <p>Destroy when 2 years old.</p> <p>c. Arrangements. Includes such material as meeting arrangements, invitations, extra copies of agenda, accommodations, authority to attend, acceptances and regrets.</p> <p>Destroy when 1 year old.</p>	<p>GRS 16/12b(1)(a) [submit 115]</p> <p>GRS 16, Item 12b(1)(b)</p>	

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13.	<p><u>Cooperative Agreements</u></p> <p>File by State and thereunder by number of program.</p> <p>Agreement and memoranda of understanding (including related records) with other Federal agencies, State and local agencies, foreign governments, universities, commercial concerns, and individuals.</p> <p>a. Exceptional and/or substantive agreements which significantly affect the functions of the Agency.</p> <p>(1) <u>Record Copy</u></p> <p>PERMANENT. Transfer to FARC 5 years after termination of agreement. Offer to Archives in 5-year blocks when 25 years old.</p> <p>(2) <u>Other Copies</u></p> <p>Destroy 3 years after termination of agreement.</p> <p>b. Nonsubstantive or routine agreements.</p> <p>(1) <u>Record Copy</u></p> <p>Destroy 5 years after termination of agreement.</p> <p>(2) <u>Other Copies</u></p> <p>Destroy when agreement is terminated.</p> <p><u>NOTE:</u> Record copies maintained by Administrative Services Division, AMS.</p>		1 cu. ft. total

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14.	<p><u>Organizational Records</u></p> <p>a. Official organization charts, narrative histories, mission statements, and related records which document the organization and functions of the Agency.</p> <p>(1) <u>Record Copy</u> (Maintained by Personnel Division, AMS)</p> <p>PERMANENT. Transfer to FARC 10 years after revised. Offer to Archives in 5-year blocks when most recent records are 20 years old.</p> <p>(2) <u>Other Copies</u></p> <p>Destroy when superseded or obsolete.</p> <p>b. Other correspondence regarding organization, reorganization, transfer of functions, working papers, etc.</p> <p>Transfer to FARC when 5 years old. Destroy when 10 years old.</p> <p>c. Requests to establish, close, or relocate field offices.</p> <p>(1) <u>Approved Requests</u></p> <p>(a) <u>Record Copy</u></p> <p>Destroy when 3 years old or when no longer needed for administrative use.</p> <p>(b) <u>Other Copies</u></p> <p>Destroy when no longer needed for administrative or reference purposes, EXCEPT requests received for action in Space Management office are governed by GRS 11.</p>	GRS 16, 1/4" yr Item 13 _{a,b,c}	

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14. Cont'd	<p>(2) <u>Disapproved Requests</u></p> <p>(a) <u>Record Copy</u></p> <p>Destroy 2 years after request is disapproved or when no longer needed for administrative or reference purposes.</p> <p>(b) <u>Other Copies</u></p> <p>Destroy when no longer needed for administrative or reference purposes.</p> <p>NOTE: Record copy maintained by Director, Administrative Services Division, AMS.</p>		
15.	<p><u>Directives, Procedural and Operating Manuals</u></p> <p>Filed numerically.</p> <p>a. <u>Formal Directives</u></p> <p>Formal directives (including procedural and operating manuals) and all revisions thereof, notices, monthly checklists, and indexes.</p> <p>(1) Directives related to program policies and significant administrative information concerned with formal policy for Agency's formulation, organization, functions, procedures, and operations and which have historical value.</p> <p>(a) <u>Record Copy</u></p> <p>PERMANENT. Offer to Archives after revised or superseded.</p> <p>(b) <u>Other Copies</u> - (such as reference copies)</p> <p>Destroy when superseded or obsolete.</p> <p>(2) Directives related to routine administrative functions (e.g., payroll, procurement, travel, personnel management, etc.).</p> <p>Destroy when superseded or obsolete.</p>	<p>GRS 16, Item 1a</p> <p>GRS 16/1 c</p>	<p>1" yr</p>

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15. Cont'd	<p>b. <u>Directives Case Files</u></p> <p>Case files related to (a) above including historical material, and consisting of: (1) original submission of directive, including reviewer's comments; (2) background material, working papers and official regulations supporting need for issuance of directive; (3) clearance and approval documents, including work progress sheets; and (4) printed copy of directive.</p> <p>(1) Case files related to directives described in (a)(1) above.</p> <p>(a) <u>Record Copy</u></p> <p>Transfer to FARC 3 years after superseded or obsolete. Destroy 15 years after superseded or obsolete.</p> <p>(b) <u>Other Copies</u></p> <p>Destroy when superseded or obsolete.</p> <p>(2) Case files related to directives described in (a)(2) above.</p> <p>Destroy when issuance is destroyed.</p> <p>NOTE: Administrative directives for P&SA are maintained by the Administrative Services Division, AMS.</p>	<p>GRS 16/ 1b [submit 115]</p> <p>GRS 16/ 1d [submit 115]</p>	
16.	<p><u>Research/Projects/Studies/Surveys</u></p> <p>Arranged alphabetically by subject.</p> <p>Research/projects/studies/surveys conducted to determine the effectiveness of the procedures adopted to achieve established policy goals; to examine operating methods, organizational structures, and missions, etc. These may include evaluation of both program and administrative operations, and studies determined to be of future research value. Includes documents reflecting requests or authorization to conduct the research/project/study/survey, the finished reports, coordination papers, recommendations, statistical data, staff evaluations, comparable or similar documents, and actions taken as direct results of the survey.</p> <p>a. Studies recommending significant changes in policy or procedural violations and all research studies.</p>		

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16. Cont'd	<p>(1) <u>Record Copy</u> 3 cu ft/yr. 3 cu ft. on hand/ 6" or less / yr. PERMANENT. Transfer to FARC 10 years after completion of study or when no longer needed for administrative use, whichever is sooner. Offer to NARS in 5-year blocks when 25 years old.</p> <p>(2) <u>Other Copies</u> Destroy 5 years after completion of study or when no longer needed for administrative use, whichever is sooner.</p> <p>b. All other studies/surveys. Destroy 5 years after completion of study or when no longer needed for administrative use.</p>		
17.	<p><u>Letters of firms put on notice for possible violations of the Packers and Stockyards Act.</u> These letters are for violations of the Act, such as, sales promotion programs which are administered in a discriminatory manner, failure to fulfill the terms of a contract without proper justifications, and unfair and deceptive practices which restrict competition in the livestock, poultry and meat packing industries.</p> <p>Destroy when 10 years old.</p>	NC1-136-79-1 Item 101	
18.	<p><u>Annual Reports</u> from firms and persons subject to the P&S Act. These contain information on financial status, transactions, and other operating data; also includes custodial account reports.</p> <p>a. <u>Dealers and Market Agencies</u></p> <p>(1) <u>Record Copy</u> (Field) Destroy when 4 years old.</p> <p>(2) <u>Other Copies</u> (Field) Destroy when 1 year old.</p>	NC1-136-79-1 Item 102 Item 102 a(1) Item 102 a(2)	

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18. Cont'd	<p>b. <u>Packers</u></p> <p>(1) <u>Record Copy (Washington)</u></p> <p>(a) <u>Big 10</u></p> <p>Destroy when 10 years old.</p> <p>(b) <u>All Other Packers</u></p> <p>Destroy when 5 years old.</p> <p>(2) <u>Other Copies</u></p> <p>Destroy when 1 year old.</p>	<p>Item 102</p> <p>Item 102</p>	<p>b(1)</p> <p>b(2)</p>
19.	<p><u>Civil and Criminal Cases</u></p> <p>Civil and criminal court actions brought by the Department of Justice and then tried in Federal Courts. These involve failure to comply with registration, bonding, and annual report requirements of the P&S Act; failure to obey an order of the Secretary of Agriculture; failure to attend, testify or answer any lawful inquiry, or produce records or evidence in obedience to a subpoena; falsification of records and weights; tariff violations; and temporary restraining orders. The contents of the files when the cases are closed include record material, briefs, court orders, judgments, complaints and documents for evidence and related correspondence. The OGC maintains the official (permanent) record copy.</p> <p>a. <u>Agency Copy</u></p> <p>Destroy 2 years after close of court action or sooner if not needed.</p> <p>b. <u>Other Copies</u></p> <p>Destroy as soon as court action is closed or sooner if not needed.</p>	<p>NCI-136-79-1, Item 103 a; NCI-136-79-2, Item 1a</p> <p>NCI-136-79-1, Item 103 b NCI-136-79-2, Item 1b</p>	

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20.	<u>Complaints and Investigations</u> Audit, complaint and investigation files conducted by P&SA containing material used in determining violations of the Act and Regulations. These include work papers, audit papers, correspondence and investigation reports. Destroy when closed.	NC1-136-79-1 Item 104; <i>NCI-136-79-2, item 2</i>	
21.	<u>Administrative Proceedings</u> P&SA Dockets - Administrative proceedings instituted by the Department involving violations of the various provisions of the Act. When closed these include material such as the P&S complaint, notices of hearings and other similar documents, final orders of the Secretary of Agriculture, exhibits, and other related correspondence. The Hearing Clerk's office maintains the official (permanent) record copy. <u>Agency Copy</u> Destroy 2 years after close of proceedings or sooner if not needed.	NC1-136-79-1 Item 105 b; <i>NCI-136-79-2, item 3b</i>	
22.	<u>Studies of Industrial Practices</u> Correspondence, reports, and other material regarding P&SA analysis of industrial practices, organizations and other subjects studied by P&SA; also includes publications of reports and automated data processing used to gather and manage needed information. a. <u>Record Copy</u> (Final Report - Published or Unpublished) Arranged alphabetically by subject. PERMANENT. Transfer to FARC when 3 years old. Offer to Archives when 25 years old. b. <u>Other Copies</u> Destroy when 4 years old or sooner if not needed.	NC1-136-79-1 Item 106 <i>item 106b</i> <i>item 106c</i>	1/2" yr

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7.
ITEM NO.

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SAMPLE OR
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20.

NC1-136-79-1

Item 104 ;
NC1-136-79-2,
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NC1-136-79-1

21.

Item 105	b
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NCI-136-79-2,
Item 3b

NC1-136-79-1

Item 106

22.

stem 1066 1/2" yr

Item 106 c

Arranged alphabetically by subject.

PERMANENT. Transfer to FARC when 3 years old. Offer to Archives when 25 years old.

Destroy when 4 years old or sooner if not needed.

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22. Cont'd	c. <u>Working Papers</u> Destroy as soon as the analysis pertaining to the study is closed.	<i>Item 106</i>	<i>2</i>
23.	<u>Packer and Poultry Case Files</u> Contains material on jurisdiction, trade practices, and annual reports. a. <u>Packer</u> Destroy case file material after packer has been inactive for 2 years. b. <u>Poultry</u> (1) <u>Licensees</u> Destroy case file material after licensee has been inactive for 2 years or immediately upon death of licensee. (2) <u>Processors/Integrators</u> Destroy case file material after person or firm has been inactive for 2 years.	NC1-136-79-1 Item 107 <i>Item 107 a</i> <i>Item 107 b</i>	
24.	<u>Registrant Case File</u> Contains material on jurisdiction, trade practices, registration, bonds, services and facilities, tariffs, and annual reports. a. <u>Dealers</u> Destroy after death of registrant, or after registrant has remained inactive for 2 years. b. <u>Market Agencies</u> Destroy after death of registrant or after registrant has remained inactive for 2 years.	NC1-136-79-1 <i>Item 108 a (1)</i> <i>Item 108 b (1)</i>	<i>Don</i> <i>108</i>

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7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
25.	<u>Terminal Stockyard Case Files</u> Terminal stockyard files contain material on jurisdiction, trade practices, tariffs, services, and facilities. Destroy upon deposting.	NC1-136-79-1 Item 109b	
26.	<u>Registration Card Files</u> a. <u>Packer Record Card</u> Histories of active and inactive packers. Each card contains information on subject packers (i.e., owners or officers, type of organization, amount of bond, trust fund agreements, etc.) Destroy ^{in agency} when deceased or no longer needed for administrative or reference purposes. b. <u>Registration Record Card</u> Histories of active and inactive dealers, market agencies, and packer buyers. Each card contains information as to name of individual or firm, owners or officers, registration number, type of organization, amount of bond, trust fund agreements, etc. Destroy ^{in agency} when deceased or no longer needed for administrative or reference purposes. <u>NOTE:</u> Transfer to FARC is not authorized <i>for items 26a + 26b.</i>		