

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		JOB NUMBER <i>NI-545-08-2</i>	
To NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received <i>7/30/07</i>	
1 FROM (Agency or establishment) Grain Inspection, Packers and Stockyards Administration (GIPSA)		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
2 MAJOR SUBDIVISION			
3 MINOR SUBDIVISION			
4 NAME OF PERSON WITH WHOM TO CONFER Russ Cole	5 TELEPHONE NUMBER (301) 734-3253	DATE <i>July 12</i>	ARCHIVIST OF THE UNITED STATES <i>[Signature]</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 _____ page(s) are not needed now for the business for 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,  <input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached, or <input type="checkbox"/> has been requested			
DATE July 30, 2007	SIGNATURE OF AGENCY REPRESENTATIVE <i>[Signature]</i>		TITLE GIPSA Records Officer
7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)

## QA-QC PROGRAMS (QAC)

Quality assurance and quality control records and materials created to monitor, maintain, and improve the development and execution of services delivered by the official system Records may be in either electronic or hard-copy form

Instructions given are for record copies All other copies are treated as informational unless separately scheduled Informational copies cannot be retained beyond the retention period for the recordkeeping copies

All items in the schedule are media neutral

Agency agrees to transfer all permanent electronic records to NARA in accordance with 36 CFR 1235 44-50 Permanent items are kept in PDF format

### 1. QAC POLICY AND GUIDELINES

This includes policies and guidelines covering all subjects included under this primary subject If needed, subdivide by type or subject of policy and cross-reference to appropriate subject category

**Disposition:** PERMANENT.

**Recordkeeping Copies:** Cut off at the end of the fiscal year in which policy and guidelines are created Transfer to the National Archives (NARA) immediately after cut off

### 2. QAC INQUIRIES

~~These are general inquiries and responses under this subject category such as general requests for information on how quality activities are conducted~~

~~**Disposition:** Temporary~~

~~**Recordkeeping Copies:** Destroy when 1 year old—GRS 14, Information Service Records, item 1, Information Requests Files~~

### 3. QAC REPORTS

Reports covering all subjects included under this primary subject Cases are filed by type of report

- a. Record copy of substantive reports, such as annual summaries and comprehensive nonrecurring reports such as final annual work plans and Annual Reports to Congress

**Disposition:** PERMANENT.

**Recordkeeping Copies:** Cut off at the end of the fiscal year in which reports is created Transfer to the National Archives (NARA) immediately after cut off

- b. Early Alert Reports

Documents related to notifying others of potential problems in the marketplace

**Disposition:** Temporary

**Recordkeeping Copies:** Destroy when 3 years old

- c. All other reports such as audit reports and findings, non-conformity dispositions, and auditor notes

**Disposition:** Temporary

**Recordkeeping Copies:** Destroy when obsolete or no longer needed for business purposes

#### **4. COOPERATIVE AGREEMENTS**

Contracts established between official agencies and their field offices and between field offices and the Board of Appeals and Review

**Disposition:** Temporary.

**Recordkeeping Copies:** Destroy 5 years after superseded or when no longer needed for business purposes

#### **5. COMPLAINTS**

##### **a. Domestic or Weighing**

Material associated with complaints about domestic inspection quality or the weighing program

**Disposition:** Temporary

**Recordkeeping Copies:** Destroy when 5 years old or when no longer needed for business purposes

**b. Foreign**

Material associated with complaints about inspection quality or weighing quantity of grains or commodities exported from the United States

**Disposition:** Temporary

**Recordkeeping Copies:** Destroy when 10 years old

**6. INITIAL AND PERIODIC QUALITY EVALUATIONS**

- a Documents related to the initial and periodic evaluation of official inspection systems, including sensory assessments, equipment, and instrumentation

Examples of records in this category include

- Records of **performance testing and maintenance records of equipment** such as dividers, test weight apparatus, scales, sieves, dockage testers, and laboratory weights. Records include both hard copy such as internal check test forms used before implemented ECT and electronic formats including emails
- **Mechanical probe samplers** and diverter-type samplers (all records are hard copy forms)
- Documents relating to **specialized quality assurance programs** for sensory assessments (i.e., visual or olfactory determinations). Hard copy documents include FGIS 920s, pan tickets, and BAR opinion slips.
- **Image-based Testing** (i.e., Rice Grain Check) such as daily checks and monitoring maintained in a hardcopy logbook
- **Falling Number Testing** monitoring or check-sample records. Test results are in electronic spreadsheets, with the check-sample report issued in electronic (PDF) format
- **Mycotoxin testing**, including periodic check-sample reports, or other quality control processes records. These records are all maintained in hard-copy format
- **Moisture testing** (including reference and official methods) records such as supervision/monitoring, laboratory control samples, and uniformity checks. Uniformity check records are kept in hardcopy

logbooks, while all other data is kept in electronic formats such as ECT for check testing and Access for lab control samples and monitoring results

- **Protein testing** (includes reference and official methods) records such as bias adjustments, control charts, monitoring data collected, laboratory control samples, and responses to identified issues. Records are either in Access (bias adjustments, monitoring data) or in spreadsheets (lab control samples). Control charts are generated from Access.
- **Oil testing** (includes reference and official methods) records such as monitoring data, responses to identified issues, and laboratory control samples. Balance checks and temperature checks are maintained in hardcopy logbooks, with lab control samples and monitoring data maintained in Access.

**Disposition:** Temporary

**Recordkeeping Copies:** Destroy when 5 years old or no longer needed for business purposes

- b Documents related to the initial approval and periodic maintenance of official systems instrumentation

Examples of records in this category include

- Maintenance documentation on instruments such as NIR, NMR, falling number apparatus, moisture meters, air ovens, CNAs, oil extraction units, and bulk scales and scale weights
- Initial evaluation of new inspection instrumentation such as reference instruments and bulk scales, scale weights, and mechanical probe samplers and diverter-type mechanical samplers

**Disposition:** Temporary

**Recordkeeping Copies:** Maintain for 1 year after the specific instrument is removed from service

- c Documents related to routine quality assurance and Good Laboratory Practices (GLP) including the maintenance, performance, and usage data for equipment and instrumentation used in methods development activities

**Disposition:** Temporary

**Recordkeeping Copies:** Maintain for 1 year after the specific instrument is removed from service

**7. REFERENCE MATERIALS**

Records of the development, distribution, updating, and/or replacement of reference materials used for quality control/assurance purposes. Reference materials include standard reference samples, Visual Reference Images, Interpretive Line Prints, etc.

**Disposition:** Temporary.

**Recordkeeping Copies:** Destroy 5 years after superseded or obsolete

**8. INTERMARKET ACTIVITIES**

Records related to activities to identify and/or quantify intermarket differences within the official inspection system. Examples of records include pan tickets and reports based on the analysis of data.

**Disposition:** Temporary.

**Recordkeeping Copies:** Destroy when 5 years old or no longer needed for business purposes.

**9. LOCAL PLANS**

Records include the nine individual GIPSA field offices, the Board of Appeals and Review's plan for operating their quality program.

**Disposition:** Temporary

**Recordkeeping Copies:** Retain until superseded or obsolete