

**United States Department of Agriculture
Agricultural Marketing Service, Science & Technology
Microbiological Data Program**

SOP No.: MDP-DATA-02		Page 1 of 6
Title: Data Storage and Archival		
Revision: 03	Replaces: 05/01/06	Effective: 03/01/08

1. Purpose:

To provide standard procedures for data storage and archival for laboratories participating in the USDA/AMS Microbiological Data Program (MDP).

2. Scope:

This standard operating procedure (SOP) shall be followed by all laboratories conducting microbiological studies for MDP, including support laboratories conducting non-routine activities that may impact the program.

3. Outline of Procedure:

Data Package Contents	5.1
Data Archival at the Participating Laboratory	5.2
Storage in Federal Record Centers	5.3
MDP Designated Federal Records Centers	Attachment 01
Standard Form (SF)-135 (template)	Attachment 02
SF-135 Example for Routine Data Package Records	Attachment 03
SF-135 Example for Supporting Documentation	Attachment 04
Instructions for Assembly and Packaging of Record Boxes	Attachment 05

4. References:

- 4.1. 40 CFR 160.190, Storage and retrieval of records and data
 - 4.2. Guide to Federal Records in the National Archives of the United States, <http://www.archives.gov/research/guide-fed-records/index.html> (last accessed 02/15/08)
 - 4.3. National Archives and Records Administration (NARA), Transfer of Unscheduled Records to Records Storage Center Facilities, <http://www.archives.gov/frc/unscheduled-records-faqs.html> (last accessed 02/15/08)
 - 4.4. Standard Form (SF)-135 and instructions, <http://www.archives.gov/frc/forms/sf-135-intro.html> (last accessed 02/15/08)
 - 4.5. ISO/IEC Guide 17025:1999(E), General Requirements for the competence of testing and calibration laboratories
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5. Specific Procedures:

This procedure is a general guideline representing minimum requirements. Each laboratory shall develop written procedures providing specific details about how it has been implemented.

5.1. Data Package Contents

5.1.1. Each data package retained by the program participant (e.g., State or Federal laboratory) shall consist of laboratory records (i.e., worksheets and/or completed forms), USDA records of collection and analytical results reports, and all raw and/or derived sample data for a given set or group of samples analyzed. If raw data/observations are collected in a bound notebook, the notebook need not be included in the raw data package; however, it must be maintained by the laboratory as supporting documentation.

5.1.2. Supporting documentation (e.g., refrigerator/freezer logs, training records) do not need to be included in the data package, but must be maintained by the laboratory.

5.2. Data Archival at the Participating Laboratory

5.2.1. Each data package retained shall be filed by calendar year and month. After a data set has been completed and electronically submitted (i.e. through RDE) to the USDA/AMS Monitoring Programs Office (MPO), hardcopy data packages should be archived. All other documentation should be archived by time span and subject (e.g., 2001-2003 Temperature Logs, 2001-2005 Administration Documents, etc.) at the discretion of the laboratory.

5.2.2. An individual(s) shall be identified as responsible for the archives.

5.2.3. Access to archived records shall be monitored and controlled. Use of manual or electronic logs are recommended for documenting access.

5.2.4. Physical and environmental conditions of storage shall minimize deterioration of the documents in accordance with the requirements for the time period of their retention and the nature of the documents. Locked file cabinets, secured records storage facilities, etc. are acceptable.

5.2.5. Routine sample data packages shall be maintained at least two years following electronic transmission and before applying for disposition to Federal Records Centers. Special consideration shall be granted for early disposition on a case-by-case basis.



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5.2.6. All other supporting documentation shall be archived at the participating laboratory for a minimum of two years following submission to MPO.

5.3. Storage in Federal Record Centers

5.3.1. MDP data packages as defined in subsection 5.1 of this SOP shall be transferred to a designated Federal Records Center, preferably after the storage requirement specified in subsection 5.2.5 has elapsed. Note: See Attachment 01, MDP Designated Federal Records Centers.

5.3.2. Supporting data may be transferred to a designated Federal Records Center, preferably after the storage requirement specified in subsection 5.2.6 has elapsed. Note: See Attachment 01, MDP Designated Federal Records Centers. Supporting data may include, but is not limited to historical internal SOPs, work instructions, interim and final reports, semi-annual program plans, sampling plans and site information, programs/minutes from MDP meetings, correspondences, hardcopy data and reports from proficiency testing sets, sample worksheets, temperature logs, and any other data arising from original observations or activities.

5.3.3. Dispose of all extra copies of records and non-record material (e.g., paperclips, buckslips, post-it notes, etc.) in accordance with individual laboratory security policies. The use of accordion folders is suggested. Binders with non-metal parts (e.g., plastic combs/spirals, 3-ring "Tuffy" mechanisms, etc.) are also acceptable.

5.3.4. Each calendar year of data packages must be transferred separately. Within each year, file data packages by month and commodity. Supporting documentation may be transferred separately by time span and subject.

5.3.5. All transfers/accessions must be accompanied by an SF-135, Records Transmittal and Receipt (refer to Attachment 02 for form template, Attachment 03 as an example for routine data, and Attachment 04 as an example for supporting documentation). *Note: An Adobe Acrobat fillable form SF-135 is available on the internet (see References).*

5.3.6. Use only Federal Records Center boxes when transferring records. Boxes may be obtained by contacting USDA/AMS MPO. Refer to Attachment 05 for illustrated box assembly and packing instructions.

5.3.7. When packing records, do not force files into the boxes. Leave approximately one inch space in each box to permit easy withdrawal of folders. Pack folders upright, with letter size folders facing the front of the container. Do not place folders one on top of another.

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- 5.3.8. After the files are boxed, number the cartons sequentially (e.g., 1/10, 2/10, 3/10, etc.) with permanent black marker in the upper right front corner. The box numbers shall correspond to the completed SF-135.
- 5.3.9. Send the completed form to MPO:
- USDA/AMS/S&T/Monitoring Programs Office
8609 Sudley Rd., Suite 206
Manassas, VA 20110
- 5.3.10. MPO will approve and forward the SF-135 to the Federal Records Center for assignment of the accession number. Once the accession number is recorded by MPO, one copy of the SF-135 will be sent back to the transferring laboratory. Upon receipt of the approved SF-135, the accession number shall be placed in the upper left front of the carton. Include the date of disposal on the approved SF-135 on the outside of each box.
- 5.3.11. Place the approved SF-135 and box listing inside the first box of the accession.
- 5.3.12. Close all boxes and seal with filament tape. Ensure that the filament tape does not cover the accession number or the carton number.
- 5.3.12.1. Ship all boxes to the appropriate designated Federal Records Center using the most economical and secure manner (e.g., Certified US Mail 3rd Class or equivalent). All expenses incurred in transferring records must be charged to the laboratory's MDP allocated funds. Data will be retained by the Federal repositories for a period of at least 25 years and will be available for retrieval during that time.
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Revision 03

February 2008

Monitoring Programs Office

- Revised procedures to allow archival of supporting documentation at Federal Records Centers
- Revised Attachment 01 to update Federal Records Centers for MDP laboratories
- Added Attachment 03 as an example for the SF-135 for routine data package records
- Added Attachment 04 as an example for the SF-135 for supporting documentation
- Renamed Attached 03 as Attachment 05

Revision 02

May 2006

Monitoring Programs Office

- Revised Attachment 01 to update Federal Records Center address for two laboratories.

Revision 01

October 2004

Monitoring Programs Office

- Revised Attachment 01 to include Minnesota Department of Agriculture
 - Revised Attachment 02 to update Transferring Agency Official's name
 - Added references
 - Reviewed for changes to Federal Records Center instructions
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**USDA/AMS Microbiological Data Program
Designated Federal Records Centers**

Laboratory	Region	Send to:	
		Name	Address
Colorado Department of Agriculture	Rocky Mountain Region	Federal Records Center	Bldg. 48, Denver Federal Center West 6 th Avenue and Kipling Street Denver, CO 80225-0307
Florida Department of Agriculture and Consumer Services	Southeast Region	Federal Records Center	4712 Southpark Blvd. Ellenwood, GA 30294
Michigan Department of Agriculture	Great Lakes Region	Federal Records Center	7358 South Pulaski Road Chicago, IL 60629-5898
Minnesota Department of Agriculture	Great Lakes Region	Federal Records Center	7358 South Pulaski Road Chicago, IL 60629-5898
Montana Department of Agriculture	Rocky Mountain Region	Federal Records Center	Bldg. 48, Denver Federal Center West 6 th Avenue and Kipling Street Denver, CO 80225-0307
New York Department of Agriculture and Markets	Northeast Region	Federal Records Center	National Archives-Central Plains Region 200 Space Center Drive Lee's Summit, MO 64064-1182
Ohio Department of Agriculture	Great Lakes Region	Federal Records Center	Federal Records Center – Dayton 3150 Springboro Road Dayton, OH 45439-1883
Washington State Department of Agriculture	Pacific Alaska Region	Federal Records Center	6125 Sand Point Way NE Seattle, WA 98115-7999
Wisconsin State Department of Agriculture	Great Lakes Region	Federal Records Center	7358 South Pulaski Road Chicago, IL 60629-5898
USDA, AMS, S&T, National Science Laboratory	Southeast Region	Federal Records Center	4712 Southpark Blvd. Ellenwood, GA 30294

RECORDS TRANSMITTAL AND RECEIPT

Complete and send original and one copy of this form to the appropriate Federal Records Center for approval prior to shipment of records. See specific instructions on reverse.

PAGE **1** OF **PAGES**

1 TO (Complete the address for the records center serving your area as shown in 36 CFR 1228.150.)

5 FROM (Enter the name and complete mailing address of the office retiring the records. The signed receipt of this form will be sent to this address.)

Federal Records Center

2 AGENCY TRANSFER AUTHORIZATION TRANSFERRING AGENCY OFFICIAL (signature and title) DATE

3 AGENCY CONTACT TRANSFERRING AGENCY LIAISON OFFICIAL (Name, office and telephone No)

4 RECORDS CENTER RECEIPT RECORDS RECEIVED BY (Signature and Title) DATE

Fold Line

6 RECORDS DATA

ACCESSION NUMBER			VOLUME (cu. ft.)	AGENCY BOX NUMBER	SERIES DESCRIPTION (with inclusive dates of records)	RESTRICTION	DISPOSAL AUTHORITY (schedule and item number)	DISPOSAL DATE	COMPLETED BY RECORDS CENTER			
RG	FY	NUMBER							LOCATION	SHELF PLAN	CONT. TYPE	AUTO. DISP.
(a)	(b)	(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)	(l)	(m)

RECORDS TRANSMITTAL AND RECEIPT

Complete and send original and one copy of this form to the appropriate Federal Records Center for approval prior to shipment of records. See specific instructions on reverse.

1 TO (Complete the address for the records center serving your area as shown in 36 CFR 1228.150.)

5 FROM (Enter the name and complete mailing address of the office retiring the records. The signed receipt of this form will be sent to this address.)

Federal Records Center
(TYPE YOUR RECORDS FACILITY ADDRESS)

USDA-AMS-S&T
Monitoring Programs Office
8609 Sudley Road, Suite 206
Manassas, VA 20100

2 AGENCY TRANSFER AUTHORIZATION
TRANSFERRING AGENCY OFFICIAL (signature and title)
John Punzi, Chemist
DATE

3 AGENCY CONTACT
TRANSFERRING AGENCY LIAISON OFFICIAL (Name, office and telephone No)
(Laboratory point of contact)

4 RECORDS CENTER RECEIPT
RECORDS RECEIVED BY (Signature and Title)
DATE

Fold Line

6 RECORDS DATA

ACCESSION NUMBER			VOLUME (cu. ft.)	AGENCY BOX NUMBER S	SERIES DESCRIPTION (with inclusive dates of records)	RESTRICTION	DISPOSAL AUTHORITY (schedule and item number)	DISPOSAL DATE	COMPLETED BY RECORDS CENTER			
RG	FY	NUMBER							LOCATION	SHELF PLAN	CONT. TYPE	AUTO. DISP.
(a)	(b)	(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)	(l)	(m)
			20	1-3 4-5 6-9 10-14 15 16-18 19 20	United States Department of Agriculture Agricultural Marketing Service S&T, Monitoring Programs Office MICROBIOLOGICAL DATA PROGRAM ROUTINE DATA PACKAGE RECORDS Name of Laboratory (CY 2001) January 2001 February 2001 March 2001 April 2001 May & June 2001 July 2001 August-October 2001 November & December 2001	R						

1 TO (Complete the address for the records center serving your area as shown in 36 CFR 1228.150.)

5 FROM (Enter the name and complete mailing address of the office retiring the records. The signed receipt of this form will be sent to this address.)

Federal Records Center
(TYPE YOUR RECORDS FACILITY ADDRESS)

USDA-AMS-S&T
Monitoring Programs Office
8609 Sudley Road, Suite 206
Manassas, VA 20100

2	AGENCY TRANSFER AUTHORIZATION	TRANSFERRING AGENCY OFFICIAL (signature and title) John Punzi, Chemist	DATE
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3	AGENCY CONTACT	TRANSFERRING AGENCY LIAISON OFFICIAL (Name, office and telephone No) (Laboratory point of contact)
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4	RECORDS CENTER RECEIPT	RECORDS RECEIVED BY (Signature and Title)	DATE
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Fold Line

6 RECORDS DATA

ACCESSION NUMBER			VOLUME (cu. ft.)	AGENCY BOX NUMBER S	SERIES DESCRIPTION (with inclusive dates of records)	RESTRIC- TION	DISPOSAL AUTHORITY (schedule and item number)	DISPOSAL DATE	COMPLETED BY RECORDS CENTER			
RG	FY	NUMBER							LOCATION	SHELF PLAN	CONT. TYPE	AUTO. DISP.
(a)	(b)	(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)	(l)	(m)
			20	1-3 4-12 13-20	United States Department of Agriculture Agricultural Marketing Service S&T, Monitoring Programs Office MICROBIOLOGICAL DATA PROGRAM SUPPORTING DOCUMENTATION (Name of Laboratory) Incubator and Freezer Logbooks, 1/2001-12/2004 Media Records, 1/2001-12/2003 Semi-annual Program Plans, 2001- 2005	R						

**United States Department of Agriculture
Pesticide Data Program
Instructions for Assembly and Packaging of Record Boxes**

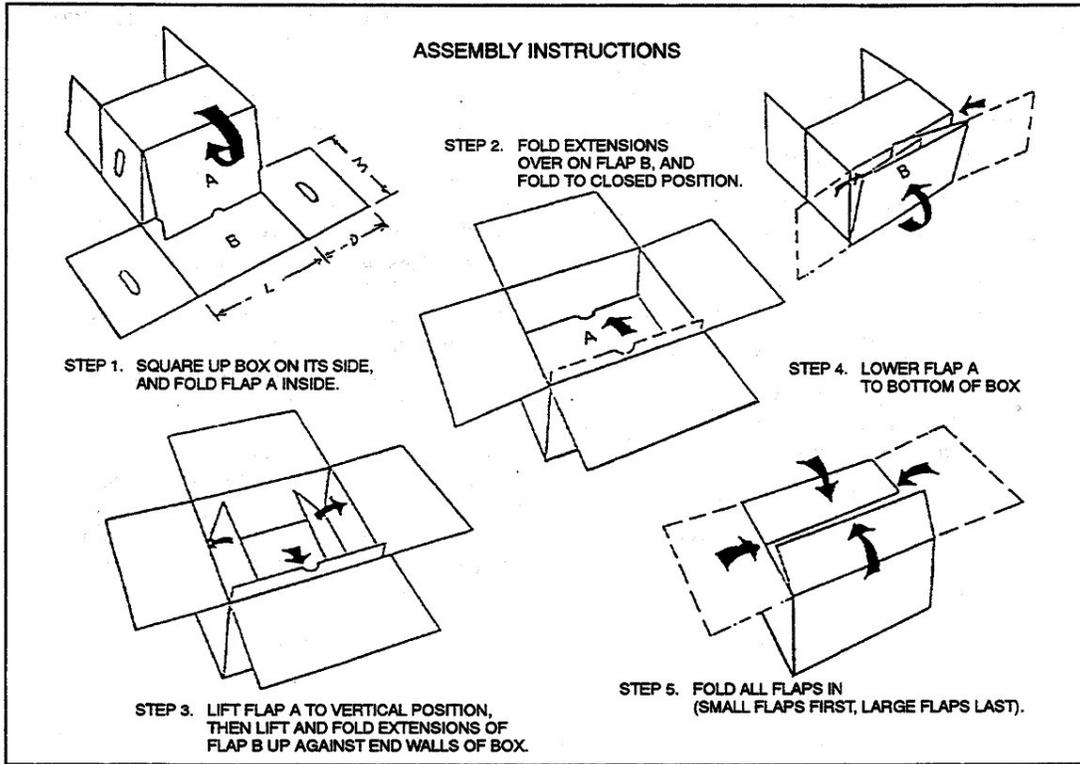


FIGURE 1 FRC BOX ASSEMBLY INSTRUCTIONS

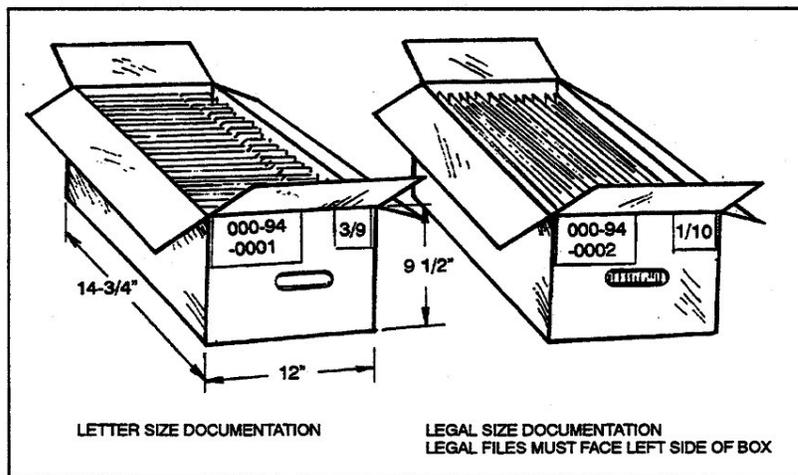


FIGURE 2 FILE PLACEMENT IN BOX AND LOCATION OF BOX IDENTIFICATION