

REQUEST FOR RECORDS DISPOSITION AUTHORITY <i>(See Instructions on reverse)</i>		LEAVE BLANK (NARA use only)	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER <i>71-462-05-4</i>	
1. FROM (Agency or establishment) U.S. Department of Agriculture		DATE RECEIVED <i>11-15-2004</i>	
2. MAJOR SUBDIVISION Food Safety and Inspection Service		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
3. MINOR SUBDIVISION Administrative Services Division			
4. NAME OF PERSON WITH WHOM TO CONFER Keith Holden	5. TELEPHONE (301)504-3999	DATE <i>11/15/04</i>	ARCHIVIST OF THE UNITED STATES <i>Allen Weinstein</i>

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 3 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 <i>12/15/2004</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>[Signature]</i>	TITLE <i>CHIEF IMAB, ASD</i>
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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 GRS OR SUPERSEDED JOB CITATION	10.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)
	Administrative Enforcement Actions (AEA) (See attached sheets)		

cc Agency NR, NWM, NWM, NWM

Administrative Enforcement Actions (AEA) System

FSIS conducts mandatory inspections of domestic meat and poultry plants to ensure the safety, wholesomeness, and accurate packaging and labeling of the nation's commercial supply of meat, poultry, and egg products. The agency initiates criminal, civil, and administrative sanctions for violations of FSIS laws and regulations. The AEA database stores and tracks all plant noncompliance records and violations of the Pathogen Reduction; Hazard Analysis and Critical Control Point regulations promulgated in 9 CFR Part 417. The database also records enforcement actions such as regulatory control actions, withholding actions, suspensions of inspection, and withdrawal of the grant of inspection. Serious or unresolved cases are referred to the Office of General Counsel for further action, and data relating to these case files are exported to the Criminal, Civil and Administrative Tracking System (CCATS).

1. Inputs:

- a. Electronic and paper copies of regulatory enforcement letters issued by the 15 district offices providing information on each violation and enforcement action. Recordkeeping copies are located in the district offices.

Disposition: Temporary. Cut off when case is closed. Destroy/delete reports 3 years after cutoff.

- b. Information from the Performance-Based Inspection System (PBIS) used to verify plant size and products.

Disposition: Temporary. Destroy in accordance with GRS 20 Item 2b.

2. **Masterfile:** AEA contains dates and details documenting the violations of food safety and inspection regulations at domestic meat and poultry plants resulting in administrative enforcement action, and includes the dates of appeals and referrals to the Office of General Counsel for possible action. The system contains a description of each violation, in what part of the process it occurred, and dates of enforcement actions undertaken by FSIS to address each violation, pending satisfactory corrective and preventive actions by the plant. Information in the database also includes type of case, name and location of the establishment and official cited, status, and name of inspector. Records in the system date from its inception in 1997 to the present.

Disposition: PERMANENT. Cut off file at the end of the fiscal year. Transfer masterfile to NARA at the end of the fiscal year in accordance with 36 CFR 1228.270.

3. **Outputs:** Names of noncompliant establishments and details of violations for the Quarterly Enforcement Reports which are posted on the FSIS website; activity and productivity reports for management; and other regular and ad-hoc reports in response to requests from Agency staff, Congress, and Public Affairs regarding plant compliance, types of violations, and compliance trends.

Information on the history of the establishments and violations is exported to the Criminal, Civil and Administrative Tracking System (CCATS) for cases referred to the Office of General Counsel for further enforcement.

a. Quarterly Enforcement Reports.

Disposition: PERMANENT. Transfer a paper or electronic copy of the year's reports to NARA at the end of the fiscal year. If electronic, transfer in accordance with NARA pdf transfer instructions.

Dates: 1998 to present

Arrangement: chronological

Annual accumulation: 4 files per year

b. All other reports.

Disposition: Temporary. Cut off at the end of the fiscal year. Destroy/delete when 3 years old.

4. **System documentation:**

a. User manual, codebooks, data layouts, etc.

Disposition: PERMANENT. Cut off file at the end of the fiscal year. Transfer with masterfile to NARA at the end of the fiscal year in accordance with 36 CFR 1228.270.

b. Training guides, policies and procedures for additions and deletions.

Disposition: Temporary. Destroy when superseded or obsolete, or when system is no longer in use.

5. **Electronic mail and word processing records:** Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the items above. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revising, and disseminating.

a. Copies of records that have no further administrative value after the recordkeeping copy is made. This includes copies maintained by individuals in personnel files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copies.

Disposition: Destroy/delete within 180 days after the recordkeeping copy has been produced.

b. Copies used for disseminating, revising, or updating that are maintained in addition to recordkeeping copy.

Disposition: Destroy/delete when disseminating, revising, or updating is completed.

Name: Administrative Enforcement Actions (AEA)

Agency Program: Office of Program, Evaluation, Enforcement and Review (PEER)

Applicability: Evaluation and Enforcement Division (EED)

Identifying Information:

Description: The Administrative enforcement Actions (AEA) system (begun in late 1977) is a national database that stores and tracks all non-criminal, non-civil enforcement actions (dates and detail re: reason for action) involving meat and poultry plants. The information is derived from Official Action Letters supplied by FSIS/FO's District offices around the country. The system allows searches and reporting on specific kinds of cases for specific periods.

Specific Restrictions: National database that stores and tracks all non-criminal, non-civil enforcement actions involving meat and poultry plants.

Disposition Information:

- a. System inputs. All non-criminal, non-civil enforcement actions involving meat and poultry plants.

TEMPORARY. Destroy when recordkeeping copy is produced.

- b. Master file. List of authorized users. National Database that stores and tracks all non-criminal, non-civil enforcement actions (dates and detail regarding reason for action) involving meat and poultry plants. Database is password protected through the software. The system contains records created from 1997 to present with the same time span. Geographically, the system generates reports from all of the USA and USA territories.

TEMPORARY. Cutoff when system is replaced. Transfer federal records 1 year after system is cutoff. Destroy 6 years after cutoff.

- c. Data outputs. The portion of the Quarterly Enforcement Report (of enforcement activity) is posted on the FSIS website. A variety of irregular ad-hoc and some regular reports are sent to fill request within OPEER and Congressional and Public Affairs associated with a variety of plant compliance issues, types of violations and compliance trends.

TEMPORARY. Destroy when 3 years old.

- d. System documentation. User manuals, training guides and policies and procedures for adding and deleting from the system and related information pertaining to the content and technical management of the Administrative Enforcement Actions (AEA).

TEMPORARY. Destroy/delete when superseded or obsolete, or 1 year after the discontinuance of the system, whichever is sooner.

2. Electronic mail and word processing records.

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the items above. Also, includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revising, and disseminating.

- a. Copies of records that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personnel files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copies.

Destroy/delete within 180 days after the recordkeeping copy has been produced.

- b. Copies used for disseminating, revising, or updating that are maintained in addition to recordkeeping copy.

Destroy/delete when disseminating, revising, or updating is completed.