

**REQUEST FOR AUTHORITY
TO DISPOSE OF RECORDS**

(See Instructions on Reverse)

**TO: GENERAL SERVICES ADMINISTRATION,
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, D.C. 20408**

1. FROM (AGENCY OR ESTABLISHMENT)

U.S. Department of Agriculture

2. MAJOR SUBDIVISION

Federal Grain Inspection Service (FGIS)

3. MINOR SUBDIVISION

Washington & Field (all divisions)

4. NAME OF PERSON WITH WHOM TO CONFER

Robert J. McNeil

5. TEL. EXT.

447-7965

6. CERTIFICATE OF AGENCY REPRESENTATIVE:

| | |
|--|--|
| LEAVE BLANK | |
| DATE RECEIVED 6 FEB 1978 | JOB NO. NC1 136 78 1 |
| NOTIFICATION TO AGENCY | |
| <p>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 "with-drawn" in column 10.</p> | |
| 4-20-78 Date | <i>James B. Rhoads</i> Archivist of the United States |

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.

1/30/78
(Date)

Robert J. McNeil
(Signature of Agency Representative)

Records Officer
(Title)

| 7. ITEM NO. | 8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods) | 9. SAMPLE OR JOB NO. | 10. ACTION TAKEN |
|-------------|--|----------------------|------------------|
| | <p>Federal Grain Inspection Service (FGIS) was established as an autonomous agency within the United States Department of Agriculture in November 1976. That month, records which were maintained in the Grain Division of Agricultural Marketing Service became a part of the FGIS records holdings.</p> <p>Federal Grain Inspection Service (FGIS) is responsible for the formulation and administration of policies and programs relating to administration and enforcement of the provisions of the U.S. Grain Standards Act and regulations issued under its authority.</p> <p>FGIS is authorized to investigate the handling, weighing, grading, and transportation of grain and to establish standards of kind, class, quality and condition of grain. Determines the procedures and controls for accurate inspection and weighing and inspection and weight certification. Provides for the testing of equipment used in the official sampling, grading, inspection and weighing of grain. Issues licenses, authorizations, approvals, delegations, and designations to perform the functions of inspection, weighing and equipment testing, and issues certificates of registration to exporters. Audits records and reviews reports of those subject to the Act. Prepares reports of investigations and studies and recommends actions to be taken. Confers with United States grain purchasers and others concerning administration and enforcement of the Act.</p> | | 42 items |

sent to agency. all FRC's, NCU, NNF, NNA, NNB, - 4/24/78

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

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| | <p>This schedule supersedes those items in Schedule NN-172-221 that were transferred to FGIS.</p> <p>This Schedule covers records of the FGIS created and accumulated in the administration of the following services and activities.</p> <p>(a) Planning and administering marketing services, standardization, weighing, inspection, grading and testing, and related programs for grain and processed grain products, beans, peas, rice, hay, hops, and assigned commodities as authorized by the U.S. Grain Standards Act, as amended; and the Agricultural Marketing Act of 1946, as amended.</p> <p>(b) Executing assigned civil defense and defense mobilization activities; and</p> <p>(c) All future services and activities authorized by legislation and assigned to the FGIS, provided the programs are similar to those mentioned in this Schedule.</p> <p>FGIS records covered by the General Records Schedule (GRS) of the General Services Administration (GSA) are disposable by that schedule without further authorization.</p> <p><u>Note:</u> All 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.</p> <p>1. <u>General Administrative Records</u> unless specifically listed elsewhere in this schedule, records pertaining to management functions such as procurement of supplies, equipment, and services, property accountability, budgeting, payroll, 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> <p style="padding-left: 40px;">Washington and Field</p> | | |

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| 1 Con't | <p>a. Correspondence and reports concerning repetitive or individual routine transactions and matters, legislative reporting, housekeeping, and purely facilitative functions not covered by other schedules.</p> <p style="padding-left: 40px;">Destroy when 3 years old.</p> <p>b. Records described in item 1a which cannot be removed from active files during regular file breaks because they pertain to ongoing, unsettled matters.</p> <p style="padding-left: 40px;">Remove from file when matter is settled, terminated, closed, or consummated. Destroy 5 years after end of fiscal year material is removed from file.</p> <p>c. Record Copy for Specific Items - Use GSA General Records Schedules (GRS).</p> <p>d. General Administrative Correspondence - Duplicated or information copy.</p> <p style="padding-left: 40px;">All offices destroy when 1 year old or when no longer needed.</p> | | |
| 2. | <p><u>Publicity and Information Records (FGIS Series Only)</u></p> <p>Arranged numerically by series number.</p> <p>a. Information Publications supplied to individuals or institutions outside the Agency. Includes pamphlets and booklets explaining the functions of the Agency or various aspects of federal grain inspection services; printed, typed, or mimeographed directives of organizations, firms, producers, etc., supplied to the public; and published reports reflecting major agency operations excluding Departmental publication series.</p> <p style="padding-left: 40px;">PERMANENT. (1) Transfer to FARC when 3 years old. Offer to Archives when 25 years old. This material may be microfilmed in accordance with the provisions of FPMR 101.011.5 and (2) the paper records destroyed after the microfilm copies have been reviewed and found acceptable.</p> <p>b. Source records used to gather and compile publications described in item 2a.</p> <p style="padding-left: 40px;">Destroy 1 year after publication.</p> | | <p>½ cu. ft.</p> |

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| 2 Con't | <p>File Chronologically</p> <p>c. Lectures and speeches for the FGIS Administrator and his assistants which pertain to major FGIS programs and/or operations.</p> <p>1. <u>Record Copy</u> PERMANENT. Transfer to FARC when 3 years old. Offer to Archives when 25 years old.</p> <p>2. <u>Other Copies</u> Destroy when 1 year old.</p> <p>d. All other lectures and speeches written by FGIS personnel which do not pertain to major FGIS programs and operations.</p> <p>Destroy when 3 years old.</p> | | <p>1/4 cu. ft.</p> |
| 3. | <p><u>Committee Meetings</u></p> <p>Case Filed by Name of Committee</p> <p>a. Agendas, minutes, final reports and recommendations of advisory committees and meetings, meetings with inter-agencies or other Federal agencies, and other meetings (other than staff meetings) chaired by FGIS top level employees.</p> <p>PERMANENT. Transfer to FARC when 3 years old. Offer to Archives when 25 years old.</p> <p>b. Material described in item 3a pertaining to committee meetings, and major one-time meetings attended by or overseen by but not chaired by FGIS top level employees.</p> <p>Destroy when 3 years old.</p> | | <p>1/2 cu. ft.</p> |
| 4. | <p><u>Staff Meetings</u></p> <p>File Chronologically</p> <p>a. Agenda, and minutes, with supporting papers of the Administrator's staff meetings relating to substantive functions of the agency.</p> <p>PERMANENT. Transfer to FARC when 3 years old. Offer to Archives when 25 years old.</p> | | <p>1/10 cu. ft.</p> |

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| 4 Con't | b. Minutes of Staff meetings below the Administrator's level. Destroy when 3 years old. | | |
| 5. | <u>Administrator's Reading File</u> (File Chronologically) Correspondence, memoranda and related material signed or originated by the Administrator and Administrator's office staff. PERMANENT. Transfer to FARC when 5 years old. Offer to Archives when 25 years old. | | $\frac{1}{4}$ cu. ft. |
| 6. | <u>Coop Agreements</u> (File Chronologically) Agreement and memorandums of understanding (including related records) with other Federal agencies, State agencies, and other agencies or persons. a. Washington or Field - whichever has the record copy. PERMANENT - Transfer to FARC when 5 years old. Offer to Archives when 25 years old. b. Other Copies - Destroy when 3 years old. | NN-172-221 (14) | $\frac{1}{4}$ cu. ft. |
| 7. | <u>Budget Policy Files</u> Records documenting agency policy and procedures governing budget administration, and reflecting policy decisions affecting expenditures for agency programs. 1. <u>Record Copy</u> Destroy when 6 years old. 2. <u>Other Copies</u> Destroy when 3 years old. | | |
| 8. | <u>Budget Estimates</u> The Record copy of 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. | | |

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| 8 Con't | <p>1. <u>Record Copy</u> Transfer to FARC when 5 years old. Destroy when 25 years old.</p> <p>2. <u>Other Copies</u> Destroy when 3 years old.</p> | | |
| 9. | <p><u>Directives</u></p> <p>Filed Numerically by Directive Number.</p> <p>This section covers records created or accumulated in directing and coordinating agency-wide procedures and issuances for FGIS.</p> <p>a. A set of the FGIS handbooks, instructions and all revisions thereof showing basic procedures in weighing, grading, classing, and inspection work, etc. and a copy of each periodic issuance of:</p> <p>1. Subject Index of Agency Instructions 2. Table of Contents of Agency Instructions Manual.</p> <p>PERMANENT - Transfer to FARC when 5 years old. Offer to Archives when 25 years old</p> <p><u>Instruction Case Files</u></p> <p>b. Case files for agency instructions and all revisions thereof consisting of: (1) original submission of instructions; (2) background material supporting need for issuance of instruction; (3) form (s) documenting clearances and approvals; including work progress forms; (4) printed copy of instruction; (5) printed agency notice transmitting instruction.</p> <p>Transfer to FARC when superseded or obsolete. Destroy 10 years after fiscal year in which Instructions are superseded or obsolete.</p> | | <p>½ cu. ft.</p> |

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| 10. | <p><u>Delegation of Authority</u></p> <p>File Chronologically</p> <p>Delegation and designation of authority for inspection and weighing services under the authority of the Grain and Standards Act. These delegations will be signed by the Administrator of FGIS and the Secretary of USDA and those States, agencies or firms granted the authority.</p> <p>1. <u>Record Copy</u> Washington Office - Permanent Transfer to FARC 3 years after cancelled or revoked. Offer to Archives 25 years after cancelled or revoked.</p> <p>2. <u>Other Copies</u> Destroy when cancelled or revoked.</p> | | 1/10 cu. ft. |
| 11. | <p><u>Temporary Delegations</u></p> <p>Includes authority to represent FGIS at hearings and delegation to sign.</p> <p>1. <u>Record Copy</u> Destroy 3 years after superseded or obsolete.</p> <p>2. <u>Other Copies</u> Destroy when superseded or obsolete.</p> <p>Note: Other Official Delegations are issued in Agency Directives and Instructions.</p> | | |
| 12. | <p><u>Compliance/Enforcement/Litigation</u></p> <p>a. Precedent Cases - Records pertaining to administrative proceedings, court actions, and claims essential to the documentation of FGIS involvement in regulatory violation cases and litigation, including cases against FGIS and FGIS employees, which are of national importance, and/or result in major changes in FGIS policy or procedures. OGC retains official copy.</p> | NN-172-221 Item 25 | |

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| 12 Con't | <p>Break from active file when case is closed. Transfer to FARC when 5 years old. Destroy when 20 years old.</p> <p>b. Records described in item 12a, as well as records included in violation complaint case files which do not result in litigation or formal administrative or court proceedings and/or warnings, which are not of precedent importance.</p> <p>Break from active files when case is closed. Transfer to FARC 3 years after removal from active files. Destroy 7 years after removal from active files.</p> | NN-172-221 Item 25 | |
| 13. | <p><u>Dockets</u></p> <p>Case files including FGIS dockets submitted for publication in the <u>Federal Register</u> and related material.</p> <p>a. Docket cases which contain material essential to the documentation of program formulation and/or major operations which are not substantially covered by the docket itself. These files include the Agency copy with the Office of General Counsel approval.</p> <p>Transfer to FARC when 3 years old. Destroy when 20 years old.</p> <p>b. Divisional copies of dockets, background material, and public commentary (other than described in item 13a). This includes fee dockets which do not have public commentary.</p> <p>Break from file at end of fiscal year rule finalized. Destroy 10 years after rule finalized.</p> | | |
| 14. | <p><u>Work Accomplishment Reports</u></p> <p>File Chronologically</p> <p>a. Annual or equivalent periodic reports and <u>special</u> reports showing major operations, or describing work progress and accomplishments at the organizational level above division level.</p> | NN-172-221 Item 2 | 1/10 cu. ft. |

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| 14 Con't | <p>1. <u>Record Copy</u> PERMAMENT - Transfer to FARC when 5 years old. Offer to Archives when 25 years old.</p> <p>2. <u>Other Copies</u> Destroy when 3 years old.</p> <p>b. Division Level and Lower, Monthly Report, etc. Destroy when 3 years old.</p> | | |
| 15. | <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.</p> <p>Washington or Field - whichever has the record copy. Transfer to FARC when 5 years old. Destroy when 15 years old.</p> | NN-172-221 | |
| 16. | <p><u>Certificates</u> (Case files or otherwise)</p> <p>Certificates issued to applicants for inspection and weighing services. These files include appeals to FGIS and other related correspondences.</p> <p><u>Note:</u> The filing practices regarding items 18, 19, and 20 vary among the field offices. These items may or may not be merged together depending upon the submitting field office.</p> <p>a. Washington or Field - whichever has the record copy. Transfer to FARC when 2 years old. Destroy when 6 years old, unless otherwise requested by the Administrator to maintain for a longer period, not to exceed 8 years total.</p> <p>b. Other Copies - Destroy when 2 years old.</p> | NN-172-221 Items 9 & 13 U.S. Code Title 7 87a(b) ↓ | |
| 17. | <p><u>Applications for Inspection</u> (Case files or otherwise)</p> <p>Applications for weighing, inspection and appeal services and for registration certificates.</p> | NN-172-221 Item 11 | |

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| 17 Con't | <p><u>Note:</u> The filing practices regarding items 18, 19, and 20 vary among the field offices. These items may or may not be merged together depending upon the submitting field office.</p> <p>a. Washington or Field - whichever has the record copy. Transfer to FARC when 2 years old. Destroy when 6 years old unless otherwise requested by the Administrator to maintain for a longer period, not to exceed 8 years total.</p> <p>b. Other Copies - Destroy when 2 years old.</p> | U.S. Code Title 7 87a(b) | |
| 18. | <p><u>Inspection and Weighing Work Record Forms</u> (Case files or otherwise)</p> <p>Sampling tickets, analysis and inspection, weighing, equipment testing, reports, shipping logs, commodity sampling report on physical and chemical tests (made to determine compliance with contract specifications, and to supervise laboratories which test these commodities for the department) and related documents, but not file samples.</p> <p><u>Note:</u> The filing practices regarding items 18, 19, and 20 vary among the field offices. These items may or may not be merged together depending upon the submitting field office.</p> <p>a. Washington or Field - whichever has the record copy. Transfer to FARC when 2 years old. Destroy when 6 years old unless otherwise requested by the Administrator to maintain for a longer period, not to exceed 8 years total.</p> <p>b. Other Copies - Destroy when 2 years old.</p> | NN-172-221 Item 11, 12 & 20 U.S. Code Title 7 87a(b) | |
| 19. | <p><u>Licensing Case Files for State and Private Companies and Official Inspection Agencies.</u></p> <p>Inspectors', samplers', technicians', and weighers' licenses and related documents, given to prospective licensees. These files are broken down into two separate case files:</p> | NN-172-221 Item 15 | |

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| 19 Con't | <p>a. Individual case files showing application for employment, examination answer sheets, etc.</p> <p>b. Corrective action files showing discrepancies, findings, evaluations, and recommendations.</p> <p>Washington or Field - whichever has the record copy. Destroy immediately when inspector is deceased, or 10 years after decision is cancelled.</p> | | |
| 20. | <p><u>File Samples</u></p> <p>According to Title 7 of CFR 26.57, an official file sample is to be maintained for each official inspection. A file sample is not needed for checkweighing and other types of inspection which are not based on an examination of the grain in a sample.</p> <p>Domestic - Destroy after a minimum of 3 days or a maximum of 25 days.</p> <p>Export - Destroy after 45 days.</p> | <p>CFR Title 7 26.57</p> | |
| 21. | <p><u>General Program Correspondence</u></p> <p>Office of Inspector General (OIG) Reports; and remainder of records and correspondence, not described in items 1 through 20 above, relating to routine program operations.</p> <p>Destroy when 5 years old.</p> | <p>NN-172-122 (27)</p> | |