

REQUEST FOR RECORDS DISPOSITION AUTHORITY

(See Instructions on reverse)

LEAVE BLANK

JOB

NCl-136-85-1

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

DATE RECEIVED
7-5-85

1 FROM (Agency or establishment)

NOTIFICATION TO AGENCY

U.S. Department of Agriculture

In accordance with the provisions of 44 USC 3303a the disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10. If no records are proposed for disposal, the signature of the Archivist is not required.

2 MAJOR SUBDIVISION

Agricultural Marketing Service

3 MINOR SUBDIVISION

Dairy Division

4 NAME OF PERSON WITH WHOM TO CONFER

5 TELEPHONE EXT

DATE

ARCHIVIST OF THE UNITED STATES

Doris Tench

447-6218

9-3-86 *James A. Burke*

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 11 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, if required under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is attached

A GAO concurrence is attached, or is unnecessary

B DATE 7/2/85	C SIGNATURE OF AGENCY REPRESENTATIVE <i>Susan D. Ogilvie</i>	D TITLE Head, Mail and Records Management Section Information Management Branch
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7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARS USE ONLY)
	<p>This records schedule is an addendum to AMS Records Disposition Schedule NCl-136-79-1, Items 52 through 77, pertaining to Dairy Division. This schedule covers the records of the Dairy Grading and Standardization Branch - Washington and Field Offices of the Dairy Division. This schedule supersedes items 3, 5, 6, 7, 8, 9, 12, and 14 of NN-164-166, and the remaining items are covered by either the AMS Schedule NCl-136-79-1 or the General Records Schedule. The grading, inspection, and standardization activities of the Dairy Division were transferred to AMS from the Food Safety and Quality Service (now the Food Safety and Inspection Service) effective October 1, 1981.</p> <p>NOTE: Use of this records disposition schedule and the General Records Schedule is mandatory. Agency records may be disposed of in accordance with these schedules without further authorization.</p> <p>All files, including closed case files, are to be broken annually by fiscal year. This is called file break. The disposal of records is determined from the year of the file break. Screen and destroy obsolete material.</p> <p>NO REVISION OF THIS SCHEDULE OR ADDITIONAL INSTRUCTIONS ARE AUTHORIZED WITHOUT THE APPROVAL OF THE INFORMATION MANAGEMENT BRANCH, ADMINISTRATIVE SERVICES DIVISION.</p>		44 items

115-108 Copy to Agency, NCF, NNF, emh, 9-19-86

NSN 7540-00-634-4064

STANDARD FORM 115 (REV 8-83)
Prescribed by GSA
FPMR (41 CFR) 101-11.4

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NC1-136-85-1

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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
1.	<p style="text-align: center;"><u>Grading and Standardization Branch</u></p> <p>This Branch directs the Dairy grading, inspection and sampling programs and checks products for condition and/or compliance with applicable specifications or grade requirements; conducts plant surveys for condition and sanitation; evaluates research and conducts or directs studies and investigations relating to standards; plans, develops, formulates, reviews, or amends, and field tests standards and related plant practices, facilities and packaging; prepares official U.S. Grade Standards for promulgation by the Secretary; formulates, revises, and recommends specifications for milk and dairy products for use in the procurement of these products by Federal and State agencies and others to the Food Quality Assurance (FQA) activity. (Responsibility for managing specifications rests with the FQA activity.)</p> <p style="text-align: center;"><u>Grading Section</u></p> <p><u>Reports</u></p> <p>a. <u>Annual Reports</u>, including summaries of operating statements and of volume data by state and products.</p> <p>(1) <u>Record Copy</u></p> <p>PERMANENT. Transfer to FARC when 10 years old. Offer to Archives in 5-year blocks when 20 years old.</p> <p>(2) <u>Other Copies</u></p> <p>Destroy when 3 years old.</p> <p>b. <u>Routine Reports</u>, unless covered elsewhere in this schedule, including operating statements and reports of volume of products handled and graded. Includes weekly, biweekly, monthly, and quarterly reports.</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>	<p>NN-164-166 Item 3a</p> <p>Item 3b</p>	<p>2"/yr. total</p>

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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
2.	<p><u>Grading Service Contract Files</u></p> <p>a. <u>Resident Grading Service Files</u></p> <p>Records maintained at the Regional offices which include the application/contract of agreement and the billing cycle (continuous service rendered forms) for full-time resident service.</p> <p>Destroy 1 year after service is terminated.</p> <p>b. <u>Nonresident Grading Service Files</u></p> <p>Records maintained at the Regional offices which include the application for nonresident inspection and the billing cycle forms for services rendered.</p> <p>Destroy 1 year after contract is completed.</p>	NN-164-166 Items 9a & b	
3.	<p><u>Labeling</u></p> <p>a. <u>Label Case Files</u></p> <p>Records relating to grade labels including applications and approval for commercial firms to use official grade identification on their products, copies of packaging material, and related correspondence.</p> <p>Destroy 2 years after discontinuance of label.</p> <p>b. <u>Disapproved Labels</u></p> <p>Includes applications, disapprovals, and related information.</p> <p>Destroy 1 year after label is disapproved.</p>	NN-164-166 Item 14	
4.	<p><u>Salmonella Surveillance Program Files</u></p> <p>General material pertaining to monitoring plant control of salmonella by quarterly USDA sampling and testing of product and environmental samples and followup in the event of a positive result.</p> <p>a. <u>Record Copy</u></p> <p>Destroy when plant closes.</p>		

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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
4. (cont.)	<p>b. <u>Other Copies</u></p> <p>Destroy when 2 years old.</p> <p><u>NOTE:</u> For Laboratory Sample Files, see Item 11.</p>		
5.	<p><u>Plant Employees Surety Bonds</u></p> <p>Individual surety bonds of licensed plant employees for proper performance of duty under the Farm Products Inspection Act.</p> <p>Destroy 4 years after termination of bond.</p>	NN-164-166 Items 12a & b	
6.	<p><u>Licensing</u></p> <p>a. <u>License Case File</u> including applications, recommendations and approvals of grader/inspector licenses. File may include resumes of qualifications and related information.</p> <p>Destroy 1 year after termination of license.</p> <p>b. <u>License Card File.</u> Records of graders licensed to perform grading services.</p> <p>(1) <u>Record Copy (Washington Office)</u></p> <p>Destroy in Agency when no longer needed for administrative use.</p> <p>(2) <u>Other Copy (Regional Office)</u></p> <p>Destroy 1 year after termination of license.</p>		
7.	<p><u>Billing and Collection Documents</u></p> <p>Copies of billing document listing sheets and applicants bills. The National Finance Center retains the record copy.</p> <p>Destroy when 1 year old.</p>	NN-164-166 Items 8a & b	

ITEM NO	DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
8.	<p><u>Grading Certificates and Supporting Documents</u></p> <p>a. <u>Grading Certificates</u></p> <p>(1) <u>Record Copy (Issuing Office)</u> Destroy when 3 years old.</p> <p>(2) <u>Other Copies</u> Destroy when 2 years old, or earlier if not needed.</p> <p>b. <u>Supporting Documents</u> Memorandums, condition of container reports, company manifests, weight worksheets, and other reports of grading, inspection and sampling. Destroy 2 years after grading has been completed.</p>	NN-164-166 Items 7a & b	
9.	<p><u>Plant Surveys</u></p> <p>Status records and reports of plant surveys.</p> <p>a. <u>Record Copy (Issuing Office)</u> Destroy when 5 years old. Except: Destroy surveys of unique plants when no longer needed for administrative use, as dictated by circumstances. <u>NOTE:</u> A unique plant is one in which new type equipment is in use, resulting in new methods in production/processing of dairy products.</p> <p>b. <u>Other Copies (including penciled copy)</u> Destroy when 1 year old or earlier if not needed.</p>		

7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p style="text-align: center;"><u>Laboratory Analysis</u></p> <p>The Dairy Grading Branch Laboratory conducts all phases of sampling, testing, and analysis of dairy products (butter, cheese, and dry milk) for quality and composition factors such as butterfat, moisture, salt, and bacteria levels. This service is available, upon request, to any plant, industry, or private organization that wants its products analyzed. Laboratory analysis is also conducted by Federal resident graders stationed full-time in the dairy plants.</p>		
10.	<p><u>Laboratory Notebooks</u></p> <p>Notebooks used by laboratory technicians to record methods and procedures used routinely in quality assurance analysis and testing.</p> <p>Destroy 3 years after completion of the last analysis or test covered by the notebook.</p>	GRS 19 Item 6b	
11.	<p><u>Laboratory Sample Files</u></p> <p>a. <u>Worksheets.</u> Routine laboratory sample reports and worksheets.</p> <p>File by type of commodity analysis or as best suits user needs.</p> <p>Destroy when 3 years old.</p> <p>b. <u>Special Sample Reports.</u> Reports of special or one-time analysis.</p> <p>(1) <u>Record Copy (Requesting Office)</u></p> <p>Destroy when 5 years old.</p> <p><u>NOTE:</u> The Requesting Office is usually the National Office.</p> <p>(2) <u>Other Copies</u></p> <p>Destroy when 3 years old.</p>		

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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
11. (cont.)	<p>c. <u>Testing Requests for Certificates</u></p> <p>Testing requests received or copies of certificates issued by the laboratory for analysis performed.</p> <p>Destroy when 3 years old.</p> <p><u>NOTE:</u> Upon request of a firm or person, results will be telephoned collect when analysis is completed.</p> <p>d. <u>Comparison Sample Files</u></p> <p>Correspondence, results, and related material pertaining to comparison laboratory sample testing for quality control of resident laboratory.</p> <p>Subdivide by area and plant.</p> <p>Destroy when 3 years old.</p> <p>e. <u>Receiving Sheets</u></p> <p>Documents reflecting each sample received in the laboratory for analysis.</p> <p>Destroy when 3 years old.</p>		
12.	<p><u>Methodology Files</u></p> <p>Records relating to: standard methods of testing of dairy products; adaptations of methods developed outside the Agency (e.g., a university) or within the Agency (at the laboratory); and development of new methods of analysis. Includes copies of documents relating to methods developed by private industry.</p> <p>a. <u>Record Copy (Chicago Laboratory)</u></p> <p>Transfer of FARC 3 years after method is discontinued. Destroy when 20 years old.</p> <p>b. <u>Other Copies (Includes Outside Reference Material)</u></p> <p>Destroy when superseded or obsolete.</p>		

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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
14. (cont.)	<p>c. <u>Other Standards</u></p> <p>General material, related information and copies of standards for equipment, containers, etc., and foreign standards (import or export standards developed by other agencies). The Food Quality Assurance activity has record copy of container standards.</p> <p>Case file as needed.</p> <p>Destroy when superseded or obsolete.</p>		
15.	<p><u>Specifications</u></p> <p>a. <u>Agency Specifications</u></p> <p>Case files relating to formulation, revision, and recommendations of specifications or revisions of specifications for milk and dairy products for use in the procurement of these products by Federal and State agencies and others. Includes copies of specifications proposed for inclusion in purchase announcements. (See Commodity Procurement, Item 15, NCI-136-83-2.)</p> <p>(1) <u>Record Copy</u></p> <p>Destroy in Agency when 5 years old or no longer needed for administrative use.</p> <p><u>NOTE:</u> Transfer to FARC not authorized.</p> <p>(2) <u>Other Copies</u></p> <p>Destroy when 2 years old.</p> <p>b. <u>Other Federal Specifications</u></p> <p>Case files of Department of Defense and other Federal agencies' specifications.</p> <p>Destroy when superseded or obsolete.</p>		

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13.	<p><u>Outside Laboratories</u></p> <p>Correspondence and reports related to State, Federal, educational, and commercial laboratories.</p> <p>a. <u>Record Copy</u></p> <p> Destroy when 3 years old.</p> <p>b. <u>Other Copies</u></p> <p> Destroy when 2 years old.</p>		

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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
14.	<p style="text-align: center;"><u>Standardization Section</u></p> <p><u>Standards</u></p> <p>a. <u>Official U.S. Grade Standards Case Files</u></p> <p>Records essential to the documentation of the development and approval of Official U.S. Grade Standards and revisions thereto.</p> <p>(1) <u>Significant</u></p> <p>Records documenting the development of/or major changes to standards of national importance.</p> <p>(a) <u>Record Copy (National Office)</u></p> <p>PERMANENT. Retain in Agency. Transfer to FARC not authorized. Offer to Archives in 5-year blocks when 30 years old.</p> <p>(b) <u>Other Copies</u></p> <p>Destroy when superseded or obsolete.</p> <p>(2) <u>Nonsignificant</u></p> <p>Records relating to the development of/or changes to standards which are not of national importance.</p> <p>(a) <u>Record Copy</u></p> <p>Destroy when 10 years old or no longer needed. Transfer to FARC not authorized.</p> <p>(b) <u>Other Copies</u></p> <p>Destroy when superseded or obsolete.</p> <p>(3) <u>Nonessential correspondence</u>, background, and working papers pertaining to the documentation of grade standards.</p> <p>Destroy when 3 years old, or earlier if not needed.</p>	<p>NN-164-166 Items 5a & b</p> <p>NN-164-166 Item 6</p>	<p>7 4/5 cu ft 1950 to date</p>

115-203

Four copies, including original to be submitted to the National Archives

STANDARD FORM 115-A
Revised July 1974
Prescribed by General Services
Administration
FPMR (41 CFR) 101-11.4

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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
14. (cont.)	<p>b. <u>State Standards</u></p> <p>Case files arranged alphabetically within State breakdowns.</p> <p>Review annually and destroy material of no further reference value.</p> <p>c. <u>Other Standards</u></p> <p>General material, related information and copies of standards for equipment, containers, etc., and foreign standards (import or export standards developed by other agencies). The Food Quality Assurance activity has record copy of container standards.</p> <p>Case file as needed.</p> <p>Destroy when superseded or obsolete.</p>		
15.	<p><u>Specifications</u></p> <p>a. <u>Agency Specifications</u></p> <p>Case files relating to formulation, revision, and recommendations of specifications or revisions of specifications for milk and dairy products for use in the procurement of these products by Federal and State agencies and others. Includes copies of specifications proposed for inclusion in purchase announcements. (See Commodity Procurement, Item 15, NC1-136-83-2.)</p> <p>(1) <u>Record Copy</u></p> <p>Destroy in Agency when 5 years old or no longer needed for administrative use. Transfer to FARC not authorized.</p> <p>(2) <u>Other Copies</u></p> <p>Destroy when 2 years old.</p> <p>b. <u>Other Federal Specifications</u></p> <p>Case files of Department of Defense and other Federal agencies' specifications.</p> <p>Destroy when superseded or obsolete.</p>		

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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
15. (cont.)	<p>c. <u>Commodity Exchange Specifications</u></p> <p>Case files of individual commodity exchange specifications.</p> <p>Destroy when superseded or obsolete.</p> <p>d. <u>Private Specifications</u></p> <p>File alphabetically by name of customer.</p> <p>Case files including all material relating to the development, modification, etc., of specifications.</p> <p>(1) <u>Record Copy</u></p> <p>Destroy 5 years after termination.</p> <p>(2) <u>Other Copies</u></p> <p>Destroy when superseded or obsolete.</p>		