



**United States
Department of
Agriculture**

**Agricultural
Marketing
Service**

**AMS Handbook
202**

February 1996

AMS Records Management Handbook

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AMS Records Management Handbook

Chapter 1 Introduction

1.1 Purpose. The purpose of this Handbook is to assist AMS managers in meeting their requirement to properly manage evidentiary documentation, from its creation through final disposition, according to Federal laws, Departmental regulations, and Agency directives. This Handbook:

- a. Provides the basic guidelines necessary to preserve those records needed to protect the rights and interests of AMS.
- b. Identifies those records accumulating in AMS that are of a permanent nature.
- c. Assists in ensuring that those records related to matters involved in administrative or legal proceedings will be retained until the appropriate managerial reviews authorize resumption of normal disposition.
- d. Provides the legal authority for retaining and disposing of evidentiary information accumulating in AMS.
- e. Provides life cycle management guidelines for the systematic identification, maintenance, storage, retirement, and destruction of AMS evidentiary documentation recorded on any medium (paper, microform, electronic, or any other).
- f. Assists managers in ensuring that required AMS documentation is available when and where needed; that it is in a usable format; and that it is created, maintained, used, and disposed of at the least possible cost.
- g. Provides for the systematic removal of less active records from current office space to low cost storage space.

1.2 Authority. The Federal Records Act of 1950, as amended, which is codified in Chapters 21, 29, 31, and 33 of Title 44 of the United States Code (U.S.C.), establishes that the Head of each Federal agency shall establish and maintain an active, continuing program for the economical and efficient management of the records of the agency. It also requires the Head of each Federal agency to make and preserve records containing

adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the agency. The Paperwork Reduction Act, codified in Chapter 35 of Title 44 of the U.S.C., makes records management a part of a broader program of Federal information resources management. In addition, the National Archives and Records Administration (NARA) has broad authority, under Title 36 of the Code of Federal Regulations (CFR), to set standards for the management of records, evaluate agency programs, preserve permanently valuable records, and approve the destruction of temporary records. The General Services Administration's (GSA) records management regulations are part of the Federal Information Resources Management Regulations (FIRMR), and are located in Title 41 of the CFR. In addition, AMS Division/Staff Directors have concurred with the policies established and the responsibilities assigned in AMS Directive 270.1, dated November 8, 1993, AMS Records Management Program.

1.3 Overview. The AMS Records Management Program is focused on assisting managers in meeting their requirement to adequately create and preserve the documentation (regardless of the medium) of all transactions of an agency. All managers need to be particularly aware that this information/documentation can be, and most likely is being, created and maintained in non-traditional forms, such as an electronic medium; a record does not necessarily mean a paper copy. Official records created or received from offices outside AMS are the property of the Federal Government. The AMS-unique records disposition schedule and the NARA General Records Schedules (GRS) contain the only approved guidelines authorizing the retention and disposition of Federal records accumulating in AMS. The creation of additional instructions or changes to disposition schedules shall not be made without prior approval by the AMS Records Management Officer.

1.4 Penalties. The theft, falsification, or mutilation of records is forbidden by law and is punishable by a fine of up to \$2,000 and imprisonment for up to 3 years, together with removal from office (18 U.S.C. Section 2071).

1.5 Definitions. The term *record* "includes all books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal

law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data in them. Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and of processed documents are not included" (44 U.S.C. 3301). See Appendix A for a complete explanation of all other related terms used in this Handbook.

1.6 Replacement. This Handbook replaces the Agricultural Marketing Service Files Maintenance and Records Disposition Handbook, dated April 1980.

Chapter 2 Responsibilities

2.1 Overview. General responsibilities have been outlined in AMS Directive 270.1, dated November 8, 1993, AMS Records Management Program. This chapter will, therefore, focus on identifying specific functions aimed at assisting the user in meeting those responsibilities.

2.2 Originators/Creators. Originators/creators (hereafter referred to as originators), including employees who receive record material from outside AMS, are responsible for the proper creation, maintenance, use, and disposition of the AMS record copy. This will be accomplished (applying information life cycle concepts) in the following manner:

a. **Creation.** Federal records are created for the purpose of preserving adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the Agency. The originator must, therefore, authenticate the information being created and assign a value to it. As part of the authentication process, the creator must be knowledgeable of all the requirements for the information and adhere to the principles of ownership.

(1) **Requirements.** The specific requirements detailing the information necessary for adequate Federal records in functional areas will be contained in public laws, Departmental regulations, and Agency directives. It is the responsibility of the

originator to ensure that all requirements have been met and that the records being created are accurate, essential, and current in accordance with these publications.

(2) **Ownership.** All Federal records created within the Agency, or received from outside the Agency, belong to AMS. The internal organizational component creating the record, or receiving it from outside the organization, assumes ownership responsibilities for AMS.

(3) **Collection.** Often information (raw data) is collected from various sources in order to properly document AMS transactions, and the information is arranged in one standardized format. Usually, this is accomplished by using an Agency form. All Agency forms will be processed through the Forms Management Office. See Appendix B - Forms Retention Requirements Index.

b. **Maintenance/Use.** Records are to be maintained in locations that will ensure that needed information is available to all potential users, when and where needed, in a usable format. This is to be accomplished by implementing a filing system, approved by the Agency Records Management Officer, that applies the disposition instructions contained in this Handbook to all records being created. AMS record copies are not to be removed from the control of AMS employees.

(1) **Transmission.** Particular care must be exercised when transferring AMS record copies from one location to another. Originators need to ensure that required documentation is not lost or distorted during the transfer process.

(2) **Processing.** The originator will ensure that all established administrative processing requirements have been met. As a minimum, this would include obtaining the necessary coordination signatures on the record copy, dating the documentation, and ensuring that the proper value of the information has been assigned.

(3) **Storage.** The originator will ensure that an appropriate storage device has been selected to retain the documentation. The appropriate storage medium should afford the maximum protection, at the least cost, necessary to protect the interests of AMS.

(4) **Retrieval.** The originator will ensure that the information is readily available to all potential users,

and that filing procedures as outlined in this Handbook have been correctly applied.

c. **Disposition.** The originator will ensure that the appropriate temporary and permanent disposition instructions have been identified and applied as established in the General Records Schedules (issued under separate cover) or the AMS-unique records schedule found in Appendix B. In the event that the appropriate disposition instructions cannot be determined, contact the AMS Records Management Officer for assistance.

2.3 Records Management Liaisons. Each Branch Chief (headquarters) or Office Supervisor (field locations) will assign the duty of Records Management Liaison (RML) to an individual who is knowledgeable of all functions performed by the office. The RML will assist each originator in making the appropriate determinations regarding records management issues. In addition, the RML will function as the Branch/Office representative handling unresolved records management issues. The RML will coordinate the resolution of these issues with the AMS Records Management Officer and advise the Division's/Staff's Administrative Officer of his/her action. As a minimum, the RML will:

- a. Ensure that internal office procedures have been established that will allow all authorized users to have access to office records.
- b. Review procedures to ensure that the AMS record copy is retained under the control of AMS personnel.
- c. Review new functions, or changes to existing functions, to ensure that all recordkeeping requirements have been identified and that the correct disposition instructions are contained in this Handbook or have been submitted for approval.
- d. Periodically review the procedures being used by originators of records to ensure that records management principles are being properly applied.

2.4 Administrative Officers. The Administrative Officer (AO) will keep the Division/Staff Director informed of the status and implementation of the internal records management program. The AO will assist, as needed, the RML in performing records management functions. In addition, prior to the implementation of new programs or changes to existing programs, the RML should notify the AMS Records

Management Officer of any possible changes to the Records Schedules. The AO will also coordinate any internal records management training programs.

2.5 Division/Staff Directors. Division/Staff Directors will ensure that all employees understand their records management responsibilities by making it a priority for all employees to document the functions and/or transactions they perform. In addition, they will ensure that adequate and proper training regarding these responsibilities is provided to all employees.

2.6 Records Management Officer. The Records Management Officer (RMO) is responsible for establishing an Agency records management program designed to control records through the life cycle (from creation to disposition), and for developing and furnishing policy guidelines. Specifically, the RMO will:

- a. Formulate, direct, and coordinate the AMS Records Management Program.
- b. Develop uniform records systems, including file guide outlines and disposition schedules.
- c. Review AMS records management practices and recommend appropriate action to improve procedures.
- d. Develop, conduct and/or coordinate briefings and training programs for headquarters and field employees involved in Agency records management activities.
- e. Report to NARA any instances of unauthorized removal or destruction of AMS records.
- f. Serve as an advisor to Division/Staff Directors, Administrative Officers, Records Management Liaisons, and originators of records to resolve any and all records management issues.
- g. Serve as Agency liaison with NARA/Federal Records Centers (FRC's) for the disposition, transfer, and retrieval of records.
- h. Serve as Agency liaison with the Department and other Federal agencies on matters relating to records management.
- i. Review and take appropriate action on all requests for filing equipment.

j. Conduct an AMS internal records management evaluation biennially (every 2 years), and forward the results to NARA, if appropriate. (36 CFR 1220, Subpart C.)

Chapter 3 AMS Records Management Program

3.1 Overview. The AMS Records Management Program is based on meeting the requirements imposed on the Agency by Federal laws, Departmental regulations, and AMS directives. The methods and procedures presented in this Handbook are designed to meet the minimum Federal requirements without imposing any unnecessary administrative burden on employees. This Chapter is designed to present the rationale for the development of these methods and procedures.

3.2 Records Management and AMS Programs. Because AMS is an organization focused on providing a quality service to our clients in the most cost effective manner, the imposition of any additional requirements that appear to be purely bureaucratic in nature is rightfully questioned. The fact that the requirement is a matter of public law is often not enough to satisfy individual perceptions of the best methods and procedures to follow in order to meet all customer requirements. Therefore, a brief explanation of a few of the practical benefits of an effective records management program will be addressed in this section.

Organizations begin by defining the services that are provided, then detailing the methods and procedures used to provide the services. The information generated from this basic documentation directs the course, and ultimately determines the success or failure, of the organization. Managing the required documentation generated by this process is the focus of a records management program. An effective records management program will accomplish all of the following:

- Facilitate quick access to information required for customer response.
- Assist management decision-making and operations by ensuring that necessary information exists, is available, and is properly documented.
- Ensure that obsolete information, which slows retrieval time, is destroyed in the normal course of

conducting business.

By instituting a set of standardized methods and procedures to accomplish the above tasks, the program manager is able to focus on performing the functions associated with the program. Resources are not redirected to performing additional evaluations, analysis, and reviews for every piece of information being generated. In addition, valuable time is not lost in attempting to locate or recreate needed documentation. The resources can be focused on meeting mission requirements.

3.3 Records. Several universal misconceptions concerning records, records management techniques, and individual responsibilities need to be dispelled in order to properly meet and understand Federal recordkeeping requirements. While the total content of this Handbook is focused on providing this needed clarification, this section will concentrate on two of the most common misconceptions. The first involves understanding the definition of a record; the second involves understanding who is responsible for the record.

Because organizations have traditionally documented transactions using paper, the misconception that the record copy will be created and maintained only in paper has been perpetuated. Using this logic, it would follow that records management's only concern is with organizing and managing paper. The legal definition of a record is contained in Appendix A. This definition is intentionally lengthy in order to ensure that, by definition, all "records" have been correctly identified. While the majority of records being created and maintained in an organization may be in the form of paper, the intent of the law from which the definition was extracted is to manage all of the evidentiary information being generated and accumulated in an organization. Thus, this definition could be summarized and restated simply: "If you create information, or receive information from outside AMS, regardless of the form, and that information is appropriate for preservation, one copy is the Agency record copy."

While Federal law requires the Head of an agency to make and preserve records containing adequate and proper documentation of the organization, all employees under the direction of the agency Head have a responsibility to ensure that this requirement has been met. Therefore, the employee who creates the information, or receives it from outside AMS, is

responsible for the record copy. A secretary may provide assistance in meeting this responsibility, but the responsibility remains with the originator or the receiver (if the information was created outside the Agency) for the record copy.

3.4 Information/Records. The detailed components and the acceptable structure of information that constitutes a record is discussed throughout this Handbook. However, before examining each of these components, basic information concepts must first be understood in order to provide managers with the necessary tools to manage their information. Aside from the legal requirements to create and maintain records, sound management techniques and procedures dictate that all actions taken with respect to the functions that are performed be properly documented. Having information readily available about all functions performed, or actions taken, is a requirement that most employees need to perform their jobs.

Information is a valuable resource. It must be managed, controlled and treated in the same manner as other resources, such as personnel, money, buildings, equipment, etc. Therefore, systematic methods and procedures must be established for the optimal management of information. In addition, these systems must serve sound information management, not the other way around. The proper application of the basic records management techniques and principles presented in this Handbook will assist in managing this resource.

3.5 Information/Records Life Cycle.

Information/records, like all resources, have a natural life cycle. While this life cycle has been defined as consisting of three main phases (creation, maintenance/use, and disposal), information/records actually migrate through seven stages. These stages consist of:

- determining requirements
- collection
- transmission
- processing
- storage
- retrieval
- disposition

At each of these stages, information must be reviewed, evaluated, costed, and assigned ownership. The procedures discussed throughout this Handbook will explain the basic requirements of each of these stages, and assist the manager in making the correct decisions

regarding managing information as a resource, as well as developing and maintaining adequate documentation.

Chapter 4 Creating Records

4.1 Protecting Information. By definition, all mission related information created within the Agency, or received from outside the Agency, that is appropriate for preservation is a record, and the creator or receiver is responsible for the proper management of it. Because this is not a new concept, most employees have been performing these tasks as a matter of routine and without a great deal of effort. While most employees may not be able to quote the legal definition or rephrase it as above, they can easily recognize information that is important to the functions that are being performed. With all the information that is being created or received in the course of conducting business, it sometimes becomes confusing as to exactly what information needs to be kept, what information can be destroyed, and when the appropriate action should be taken. If you are not sure of the importance of the information you are working with, ~~check~~ check with your supervisor. Before a determination regarding the importance of the information can be made, a manager needs to understand where the important information originates. This will be discussed in the requirements section below. The appropriate action to take after the information has been created is found in the records schedules; however, before a discussion of records requirements begins, an understanding of what is not a record is needed.

4.2 Records and Personal Papers. Occasionally, during the course of conducting business, personal papers are created or received. Since these papers are not concerned with documenting the official functions performed, they are not Federal records. They belong to the individual, as opposed to the agency, and may be filed or disposed of as determined by the individual. Personal papers may not be filed and maintained with Federal records, and Federal resources may not be dedicated to maintaining or disposing of personal records (with few exceptions).

4.3 Informational Material and Records. As a general rule, informational material that is not evidentiary in nature is not a Federal record. Its purpose is to inform the reader of something the sender deems relevant; therefore, the sender would maintain the record copy, if appropriate. Most of the material received from other offices will be for informational

purposes only. If the receiver takes action on the material, as part of the required functions performed by the Agency, this material could become an AMS record. For example, the Agency Weekly Activity Report maintained on the bulletin board service is informational material for individuals reviewing the material. The record copy is maintained by the originator. If, however, an employee is required to perform a function as a direct result of an item in the Weekly Activity Report, that item could become a record for the organizational unit assigning the task to the employee.

4.4 Records Creation Requirements. The requirement to create and maintain the specific records accumulating in your office will be found in the public laws, regulations, directives, and internal instructions that govern the functions you are performing. Since you are the Agency expert for these functions, you are responsible for reviewing, evaluating, and costing the information that you are creating. Specifically, the originator reviews, evaluates, and costs the informational content in the following manner:

- The originator reviews the content to ensure that a Federal requirement exists for the information being created.
- The information is evaluated in terms of its current and future worth to the organization.
- Finally, the cost of the information is assigned in terms of its worth by assigning a retention value to the information.

Because most of the functions that we perform are repetitive in nature, the above three steps for the most part have been performed and standardized before the originator begins to create the information. The General Records Schedules (GRS) and/or the AMS-unique records schedule describe the records that will be accumulating in our organization. Before an item is added to these schedules, all Federal requirements for the information are reviewed. In addition, the information is evaluated in terms of the current and future worth, and a value is assigned by providing the appropriate disposition instructions. In the event that information is created and cannot be found in these schedules, it must be reported through the RML and a supervisor to the AMS Records Management Officer. The Records Management Officer will initiate the appropriate actions to add, delete, or change the information described in the schedules.

4.5 Application. When records are created, regardless of the media used, the following concepts must be applied at the time of creation:

a. **Ownership.** The owner and creator of the information must be clearly identified. While all Federal records created by AMS are the property of the Agency, the specific component of the organization creating the record is the most knowledgeable of its content, and assumes ownership responsibilities for the Agency. Therefore, the owner must be clearly identified on the record copy, and should be identified on all other copies. Often, the issue of ownership becomes clouded when one component creates the record and another one authenticates (signs) it. Because the functions of the creator and the authenticator are often different, both may have a requirement to maintain a record copy. The records schedules reflect the recordkeeping requirements for both the creator and the authenticator.

b. **Original Signatures.** The requirement for an original signature to be placed on the record copy will be determined by the type of record being created. This will include both the legal and operational consequences of not being able to produce an original signature. Record copies of all correspondence containing statements of policy will contain an original signature of the official authorized to direct the policy. As a general rule, the requirements established by the program being administered will dictate if an original signature is required. Questions should be addressed to the person responsible for the program and/or legal counsel. When an original signature is not required, one of the following notations will be placed on the record copy:

- a signature stamp of the responsible official;
- the notation "Signed"; or
- the notation "/S/".

c. **Date.** The record copy will be dated the day it was signed.

d. **Evaluation.** The creator reviews the content of the record to ensure that it is accurate, complete, and meets a legitimate requirement. The content is then evaluated in terms of its current and future worth to the Agency.

e. **Value Assignment.** As information is being created, or when it is received from outside AMS, the originator/receiver should review the GRS or the AMS-unique records schedule, and select the description that

best identifies the information. Once the information has been identified, the appropriate disposition instructions found in the schedules should be indicated on the "record copy", and that copy properly filed.

Chapter 5 Maintenance and Use of Records

5.1 Maintaining Records. The process of maintaining needed information begins with the originator. Once the record has been created, it must be properly filed, retained as long as needed, and disposed of appropriately. Unless each member of the organization is able to quickly locate and retrieve a record when it is needed, the system used for maintaining records is not meeting the needs of the organization.

Currently, AMS does not have a uniform Agency-wide system for maintaining records. Individuals have established procedures aimed at meeting the immediate needs of their organizational units. Check with your immediate supervisor to determine the preferred method for maintaining records in your office. Review the minimum Federal requirements provided in this Handbook to be sure that your methods and procedures are meeting all of the requirements.

5.2 Centralized Records Maintenance Systems. A centralized records maintenance system is one in which all records accumulating in an organizational unit are centralized in one location, and designated personnel are assigned the responsibility to properly manage the organization's records. As technology advances and the need for information grows, a centralized records maintenance system may prove to be more cost effective and achieve greater benefits than those associated with a decentralized system.

5.3 Decentralized Records Maintenance Systems. A decentralized records maintenance system is one in which accumulating records are maintained by the individuals performing the agency's functions, or the originators.

5.4 Records Maintenance. Regardless of the system selected for maintaining the records accumulating in AMS, the following minimum requirements will be adhered to by all organizational components:

a. Federal records created by AMS components (to include contractors and State Cooperators performing

functions for AMS) are the property of AMS. Procedures will be established to ensure that the "record copy" is maintained under the general supervision of an AMS manager and in accordance with the GRS and the AMS-unique records schedule.

b. Federal records and personal papers will not be maintained in the same file.

c. AMS records will be maintained in a manner which facilitates the easy retrieval of the information when needed.

d. All records maintained will be reviewed, at least annually, to ensure that only authorized records are being maintained, the appropriate storage method has been selected, and the records that are no longer of value have been properly disposed of in accordance with instructions contained in these guidelines.

5.5 Maintenance Procedures. To meet the above minimum requirements, the following procedures have been developed:

a. As information is being created or accumulated, it will be grouped together by common subject matter, and maintained with similar information having the same retention value. This value must be assigned by the originator and be in accordance with the descriptions provided in the records schedules. This grouping of information is called a file.

(1) A file consists of related information that is arranged in some logical order for future reference. Normally, accumulating information will be arranged by date, with the latest action on top. In the event that the information is arranged differently, an explanation of this unique arrangement needs to be placed in the beginning of the folder. This will assist someone unfamiliar with the arrangement to find needed information.

(2) To facilitate the retrieval of information, files should be arranged in some logical order. (The preferred arrangement of files will be presented in Section 5.6.) In addition, separating your files into the categories of active and inactive will not only assist you in retrieving the information, but also in the destruction and/or disposal process. An active file would consist of those records that are referred to on a regular and routine basis; an inactive file would contain records that must be retained but not routinely referred to on a regular basis.

b. Regardless of the system (centralized or decentralized) used to maintain records, a file plan is needed to facilitate locating the information. In addition to identifying the subject matter of the material being maintained, the file plan needs to cover the location of all records being maintained by the organizational unit.

5.6 AMS File/Disposition Plan.

a. Consistently, throughout this Handbook, the user has been directed to refer to the GRS, the AMS-unique records schedule, and/or a file plan. To assist you in properly managing the records accumulating in your office, the GRS and the AMS-unique records schedule have been combined under one cover. In addition, an Agency file plan, using a numeric code, has been developed and incorporated into this one document. As an added feature, this document can be tailored to meet your specific needs by extracting only the numeric file codes and disposition instructions applicable to the records your office accumulates. Thus, the specific reference material you need to effectively manage your records can be identified and provided with assistance from the AMS Records Management Office.

b. The recommended AMS file plan is based on the AMS issuances system. The initial separation of accumulating records is based on the functions performed and the organizational components of AMS. All records accumulating in AMS will initially be organized and grouped using the appropriate numeric series identified below:

1000 Series	-	Organization Management
2000 Series	-	Administrative Services
3000 Series	-	Personnel Services
4000 Series	-	Financial Management
5000 Series	-	Electronic Systems
6000-6249 Series	-	AMS Administration
6250-6499 Series	-	Cotton Division
6500-6999 Series	-	Dairy Division
7000-7299 Series	-	Fruit & Vegetable Division
7300-7499 Series	-	Livestock & Seed Division
7500-7999 Series	-	Poultry Division
8000-8299 Series	-	Science & Technology Division
8300-8499 Series	-	Tobacco Division
8500-8999 Series	-	Transportation & Marketing Division
9000-9499 Series	-	Market News Reports
9500-9599 Series	-	Research and Promotion
9600-9699 Series	-	Commodity Procurement
9700-9999 Series	-	Reserved

c. Once the appropriate major records series has been determined, the specific file within the series that best describes the information contained in the record, is selected. For example, the documentation illustrating the disposition of organizational records would be found in series 1000, item 70, and could be shown on a file guide as 1070, Records Disposition Files.

d. Since most offices will be accumulating different types of records, the file guide could be further categorized by describing the unique types of records within each series, or by the date of origination. The decision to further subdivide this grouping of records should be based on the volume of records accumulating, and the need for easy retrieval.

e. Once the appropriate series and sub-series have been identified for all records accumulating in your office, and placed in the proper file, a listing by series number and location (to include file cabinet and drawer number) is to be prepared. This listing is your file plan. An example of a file plan can be found in Appendix C.

f. When a document is created, the originator is to assign the filing/disposition instructions to the document by placing the appropriate file code on the record copy.

NOTE: The GRS and/or the AMS-unique records schedule record retention periods should be strictly followed. Any discrepancy or new record series (new program requirements) should be brought to the immediate attention of the AMS Records Management Officer.

Chapter 6 Records Disposition

6.1 **Records Disposition.** Disposition is an integral part of records management and is the third and final stage of the life cycle of records. As with all stages in the cycle, disposition is also the responsibility of the originator. The records disposition process refers to those actions taken regarding Federal records after they are no longer needed to conduct current AMS business; this process must be performed in accordance with retention periods approved for AMS by the National Archives. These actions include destruction, transfer of temporary records to free storage at Federal Records Centers (FRC's), or transfer of permanent AMS records to the National Archives for preservation and research.

Most of the records accumulating in AMS are temporary in nature. After being identified as eligible for destruction by the AMS reviewing official (originator or the manager of the originating office), the records should be disposed of promptly, and in accordance with the NARA-approved schedule. Maintaining records beyond established retention periods can put the Agency at risk, and the Administrator can be held responsible. Additionally, it slows down the search and retrieval time of important information.

6.2 Records Disposition Program. The AMS records disposition program is designed to achieve effective and efficient disposition of accumulating documentation by:

- scheduling all AMS records;
- ensuring they are properly stored;
- ensuring the authorized and prompt disposal of temporary records; and,
- ensuring the timely transfer of permanent records to the National Archives.

In scheduling records for retention and disposition, AMS managers should understand what records disposition functions must be carried out. These functions include inventorying, developing an AMS-unique records schedule, cutting off records, transferring eligible records to FRC's, disposing of temporary records when their retention periods expire, and transferring permanent records to the National Archives. Accumulating unscheduled records within AMS unnecessarily puts our programs at risk. The accumulation of unscheduled records implies that the Agency does not follow Federally mandated guidelines and is not aware of Agency internal instructions. In addition, it questions our ability to systematically make complete and accurate documentation to:

- protect the legal and financial rights of the Government and of individuals directly affected by Government activities;
- preserve institutional memory so that informed decisions are possible and thus facilitate action by Agency officials and their successors in office; and,
- be held accountable through the proper scrutiny by the Congress and oversight agencies.

Properly following approved records schedules can also protect AMS during Freedom of Information Act

(FOIA) or Privacy Act requests. By systematically maintaining and disposing of Agency documentation, as described in the records schedules, an agency can demonstrate that adequate documentation was created and disposed of properly. Following these guidelines will reduce the amount of time needed to retrieve the documentation and/or defend the disposal of unavailable requested information.

6.3 Inventorying. Inventorying involves distinguishing AMS records from nonrecord materials and personal papers, and gathering information about the records themselves. Inventorying is one of the first steps in the process of scheduling records.

6.4 Development of a Records Schedule. The records schedule is the heart of AMS' records disposition program. Based on careful analysis of AMS' documentary materials, it provides mandatory instructions for the retention and disposition of each record series, or systematic accumulation of documentation within AMS. With NARA approval, records schedules authorize the systematic removal of unneeded records from offices. It is important to understand that *all* AMS records series must be scheduled and approved by the Archivist of the United States, since Agency documentation is the property of the Federal Government.

6.5 Records Cutoffs. Records should be cut off, or broken, at regular intervals, usually annually, to permit their disposal or transfer in complete blocks and, for correspondence files, to permit the establishment of new files.

- a. Normally, correspondence files are cut off at the end of each year (fiscal or calendar), documents are no longer added to that year's files, and new file folders are set up for next year's files.
- b. Unless high volume makes more frequent cutoffs necessary, case files normally are cut off at the end of the year (fiscal or calendar) in which final action is taken.
- c. Unscheduled AMS records should also be cut off to make their disposition possible once AMS has received the necessary authority from NARA.
- d. Nonrecord materials do not normally require cutoffs, but should be purged periodically, at least annually, and in accordance with the needs of the office.

Cutoffs are needed before AMS disposition instructions can be applied, because retention periods usually begin with the cutoff, not with the creation or receipt, of the records.

6.6 Transfers to FRC's. FRC's store AMS records that are no longer needed in office space, but that require continued retention until a later disposal date, or scheduled transfer of permanent records to the National Archives. Some of the benefits of transferring records to an FRC:

- AMS saves money, time, space, equipment, and supplies;
- the FRC provides reference service; and
- the FRC makes final disposition action easier.

Records are eligible for transfer when there is sufficient volume, the reference rate is not unduly high, and the cost of retirement is not greater than keeping the records in their present space or equipment. Before transferring any records to an FRC, the AMS reviewing official must ensure the records are not involved in litigations or investigations, and are not needed on a regular and routine basis. Specific transfer instructions for AMS records and an example can be found at the end of this chapter. See Appendix E for a listing of Regional FRC's.

6.7 Disposal of Temporary Records. Temporary records are those determined by NARA to be disposable, or nonpermanent. NARA approves (during the records schedule development phase) such records for destruction. Many temporary records are determined to be eligible for destruction when no longer needed in an office to conduct current business. Others are eligible only later, after storage in an FRC. Temporary records should normally be disposed of promptly in accordance with a NARA-approved records schedule.

6.8 Transfer of Permanent Records to the National Archives. Eventually, permanent records become the property of the Archivist of the United States. Transferring permanent records to the National Archives' legal and physical custody will relieve AMS of having to provide special care for such valuable records. This transfer should take place when AMS no longer needs the records for the conduct of current business, whether or not the records are stored in AMS or FRC facilities. The AMS-unique records schedule usually specifies when the records are to be transferred.

6.9 Procedures to Transfer Eligible Records. The following are general steps for transferring eligible records to an FRC and will be accomplished by, or under the direction of, the AMS reviewing official.

a. Before transferring records, dispose of all nonrecord material, extra copies of records, and items such as paperclips, buckslips, and yellow "Post-it" notes.

b. Separate the records into "series". Identify and separate the records into series by item number and cutoff date. A series is a block of records having the same disposition authority and same disposition date. Each series needs to be transferred as a separate accession.

c. Pack the records into special FRC boxes: for legal and letter size material, use standard size, tuck bottom, record boxes, 14 3/4" X 12" X 9 1/2", NSN 8115-00-117-8249. You can order these boxes through your Administrative Officer in quantities of 25. See Appendix E for Packing and Labeling Record Boxes.

d. When packing records, do not force files into the boxes. Leave approximately 1 inch of space in each box to permit easy withdrawal of individual folders. Pack folders upright, with letter size folders facing the front of the container. The back of the box is the stapled end. Do not place folders on top of each other in the box. See illustrations shown in Appendix E.

e. All transfers/accessions must be accompanied by an SF-135, Records Transmittal and Receipt, and/or an SF-135-A, Continuation Sheet.

f. Prepare the SF-135 according to the sample shown in Appendix E, Sample of SF-135. Attach a detailed listing of the contents of each box to the SF-135.

g. Forward the completed SF-135 to:

AMS Records Management Officer
USDA/AMS/ERO/IMB
Room 3528-South Building
P.O. Box 96456
Washington DC 20090-6456

The Records Management Officer will review the accession for accuracy, assign the accession number, and then forward it to the FRC for approval. For field locations, the accession number will be assigned by the nearest FRC - see Appendix E. The completed SF-135 will be forwarded by the transferring office.

h. After the files are boxed, number the boxes sequentially (1 of 10, 2 of 10, 3 of 10, etc.) with permanent black marker in the upper right front corner. Once the SF-135 is approved, the accession number (Items 6a, 6b, and 6c) is placed in the upper left front of the box.

i. After approval by the FRC, place the approved SF-135 in the first box of the accession, i.e., inside Box #1 of 20.

j. For your office records, retain a copy of the SF-135 with the detailed lists of the contents of boxes, indexes to records, and other specialized finding aids, so that you will be able to clearly identify documents needed for future reference.

k. For pickup by the FRC, leave boxes open. If sending records by mail/UPS, make sure the filament tape does not cover the accession number or box number.

6.10 Reference Service for Stored Records. If AMS records are in FRC storage and it becomes necessary to use these records to conduct AMS business, the FRC's and the Washington National Records Center (WNRC) provide reference service. The FRC's and the WNRC can generally fulfill routine reference requests within 24 hours of receipt. Emergency requests can be on site within 24 hours.

a. For routine requests, use Optional Form (OF) 11, Reference Request - Federal Records Center. When completing the OF-11, furnish the accession number, AMS box number, FRC/WNRC location number, and the nature of the service. Always indicate if the records are to be permanently withdrawn. Finish by completing Section III - requester's name, telephone number, date, and address.

b. Mail or deliver the completed OF-11 to the FRC or WNRC. Routine requests usually are returned by mail unless otherwise indicated in the "Remarks" section of the OF-11. Retain a copy of the request for your records, or the pink middle copy, and furnish an information copy to the AMS Records Management Officer. With the information copy, the AMS Records Management Officer can provide assistance by identifying duplicate requests, rectifying delays or other problems, and expediting your emergency requests.

c. The AMS Records Management Office offers electronic processing of reference requests. The

Centers Information Processing System (CIPS) establishes an electronic link between records centers and agencies to transmit routine reference requests. Send your completed OF-11 to the AMS Records Management Officer for prompt processing.

d. Emergency requests requiring immediate (within 24 hours) pick-up or delivery should be sent via facsimile with specific instructions. The WNRC emergency request FAX line is (301) 457-7123.

e. Return recalled records by the most economical means available. Do not re-folder or re-box records recalled from the FRC/WNRC. They must be returned in the original folders or containers to allow accurate re-filing. If the box is unusable for shipment, copy the accession number, box number, and location onto the front of its replacement.

Chapter 7 Electronic Recordkeeping

7.1 Overview. The regulations governing the creation, maintenance, use, and disposition of Federal records apply to all electronic recordkeeping systems. Electronic recordkeeping systems have the capability to enhance the sharing of information, increase productivity through on-line updates and rapid mass dissemination of information, and improve the efficiency of records maintenance and disposition methods and procedures. However, sound records management practices need to be instituted to ensure that with the increased efficiency, an organization does not put itself at risk. In addition, electronic recordkeeping systems should serve the user; procedures should not be established that require the user to serve the system. This Chapter will provide the minimum requirements and procedures to be followed when establishing an electronic recordkeeping system.

7.2 Approval Requirements for Electronic Recordkeeping Systems. All proposed electronic recordkeeping systems will be reviewed by the AMS Records Management Officer, the Administrator, and (if required) the Department's General Counsel, the National Archives and Records Administration (NARA), and the General Accounting Office prior to implementation. This review is necessary because each electronic record maintained could require different methods to be employed to ensure that all Federal records management requirements have been met.

Once it has been determined that the system will meet the minimum requirements for documenting Agency business, approval will be granted and the system may become operational.

7.3 Basic Records Management Principles.

Although electronic records are included in the definition of a record (see Chapter 1.5), electronically created records open up a wide spectrum of records management hurdles that must be overcome. Maintaining files or information electronically is not the problem; maintaining a record, on the other hand, involves ensuring that the information is valid, has been authenticated, and cannot be modified or lost as a result of the methods used to store or disseminate the information. Records that do not require original signatures may be maintained electronically and disposed of in accordance with the established records schedules, as long as a validation/authentication process has occurred.

a. *Information Versus a Record.* While all records contain information, information can be maintained without being established as a record. Thus, the distinction between Agency information and the AMS record must be made prior to establishing any electronic recordkeeping system. The definition for a record is included in this Handbook (Chapter 1.5 and Appendix A) and should be reviewed. However, in order to provide clarification regarding an AMS record, a record is any material that is preserved or appropriate for preservation for the purpose of properly documenting the organization, functions, policies, decisions, procedures, and essential transactions of the Agency.

b. *Ownership.* One copy of the Federal records created (to include material received from an entity other than an AMS component) by an AMS office will become the AMS record copy. The organizational component creating or receiving the material (from outside sources) assumes ownership responsibilities for AMS. Thus, the manager most knowledgeable of the subject matter is responsible for making the appropriate decisions regarding the management of these records.

7.4 *Validation/Authentication Process.* Until the information has been validated by someone knowledgeable of the subject matter, and authenticated by someone authorized by AMS, the information is considered a "working paper" or raw data. At this point in the process, it is not a record. This principle is applied to all material accumulating in AMS, regardless of the format used. In the paper format, this

information becomes a record when it is signed and dated (authenticated and validated). Because of the nature of electronic systems, each electronic recordkeeping system developed will require the establishment of procedures that ensure the validation/authentication process.

7.5 *Electronic Recordkeeping Systems.* Each electronic recordkeeping system developed and maintained could require different methods to be employed to ensure that all records management requirements have been met. In order to provide a basic understanding of the minimum requirements, three electronic systems are discussed below.

a. *Word Processing Records.* Information created using electronic word processing systems is questionable "information" until it has been validated and authenticated. Originators use word processors generally to facilitate the creation of documentation prior to printing. However, this documentation does not become an AMS record until the responsible official reviews the information to ensure that it is correct (validates), and affixes a signature and date to the documentation (authenticates). This action affirms that the information accurately represents a policy, decision, and/or legitimate transaction of the Agency. The record paper copy is then filed and disposed of as determined by the records schedules. This process may be accomplished electronically, when original signatures are not required, in the same basic manner. The following describes the required steps to follow:

(1) Once the information has been created, it must be reviewed and authenticated by the AMS official authorized to accomplish this task. To authenticate information in an electronic format, the authorized official's name and title will be placed on the electronic document (in the same manner as the traditional date stamping of a hard copy) with the notation "signed" (or other notations found in Chapter 4.5.b) placed beside the name and title. In addition, the date that the information was authenticated will be placed beside the "signed" notation. This information will then become the AMS record copy.

(2) The record copy will be placed in a stand alone storage device, such as a diskette or a hard drive, that is not connected to a shared system. It will be placed in a directory containing accumulating records with the same retention value, as determined by record schedules.

(a) If the record is placed on a diskette, a label will be prepared containing the title of the directory, the disposition instructions, the authority for retaining the record, and the initials of the person asserting that the information contained is the AMS record copy. A backup copy of the diskette with the annotation "backup copy" will be made and updated as changes occur.

(b) If the record is placed on a hard drive, an index of the directories in which records are maintained will be made. This index will contain the same information and be authenticated in the same manner used for diskettes. A backup of the drive will be made and updated as changes occur.

(3) Users should be aware that most systems generate the date that the documentation was placed in the directory. This date can be used as a check method to identify possible unauthorized changes to your documentation.

b. *Databases and System-Originated Records.*

(1) Databases are valuable tools that are commonly used to accumulate large amounts of information that can be used in a variety of ways. The General Records Schedule 23, Item 3, provides the basic authority for eliminating hard copy records for general administrative material that has been placed in a database. However, before an administrative database can be used as the AMS record, it must be reviewed to ensure that all recordkeeping requirements have been met and approved by the AMS Records Management Officer. Databases used to replace hard copy records for AMS marketing programs must be reviewed and approved by the Deputy Administrator, Marketing Programs; the Administrator; the AMS Records Management Officer; and the National Archives and Records Administration. The authority to replace hard copy records with databases will be found in the AMS-unique records schedule after all approvals have been obtained. The general rule is that the retention value for these databases will be the same as the value for the hard copy. However, because of the many uses of a database, the appropriate value of the information and the methods used to capture meaningful documentation will be reviewed and assessed by both the program manager and the AMS Records Management Officer before final approvals are granted.

(2) System originated records are new records created as a result of a process or procedure that collects or groups records from other sources to create new documentation. An example of this type of record would be the consolidation of several databases or raw data retrieved from several sources for the purpose of creating one database. If it can be supported that the appropriate retention value for these records is the same as the approved value of the input documentation, approval for retaining this information as the Agency record may be granted internally. Otherwise, these systems will require approval by NARA.

c. ***Electronic Mail Systems.*** Electronic Mail (E-Mail) systems are used for sharing information quickly with anyone using the systems. They are not authorized records storage systems. However, AMS records may be created or received on these systems. When this occurs, it is the responsibility of the creator or the AMS office receiving the material from an organization or entity other than AMS, to properly maintain the AMS record copy. This will be accomplished in the same manner as described for records created using word processing systems outlined in Chapter 7.5.a. The following illustrates the procedures necessary to properly capture E-Mail records.

(1) **Originators.** Most of the messages created on an E-mail system are for informational purposes and are not records. This information should be eliminated from the system as quickly as possible in order for the system to operate at maximum performance levels. However, if the message created by an originator meets the definition of a record, the procedures outlined in Chapter 7.5.a (word processing records) are to be followed.

(2) **Recipients.** As a general rule, all messages received from another AMS office will be for informational purposes. In addition, most messages received from an organization or entity other than AMS is information. Again, this information should be eliminated from the system as quickly as possible in order for the system to operate at maximum performance levels. However, if the message received meets the definition for a record, the procedures outlined in Chapter 7.5.a (word processing records) are to be followed.

7.6 Permanent Records. The procedures outlined in Chapter 7.5 are focused on electronic records that may be disposed of by AMS. Permanent records eventually

become the property of the Archivist of the United States. These records, when in electronic format, will be transferred to the Archivist using the most current methods and procedures prescribed. In order to facilitate the transfer of these records, users must ensure that all permanent electronic records are upgraded as systems change.

7.7 Electronic Signatures. The procedures described in Chapter 7.5 are focused on electronic records that do not require original signatures. The requirement for an original signature will be determined by the type of record being created. This will include both the legal and operational consequences of not being able to produce an original signature. As technology advances, methods for using electronic signatures will be established. Approvals for the use of electronic signatures on records will be required internally from the Deputy Director of the Science and Technology Division, the AMS Records Management Officer, the responsible manager for the applicable program, and the Administrator. Externally, approvals will be required from the Department's legal counsel, the General Accounting Office, and the National Archives and Records Administration.

7.8 System Backups. System backups are made for the purpose of being able to recapture the information in the event of a system (hardware or software) failure. The system backups are not the Agency's record copies because they are not preserved in a way which allows for use or review before final disposition is made.

7.9 Summary. Electronic records are another format for creating and maintaining records. The procedures used to protect Agency records are basically the same for paper and electronic formats. The most difficult part of maintaining an electronic record is determining if the information is an Agency record. Once the concept of a record is understood, most users will not have any difficulty. Any and all questions should be addressed to the Agency Records Management Officer.

Chapter 8 Vital Records Program

8.1 Overview. The management of the Agency's vital records is a continuation of the basic concepts of the overall Records Management Program. The vital records component of the Records Management Program is focused on developing and implementing policies, plans, and procedures to systematically

identify, use, and protect designated essential Agency records. These vital records are needed to meet AMS' operational responsibilities under national security emergencies or other emergency conditions, or are needed to preserve the Government's rights and interests or those of its citizens.

8.2 Records Protection. Federal records have value, which determines the level of protection that must be provided while they are in an agency's custody. The Senior Official in each office, the Records Management Liaison, and the Records Management Officer should review all accumulating documentation, including vital records, and identify the most suitable protective measures for AMS' documentation. Protective measures include, but are not limited to, the following:

- a. Maintaining the documentation in fire-rated filing equipment.
- b. Providing on-site vault storage for records required for more than routine protection. These records may be needed for continuing Agency operations or for protecting legal or financial rights and interests.
- c. Transferring records to off-site storage facilities that are not subject to the same hazards, emergencies, or disasters at the same time.
- d. Duplicating records at the time of creation, such as computer backup tapes, or using existing duplicated copies created routinely in the normal course of business, and storing copies in a different location from the record copy.

8.3 Vital Records. While all records accumulating in AMS are necessary for the Agency to conduct normal and routine functions, sound judgment must be exercised when identifying any item of documentation as a vital record. The volume of vital records must be kept at manageable levels, with retrieval procedures requiring only routine effort. Keep in mind that those who will use the records under emergency situations may not be the same individuals who would use them under normal conditions. Vital records fall into the following two categories:

- a. *Emergency operating records* are vital records essential to the continued functioning or reconstitution of an organization during and after an emergency. Included are emergency plans and directives, orders of succession, delegations of authority, staffing assignments, and related records of a policy or

procedural nature that provide guidance for conducting operations under emergency conditions, and for resuming normal operations after an emergency.

b. *Rights-and-interests records* are vital records essential to protect the legal and financial rights and interests of an organization, and of the individuals directly affected by organizational activities. Included are records having such important value that their loss would significantly impair the completion of essential agency activities, to the detriment of the legal or financial rights of the organization or individuals directly affected by its activities. Examples of this category of vital records involve the areas of accounts receivables, Social Security, payroll, retirement, and insurance.

8.4 Application.

a. The Agricultural Marketing Service has been designated as a category "I" agency in Departmental Regulation 1800-1, dated March 5, 1993, subject: Departmental Emergency Programs Responsibilities. A category "I" agency is one with essential functions that must have a continuous emergency operating capability during national security emergencies. As such, vital records must be created and maintained in a manner to support the responsibilities outlined for AMS during these emergency situations. The copies of detailed documentation, alternate storage sites, and methods for retrieval should be identified as part of each office's disaster planning.

b. Copies of essential rights-and-interests documentation should be kept at alternate storage sites.

c. The methods and procedures described in this Handbook should be followed for all other accumulating documentation.

Appendix A - Definitions

Accession. The transfer of the legal and physical custody of records from an agency to an archival agency or a records center. The agency retains legal custody of the records when transferred for temporary storage at a records center.

Accession Number. A number assigned to identify shipments of records in the records center.

Adequacy of Documentation. A standard of sufficiently and properly recorded actions and/or decisions. Derives from the legal requirement that agency heads "make and preserve records containing adequate and proper documentation of the organizations, functions, policies, decisions, procedures, and essential transactions of the agency and designed to furnish the information necessary to protect the legal and financial rights of the Government and of persons directly affected by the agency's activities" (U.S.C. 3101).

Alphabetic-Subject Filing System. A classification system in which subjects are arranged in alphabetical order regardless of their relationship to one another. For example, the subject "adrenalin" might immediately follow the subject "administration."

Appraisal. The process of determining the value, and thus the final disposition of records, making them either temporary or permanent.

Archives. The noncurrent records of an organization, preserved because of their continuing or enduring value.

Audiovisual Records. Records in pictorial or audio form, regardless of format. Includes still photographs or still pictures, graphic arts (posters and original art), motion pictures, video recordings, audio (or sound) recordings, and related records.

Block. A chronological grouping of records consisting of one or more segments of cutoff records, that belong to the same series and are dealt with as a unit for purposes of their sufficient transfer, especially the transfer of permanent records to the National Archives.

For example, the records schedule may direct a transfer of permanent records in 5-year blocks. In electronic recordkeeping, a grouping of data stored as a unit on an external storage medium and dealt with as a unit by the computer for input or output.

Cartographic Records. Graphic representations at reduced scale of selected physical and cultural features of the surface of the earth and other planets. Includes maps, charts (hydrographic/naval, weather, and aeronautical), photomaps, atlases, cartograms, globes, relief models, and related records, such as field survey notes, map history case files, and finding aids. Also includes geographic information system records, or digital cartographic records, which are managed like other electronic records.

Central Files. Files accumulated by several offices or organizational units, and maintained and supervised in one location; also called centralized files. This arrangement is most effective in small organizations.

Chargeout. The act and result of recording the removal and loan of a document or a file, from the main filing system, to include its location. Usually involves the use of a form, such as OF-23, Chargeout Record.

Classification. The process of determining the sequence or order in which to arrange documents.

Classified Information. Records or information requiring, for national security reasons, safeguards against unauthorized disclosure.

Closed File. A file unit or series containing documents, on which action has been completed and to which more documents are not likely to be added. A file unit or series to which access is limited or denied.

Contingent Records. Records scheduled for final disposition after the occurrence of an event at some unspecified future time, such as an internal audit.

Continuity Reference. A reference form used to replace material withdrawn for consolidation with more up-to-date material.

Current Records. (Also referred to as "active records.") Records that are necessary for conducting the current business of an office and must be maintained in office space and equipment.

Cut-Off. Breaking or ending files at regular intervals, usually at the close of a fiscal or calendar year, to permit their disposal or transfer in complete blocks and to permit the establishment of new files. (Also called file cutoff or file break.)

Decentralized Files. Files accumulated by each principal element of an agency and maintained at the point of reference.

Disposal. The actions taken regarding temporary or nonpermanent records after their retention periods expire, and including either destruction or, in rare instances, donation. Also, when so specified, the actions taken regarding nonrecord materials when no longer needed, especially their destruction.

Disposal Authority. Legal approval empowering an agency to transfer permanent records to the National Archives or carrying out the disposal of temporary records. Must be obtained from the National Archives and Records Administration and also, for certain records proposed as temporary, from the General Accounting Office. The agency's approval of disposition instructions for nonrecord material.

Dispose. To carry out disposal, which includes either the destruction or the donation of temporary records, but not the transfer of permanent records to the National Archives.

Disposition Schedule. A document providing authority for the final disposition of recurring or nonrecurring records. Also called records disposition schedule, records control schedule, records retention schedule, or schedule. Includes the SF-115, Requests for Records Disposition Authority, the General Records Schedules, and the agency records schedule, which when completed becomes a comprehensive records schedule

that also contains agency disposition instructions for nonrecord materials.

Electronic Mail System. A computer application used to create, receive, and transmit messages and other documents or create calendars that can be used by multiple staff members. Excluded from this definition are file transfer utilities (software that transmits files between users but does not retain any transmission data), data systems used to collect and process data that have been organized into data files or databases on either personal computers or mainframe computers, and word processing documents not transmitted on an E-mail system.

Electronic Record. Numeric, graphic, text, and any other information recorded on any medium that can be read using a computer and satisfies the definition of a Federal record in 44 U.S.C. 3301. This includes, but is not limited to, both on-line storage and off-line media such as tapes, disks, and optical disks. [36 CFR 1234.1]

Electronic Mail Message. A document created or received on an E-mail system, including brief notes, substantive documents, and any attachments which may be transmitted with the message.

Emergency-Operating Records. Vital records essential to the continued functioning or reconstitution of an organization during and after an emergency.

Federal Records Center. A storage facility operated by the National Archives and Records Administration.

Files. A collective term usually applied to all records and nonrecord materials of an office or agency.

Files Custodian. The individual or office in charge of agency files. Often used interchangeably with records custodian.

Filing System. A set of policies and procedures for organizing and identifying files or documents to speed their retrieval, use, and disposition. (Sometimes called recordkeeping system.)

Finding Aids. Indexes or other lists, manual or automated, that are designed to make it easier to locate relevant files.

Fiscal Value. The usefulness of records in documenting an agency's financial transactions and obligations.

Frozen Records. In records disposition, those temporary records that cannot be destroyed on schedule because special circumstances, such as a court order, require a temporary extension of the approved retention period.

General Records Schedule. Schedules authorizing the disposal, after the lapse of specified periods of time, of records common to several or all agencies, if such records will not, at the end of the periods specified, have sufficient administrative, legal, research, or other value to warrant their further preservation by the United States Government. [44 U.S.C. 3303A(d)]

Inactive or Noncurrent Records. Records no longer required to conduct agency business and therefore ready for final disposition.

Information System. The organized collection, processing, transmission, and dissemination of information in accordance with defined procedures. Normally refers to a system containing electronic records. Sometimes called a record system.

Intrinsic Value. In archives administration, the value of those permanent records that should be preserved in their original form rather than as copies.

Inventory. A survey of agency records and nonrecord materials taken before developing schedules.

Item. A separately numbered entry describing records on Form SF-115, Request for Records Disposition Authority. Usually consists of a record series or part of an information system. A document.

Legal Custody. Guardianship, or control, of records, including both physical possession (physical custody) and legal responsibility (legal custody), unless one or the other is specified.

Legal Value. The usefulness of records in documenting legally enforceable rights or obligations, both those of the Federal Government and those of persons directly affected by the agency's activities.

Life Cycle of Records. The concept that records pass through three main stages: creation, maintenance and use, and disposition.

Mnemonic Filing System. A classification system in which records are coded by symbols that remind the user of the subjects; for example, ADM for administration and PER for personnel. These symbols are usually arranged alphabetically.

National Archives. The organization or agency responsible for appraising, accessioning, preserving, and making available permanent records.

National Archives and Records Administration (NARA). The agency having overall responsibility for the records management program throughout the Federal Government. When permanent records are transferred to the National Archives, they are placed in the custody of NARA's Office of the National Archives.

Nonrecord. U.S. Government-owned informational materials excluded from the legal definition of records. Consists of extra copies of documents kept only for convenience of reference, stocks of publications and of processed documents, and library or museum material intended solely for reference or exhibition.

Numeric-alphabetic Filing System. A classification system in which numbers are assigned to main divisions, and letters and numbers to succeeding subdivisions, and the records are arranged accordingly. For example, "ADM" might stand for "Administrative Management," and "1" for the subdivision "Policy." "ADM 2" might stand for "Reports and Statistics," and further subdivided under this subject may be "ADM 2-1, Activity Reports."

Office of Primary Responsibility (OPR). The office delegated responsibility for a specific function. This office normally maintains the official agency record, including the yellow copy and related incoming

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correspondence. The OPR may designate other offices to maintain the official agency record copy for that function.

Official File Station. Any location in an organization at which records are maintained for current use.

Official Record Copy. The yellow file or otherwise designated copy maintained by the originating office. Also includes incoming correspondence used to document a specific function.

Permanent Records. Records appraised by the National Archives and Records Administration as having sufficient historical or other value to warrant continued preservation by the Federal Government, beyond the time they are needed for administrative, legal, or fiscal purposes. Sometimes called "archival records."

Personal Papers. Nonofficial or private papers, relating solely to an individual's own affairs. Must be clearly designated as such and kept separate from the agency's records. Also called "personal files" or "personal records."

Preserved Record. Documentary materials that have been deliberately filed, stored, or otherwise systematically maintained as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government, or because of the informational value of the data. This applies to documentary materials in a file or other storage system, including electronic files and systems, and those temporarily removed from the files or other storage systems.

Program Records. Records documenting the unique, substantive functions for which an agency is responsible, in contrast to administrative records.

Public Records. In general usage, records accumulated by Government agencies. Records open to public inspection by law or custom.

Reading Files. Outgoing correspondence records arranged chronologically, in contrast to those arranged by subject. (Chronological (chron) or day files.)

Record Group. A body of organizationally related records, established by an archival agency after considering the organization's administrative history and complexity and the volume of its records. National Archives and Records Administration uses record group numbers to keep track of agency records during and after the scheduling process, including those transferred to a Federal Records Center and/or the National Archives.

Record Series. File units or documents arranged according to a filing system, or kept together because they relate to a particular subject or function, result from the same activity, document a specific kind of transaction, take a particular physical form, or have some other relationship arising out of their creation, receipt, or use, such as restrictions on access and use.

Recordkeeping System. A system for collecting, organizing, and storing records to facilitate their preservation, retrieval, use, and disposition, and to fulfill recordkeeping requirements.

Records. According to 44 U.S.C. 3301, the term "includes all books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data in them. Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and of processed documents are not included." A more simple, working definition: Official Federal Government records include documentary material that you create, or that you receive from outside of AMS.

Records Maintenance and Use. Any action involving the location of Federal agency records or the storage, retrieval, and handling of records kept at office file locations by, or for, a Federal agency. This is the second stage of the records life cycle.

Records Management. The planning, controlling, directing, organizing, training, promoting, and other managerial activities involved with respect to records creation, records maintenance and use, and records disposition in order to achieve adequate and proper documentation of the policies and transactions of the Federal Government and effective and economical management of agency operations. [36 CFR 1220.14]

Records Management Program. A planned, coordinated set of policies, procedures, and activities needed to manage an agency's recorded information. Encompasses the creation, maintenance and use, and disposition of records, regardless of media. Essential elements include issuing up-to-date program directives, properly training those responsible for implementation, and carefully evaluating the results to ensure adequacy, effectiveness, and efficiency.

Records Officer. The person assigned responsibility by the agency head for overseeing an agency-wide records management program.

Records Schedule. A document describing, providing instructions for, and approving the disposition of specified Federal records. It consists of one of the following:

- (a) An SF-115, Request for Records Disposition Authority, which the National Archives and Records Administration (NARA) has approved to authorize the disposition of Federal records;
- (b) the *General Records Schedules* (GRS) issued by NARA; or
- (c) a printed agency manual or directive containing the records descriptions and disposition instructions approved by NARA on one or more SF-115's or issued by NARA in the GRS. [36 CFR 1220.14]

Retention Period. The length of time that records are to be kept.

Retirement. The sending of inactive records to the Federal Records Center or to the National Archives, either for storage until time for disposal (destruction) for permanent retention.

Rights-and-Interests Records. Vital records essential to protecting the rights and interests of an organization and of the individuals directly affected by its activities.

Screening. Reviewing files to apply access restrictions. Examining files to identify and remove documents of short-term value, especially those eligible for immediate destruction. Also called weeding or purging.

Security Backup. Copy of a record in any medium created to provide a means of ensuring retention and access in the event the original record is destroyed, inaccessible, or corrupted.

Special Records. Types of records maintained separately from textual/paper records because their physical form or characteristics require unusual care, and/or because they have nonstandard sizes. Includes electronic, audiovisual, microform, cartographic and remote-sensing imagery, architectural and engineering, printed, and card records.

Standard Form 115, Request for Records Disposition Authority. The form used by Federal agencies to obtain disposition authority from the National Archives and Records Administration for records which the General Records Schedules are inapplicable.

Standard Form 135, Records Transmittal and Receipt. The form to be submitted by Federal agencies before transferring records to a Federal Records Center. Sometimes referred to as "shelf lists."

Subject Files. Records arranged and filed according to their general informational or subject content. Mainly letters and memorandums, but also forms, reports, and other material, all relating to program and administrative functions, not to specific cases.

Subject-Numeric Filing System. A subject classification system in which the main topics are arranged alphabetically and the subdivisions, i.e., secondary (second) and tertiary (third) are coded

numerically. For example, "Personnel 8" might stand for "Hours of Duty." This system may be modified by combining it with the mnemonic filing system so that, for example, "Personnel 8" would become "PER 8."

Primary Subjects are the prime or major subject designations that identify and describe groups of related records.

Secondary Subjects are one or more related subjects that have been created or established by the division of a primary subject.

Tertiary Subjects are one or more related subjects that have been created or established by the division of a secondary subject.

System Backup. Copy of off-line storage media of software and data stored on direct access storage devices in a computer system, used to recreate a system and its data in case of unintentional loss of data or software.

Technical Reference Files. Nonrecord copies of articles, periodicals, reports, studies, vendor catalogs, and similar materials that are needed for reference and information but are not properly part of the office's records.

Temporary Records. Any Federal record that the Archivist of the United States has determined to have insufficient value to warrant its preservation by the National Archives and Records Administration. [36 CFR 1220.14]

Transmission and Receipt Data.

- (a) Transmission Data. Information in E-mail systems regarding the identities of sender and addressee(s), and the date and time messages were sent.
- (b) Receipt Data. Information in E-mail systems regarding date and time of receipt of a message, and/or acknowledgement of receipt or access by addressee(s).

Unscheduled Records. Records for which no ultimate disposition has been determined.

Vital Records. Records essential to the continued functioning or reconstitution of an organization during and after an emergency; also, those records essential to protecting the rights and interests of that organization and of the individuals directly affected by its activities. Sometimes called essential records. Include both emergency-operating and rights-and-interests records. Vital record considerations are part of an agency's records disaster prevention and recovery program.

Washington National Records Center. The Federal Records Center for the inactive permanent records (except those located in the National Archives) and temporary Federal records for offices located in the Washington metropolitan area.

Appendix B

Records Schedules User's Guide

General Records Schedules (GRS) AMS File Codes - Cross Reference

The GRS, issued by the Archivist of the United States, is a collection of 23 separate, functional schedules, and provides disposal authorization for temporary records common to most Federal agencies. They include records relating to civilian personnel, fiscal accounting, procurement, communications, printing, and other common functions; and certain nontextual records. These records comprise an estimated one-third of the total volume of records created by Federal agencies.

The use of the GRS is legally mandatory. The disposition instructions in the GRS are to be implemented without further approval from the National Archives and Records Administration (NARA), and must be used by AMS to the greatest extent possible. Because these schedules are designed to cover records common to several agencies, the records descriptions are general. A complete copy of the GRS is located in this Appendix. The AMS Records Management Office will continue to update the GRS as changes occur. The entire GRS publication is also available electronically.

The GRS record series' titles have been assigned AMS file codes for use in an organization's files plans. They have been incorporated at the beginning of this Appendix as a section titled, "AMS File Codes - Cross Reference." This cross-reference will be updated periodically to coincide with the new and changed GRS items.

AMS-Unique Records Schedules

The GRS does not cover all records accumulating in AMS. It must be supplemented by schedules for AMS program-specific records. To cover records not included in the GRS, AMS must schedule these records and obtain NARA approval. In this Appendix, the AMS-unique records schedules are organized according to the AMS filing code system, and include the record series description, disposition instructions, and the NARA-approved authority. These schedules are separated into 13 sections, either by organization (Cotton, Dairy, etc.) or by the AMS-unique function (Market News, Commodity Procurement, etc.). The AMS Records Management Officer should be notified as soon as new or changed mission requirements are known, in order to schedule the accumulating documentation.

Abbreviations

AD	-	Agriculture Department Form
AMS	-	Agricultural Marketing Service, USDA
CY	-	Calendar Year
D/S/O	-	Destroy/delete when discontinued, superseded or obsolete.
ERO	-	Executive Resources Office, AMS
FPM	-	Federal Personnel Manual
FRC	-	Federal Records Center
FY	-	Fiscal Year
GAO	-	General Accounting Office
GRS	-	NARA's General Records Schedule
HQ	-	Headquarters
IMB	-	Information Management Branch, ERO, AMS
IAW	-	In Accordance With
N/A	-	Not Applicable
NARA	-	National Archives and Records Administration
NAU	-	Destroy or delete when no longer needed for administrative use.
NC1	-	NARA-Approved Exemption to GRS Records Retention Period
NFC	-	National Finance Center
NLT	-	No Later Than
NPRC	-	National Personnel Records Center; St. Louis, MO
OF	-	Optional Form
OPF	-	Official Personnel Folder
OPM	-	Office of Personnel Management
S/O	-	Destroy or delete when superseded or obsolete.
SES	-	Senior Executive Service
SF	-	Standard Form
TBD	-	To Be Determined
USDA	-	United States Department of Agriculture

**General Records Schedules (GRS)
 AMS File Codes - Cross Reference**

Organization & Information Management		Property Disposal Records GRS 4	
Records	GRS 23 & 16	2300	Property Disposal Correspondence
1000	Office Administrative Files		Files 4 (1)
1010	Schedules of Daily Activities	2300-1	Excess Personal Property Reports 4 (2)
1020	Suspense Files	2300-2	Surplus Property Case Files 4 (3)
1030	Transitory Files	2300-3	Real Property Files 4 (4)
1040	Tracking & Control Records		
1050	Finding Aids (or Indexes)	Travel & Transportation Records GRS 9	
1060	Administrative Issuances	2310	General Travel & Transportation
1070	Records Disposition Files		Files 9 (4)
1080	Forms Files	2310-1	Commercial Freight & Passenger
1090	Records Holdings Files		Transportation Files 9 (1)
1100	Project Control Files	2310-2	Lost or Damaged Shipments Files 9 (2)
1110	Reports Control Files	2310-3	Noncommercial, Reimbursable
1120	Records Management Files		Travel Files 9 (3)
1130	Committee & Conference Files	2310-4	Records Relating to Official
1140	Feasibility Studies		Passports 9 (5)
1150	Microform Inspection Records		
1160	IRM Triennial Review Files	Motor Vehicle Maintenance & Operation	
1170	Information Collection Budget Files	Records	GRS 10
1180	Documents Published in the Federal	2400	Motor Vehicle Correspondence Files 10 (1)
	Register	2400-1	Motor Vehicle Operating &
1190	Management Control Records		Maintenance Files 10 (2)
		2400-2	Motor Vehicle Cost Files 10 (3)
		2400-3	Motor Vehicle Report Files 10 (4)
Procurement, Supply & Grant Records GRS 3		2400-4	Motor Vehicle Accident Files 10 (5)
2200	General Correspondence Files	2400-5	Motor Vehicle Release Files 10 (6)
2200-1	Real Property Files	2400-6	Motor Vehicle Operator Files 10 (7)
2200-2	Routine Procurement Files		
2200-3	Supply Management Files	Space & Maintenance Records GRS 11	
2200-4	Solicited & Unsolicited Bids &	2500	Space & Maintenance General
	Proposals Files		Correspondence Files 11 (1)
2200-5	Public Printer Files	2500-1	Agency Space Files 11 (2)
2200-6	Nonpersonal Requisition File	2500-2	Directory Service Files 11 (3)
2200-7	Inventory Requisition File	2500-3	Credentials Files 11 (4)
2200-8	Inventory Files	2500-4	Building & Equipment Service Files 11 (5)
2200-9	Telephone Records		
2200-10	Contractors' Payroll Files	Communications Records GRS 12	
2200-11	Tax Exemption Files	2600	Communication General Files 12 (2)
2200-12	Unsuccessful Grant Application	2600-1	Messenger Service Files 12 (1)
	Files	2600-2	Telecommunications Operational
2200-13	Grant Administrative Files		Files 12 (3)
2200-14	Contract Appeals Case Files	2600-3	Telephone Use Records (Reserved) 12 (4)
2200-15	Contractor's Statement of	2600-4	Post Office & Private Mail Company
	Contingent or Other Fees		Records 12 (5)
2200-16	Small & Disadvantaged Business	2600-5	Mail & Delivery Service Control
	Utilization Files		Files 12 (6)

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2600-6	Penalty Mail Report Files	12 (7)	2785	Erroneous Release Files	14 (36)
2600-7	Postal Irregularities Files	12 (8)			
Printing, Binding, Duplication, & Distribution Records GRS 13					
2700	Administrative Correspondence Files	13 (1)			
2700-1	Project Files	13 (2)			
2700-2	Control Files	13 (3)			
2700-3	Mailing Lists	13 (4)			
2700-4	JCP Reports Files	13 (5)			
2700-5	Internal Management Files	13 (6)			
Informational Services Records GRS 14					
2750-1	Information Requests Files	14 (1)			
2750-2	Acknowledgement Files	14 (2)			
2750-3	Press Service Files	14 (3)			
2750-4	Information Project Files	14 (4)			
2750-5	Commendation/Complaint Correspondence Files	14 (5)			
2750-6	Indexes & Check Lists	14 (6)			
Freedom of Information Act (FOIA) Records GRS 14 (11-15)					
2760	FOIA Administrative Files	14 (15)			
2760-1	FOIA Requests Files	14 (11)			
2760-2	FOIA Appeals Files	14 (12)			
2760-3	FOIA Control Files	14 (13)			
2760-4	FOIA Reports Files	14 (14)			
Privacy Act Records GRS 14 (21-26)					
2770	Privacy Act General Administrative Files	14 (26)			
2770-1	Privacy Act Requests Files	14 (21)			
2770-2	Privacy Act Amendment Case Files	14 (22)			
2770-3	Privacy Act Accounting of Disclosure Files	14 (23)			
2770-4	Privacy Act Control Files	14 (24)			
2770-5	Privacy Act Reports Files	14 (25)			
Mandatory Review for Declassification Records GRS 14 (31-35)					
2780	Mandatory Review for Declassification Administrative Files	14 (35)			
2780-1	Mandatory Review for Declassification Requests Files	14 (31)			
2780-2	Mandatory Review for Declassification Appeals Files	14 (32)			
2780-3	Mandatory Review for Declassification Control Files	14 (33)			
2780-4	Mandatory Review for Declassification Reports Files	14 (34)			
	Housing Records GRS 15				
2790	Housing General Correspondence Files	15 (1)			
2790-1	Housing Maintenance & Repair Files	15 (2)			
2790-2	Housing Management Files	15 (3)			
2790-3	Housing Lease Files	15 (4)			
2790-4	Housing Assignment & Vacancy Card Files	15 (5)			
2790-5	Housing Inventory Files	15 (6)			
2790-6	Housing Application Files (Other than Copies in Lease Files)	15 (7)			
Security & Protective Services Records GRS 18					
Classified Information Accounting & Control Records GRS 18 (1-7)					
2800	Classified Documents Administrative Correspondence Files	18 (1)			
2800-1	Document Receipt Files	18 (2)			
2800-2	Destruction Certificates Files	18 (3)			
2800-3	Classified Document Inventory Files	18 (4)			
2800-4	Top Secret Accounting & Control Files	18 (5)			
2800-5	Access Request Files	18 (6)			
2800-6	Classified Document Container Security Files	18 (7)			
Facilities Security & Protective Services Records GRS 18 (8-20)					
2830	Security & Protective Services Administrative Correspondence	18 (8)			
2830-1	Survey & Inspection Files (Government-Owned Facilities)	18 (9)			
2830-2	Survey & Inspection Files (Privately-Owned Facilities)	18 (10)			
2830-3	Investigative Files	18 (11)			
2830-4	Property Pass Files	18 (12)			
2830-5	Guard Assignment Files	18 (13)			
2830-6	Police Functions Files	18 (14)			
2830-7	Personal Property Accountability Files	18 (15)			
2830-8	Key Accountability Files	18 (16)			
2830-9	Visitor Control Files	18 (17)			
2830-10	Facilities Checks Files	18 (18)			
2830-11	Guard Service Control Files	18 (19)			
2830-12	Logs & Registers	18 (20)			

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Personnel Security Clearance Records GRS 18 (21-25)	3200	Employee Medical Folder (EMF) . . .	1 (21)
2850 Security Clearance Administrative	3210	Statistical Summaries	1 (22)
Subject Files	3220	Employee Performance File System	
2850-1 Personnel Security Clearance Files . . .		Records	1 (23)
2850-2 Personnel Security Clearance Status	3230	Financial Disclosure Reports	1 (24)
Files	3240	Equal Employment Opportunity	
2850-3 Security Violations Files		Records	1 (25)
2850-4 Classified Information Nondisclosure	3250	Personnel Counseling Records . . .	1 (26)
Agreements	3260	Standards of Conduct Files	1 (27)
	3270	Labor Management Relations	
Emergency Planning Records GRS 18 (26-29)		Records	1 (28)
2860 Emergency Planning Administrative	3280	Training Records	1 (29)
Correspondence Files	3290	Administrative Grievance, Disciplinary	
2860-1 Emergency Planning Case Files . . .		& Adverse Action Files	1 (30)
2860-2 Emergency Operations Tests Files . .	3300	Personal Injury Files	1 (31)
2860-3 National Defense Executive Reserve	3310	Merit Promotion Case Files	1 (32)
(NDER) Case Files	3320	Examining & Certification Records	1 (33)
	3330	Occupational Injury & Illness Files .	1 (34)
Inspector General Records GRS 22	3340	Denied Health Benefits Requests	
2870-1 Investigative Case Files for Civilian		Under Spouse Equity	1 (35)
Agencies Other Than the Central	3350	Federal Workplace Drug Testing	
Intelligence Agency		Program Files	1 (36)
2870-2 Audit Case Files of Civilian	3360	Donated Leave Program Case Files	1 (37)
Agencies Other Than the Central	3370	Wage Survey Files	1 (38)
Intelligence Agency	3380	Retirement Assistance Files	1 (39)
	3390	Handicapped Individuals Appointment	
Civilian Personnel Records GRS 1		Case Files	1 (40)
3000 Personnel Correspondence Files . . .	3400	Pay Comparability Records	1 (41)
3010 Official Personnel Folders		Payrolling & Pay Administration Records . .	GRS 2
3020 Service Record Cards	3500	Payroll	2 (1-2)
3030 Offers of Employment Files	3510	Individual Employee Pay Record	2 (1)
3040 Certificate of Eligibles Files	3520	Non-Current Payroll Files	2 (2)
3050 Employee Record Cards		Time & Attendance GRS 2 (6-9)	
3060 Position Classification Files		3610 Leave Application Files	2 (6)
3070 Interview Records	3620	Time & Attendance Source Records	2 (7)
3080 Performance Rating Board Case Files	3630	Time & Attendance Input Records . .	2 (8)
3090 Temporary Individual Employee	3640	Leave Record	2 (9)
Records		Deductions, Allotments, & Electronic Funds	
3100 Position Identification Strips		Transfers GRS 2 (13-18)	
3110 Employee Awards Files	3710	Tax Files	2 (13)
3120 Incentive Awards Program Reports	3720	Savings Bond Purchase Files	2 (14)
3130 Notifications of Personnel Actions . .	3730	Combined Federal Campaign &	
3140 Employment Applications		Other Allotment Authorizations . .	2 (15)
3150 Personnel Operations Statistical	3740	Thrift Savings Plan Election Form . .	2 (16)
Reports	3750	Direct Deposit Sign-Up Form	
3160 Correspondence & Forms Files . . .		(SF-1199A)	2 (17)
3170 Supervisors' Personnel Files &	3760	Levy & Garnishment Files	2 (18)
Duplicate OPF Documentation . . .			
3180 Individual Non-Occupational Health			
Record Files			
3190 Health Unit Control Files			

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Payroll Administration	GRS 2 (22-24)	5020	Input/Source Records	20 (2)
3810 Payroll System Reports	2 (22)	5030	Electronic Versions of Records	
3820 Payroll Change Files	2 (23)		Scheduled for Disposal	20 (3)
3830 Payroll Correspondence	2 (24)	5040	Data Files Consisting of Summarized	
			Information	20 (4)
Retirement	GRS 2 (28)	5050	Records Consisting of Extracted	
3910 Retirement Files	2 (28)	5060	Information	20 (5)
		5070	Print File	20 (6)
Budget Preparation, Presentation, &		5080	Technical Reformat File	20 (7)
Apportionment Records	GRS 5	5090	Backups of Files	20 (8)
4000 Budget Correspondence Files	5 (1)	5100	Finding Aids (or Indexes)	20 (9)
4010 Budget Background Records	5 (2)	5110	Special Purpose Programs	20 (10)
4020 Budget Reports Files	5 (3)	5120	Documentation	20 (11)
4030 Budget Apportionment Files	5 (4)	5130	Downloaded & Copied Data	20 (12)
		5140	Word Processing Files	20 (13)
Accountable Officers' Accounts Records . . .	GRS 6	5150	Electronic Mail Records	20 (14)
4110 Accountable Officers' Files	6 (1)		Electronic Spreadsheets	20 (15)
4120 GAO Exceptions Files	6 (2)			
4130 Certificates Settlement Files	6 (3)	Audiovisual Records	GRS 21	
4140 General Fund Files	6 (4)	5210 Still Photography	21 (1-4)	
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4160 Federal Personnel Surety Bond Files .	6 (6)	5230 Motion Pictures	21 (9-13)	
4170 Gasoline Sales Tickets	6 (7)	5240 Video Recordings	21 (14-21)	
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4210 Administrative Claims Files	6 (10)			
4220 Waiver of Claims Files	6 (11)	Cartographic, Aerial Photographic,		
		Architectural, & Engineering Records . .	GRS 17	
Expenditure Accounting Records	GRS 7	5310 Cartographic Records Prepared		
4310 Expenditures Accounting General		During Intermediate Stages of		
Correspondence & Subject Files . .	7 (1)	Publication	17 (1)	
4320 General Accounting Ledgers	7 (2)	5320 Vertical & Oblique Aerial		
4330 Appropriation Allotment Files	7 (3)	Photography	17 (2)	
4340 Expenditure Accounting Posting and		5330 Architectural Drawings of Temporary		
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		Buildings Not Critical to the		
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4410 Plant, Cost, and Stores General		5340 Drawings of Electrical, Plumbing,		
Correspondence Files	8 (1)	Heating, or Air Conditioning		
4420 Stores Invoice Files	8 (2)	Systems	17 (4)	
4430 Stores Accounting Files	8 (3)	5350 Contract Negotiation Drawings . . .	17 (5)	
4440 Stores Accounting Background Files .	8 (4)	5360 Space Assignment Plans	17 (6)	
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4470 Cost Report Data Files	8 (7)	Minor Parts	17 (8)	
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Electronic Records	GRS 20	Modifications	17 (9)	
5010 Files/Records Relating to the Creation,		5400 Paint Plans & Samples	17 (10)	
Use, and Maintenance of Computer				
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Appendix C

Forms Retention Requirements Index

The Forms Retention Requirements Index is a supplement to the records schedules, and will be updated periodically to include new and changed forms or requirements. The records retention requirements are not for the blank forms, but for the value of the information contained on the form. Since the majority of the information recorded in AMS constitutes forms, the AMS Records Management Office utilized the AMS Forms Catalog to develop a Forms Retention Requirements Index. AMS offices have already determined the need, or requirement, for forms for recording agency information through the Administrative Issuance Program; now, AMS personnel must assign a value to this record by determining where it fits into the current records schedules. The policy and responsibilities for administering the AMS Records Management Program are outlined in AMS Directive 270.1, dated 11/8/93.

The Forms Retention Requirements Index is divided into nine (9) sections. Each section itemizes records retention requirements for AMS organizational Divisions/Staffs, using current AMS-unique form numbers. For example:

Under the Fruit and Vegetable Division (FV) section, the form FV-374 is to be maintained in the office of record for three (3) years after cutoff. Usually, offices have either calendar year (CY) or fiscal year (FY) cutoff dates. This disposition is authorized by the National Archives under NC1 136-80-1, Item 24, and is indicated under the "Disposition Authority" column.

The term "Unscheduled" in the "Disposition Authority" column indicates, at this time, either the disposition is not authorized, or the associated Divisions/Staffs have not decided what are the appropriate retention requirements. Until a decision has been made, these records must be maintained in the organization until further notice.

NOTE: General retention periods for Standard Forms (SF) and Optional Forms (OF) are located in an index of the General Records Schedule (GRS). The GRS is a collection of 23 schedules issued by the National Archives to provide disposal authorization for temporary records common to most Federal agencies.

The Forms Retention Requirements Index is intended to be used as a ready reference guide, and as a supplement to the AMS Records Management Handbook. The listed, authorized values are all contained in records schedules approved by the National Archives, either in the GRS, or in AMS-unique schedules.

Forms Retention Requirements Index

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Definitions

1. **Records:** "All books, papers, maps, photographs, machine readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal Law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data in them."

Using simple terms, the above could be summarized as follows. **If you create information or receive it from outside your agency (regardless of the form), one copy is the agency record copy.**

2. **Form Number:** The number assigned to all currently approved and required AMS administrative, staff, and program division forms.
3. **Title:** Title as shown on form.
4. **Disposition:** The actions taken by the office of record regarding records no longer needed for current Government business. These actions include: a) transfer to Federal Records Centers; b) transfer from one agency to another; c) transfer of permanent records to the National Archives; and, d) disposal instructions of temporary records.
5. **Disposition Authority:** The legal approval empowering AMS to transfer permanent records to the National Archives or carry out the disposal instructions of temporary records. This authority must be obtained from NARA, and also for certain temporary records, from the General Accounting Office (GAO). The number enclosed in bracket (e.g., [1000]) is the file code used as a cross-reference.
6. **General Records Schedule (GRS):** The GRS is a NARA-issued comprehensive schedule, consisting of 23 separate functional schedules, governing the disposition of specified records common to several or all agencies.
7. **Unscheduled:** Under the disposition authority column, these records have not been approved, or scheduled, for disposition by the National Archives. Therefore, these records **must** be retained in the record office until their disposition is authorized. For assistance in scheduling these records, please contact the AMS Records Management Officer, Information Management Branch, Executive Resources Office, through the appropriate organizational channels.

Abbreviations

AD	-	Agriculture Department Form
AMS	-	Agricultural Marketing Service, USDA
CY	-	Calendar Year
D/S/O	-	Destroy/delete when discontinued, superseded or obsolete.
ERO	-	Executive Resources Office, AMS
FPM	-	Federal Personnel Manual
FRC	-	Federal Records Center
FY	-	Fiscal Year
GAO	-	General Accounting Office
GRS	-	NARA's General Records Schedule
HQ	-	Headquarters
IAW	-	In accordance with
IMB	-	Information Management Branch, ERO, AMS
N/A	-	Not Applicable
NARA	-	National Archives and Records Administration
NAU	-	Destroy or delete when no longer needed for administrative use.
NC1	-	NARA-Approved Exemption to GRS Records Retention Period
NFC	-	National Finance Center
NLT	-	No later than
NPRC	-	National Personnel Records Center; St. Louis, MO
OF	-	Optional Form
OPF	-	Official Personnel Folder
OPM	-	Office of Personnel Management
S/O	-	Destroy or delete when superseded or obsolete.
SES	-	Senior Executive Service
SF	-	Standard Form
TBD	-	To be determined
USDA	-	United States Department of Agriculture

**Forms Retention
Requirements Index**

AGRICULTURAL MARKETING SERVICE (AMS)

FORM NUMBER	TITLE	DISPOSITION	DISPOSITION AUTHORITY
AMS-1	Miscellaneous Payments	6 years + 3 months	GRS 6, Item 1a [4110a]
AMS-4	Request for Authorization of Relocation Expenses	6 years + 3 months	GRS 6, Item 1a [4110a]
AMS-12R	Conflicts of Interest and Outside Employment Certification	6 years	GRS 1, Item 24b [3230(b)]
AMS-20	Cooperative Agreement (State Agency)	See Note ¹	NC1 136-83-2 Item 7 [6170]
AMS-20-1	Cooperative Agreement (Cooperator)	See Note ¹	NC1 136-83-2 Item 7 [6170]
AMS-20-2	Cooperative Agreement - Statement of Work	See Note ¹	NC1 136-83-2 Item 7 [6170]
AMS-20-3	Amendment to Cooperative Agreement	See Note ¹	NC1 136-83-2 Item 7 [6170]
AMS-20-4	Continuation Sheet	See Note ¹	NC1 136-83-2 Item 7 [6170]
AMS-22	Foreign Travel Addendum	6 years + 3 months	GRS 6, Item 1a [4110a]
AMS-24-1	Application for Promotion/Reassignment(Part I-Work History)	After OPM audit or 2 years after the personnel action is completed, whichever is sooner	GRS 1, Item 32 [3310]
AMS-24-2	Application for Promotion/ Reassignment (Part II-Experience, Training and Awards)	After OPM audit or 2 years after the personnel action is completed, whichever is sooner	GRS 1, Item 32 [3310]

AGRICULTURAL MARKETING SERVICE (AMS)

FORM NUMBER	TITLE	DISPOSITION	DISPOSITION AUTHORITY
AMS-29	Publications Notice	3 years after publication date	NC1 136-79-1 Item 7b [6050b]
AMS-32	Notice for Reorder of Form	When related form is D/S/O	GRS 16, Item 3b [1080b]
AMS-50	Detail of Personnel Compensation	1 year after FY covered by budget	GRS 5, Item 2 [4010]
AMS-71	Summary of Information Collection	7 years	GRS 16, Item 12 [1170]
AMS-85	Request for Approval to Produce Publication	3 years after publications date	NC1 136-79-1 Item 7b [6050b]
AMS-87	Checklist for Preparation of a request for OMB review	2 years after report is discontinued	GRS 16, Item 6 [1110]
AMS-100	ID Card for Tobacco Grading Supervisor, Meat Grading Supervisor, and Review Officer	3 months after return to issuing office	GRS 11, Item 4a [2500-3a]
AMS-162	Examination Worksheet for Determining Net Weight	6 years and 3 months	NC1 136-83-2 Item 24 [7530]
AMS-180	Request for Clearance of Cooperative Document	See Note ¹	NC1 136-83-2 Item 7 [6170]
AMS-188	Printing Request	1 year after completing job	GRS 13, Item 2a [2700-1a]
AMS-199	Compliance Officer ID	3 months after return to issuing office	GRS 11, Item 4a [2500-3a]
AMS-200	Authorization Card	When related form is D/S/O	GRS 16, Item 3b [1080b]
AMS-313	Report on Consideration of Application	2 years	GRS 1, Item 32 [3310]
AMS-409	Market News Subscription Request	5 years	NC1 136-79-1 Item 1a [6000a]
AMS-430	Status of Employment	3 years	GRS 5, Item 3b [4020b]

AGRICULTURAL MARKETING SERVICE (AMS)

FORM NUMBER	TITLE	DISPOSITION	DISPOSITION AUTHORITY
AMS-453	Orientation Training Checklist	3 years	GRS 1, Item 3 [3000]
AMS-541	Bill for Collection	6 years + 3 months	GRS 6, Item 1a [4110a]
AMS-550-3	Object Class Detailed Obligation Planning Worksheet	1 year after FY covered by budget	GRS 5, Item 2 [4010]
AMS-557	Summary of Staff-Years, Positions, and Employment by Fund and Activity	1 year after FY covered by budget	GRS 5, Item 2 [4010]
AMS-570	Civil Rights Compliance Review	Disposition not authorized. Retain until further notice.	Unscheduled
AMS-571	Agency Energy	Disposition not authorized. Retain until further notice.	Unscheduled
AMS-631	Check Transmittal	6 years + 3 months	GRS 6, Item 1a [4110a]
AMS-633	Request for Validation of Need on Low-Usage Form	When related form is D/S/O	GRS 16, Item 3b [1080b]
AMS-634	Form Action Request	When related form is D/S/O	GRS 16, Item 3b [1080b]
AMS-635	Request for Clearances/Approval of Issuance	When issuance is destroyed	GRS 16, Item 1b [1060b]
AMS-636	Nomination for AMS Special Emphasis Award	2 years after approval / disapproval	GRS 1, Item 12a(1) [3110a(1)]

AGRICULTURAL MARKETING SERVICE (AMS)

FORM NUMBER	TITLE	DISPOSITION	DISPOSITION AUTHORITY
AMS-637	<p>Appointments Above the Minimum Rate</p> <p>NOTE: Filed on the right side of the OPF which is held by FSO.</p>	<p>a. Transfers - See FPM for instructions. b. Separations - Transfer OPF to NPRC 30 days after separation. NPRC will destroy 65 years after separation from Federal Service</p>	<p>a. GRS 1, Item 1a [3010a] b. GRS 1, Item 1b [3010b]</p>
AMS-637A	<p>Salary Computation Sheet for Appointments Above the Minimum Rate</p> <p>NOTE: Filed on the right side of the OPF which is held by FSO.</p>	<p>a. Transfers - See FPM for instructions. b. Separations - Transfer OPF to NPRC 30 days after separation. NPRC will destroy 65 years after separation from Federal Service</p>	<p>a. GRS 1, Item 1a [3010a] b. GRS 1, Item 1b [3010b]</p>
AMS-638	Payment of Travel and Transportation Expenses	6 years	GRS 9, Item 3a [2310-3a]
AMS-640	Progress Under the Resource Conservation and Recovery Act (RCRA)	Disposition not authorized. Retain until further notice.	Unscheduled
AMS-959	Employee Flexitime Log	After GAO audit or 6 years, whichever is sooner	GRS 2, Item 7 [3620]
APHIS-64	Motor Vehicle Operations Report	3 years after date of report	GRS 10, Item 4 [2400-3]

AGRICULTURAL MARKETING SERVICE (AMS)

FORM NUMBER	TITLE	DISPOSITION	DISPOSITION AUTHORITY
APHIS-114	Request to Establish, Close, or Relocate Facilities	2 years after termination of assignment, or when lease is cancelled, or when plans are S/O	GRS 11, Item 2a [2500-1a]
APHIS-123	Motor Vehicle Operations Record	1 year	GRS 10, Item 2b [2400-1b]

COTTON DIVISION (CN)

FORM NUMBER	TITLE	DISPOSITION	DISPOSITION AUTHORITY
CN-1	Bill for Collection	3 years	GRS 7, Item 4a [4340a]
CN-2	Bill for Collection (Automated)	3 years	GRS 7, Item 4a [4340a]
CN-5	Order Blank for High Volume Instrument (HVI)	4 years	NC1 136-79-1 Item 43a [6340a]
CN-24	Staple Bale Information	4 years	NC1 136-79-1, Item 43j & 43b [6340b/j]
CN-29	Cottonseed Sampling Report	4 years	NC1 136-79-1 Item 38e [6290e]
CN-59	Cotton Sampling Inspection Report	4 years	NC1 136-79-1 Item 47g [6380g]
CN-60	Visits to Gins or Warehouses Not Sampling	4 years	NC1 136-79-1 Item 47g [6380g]
CN-62	Order Blank for Samples of International Calibration Cotton Standards	4 years	NC1 136-79-1 Item 43a [6340a]
CN-62-1	Order Blank for Samples of International Calibration Cotton Standards	4 years	NC1 136-79-1 Item 43a [6340a]
CN-69	Cotton Testing Service Record	4 years	NC1 136-79-1 Item 50 [6410]
CN-70	Authority to Report for Duty	2 years	GRS 9, Item 4a [2310a]
CN-76-8	Official Cotton Linters Standards of the U.S.	4 years	NC1 136-79-1 Item 43a [6340a]
CN-84	Color Diagram for Nickerson-Hunter Cotton Colorimeter-Spinlab Model-Stds. for American Pima Cotton	4 years	NC1 136-79-1 Item 43b [6340b]
CN-85	Color Diagram for Nickerson-Hunter Cotton Colorimeter-Spinlab Model-Stds. for American Upland Cotton	4 years	NC1 136-79-1 Item 43b [6340b]
CN-87	Color Diagram for Nickerson-Hunter Cotton Colorimeter-Spinlab Model-Stds. for American Upland Cotton	4 years	NC1 136-79-1 Item 43b [6340b]

COTTON DIVISION (CN)

FORM NUMBER	TITLE	DISPOSITION	DISPOSITION AUTHORITY
CN-90	Classification Summary of Form A Claim Cotton	4 years	NC1 136-79-1 Item 48f [6390f]
CN-116	Special Condition or Irregular Bale Identification	S/O	NC1 136-79-1 Item 47c [6380c]
CN-117	Cotton Identification	S/O	NC1 136-79-1 Item 47c [6380c]
CN-117-2	Cotton Classification Memorandum Form 1 (HVI)	4 years	NC1 136-79-1 Item 42c [6330c]
CN-229	Field Office Weekly Report	4 years	NC1 136-79-1 Item 36c [6270c]
CN-237	License (Cotton Sampler)	4 years	NC1 136-79-1 Item 39a [6300a]
CN-245	Application for Practical Forms of Cotton Linters Standards	4 years	NC1 136-79-1 Item 43a [6340a]
CN-246	Application for License to Sample Cotton Under the United States Cotton Standards Act	4 years	NC1 136-79-1 Item 39a [6300a]
CN-247	Application for Practical Classing Examination and Certificate	4 years	NC1 136-79-1 Item 36a [6270a]
CN-248	Application for Cottonseed Chemist or Cottonseed Sampler License	4 years	NC1 136-79-1 Item 39a [6300a]
CN-250-1	1-5/16" Staple Label (American Upland)	4 years	NC1 136-79-1 Item 43a [6340a]
CN-250-2	1-3/8" Staple Label (American Pima)	4 years	NC1 136-79-1 Item 43a [6340a]
CN-250-3	1-7/16" Staple Label (American Pima)	4 years	NC1 136-79-1 Item 43a [6340a]
CN-250-4	1-1/2" Staple Label (American Pima)	4 years	NC1 136-79-1 Item 43a [6340a]
CN-261	Official Cotton Standards of the U.S. (American Pima)	4 years	NC1 136-79-1 Item 43a [6340a]
CN-261-1	Grade Label 1 (American Pima)	4 years	NC1 136-79-1 Item 43a [6340a]
CN-261-2	Grade Label 2 (American Pima)	4 years	NC1 136-79-1 Item 43a [6340a]

COTTON DIVISION (CN)

FORM NUMBER	TITLE	DISPOSITION	DISPOSITION AUTHORITY
CN-261-3	Grade Label 3 (American Pima)	4 years	NC1 136-79-1 Item 43a [6340a]
CN-261-4	Grade Label 4 (American Pima)	4 years	NC1 136-79-1 Item 43a [6340a]
CN-261-5	Grade Label 5 (American Pima)	4 years	NC1 136-79-1 Item 43a [6340a]
CN-261-6	Grade Label 6 (American Pima)	4 years	NC1 136-79-1 Item 43a [6340a]
CN-277	Supervisory Results for Airflow Instrument	4 years	NC1 136-79-1 Item 43a [6340a]
CN-326	Supervisory Sample Tag	4 years	NC1 136-79-1 Item 50 [6410]
CN-327	License (Cottonseed Sampler)	4 years	NC1 136-79-1 Item 39a [6300a]
CN-332	Cottonseed Sampler's Bond	4 years	NC1 136-79-1 Item 39a [6300a]
CN-336	Fiber Length--Array Method	4 years	NC1 136-79-1, Item 43b or 50 [6340b]
CN-351-1	Good Middling White Color (11)/Leaf Grade (1)	4 years	NC1 136-79-1 Item 43a [6340a]
CN-351-2	Strict Middling White Color (21)/Leaf Grade (2)	4 years	NC1 136-79-1 Item 43a [6340a]
CN-351-3	Middling White Color (31)/Leaf Grade (3)	4 years	NC1 136-79-1 Item 43a [6340a]
CN-351-4	Strict Low Middling White Color (41)/Leaf Grade (4)	4 years	NC1 136-79-1 Item 43a [6340a]
CN-351-5	Low Middling White Color (51)/Leaf Grade (5)	4 years	NC1 136-79-1 Item 43a [6340a]
CN-351-6	Strict Good Ordinary White Color (61)/Leaf Grade (6)	4 years	NC1 136-79-1 Item 43a [6340a]
CN-351-7	Good Ordinary White Color (71)/Leaf Grade (7)	4 years	NC1 136-79-1 Item 43a [6340a]
CN-351-8	Strict Middling Spotted Color (23)	4 years	NC1 136-79-1 Item 43a [6340a]

COTTON DIVISION (CN)

FORM NUMBER	TITLE	DISPOSITION	DISPOSITION AUTHORITY
CN-351-9	Middling Spotted Color (33)	4 years	NC1 136-79-1 Item 43a [6340a]
CN-351-10	Strict Low Middling Spotted Color (43)	4 years	NC1 136-79-1 Item 43a [6340a]
CN-351-11	Low Middling Spotted Color (53)	4 years	NC1 136-79-1 Item 43a [6340a]
CN-351-12	Strict Good Ordinary Spotted Color (63)	4 years	NC1 136-79-1 Item 43a [6340a]
CN-351-13	Middling Tinged Color (34)	4 years	NC1 136-79-1 Item 43a [6340a]
CN-351-14	Strict Low Middling Tinged Color (44)	4 years	NC1 136-79-1 Item 43a [6340a]
CN-351-15	Low Middling Tinged Color (54)	4 years	NC1 136-79-1 Item 43a [6340a]
CN-353	Universal Standards for Grades of American Upland Cotton	4 years	NC1 136-79-1 Item 43a [6340a]
CN-354	Form A-Sample Classification Memorandum	4 years	NC1 136-79-1 Item 48d [6390d]
CN-357	Request for Classification	4 years	NC1 136-79-1 Item 48c [6390c]
CN-358	Form R-Classification Memorandum	4 years	NC1 136-79-1, Item 48d & 48f [6390d/f]
CN-360	Classification Comparison Sheet	4 years	NC1 136-79-1 Item 48c [6390c]
CN-378	Record Sheet	4 years	NC1 136-79-1 Item 48e [6390e]
CN-383	Application for Practical Forms of Official Cotton Standards	4 years	NC1 136-79-1 Item 43a [6340a]
CN-417	Form D-Sample Classification Memorandum	4 years	NC1 136-79-1 Item 48d [6390d]

DAIRY DIVISION (DA)

FORM NUMBER	TITLE	DISPOSITION	DISPOSITION AUTHORITY
DA-4	Employee Pay Card	4 years	NC1 136-79-1 Item 54 [6515]
DA-6	Administrative Petition Log	5 years	NC1 136-79-1 Item 73 [6700]
DA-15R	Application for Qualification of State or Regional Dairy Product Promotion, Research, or Nutrition Education Program	10 years Transfer to FRC when 3 years old	NC1 136-79-1 Item 32 [9520]
DA-19R	Nomination of Milk Producers to Serve on the National Dairy Promotion and Research Board a. Appointed Members File. b. "Not Appointed" Potential Member's File.	a. 3 years after termination of individual's membership from board; or b. Immediately upon rejection/NAU	NC1 136-83-2 Item 10a [9530a] Item 10b [9530b]
DA-24	Annual Report of Cooperative Milk Marketing Association	2 years	NC1 136-79-1 Item 71a [6680a]
DA-25	Application for Qualification of Cooperative Milk Marketing Association	3 years after termination of agreement	NC1 136-83-2 Item 7b [6170b]
DA-126	Butter Grading Certificate	3 years	NC1 136-85-1 Item 8a [6820a]
DA-128	Warehouse Condition Checklist	2 years	NC1 136-85-1 Item 8b [6820b]
DA-129	Amendment to Grading Certificate	3 years	NC1 136-85-1 Item 8a [6820a]
DA-131	Cheese Grading Certificate	3 years	NC1 136-85-1 Item 8a [6820a]
DA-132	Cheese Grader's Memorandum	2 years	NC1 136-85-1 Item 8b [6820b]
DA-136	Dry Milk Grading Certificate	3 years	NC1 136-85-1 Item 8a [6820a]
DA-137	Dairy Miscellaneous Inspection Report	2 years	NC1 136-85-1 Item 8b [6820b]

DAIRY DIVISION (DA)

FORM NUMBER	TITLE	DISPOSITION	DISPOSITION AUTHORITY
DA-144	Milk Quality -- DMCC Slides	5 years	NC1 136-85-1 Item 9 [6830]
DA-147	USDA Product Control	2 years	NC1 136-85-1 Item 8b [6820b]
DA-151	Plant Survey Report (Page A)	5 years	NC1 136-85-1 Item 9 [6830]
DA-151a	Plant Survey Report	5 years	NC1 136-85-1 Item 9 [6830]
DA-151-1	Plant Survey Report (Page B - Butter)	5 years	NC1 136-85-1 Item 9 [6830]
DA-151-2	Plant Survey Report (Page C - Cheese)	5 years	NC1 136-85-1 Item 9 [6830]
DA-151-3	Plant Survey Report (Page D - Dry Products)	5 years	NC1 136-85-1 Item 9 [6830]
DA-151-4	Plant Survey Report (Page E - Evaporated Milk)	5 years	NC1 136-85-1 Item 9 [6830]
DA-151-5	Plant Survey Report (Page F - Butter Packaging)	5 years	NC1 136-85-1 Item 9 [6830]
DA-151-6	Plant Survey Report (Page G - Dry Products Blending and Packaging)	5 years	NC1 136-85-1 Item 9 [6830]
DA-151-7	Plant Survey Report (Page H - Instant Products)	5 years	NC1 136-85-1 Item 9 [6830]
DA-151-8	Plant Survey Report (Page J - Instant Products Packaging)	2 years	NC1 136-85-1 Item 9 [6830]
DA-151-9	Plant Survey Report (Page K - Process Cheese)	5 years	NC1 136-85-1 Item 9 [6830]
DA-151-10	Plant Survey Report (Page L)	5 years	NC1 136-85-1 Item 9 [6830]
DA-151-11	Plant Survey Report (Page Z)	5 years	NC1 136-85-1 Item 9 [6830]
DA-152	In-Process Inspection Certificates	3 years	NC1 136-85-1 Item 8a [6820a]

DAIRY DIVISION (DA)

FORM NUMBER	TITLE	DISPOSITION	DISPOSITION AUTHORITY
DA-153	Sample Selection and Test Weighing Record	2 years	NC1 136-85-1 Item 8b [6820b]
DA-155	Application to Use Official Identification and Grading Labels	2 years	NC1 136-85-1 Item 3a [6770a]
DA-159	Volume of Dairy Products Packaged With Official Grade ID or Inspection Legend	2 years	NC1 136-85-1 Item 3a [6770a]
DA-174	Continuous Service Rendered	1 year	NC1 136-85-1, Items 2a & b [6760a & b]
DA-179	Recommendation for Licensing	1 year	NC1 136-85-1 Item 6a [6800a]
DA-181	Farm Inspection Report	5 years	NC1 136-85-1 Item 9 [6830]
DA-201	Grading Certificate	3 years	NC1 136-85-1 Item 8a [6820a]
DA-201B	Application for Butter Grading Service	2 years	NC1 136-85-1 Item 8b [6820b]
DA-214	Inspection & Laboratory Certificate	3 years	NC1 136-85-1 Item 8a [6820a]
DA-225	Dairy Products Grading Certificate	3 years	NC1 136-85-1 Item 8a [6820a]
DA-226	Report of Supervision	3 years	NC1 136-85-1 Item 1b [6750b]
DA-226-1	Comparative Grading Worksheet Butter/Cheese	3 years	NC1 136-85-1 Item 1b [6750b]
MO-1	Price and Pool Statistics	5 years	NC1 136-79-1 Item 62a [6590]
MA-4	Operating Statement	Permanent	NC1 136-83-2 Item 6a(1)(a) [6160a(1)(a)]
MO-8	Status of Audits and Audits Reviewed	3 years or 6 months after next audit, whichever is sooner	NC1 136-79-1 Item 9a [6070]

DAIRY DIVISION (DA)

FORM NUMBER	TITLE	DISPOSITION	DISPOSITION AUTHORITY
MO-10	Report of Receipts of Fluid Milk Produced	1 year after end of CY prepared	NC1 136-79-1 Item 27a [9060a]
MO-11	Report of Transfers of Fluid Milk Products	2 years	NC1 136-79-1 Item 30a [9090a]

FRUIT AND VEGETABLE DIVISION (FV)

FORM NUMBER	TITLE	DISPOSITION	DISPOSITION AUTHORITY
FV-1	Ledger of Inspections	6 years and 3 months	GRS 7, Item 2 [4320]
FV-2	Official Referendum Ballot (Pecan Promotion & Research Plan) NOTE: <u>Headquarters</u> . Destroy 5 years after date of referendum or 1 year after close of final court action (adjudicated in all courts involved) if litigation has been instituted regarding the validity of the referendum, whichever is later.	See Note	NC1 136-80-1 Item 14 [7130]
FVQ-3	Instructor's Lesson Plan	5 years or 5 years after completion of a specific training program	GRS 1, Item 29a(1) [3280a(1)]
FVQ-3A	Instructor's Lesson Plan (Con't. Sheet)	5 years or 5 years after completion of a specific training program	GRS 1, Item 29a(1) [3280a(1)]
FV-5	Imported Date Report	3 years	NC1 136-80-1 Item 24 [7230a]
FV-6	Importer's Exempt	3 years	NC1 136-80-1 Item 25 [7240]
FV-10	Notice of Hold	3 years	NC1 136-80-1 Item 24 [7230a]
FV-11	Hold	3 years	NC1 136-80-1 Item 24 [7230a]
FV-16	Notice of Hold for Re-Examination	3 years	NC1 136-80-1 Item 24 [7230a]
FVQ-16-2	Notification to Food and Drug Administration	3 years	NC1 136-80-1 Item 24 [7230a]
FV-27	Federal-State Inspection Certificate	1 year	NN-168-113 Item 2a [7230b]

FRUIT AND VEGETABLE DIVISION (FV)

FORM NUMBER	TITLE	DISPOSITION	DISPOSITION AUTHORITY
FV-27-1	Federal-State Inspection Certificate	1 year	NN-168-113 Item 2a [7230b]
FV-29	Agent's Monthly Statement of Daily Shipments	1 year after FY prepared	NC1 136-79-1 Item 27a [9060]
FV-55	Bi-Weekly Time Sheet	After GAO audit or 6 years, whichever is sooner	GRS 2, Item 7 [3620]
FV-62	Official Producer Ballot (Fresh Peaches)	See Note for form FV-2	NC1 136-80-1 Item 14 [7130]
FV-64	PACA Transmittal	5 years	NC1 136-79-1 Item 15a [6100a]
FV-65	Marketing Agreement for Regulating the Handling of Fresh Peaches	5 years	NC1 136-80-1 Item 13 [7120]
FV-66	Memorandum Report of Inspection	3 years	NC1 136-80-1 Item 24 [7230a]
FVQ-67	Quality Assurance Report of Inspection	3 years	NC1 136-80-1 Item 24 [7230a]
FV-68	Official Producer Ballot	See Note for form FV-2	NC1 136-80-1 Item 14 [7130]
FV-69	Marketing Agreement for Regulating the Handling of Tomatoes Grown in Florida	5 years	NC1 136-80-1 Item 13 [7120]
FV-70	Referendum Ballot (Kiwifruit)	See Note for form FV-2	NC1 136-80-1 Item 14 [7130]
FV-71	Marketing Agreement for Regulating the Handling of Kiwifruit	5 years	NC1 136-80-1 Item 13 [7120]
FV-72	Producer Referendum Ballot (Domestic Dates)	See Note for form FV-2	NC1 136-80-1 Item 14 [7130]
FV-73	Marketing Agreement for Regulating the Handling of Domestic Dates	5 years	NC1 136-80-1 Item 13 [7120]
FV-79	Marketing Agreement for Handling of Irish Potatoes	5 years	NC1 136-80-1 Item 13 [7120]

FRUIT AND VEGETABLE DIVISION (FV)

FORM NUMBER	TITLE	DISPOSITION	DISPOSITION AUTHORITY
FV-79A	Certificate of Resolution (Irish Potatoes - Incorporated Handlers)	2 years	NC1 136-80-1 Item 16 [7150]
FV-80	Continuance Referendum Official Ballot (Irish Potatoes)	See Note for form FV-2	NC1 136-80-1 Item 14 [7130]
FV-81	Marketing Agreement for Handling of Oranges and Grapefruit	5 years	NC1 136-80-1 Item 13 [7120]
FV-82	Confidential Background Statement (Oranges and Grapefruit)	when appointment is terminated	NC1 136-80-1 Item 17b [7160b]
FV-83	Citrus Producer Referendum Ballot	See Note for forms FV-2	NC1 136-80-1 Item 14 [7130]
FV-84	Confidential Nectarine Producer Nominee Questionnaire	when appointment is terminated	NC1 136-80-1 Item 17b [7160b]
FV-85	Marketing Agreement for Handling Nectarines Grown in California	5 years	NC1 136-80-1 Item 13 [7120]
FV-95	Federal-State Inspection Service-Peanut Inspection Notesheet	3 years	NC1 136-80-1 Item 24 [7230a]
FV-100	Weekly Report of Red Tart Cherries Received and Processed (Michigan)	2 years	NC1 136-79-1 Item 24a [9030a]
FV-100-1	Weekly Report of Red Tart Cherries Received and Processed (New York)	2 years	NC1 136-79-1 Item 24a [9030a]
FV-101	Date Inspection Report	2 years	NC1 136-79-1 Item 24a [9030a]
FV-117	Weekly Report of Uninspected Farmers Stock Seed Peanuts Received for Custom Shelling	3 years	NC1 136-80-1 Item 22a [7210b]
FV-117-1	Handler's Monthly Report	3 years	NC1 136-80-1 Item 22a [7210b]
FV-117-2	Acquisitions of Non-Edible Grades of Commercial Shelled Peanuts for Crushing, Fragmenting or Dyeing	3 years	NC1 136-80-1 Item 22a [7210b]

FRUIT AND VEGETABLE DIVISION (FV)

FORM NUMBER	TITLE	DISPOSITION	DISPOSITION AUTHORITY
FV-117-3	Report of Disposition to and Acquisition From Another Handler Shelled Peanuts Failing Edible Quality Requirements for Remilling and Further Handling	3 years	NC1 136-80-1 Item 22a [7210b]
FV-117-4	Report of Movement to Blancher or Remiller - For Blanching or Custom Remilling Peanuts Failing Edible Quality Requirements	3 years	NC1 136-80-1 Item 22a [7210b]
FV-117-5	Handlers Report of Dispositions of Non-Edible Quality Shelled Peanuts to Crusher or Fragmenter or Dyeing Processor	3 years	NC1 136-80-1 Item 22a [7210b]
FV-117-6	Handlers Report of Export of "Unrestricted" Non-Edible Quality "Fragmented" Peanuts	3 years	NC1 136-80-1 Item 22a [7210b]
FV-117-7	Handlers Report of Disposition of Peanuts for Wild Life Feed or Rodent Bait	3 years	NC1 136-80-1 Item 22a [7210b]
FV-117-8	Handlers Report of Disposition of Dyed Non-Edible Quality Peanuts to Animal Feed Use (Unrestricted Peanuts Only)	3 years	NC1 136-80-1 Item 22a [7210b]
FV-117-9	Handlers Report of Export of " <u>Restricted</u> " Non-Edible Quality "Fragmented" Peanuts	3 years	NC1 136-80-1 Item 22a [7210b]
FV-140	Foreign Material Record/Mold Count Record	3 years	NC1 136-80-1 Item 24 [7230a]
FV-140-1	Tally Sheet for Mold Counts	3 years	NC1 136-80-1 Item 24 [7230a]
FV-142-R	Sample Reliability Tests	3 years	NC1 136-80-1 Item 24 [7230a]
FV-146	Certificate of Quality and Condition (Processed Foods)	3 years	NC1 136-80-1 Item 24 [7230a]
FV-146-CF	Certificate of Quality and Condition (Processed Foods)	3 years	NC1 136-80-1 Item 24 [7230a]
FV-146-CS	Certificate of Quality and Condition (Processed Foods)	3 years	NC1 136-80-1 Item 24 [7230a]
FV-147	Certificate of Quality and Condition (Processed Foods) Quality Assurance	3 years	NC1 136-80-1 Item 24 [7230a]

FRUIT AND VEGETABLE DIVISION (FV)

FORM NUMBER	TITLE	DISPOSITION	DISPOSITION AUTHORITY
FV-147-CS	Certificate of Quality and Condition (Processed Produces) Quality Assurance	3 years	NC1 136-80-1 Item 24 [7230a]
FV-148	Quality Assurance Verification Report	3 years	NC1 136-80-1 Item 24 [7230a]
FV-149	Certificate of Quality and Condition (Processed Foods) (Continuous Inspection)	3 years	NC1 136-80-1 Item 24 [7230a]
FV-149-CF	Certificate of Quality and Condition (Processed Foods) (Continuous Inspection)	3 years	NC1 136-80-1 Item 24 [7230a]
FV-149-CS	Certificate of Quality and Condition (Processed Foods) (Continuous Inspection)	3 years	NC1 136-80-1 Item 24 [7230a]
FV-159	Application for Inspection of Unofficially Submitted Samples of Processed Food Products	3 years	NC1 136-80-1 Item 24 [7230a]
FV-183	Statement of Fees or Charges	6 years and 3 months	GRS 6, Item 1a [4110a]
FV-184	Federal-State Inspection Certificate	3 years	NC1 136-80-1 Item 24 [7230a]
FV-184-7	Almond Inspection Certificate	3 years	NC1 136-80-1 Item 24 [7230a]
FV-184-9	Inspection Certificate (Peanuts)	3 years	NC1 136-80-1 Item 24 [7230a]
FV-184-9A	Inspection Certificate (Peanuts)	3 years	NC1 136-80-1 Item 24 [7230a]
FV-184-9A-1	Milled Peanut Inspection Certificate	3 years	NC1 136-80-1 Item 24 [7230a]
FV-184-12	Transfer Clearance Certificate (Peanut)	3 years	NC1 136-80-1 Item 24 [7230a]
FV-184-13	Federal-State Inspection Notesheet	3 years	NC1 136-80-1 Item 24 [7230a]
FV-187	Notice of Sampling (For Grade or Chemical Analysis)	3 years	NC1 136-80-1 Item 24 [7230a]
FV-188	Prune Form No. 1 (Entry Declaration)	3 years	NC1 136-80-1 Item 22b [7210b]

FRUIT AND VEGETABLE DIVISION (FV)

FORM NUMBER	TITLE	DISPOSITION	DISPOSITION AUTHORITY
FV-189	Prune Form No. 2 (Certification of Processor or Reseller)	3 years	NC1 136-80-1 Item 22b [7210b]
FV-190	Date Examination Report	3 years	NC1 136-80-1 Item 24 [7230a]
FV-191	Date Form No. 1 (Entry Declaration)	3 years	NC1 136-80-1 Item 22b [7210b]
FV-192	Date Form No. 2 (Certification of Processor or Reseller)	3 years	NC1 136-80-1 Item 22b [7210b]
FV-195	Inspection Certificate/Canner's Report of Fresh Citrus Receipts	3 years	NC1 136-80-1 Item 24 [7230a]
FV-197	Raisin Form No. 1 (Entry Declaration)	3 years	NC1 136-80-1 Item 22b [7210b]
FV-198	Raisin Form No. 2 (Certification of Processor or Reseller)	3 years	NC1 136-80-1 Item 22b [7210b]
FV-200	Authorization Card	5 years	NC1 136-79-1 Item 15a [6100a]
FV-201	Authorization Card for Inspection of Interstate/Intrastate Shipments	5 years	NC1 136-79-1 Item 15a [6100a]
FV-202	Application for Interstate/Intrastate Commerce Inspector's License	5 years	NC1 136-79-1 Item 15a [6100a]
FV-204	Preliminary Inspection Report	3 years	NC1 136-80-1 Item 24 [7230a]
FV-205	Memorandum of Inspection for Canadian Destinations	3 years	NC1 136-80-1 Item 24 [7230a]
FV-206	Shipping Clearance Report	3 years	NC1 136-80-1 Item 24 [7230a]
FV-206-6	California Shipping Clearance Report	3 years	NC1 136-80-1 Item 24 [7230a]
FV-207	Export Form Certification for Non-Canadian Destination	3 years	NC1 136-80-1 Item 24 [7230a]

FRUIT AND VEGETABLE DIVISION (FV)

FORM NUMBER	TITLE	DISPOSITION	DISPOSITION AUTHORITY
FV-211	Application for License - PACA	5 years	NC1 136-80-1 Items 4a & 4b/ NC1 136-79-1, Item 15a [7060 / 6100a]
FV-213	Services Rendered to Other Fruit and Vegetable Division Branches	6 years and 3 months	GRS 6, Item 1a [4110a]
FV-214	Collaborator Services Rendered to Federal Markets	6 years and 3 months	GRS 6, Item 1a [4110a]
FV-218R	Federal-State Cooperative Agreement Monthly Financial Report	6 years and 3 months	GRS 6, Item 1a [4110a]
FV-227	Reparation Complaint Action--PACA	2 years	NC1 136-80-1 Items 3b(1) & 3b(2) [7020b]
FV-228	Disciplinary Action--PACA	5 years	NC1 136-80-1 Items 3c(1) & 3c(2) [7030c]
FV-230-1	Time Sheet for In-Plant Inspection	3 years	NC1 136-80-1 Item 24 [7230a]
FV-231	License Certificate Issued Under PACA	3 years	NC1 136-80-1 Item 9 [7090]
FV-231-1	PACA License Renewal Application	3 years	NC1 136-80-1 Item 9 [7090]
FV-234	Notice of Correction	3 years	NC1 136-80-1 Item 24 [7230a]
FV-237	Record of Request for Inspection/Reinspection of Food Products	3 years	NC1 136-80-1 Item 24 [7230a]
FV-291-2	Federal-State Inspection Service Inspector's Notes (Potatoes)	3 years	NC1 136-80-1 Item 24 [7230a]
FV-291-3	Federal-State Inspection Service Inspector's Notes (Potatoes)	3 years	NC1 136-80-1 Item 24 [7230a]
FV-291-4	Federal-State Shipping Point Inspection Service Inspector's Notes (Potatoes)	3 years	NC1 136-80-1 Item 24 [7230a]
FV-291-5	Federal-State Notesheet Inspection Report	3 years	NC1 136-80-1 Item 24 [7230a]

FRUIT AND VEGETABLE DIVISION (FV)

FORM NUMBER	TITLE	DISPOSITION	DISPOSITION AUTHORITY
FV-291-5-1	Federal-State Notesheet Inspection Report (Continuation Notesheet)	3 years	NC1 136-80-1 Item 24 [7230a]
FV-291-6	Federal-State Notesheet Inspection Report	3 years	NC1 136-80-1 Item 24 [7230a]
FV-291-6-1	Federal-State Notesheet Inspection Report (Continuation Notesheet)	3 years	NC1 136-80-1 Item 24 [7230a]
FV-291-7	Federal-State Notesheet Inspection Report	3 years	NC1 136-80-1 Item 24 [7230a]
FV-291-7-1	Federal-State Notesheet Inspection Report (Continuation Sheet)	3 years	NC1 136-80-1 Item 24 [7230a]
FV-291-8	Federal-State Inspection Report	3 years	NC1 136-80-1 Item 24 [7230a]
FV-291-8-1	Federal-State Inspection Report (Continuation Sheet)	3 years	NC1 136-80-1 Item 24 [7230a]
FV-291-9	Federal-State Shipping Point Inspection Service Inspector's Notes (Potatoes)	3 years	NC1 136-80-1 Item 24 [7230a]
FV-292	Licensee's Application (Federal-State Inspection Service)	5 years	NC1 136-79-1 Item 15a [6100a]
FV-293	Licensee's Performance Rating	5 years	NC1 136-79-1 Item 15a [6100a]
FV-294	Report on Sanitary Inspection	3 years	NC1 136-80-1 Item 24 [7230a]
FV-297	Temporary Field Receipt	5 years	NC1 136-79-1 Item 15a [6100a]
FV-300	Inspection Certificate	3 years	NC1 136-80-1 Item 24 [7230a]
FV-300-N	Inspection Notesheet	3 years	NC1 136-80-1 Item 24 [7230a]
FV-301	Certificate of Miscellaneous Inspection Service	3 years	NC1 136-80-1 Item 24 [7230a]
FV-342	Checklist for Sampling/Checkloading or Condition of Container	3 years	NC1 136-83-2 Item 19 [9650]

FRUIT AND VEGETABLE DIVISION (FV)

FORM NUMBER	TITLE	DISPOSITION	DISPOSITION AUTHORITY
FV-345	Summary of Terminal Market Inspections	3 years	NC1 136-79-1 Item 18c [6120c]
FV-346	Summary of Federal-State Inspections	3 years	NC1 136-79-1 Item 18c [6120c]
FV-356	Application for Inspection and Certificate of Sampling	3 years	NC1 136-80-1 Item 24 [7230a]
FV-358	Surety Bond	15 years after bond becomes inactive or after end of bond premium period	GRS 6, Items 6a(1) & a(2) [4160a(1) & a(2)]
FV-359	Monthly Report of Operations	3 years	NC1 136-79-1 Item 18c [6120c]
FV-359-1	Personnel Compensation and Travel Cost	6 years	GRS 9, Item 3a [2310-3a]
FV-360	Report of Interoffice Assignment	2 years	GRS 9, Item 4a [2310a]
FV-361	Licensed Sampler Training Program Record	5 years	NC1 136-79-1 Item 15a [6100a]
FV-364	Score Sheet for:	3 years	NC1 136-80-1 Item 24 [7230a]
FV-364-1	Score Sheet for Canned Apples	3 years	NC1 136-80-1 Item 24 [7230a]
FV-364-4	Score Sheet for Canned Applesauce	3 years	NC1 136-80-1 Item 24 [7230a]
FV-364-5	Score Sheet for Canned Apricots	3 years	NC1 136-80-1 Item 24 [7230a]
FV-364-8	Score Sheet for Canned Green and Wax Beans	3 years	NC1 136-80-1 Item 24 [7230a]
FV-364-10	Score Sheet for Canned Beets	3 years	NC1 136-80-1 Item 24 [7230a]
FV-364-11	Score Sheet for Canned Blackberries and Other Similar Berries	3 years	NC1 136-80-1 Item 24 [7230a]

FRUIT AND VEGETABLE DIVISION (FV)

FORM NUMBER	TITLE	DISPOSITION	DISPOSITION AUTHORITY
FV-364-12	Score Sheet for Canned Blueberries	3 years	NC1 136-80-1 Item 24 [7230a]
FV-364-13	Score Sheet for Canned Carrots	3 years	NC1 136-80-1 Item 24 [7230a]
FV-364-14	Score Sheet for Canned Red Tart Pitted Cherries	3 years	NC1 136-80-1 Item 24 [7230a]
FV-364-17	Score Sheet for Canned Cream Style Corn	3 years	NC1 136-80-1 Item 24 [7230a]
FV-364-18	Score Sheet for Canned Whole Kernel (Whole Grain) Corn	3 years	NC1 136-80-1 Item 24 [7230a]
FV-364-21	Score Sheet for Canned Fruit Cocktail	3 years	NC1 136-80-1 Item 24 [7230a]
FV-364-22	Score Sheet for Fruit Jelly	3 years	NC1 136-80-1 Item 24 [7230a]
FV-364-23	Score Sheet for Fruit Preserves (or Jams)	3 years	NC1 136-80-1 Item 24 [7230a]
FV-364-42	Score Sheet for Segmented, Chopped and Sliced Canned Ripe Olives	3 years	NC1 136-80-1 Item 24 [7230a]
FV-364-43	Score Sheet for Whole Canned Ripe Olives	3 years	NC1 136-80-1 Item 24 [7230a]
FV-364-46	Score Sheet for Canned Clingstone Peaches	3 years	NC1 136-80-1 Item 24 [7230a]
FVQ-364-47-1	Tally Sheet for Canned Freestone Peaches (Sample Unit Size-25 Whole)	3 years	NC1 136-80-1 Item 24 [7230a]
FV-364-47-2	Tally Sheet for Canned Freestone Peaches (Sample Unit Size-25 Halves)	3 years	NC1 136-80-1 Item 24 [7230a]
FV-364-47-3	Tally Sheet for Canned Freestone Peaches (Sample Unit Size-25 Quarters)	3 years	NC1 136-80-1 Item 24 [7230a]
FVQ-364-47-4	Tally Sheet for Canned Freestone Peaches (Sample Unit Size-50 Slices)	3 years	NC1 136-80-1 Item 24 [7230a]
FV-364-47-5	Tally Sheet for Canned Freestone Peaches (Sample Unit Size-100 Slices)	3 years	NC1 136-80-1 Item 24 [7230a]

FRUIT AND VEGETABLE DIVISION (FV)

FORM NUMBER	TITLE	DISPOSITION	DISPOSITION AUTHORITY
FV-364-47-6	Tally Sheet for Canned Freestone Peaches (Sample Unit Size-200 Grams) - Diced	3 years	NC1 136-80-1 Item 24 [7230a]
FV-364-47-7	Tally Sheet for Canned Freestone Peaches Halves and Pieces or Irregular Pieces	3 years	NC1 136-80-1 Item 24 [7230a]
FV-364-48	Score Sheet for Peanut Butter	3 years	NC1 136-80-1 Item 24 [7230a]
FV-364-49	Score Sheet for Canned Pears	3 years	NC1 136-80-1 Item 24 [7230a]
FV-364-50	Score Sheet for Canned Peas	3 years	NC1 136-80-1 Item 24 [7230a]
FVQ-364-52	Score Sheet for Pickles	3 years	NC1 136-80-1 Item 24 [7230a]
FV-364-56	Score Sheet for Canned Plums	3 years	NC1 136-80-1 Item 24 [7230a]
FV-364-67	Score Sheet for Canned Sweet Potatoes	3 years	NC1 136-80-1 Item 24 [7230a]
FV-364-70	Score Sheet for Canned Tomatoes/ Stewed Tomatoes	3 years	NC1 136-80-1 Item 24 [7230a]
FV-364-71	Score Sheet for Tomato Catsup	3 years	NC1 136-80-1 Item 24 [7230a]
FV-364-72	Score Sheet for Tomato Juice	3 years	NC1 136-80-1 Item 24 [7230a]
FV-364-73	Score Sheet for Tomato Paste/Canned Tomato Puree (Tomato Pulp)	3 years	NC1 136-80-1 Item 24 [7230a]
FV-364-79	Score Sheet for Dried Figs	3 years	NC1 136-80-1 Item 24 [7230a]
FV-364-84	Score Sheet for Frozen Apples	3 years	NC1 136-80-1 Item 24 [7230a]
FV-364-86	Score Sheet for Frozen Asparagus	3 years	NC1 136-80-1 Item 24 [7230a]
FV-364-87	Score Sheet for Frozen Lima Beans	3 years	NC1 136-80-1 Item 24 [7230a]

FRUIT AND VEGETABLE DIVISION (FV)

FORM NUMBER	TITLE	DISPOSITION	DISPOSITION AUTHORITY
FVQ-364-89	Score Sheet for Frozen Berries	3 years	NC1 136-80-1 Item 24 [7230a]
FVQ-364-90	Score Sheet for Frozen Blueberries	3 years	NC1 136-80-1 Item 24 [7230a]
FV-364-92	Tally Sheet for Frozen Brussels Sprouts	3 years	NC1 136-80-1 Item 24 [7230a]
FV-364-93	Score Sheet for Frozen Carrots	3 years	NC1 136-80-1 Item 24 [7230a]
FV-364-94	Score Sheet for Frozen Cauliflower	3 years	NC1 136-80-1 Item 24 [7230a]
FV-364-95	Score Sheet for Frozen Red Tart Pitted Cherries	3 years	NC1 136-80-1 Item 24 [7230a]
FV-364-97	Score Sheet for Frozen Corn-on-the-Cob	3 years	NC1 136-80-1 Item 24 [7230a]
FV-364-98	Score Sheet for Frozen Whole Kernel (or Whole Grain) Corn	3 years	NC1 136-80-1 Item 24 [7230a]
FV-364-103	Score Sheet for Frozen Mixed Vegetables	3 years	NC1 136-80-1 Item 24 [7230a]
FV-364-105	Score Sheet for Frozen Concentrated Orange Juice/Reduced Acid Frozen Orange Juice	3 years	NC1 136-80-1 Item 24 [7230a]
FV-364-107	Score Sheet for Frozen Peas	3 years	NC1 136-80-1 Item 24 [7230a]
FV-364-108-1	Tally Sheet for Frozen Leafy Greens-Leaf Style	3 years	NC1 136-80-1 Item 24 [7230a]
FV-364-108-2	Tally Sheet for Frozen Leafy Greens-Chopped/Pureed	3 years	NC1 136-80-1 Item 24 [7230a]
FV-364-113	Score Sheet for Frozen Strawberries	3 years	NC1 136-80-1 Item 24 [7230a]
FV-364-118	Score Sheet for Tomato Sauce	3 years	NC1 136-80-1 Item 24 [7230a]
FV-364-120	Score Sheet for Concentrated Orange Juice for Manufacturing	3 years	NC1 136-80-1 Item 24 [7230a]

FRUIT AND VEGETABLE DIVISION (FV)

FORM NUMBER	TITLE	DISPOSITION	DISPOSITION AUTHORITY
FV-364-122	Score Sheet for Frozen French Fried Potatoes	3 years	NC1 136-80-1 Item 24 [7230a]
FV-364-123	Score Sheet for Frozen Peas and Carrots	3 years	NC1 136-80-1 Item 24 [7230a]
FV-364-125	Score Sheet for Concentrated Tangerine Juice for Manufacturing	3 years	NC1 136-80-1 Item 24 [7230a]
FV-364-154	Defect Tally Sheet for Frozen Asparagus	3 years	NC1 136-80-1 Item 24 [7230a]
FV-364-155	Defect Tally Sheet for Canned Leafy Greens	3 years	NC1 136-80-1 Item 24 [7230a]
FV-364-156	Defect Tally Sheet for Canned Spinach	3 years	NC1 136-80-1 Item 24 [7230a]
FV-364-160-1	Tally Sheet for Frozen Green and Wax Beans-(Cut, Short Cut and Mixed Styles)	3 years	NC1 136-80-1 Item 24 [7230a]
FV-364-160-2	Tally Sheet for Frozen Green and Wax Beans (Whole Style)	3 years	NC1 136-80-1 Item 24 [7230a]
FV-364-160-3	Tally Sheet for Frozen Green and Wax Beans (Sliced Lengthwise Style)	3 years	NC1 136-80-1 Item 24 [7230a]
FV-364-164-1	Tally Sheet for Frozen Broccoli-Pieces	3 years	NC1 136-80-1 Item 24 [7230a]
FV-364-164-2	Tally Sheet for Frozen Broccoli-Cut	3 years	NC1 136-80-1 Item 24 [7230a]
FV-364-164-3	Tally Sheet for Frozen Broccoli-Chopped	3 years	NC1 136-80-1 Item 24 [7230a]
FVQ-364-164-4	Tally Sheet for Frozen Broccoli-Short Spears	3 years	NC1 136-80-1 Item 24 [7230a]
FV-364-164-5	Tally Sheet for Frozen Broccoli-Spears	3 years	NC1 136-80-1 Item 24 [7230a]
FVQ-364-166	Defect Tally Sheet for Frozen Field Peas and Frozen Blackeyed Peas	3 years	NC1 136-80-1 Item 24 [7230a]
FV-364-167	Score Sheet for Processed Raisins	3 years	NC1 136-80-1 Item 24 [7230a]

FRUIT AND VEGETABLE DIVISION (FV)

FORM NUMBER	TITLE	DISPOSITION	DISPOSITION AUTHORITY
FV-365-1	Plant Survey/Followup	3 years	NC1 136-80-1 Item 24 [7230a]
FV-366	Basic Level Training Program Record	5 years or when S/O, whichever is sooner	GRS 1, Item 29b [3280b]
FV-370	Application and Contract of Agreement for Pack Certification Service	3 years after termination of agreement	NC1 136-83-2 Item 7b [6170b]
FV-374	Canned Ripe Olive Size Worksheet	3 years	NC1 136-80-1 Item 24 [7230a]
FV-375	In-Line Score Sheet for Segmented, Chopped and Sliced Olives	3 years	NC1 136-80-1 Item 24 [7230a]
FV-376	In-Line Score Sheet for Canned Ripe Olives	3 years	NC1 136-80-1 Item 24 [7230a]
FV-390	Application and Contract of Agreement for Continuous Inspection Service	3 years after termination of agreement	NC1 136-83-2 Item 7b [6170b]
FV-391	Application and Contract of Agreement for Continuous Inspection Service (Florida)	3 years after termination of agreement	NC1 136-83-2 Item 7b [6170b]
FV-394	Market News Station Report	20 years	NC1 136-79-1 Item 29a [9080]
FV-397	Preliminary Inspection Report	3 years	NC1 136-80-1 Item 24 [7230a]
FV-405	Coffee Inspection Record	3 years	NC1 136-80-1 Item 24 [7230a]
FV-416	Daily Inspection Report	3 years	NC1 136-80-1 Item 24 [7230a]
FV-416A	Daily Inspection Report (Florida Citrus)	3 years	NC1 136-80-1 Item 24 [7230a]
FV-416-1	Sanitation Score Sheet for Canned Food Processing Plants	3 years	NC1 136-80-1 Item 24 [7230a]
FV-416-2	Sanitation Score Sheet for Frozen Processing Plants	3 years	NC1 136-80-1 Item 24 [7230a]

FRUIT AND VEGETABLE DIVISION (FV)

FORM NUMBER	TITLE	DISPOSITION	DISPOSITION AUTHORITY
FV-416-3	Sanitation Score Sheet for Citrus Food Processing Plants	3 years	NC1 136-80-1 Item 24 [7230a]
FV-416-5	Sanitation Score Sheet for Processing Plants (Continuation Sheet)	3 years	NC1 136-80-1 Item 24 [7230a]
FV-416-6	Sanitation Score Sheet for Canned Olive Plants	3 years	NC1 136-80-1 Item 24 [7230a]
FV-416-7	Sanitation Score Sheet for Raisin Processing Plant	3 years	NC1 136-80-1 Item 24 [7230a]
FV-416-8	Sanitation Score Sheet for Raisin Dehydrators	3 years	NC1 136-80-1 Item 24 [7230a]
FV-419	Certificate of Loading	3 years	NC1 136-83-2 Item 19 [9650]
FV-419-1	Certificate of Loading	3 years	NC1 136-83-2 Item 19 [9650]
FV-420	Loading Report	3 years	NC1 136-83-2 Item 19 [9650]
FV-425	Report of Regulatory Agency Inspection	3 years	NC1 136-80-1 Item 24 [7230a]
FV-432	Inspection Certificate for Processing Plants (Florida)	3 years	NC1 136-80-1 Item 24 [7230a]
FV-433	Fee/Charge Document-Lot and Miscellaneous	6 years and 3 months	GRS 6, Item 1a [4110a]
FV-433-A	Fee/Charge Document-Lot and Miscellaneous (Worksheet)	6 years and 3 months	GRS 6, Item 1a [4110a]
FV-434	Fee/Charge Document In-Plant Inspection	6 years and 3 months	GRS 6, Item 1a [4110a]
FV-434-A	Fee/Charge Document-In-Plant Inspection (Worksheet)	6 years and 3 months	GRS 6, Item 1a [4110a]
FV-435	Fee/Charge Document Raisin Inspection	6 years and 3 months	GRS 6, Item 1a [4110a]
FV-435-A	Worksheet for Fee/Charge Document Raisin Inspection	6 years and 3 months	GRS 6, Item 1a [4110a]

FRUIT AND VEGETABLE DIVISION (FV)

FORM NUMBER	TITLE	DISPOSITION	DISPOSITION AUTHORITY
FV-468	Application for License to Sample Processed Foods	5 years	NC1 136-79-1 Item 15a [6100a]
FV-489	Memorandum Report of Inspection for Processed Raisins	3 years	NC1 136-80-1 Item 24 [7230a]
FV-490	Memorandum Report of Inspection for Unprocessed (Natural Condition) Raisins	3 years	NC1 136-80-1 Item 24 [7230a]
FV-494	Memorandum Report of Inspection for Imported Dates (White)	3 years	NC1 136-80-1 Item 24 [7230a]
FV-498-1	Weekly Report of Berries Received for Processing (Form Letter)	2 years	NC1 136-79-1 Item 24a [9030a]
FV-498-2	Weekly Report of Asparagus and Berries Received for Processing (Form Letter)	2 years	NC1 136-79-1 Item 24a [9030a]
FV-502A	Evaluation of Inspection Performance	3 years	NC1 136-79-1 Item 1b [6000b]
FV-502B	Evaluation of Inspection Performance (Continued)	3 years	NC1 136-79-1 Item 1b [6000b]
FV-503	Package Award Candidates, Fiscal Year 19--	3 years	NC1 136-79-1 Item 1b [6000b]
FV-635	Unit Load Inspection Record and Report	3 years	NC1 136-80-1 Item 24 [7230a]
FVQ-636	Notice to Update, Revise, Correct	3 years	NC1 136-80-1 Item 24 [7230a]
FV-637	Laboratory Sample Submittal Sheet	3 years	NC1 136-80-1 Item 24 [7230a]
FV-638	Summary	6 years and 3 months	GRS 6, Item 1a [4110a]

LIVESTOCK & SEED DIVISION (LS)

FORM NUMBER	TITLE	DISPOSITION	DISPOSITION AUTHORITY
LPGS-1	Application for Livestock Acceptance Service	Permanent ³	NC1 136-79-1 Items 89a & 89b [7300]
LS-2	Market News Field Office Activities	Permanent ³	NC1 136-79-1 Items 89a & 89b [7300]
LS-5-3	Agriculture Product Certificate	Disposition is not authorized. Retain until further notice.	Unscheduled
LS-5-4	Grading Worksheet	Disposition is not authorized. Retain until further notice.	Unscheduled
LS-5-5	Applicant Charges	Disposition is not authorized. Retain until further notice.	Unscheduled
LS-5-6	Live Animal/Carcass Certification	Disposition is not authorized. Retain until further notice.	Unscheduled
LS-7	National Livestock Grading and Marketing Association	Disposition is not authorized. Retain until further notice.	Unscheduled
LPGS-9	Livestock Acceptance Certificate	Permanent ³	NC1 136-79-1 Items 89a & 89b [7300]
LS-9-1	Livestock Acceptance Certificate	Permanent ³	NC1 136-79-1 Items 89a & 89b [7300]
LS-10	USDA Product Control	Disposition is not authorized. Retain until further notice.	Unscheduled
LMGS-14	Report of Seed Identification	3 years	NC1 136-79-1 Item 92a [7330a]

LIVESTOCK & SEED DIVISION (LS)

FORM NUMBER	TITLE	DISPOSITION	DISPOSITION AUTHORITY
LS-16	Production Record	Disposition is not authorized. Retain until further notice.	Unscheduled
LS-18	Grader's Work Performance Evaluation	Disposition is not authorized. Retain until further notice.	Unscheduled
LS-19	Performance Appraisal Record	Disposition is not authorized. Retain until further notice.	Unscheduled
LS-20	Performance Appraisal Recap	Disposition is not authorized. Retain until further notice.	Unscheduled
LS-22	Reference Chart-Standards for Carcass Beef	Disposition is not authorized. Retain until further notice.	Unscheduled
LS-25	Application for Certification of Organization or Association	Disposition is not authorized. Retain until further notice.	Unscheduled
LS-26	Nomination of Cattle Producers for Appointment to Cattlemen's Beef Promotion and Research Board	Permanent ³	NC1 136-79-1 Items 89a & 89b [7300]
LS-26-1	Nomination of Importers for Appointment to the Beef Promotion and Research Board	Permanent ³	NC1 136-79-1 Items 89a & 89b [7300]
LS-28	Statement of Certification (Beef Promotion and Research Act of 1985)	Permanent ³	NC1 136-79-1 Items 89a & 89b [7300]
LS-29	Slaughter Barrow and Gilt Evaluation	Permanent ³	NC1 136-79-1 Items 89a & 89b [7300]
LS-30	Feeder Cattle Evaluation	Permanent ³	NC1 136-79-1 Items 89a & 89b [7300]

LIVESTOCK & SEED DIVISION (LS)

FORM NUMBER	TITLE	DISPOSITION	DISPOSITION AUTHORITY
LS-31	Feeder Pig Evaluation	Permanent ³	NC1 136-79-1 Items 89a & 89b [7300]
LS-32	Vealer and Slaughter Calf Evaluation	Permanent ³	NC1 136-79-1 Items 89a & 89b [7300]
LS-33	Slaughter Lamb Evaluation	Permanent ³	NC1 136-79-1 Items 89a & 89b [7300]
LS-34	Dairy Breeding Cattle (Females)	Permanent ³	NC1 136-79-1 Items 89a & 89b [7300]
LS-35	Nomination of Pork Producers for Election and Appointment to the National Pork Producers Consumer Delegate Body	Permanent ³	NC1 136-79-1 Items 89a & 89b [7300]
LS-41	Assignment to Temporary Duty Station	Disposition is not authorized. Retain until further notice.	Unscheduled
LS-44	USDA Donated Meat Product Production Information	Disposition is not authorized. Retain until further notice.	Unscheduled
LS-45R	Nomination of Soybean Products for Appointment to Soybean Board	Permanent ³	NC1 136-79-1 Items 89a & 89b [7300]
LS-49	Referendum on Soybean Promotion and Research Order	Permanent ³	NC1 136-79-1 Items 89a & 89b [7300]
LS-49-1	Soybean Ballot Envelope	Permanent ³	NC1 136-79-1 Items 89a & 89b [7300]
LS-49-2	Referendum Registration Envelope	Permanent ³	NC1 136-79-1 Items 89a & 89b [7300]
LS-49-3	Referendum on the Soybean Promotion & Research Order Voter Registration List	Permanent ³	NC1 136-79-1 Items 89a & 89b [7300]
LS-50	Referendum on the Soybean Promotion and Research Order Absentee Voting	Permanent ³	NC1 136-79-1 Items 89a & 89b [7300]
LS-50-1	Soybean Referendum Envelope	Permanent ³	NC1 136-79-1 Items 89a & 89b [7300]

LIVESTOCK & SEED DIVISION (LS)

FORM NUMBER	TITLE	DISPOSITION	DISPOSITION AUTHORITY
LS-50-2	Referendum on the Soybean Promotion and Research Order Absentee Voter List	Permanent ³	NC1 136-79-1 Items 89a & 89b [7300]
LS-57	Daily Assignments Call Sheet	Disposition is not authorized. Retain until further notice.	Unscheduled
LS-58	Employee Work Report and T&A	Disposition is not authorized. Retain until further notice.	Unscheduled
LS-105	Beef Carcass Worksheet	Disposition is not authorized. Retain until further notice.	Unscheduled
LS-106-2	Carcass Data Service Worksheet (Beef)	Disposition is not authorized. Retain until further notice.	Unscheduled
LS-107	Slaughter Cattle Evaluation	Permanent ³	NC1 136-79-1 Items 89a & 89b [7300]
LS-108	Sample Identification for Laboratory Analysis	Permanent ³	NC1 136-79-1 Items 89a & 89b [7300]
LS-110	Laboratory Sampling Form for Meat Products	Disposition is not authorized. Retain until further notice.	Unscheduled
LS-111	Pork Belly Worksheet	Disposition is not authorized. Retain until further notice.	Unscheduled
LS-112	Sample Identification for Laboratory Analysis	Disposition is not authorized. Retain until further notice.	Unscheduled

LIVESTOCK & SEED DIVISION (LS)

FORM NUMBER	TITLE	DISPOSITION	DISPOSITION AUTHORITY
LS-127	Inspection of Records (Under the Federal Seed Act) a. Where no action is taken. b. Where only a warning is issued.	a. 3 years b. 5 years	NC1 136-79-1 Item 95a [7360a] Item 95b [7360b]
LMGS-157	Application for Meat Grader's License	Disposition is not authorized. Retain until further notice.	Unscheduled
LS-182-1	Actual Auction Receipts of Livestock	Permanent ³	NC1 136-79-1 Items 89a & 89b [7300]
LS-214 (PGS. 1&2) (PGS. 3&4)	Livestock Detailed Quotations (Weekly)	Permanent ³	NC1 136-79-1 Items 89a & 89b [7300]
LMGS-233	Seed Analysis Card (White)	3 years or NAU	NC1 136-79-1 Item 92b [7330b]
LMGS-233A	Seed Analysis Card (Yellow)	3 years or NAU	NC1 136-79-1 Item 92b [7330b]
LS-256	Report of Meat Grading Equipment Transactions	Disposition is not authorized. Retain until further notice.	Unscheduled
LS-258	Application for Samples Representative of the Official Wool Top Standards (Form Letter)	Permanent ³	NC1 136-79-1 Items 89a & 89b [7300]
LS-259	Application for Samples Representative of the Official Wool Standards (Form Letter)	Permanent ³	NC1 136-79-1 Items 89a & 89b [7300]
LS-260	Application for Samples Representative of the Official Grease Mohair Standards (Form Letter)	Permanent ³	NC1 136-79-1 Items 89a & 89b [7300]
LS-261	Samples Representative of the Official Standards of the U.S. for Grades of Grease Mohair	Permanent ³	NC1 136-79-1 Items 89a & 89b [7300]
LS-262	Application for Samples Representative of the Official Mohair Top Standards (Form Letter)	Permanent ³	NC1 136-79-1 Items 89a & 89b [7300]

LIVESTOCK & SEED DIVISION (LS)

FORM NUMBER	TITLE	DISPOSITION	DISPOSITION AUTHORITY
LS-263	Samples Representative of the Official Standards of the U.S. for Grades of Mohair Top	Permanent ³	NC1 136-79-1 Items 89a & 89b [7300]
LS-264	Samples Representative of the Official Standards of the U.S. for Grades of Mohair Top	Permanent ³	NC1 136-79-1 Items 89a & 89b [7300]
LS-270	Samples Representative of the Official Standards of the U.S. for Grades of Wool Top	Permanent ³	NC1 136-79-1 Items 89a & 89b [7300]
LS-270-1	Samples Representative of the Official Standards of the U.S. for Grades of Wool Top	Permanent ³	NC1 136-79-1 Items 89a & 89b [7300]
LS-274	Sample Representative of the Official Standards of the U.S. for Grades of Wool	Permanent ³	NC1 136-79-1 Items 89a & 89b [7300]
LS-274-1	Sample Representative of the Official Standards of the U.S. for Grades of Wool	Permanent ³	NC1 136-79-1 Items 89a & 89b [7300]
LS-274-2	Sample Representative of the Official Standards of the U.S. for Grades of Mohair	Permanent ³	NC1 136-79-1 Items 89a & 89b [7300]
LS-313	Application for Meat Grading or Certification Service	Disposition is not authorized. Retain until further notice.	Unscheduled
LS-315	Application for Commitment Grading Service or Certification Service	Disposition is not authorized. Retain until further notice.	Unscheduled
LS-317	Notification of Removal of Samples	Disposition is not authorized. Retain until further notice.	Unscheduled
LS-326	Beef Grading Correlation	Disposition is not authorized. Retain until further notice.	Unscheduled

LIVESTOCK & SEED DIVISION (LS)

FORM NUMBER	TITLE	DISPOSITION	DISPOSITION AUTHORITY
LS-328	Lamb Grading Correlation	Disposition is not authorized. Retain until further notice.	Unscheduled
LS-368	Report of Investigation a. Where no action is taken. b. Where only a warning is issued.	a. 3 years b. 5 years	NC1 136-79-1 Item 95a [7360a] Item 95b [7360b]
GR-371	Summary of Facts and Evidence a. Where no action is taken. b. Where only a warning is issued.	a. 3 years b. 5 years	NC1 136-79-1 Item 95a [7360a] Item 95b [7360b]
LS-375	Seed Analysis Certificate	5 years	NC1 136-79-1 Item 91 [7320]

POULTRY DIVISION (PY)

FORM NUMBER	TITLE	DISPOSITION	DISPOSITION AUTHORITY
PY-31	Control Sheet for Grading Service Application	1 year after service is terminated	NC1 136-83-2 Item 27a [7560a]
PY-32	Application for Service	1 year after service is terminated	NC1 136-83-2 Item 27a [7560a]
PY-33	Application for Specification Approval	1 year after close of FY in which was terminated or becomes obsolete	NC1 136-83-2 Item 42a [7710a]
PY-38	Application for Off-Premise Freezing of Egg Products	1 year after service is terminated	NC1 136-83-2 Item 27a [7560a]
PY-75	Shell Egg Online Candling Record (10% Checks)	1 year	NC1 136-83-2 Item 30c [7590c]
PY-75A	Shell Egg Online Candling Record (8% Checks)	1 year	NC1 136-83-2 Item 30c [7590c]
PY-75-1	Shell Egg Online Candling Record Worksheet	1 year	NC1 136-83-2 Item 30c [7590c]
PY-76	Shell Egg Surveillance Cost Report Quarterly	6 years and 3 months	NC1 136-83-2 Item 24 [7530]
PY-100	Work Schedule Request - Mandatory Inspection Service - Voluntary Grading Service	1 year after service is terminated	NC1 136-83-2 Item 27a [7560a]
PY-101	Report of Grading Services Rendered	6 years	GRS 2, Item 7 [3620]
PY-101-1	Report of Grading Services Rendered	6 years and 3 months	NC1 136-83-2 Item 24 [7530]
PY-101A	Work Report Continuation Sheet	6 years	GRS 2, Item 7 [3620]
PY-102	Grading Branch Worksheet for Voluntary Resident Service or Mandatory Resident Service	6 years and 3 months	NC1 136-83-2 Item 24 [7530]

POULTRY DIVISION (PY)

FORM NUMBER	TITLE	DISPOSITION	DISPOSITION AUTHORITY
PY-110	Packaging Defects Worksheet	1 year	NC1 136-83-2 Item 30d [7590d]
PY-140	Plant Survey for Poultry Grading	1 year after service is terminated	NC1 136-83-2 Item 27a [7560a]
PY-154	Nondenatured Inedible Egg Product Inventory and Shipping Record	6 months	NC1 136-83-2 Item 30e [7590e]
PY-155	Registration of Shell Egg Handlers	1 year after firm deregistered	NC1 136-83-2 Item 29a(1) [7580a(1)]
PY-155-1	Registration Record of Shell Egg Handlers	Retain until superseded or obsolete - indefinite.	NC1 136-83-2 Item 29a(2)
PY-156	Shell Egg Regulatory Inspection Report a. Paper/Record Copy-National Office b. Microfilmed Record Copy c. Violation Report Copy-Regional d. Other Copies-State Offices & Plants	a. 4 years b. 4 years c. 2 years d. 1 year	NC1 136-83-2 Item 29b(1)(a) Item 29b(1)(b) Item 29b(2) Item 29b(3) [7580b]
PY-157	Application for License	1 year after license terminates	NC1 136-83-2 Item 35a [7640a]
PY-158	Shell Egg Plant Survey	1 year after service is terminated	NC1 136-83-2 Item 27a [7560a]
PY-159	Report of Egg Drying Operations	1 year	NC1 136-83-2 Item 30b [7590b]
PY-171	Claim for Reimbursement for Services of Cooperating Agency Employees	6 years and 3 months	NC1 136-83-2 Item 24 [7530]
PY-171-1	Supplement to Claim for Services of Cooperating Agency Employees	6 years and 3 months	NC1 136-83-2 Item 24 [7530]
PY-179	Record of Grader, Inspector, and/or License Cards	1 year after license terminates	NC1 136-83-2 Item 35b [7640b]

POULTRY DIVISION (PY)

FORM NUMBER	TITLE	DISPOSITION	DISPOSITION AUTHORITY
PY-185	Consignment, Receipt, and Disposition a. When consigned to PY-200 or PY-210 for resident grading purposes (plant level). b. When consigned to a PY-209 (plant level). c. When consigned by Regional or Federal-State office.	a. 1 year b. 3 years c. 3 years	a. NC1 136-94-2 Item 1 [7550] b. NC1 136-83-2 Item 21b [7500] c. NC1 136-83-2 Item 21b [7500]
PY-200	Egg Products Inspection and Grading Certificate a. When performing fee grading. b. When performing resident grading. c. When performing environmental testing.	a. 6 years and 3 months b. 3 years c. 1 year	a. NC1 136-83-2 Item 24 [7530] b. NC1 136-83-2 Item 21b [7500] c. NC1 136-94-2 Item 1 [7550]
PY-200A	Egg Products Inspection and Grading Certificate (Copy) a. When performing fee grading. b. When performing resident grading.	a. 6 years and 3 months b. 3 years	a. NC1 136-83-2 Item 24 [7530] b. NC1 136-83-2 Item 21b [7500]
PY-202	Official Inspection Certificate for Egg Products	3 years	NC1 136-83-2 Item 36a [7650]
PY-203	Daily Report of Plant Operation (Egg Products)	1 year	NC1 136-83-2 Item 30b [7590b]
PY-209	Reprocessing Production Certificate a. When performing fee grading. b. When performing resident grading.	a. 6 years and 3 months b. 3 years	a. NC1 136-83-2 Item 24 [7530] b. NC1 136-83-2 Item 21b [7500]
PY-210	Poultry Products Grading Certificate a. When performing fee grading. b. When performing resident grading.	a. 6 years and 3 months b. 1 year	a. NC1 136-83-2 Item 24 [7530] b. N1 136-94-2 Item 1 [7550]
PY-210A	Poultry Products Grading Certificate (Copy) a. When performing fee grading. b. When performing resident grading.	a. 6 years and 3 months b. 1 year	a. NC1 136-83-2 Item 24 [7530] b. N1 136-94-2 Item 1 [7550]

POULTRY DIVISION (PY)

FORM NUMBER	TITLE	DISPOSITION	DISPOSITION AUTHORITY
PY-211	Poultry Products Grading Memorandum a. When performing fee grading. b. When performing resident grading.	a. 6 years and 3 months b. 1 year	a. NC1 136-83-2 Item 24 [7530] b. N1 136-94-2 Item 1 [7550]
PY-214	Inspection of Egg Products Plant	3 years	NC1 136-83-2 Item 30a [7590a]
PY-221	Label Notice	1 year after label became inactive or microfilmed	NC1 136-83-2 Item 34a(1) [7630a1]
PY-222	Import Request (Eggs and Egg Products)	3 years	NC1 136-83-2 Item 36a [7650]
PY-227	Employee's Performance Record	3 years	NC1 136-83-2 Item 31 [7600]
PY-232	Poultry Grading Record	1 year	NC1 136-83-2 Item 30c [7590c]
PY-235	Egg Products Grading Weekly Report	6 months	NC1 136-83-2 Item 30e [7590e]
PY-237	Poultry Grade Yield Report	6 months	NC1 136-83-2 Item 30e [7590e]
PY-238	Grading Stamp Control Record	6 months	NC1 136-83-2 Item 30e [7590e]
PY-240	Grading Volume Report (Poultry, Shell Eggs, Egg Products)	6 years and 3 months	NC1 136-83-2 Item 24 [7530]
PY-301	Annual Performance Awards	2 years after approval or disapproval	GRS 1, Item 12a(1) [3110a(1)]
PY-518-1	Alleged Violation and Detention Notice	3 years	NC1 136-83-2 Item 22b(1) [7510b]
PY-518-2	Regional Report of Alleged Violations	10 years after list completion or NAU	NC1 136-83-2 Item 22c [7510c]
PY-518-3	Violation Record	10 years after list completion or NAU	NC1 136-83-2 Item 22c [7510c]

SCIENCE DIVISION (SD)

FORM NUMBER	TITLE	DISPOSITION	DISPOSITION AUTHORITY
SD-1	License (Cottonseed Chemist)	5 years	NC1 136-79-1 Item 15a [6100a]
SD-2	License (Peanut Chemist)	5 years	NC1 136-79-1 Item 15a [6100a]
CSSD-3	Certificate of Analysis for Official Samples	3 years	NC1 136-83-2 Item 38c [7670c]
CSSD-3A	Certificate of Analysis for Official Sample	3 years	NC1 136-83-2 Item 38c [7670c]
SD-6	Certification (Trichinellae in Horsemeat)	5 years	NC1 136-79-1 Item 15a [6100a]
SD-7	Certificate of Recognition	5 years	NC1 136-79-1 Item 15a [6100a]
SD-10	Federal Pesticide Recordkeeping Program	3 months after return to issuing office	GRS 11, Item 4a [2500-3a]
SD-470	Application for Plant Variety Protection Certificate	⁴ Pending - 18 years	OLD - 17 years NC1 136-79-1 Item 93 [7340]
LS-470-1	Objective Description of Variety (Lettuce)	⁴ Pending - 18 years	OLD - 17 years NC1 136-79-1 Item 93 [7340]
LPGS-470-2	Objective Description of Variety (Soybean)	⁴ Pending - 18 years	OLD - 17 years NC1 136-79-1 Item 93 [7340]
LPGS-470-3	Objective Description of Variety (Agrotricum)	⁴ Pending - 18 years	OLD - 17 years NC1 136-79-1 Item 93 [7340]
LPGS-470-4	Objective Description of Variety (Cowpea)	⁴ Pending - 18 years	OLD - 17 years NC1 136-79-1 Item 93 [7340]
LPGS-470-5	Objective Description of Variety (Barley)	⁴ Pending - 18 years	OLD - 17 years NC1 136-79-1 Item 93 [7340]

SCIENCE DIVISION (SD)

FORM NUMBER	TITLE	DISPOSITION	DISPOSITION AUTHORITY
LMGS-470-6	Objective Description of Variety (Wheat)	⁴ Pending - 18 years	OLD - 17 years NC1 136-79-1 Item 93 [7340]
GR-470-7	Objective Description of Variety (China Aster)	⁴ Pending - 18 years	OLD - 17 years NC1 136-79-1 Item 93 [7340]
LS-470-8	Objective Description of Variety (Cotton)	⁴ Pending - 18 years	OLD - 17 years NC1 136-79-1 Item 93 [7340]
LPGS-470-9	Objective Description of Variety (Marigold)	⁴ Pending - 18 years	OLD - 17 years NC1 136-79-1 Item 93 [7340]
LPGS-470-10	Objective Description of Variety (Beet/Chard)	⁴ Pending - 18 years	OLD - 17 years NC1 136-79-1 Item 93 [7340]
GR-470-11	Objective Description of Variety (Calendula)	⁴ Pending - 18 years	OLD - 17 years NC1 136-79-1 Item 93 [7340]
LPGS-470-12	Objective Description of Variety (Bean)	⁴ Pending - 18 years	OLD - 17 years NC1 136-79-1 Item 93 [7340]
LPGD-470-13	Objective Description of Variety (California Poppy)	⁴ Pending - 18 years	OLD - 17 years NC1 136-79-1 Item 93 [7340]
LMGS-470-14	Objective Description of Variety (Pea)	⁴ Pending - 18 years	OLD - 17 years NC1 136-79-1 Item 93 [7340]
LPGS-470-15	Objective Description of Variety (Lima Bean)	⁴ Pending - 18 years	OLD - 17 years NC1 136-79-1 Item 93 [7340]
LPGS-470-16	Objective Description of Variety (Onions)	⁴ Pending - 18 years	OLD - 17 years NC1 136-79-1 Item 93 [7340]
LS-470-17	Objective Description of Variety (Rice)	⁴ Pending - 18 years	OLD - 17 years NC1 136-79-1 Item 93 [7340]

SCIENCE DIVISION (SD)

FORM NUMBER	TITLE	DISPOSITION	DISPOSITION AUTHORITY
LPGS-470-19	Objective Description of Variety (Watermelon)	⁴ Pending - 18 years	OLD - 17 years NC1 136-79-1 Item 93 [7340]
LPGS-470-20	Objective Description of Variety (Pumpkin/Squash/Gourd)	⁴ Pending - 18 years	OLD - 17 years NC1 136-79-1 Item 93 [7340]
LPGS-470-21	Objective Description of Variety (Zinnia)	⁴ Pending - 18 years	OLD - 17 years NC1 136-79-1 Item 93 [7340]
LPGS-470-22	Objective Description of Variety (Safflower)	⁴ Pending - 18 years	OLD - 17 years NC1 136-79-1 Item 93 [7340]
GR-470-23	Objective Description of Variety (Verbena)	⁴ Pending - 18 years	OLD - 17 years NC1 136-79-1 Item 93 [7340]
GR-470-24	Objective Description of Variety (Dahlia)	⁴ Pending - 18 years	OLD - 17 years NC1 136-79-1 Item 93 [7340]
GR-470-25	Objective Description of Variety (Sweetpea)	⁴ Pending - 18 years	OLD - 17 years NC1 136-79-1 Item 93 [7340]
GR-470-26	Objective Description of Variety (Snapdragon)	⁴ Pending - 18 years	OLD - 17 years NC1 136-79-1 Item 93 [7340]
GR-470-27	Objective Description of Variety (Nasturtium)	⁴ Pending - 18 years	OLD - 17 years NC1 136-79-1 Item 93 [7340]
LPGS-470-28	Objective Description of Variety (Corn)	⁴ Pending - 18 years	OLD - 17 years NC1 136-79-1 Item 93 [7340]
LPGS-470-29	Objective Description of Variety (Peanut)	⁴ Pending - 18 years	OLD - 17 years NC1 136-79-1 Item 93 [7340]
LS-470-31	Objective Description of Variety (Tobacco)	⁴ Pending - 18 years	OLD - 17 years NC1 136-79-1 Item 93 [7340]

SCIENCE DIVISION (SD)

FORM NUMBER	TITLE	DISPOSITION	DISPOSITION AUTHORITY
LS-470-32	Objective Description of Variety (Alfalfa)	⁴ Pending - 18 years	OLD - 17 years NC1 136-79-1 Item 93 [7340]
LMGS-470-33	Objective Description of Variety (Triticale)	⁴ Pending - 18 years	OLD - 17 years NC1 136-79-1 Item 93 [7340]
LPGS-470-34	Objective Description of Variety (Coleus)	⁴ Pending - 18 years	OLD - 17 years NC1 136-79-1 Item 93 [7340]
GR-470-35	Objective Description of Variety (Oat)	⁴ Pending - 18 years	OLD - 17 years NC1 136-79-1 Item 93 [7340]
LMGS-470-36	Objective Description of Cultivars Ryegrass	⁴ Pending - 18 years	OLD - 17 years NC1 136-79-1 Item 93 [7340]
LMGS-470-37	Objective Description of Variety (Fescue)	⁴ Pending - 18 years	OLD - 17 years NC1 136-79-1 Item 93 [7340]
LPGS-470-38	Objective Description of Variety (Muskmelon)	⁴ Pending - 18 years	OLD - 17 years NC1 136-79-1 Item 93 [7340]
LPGS-470-39	Objective Description of Variety (Eggplant)	⁴ Pending - 18 years	OLD - 17 years NC1 136-79-1 Item 93 [7340]
GR-470-40	Objective Description of Variety (Orchardgrass)	⁴ Pending - 18 years	OLD - 17 years NC1 136-79-1 Item 93 [7340]
LS-470-41	Objective Description of Variety (Rye)	⁴ Pending - 18 years	OLD - 17 years NC1 136-79-1 Item 93 [7340]
LPGS-470-42	Objective Description of Variety (Red Clover)	⁴ Pending - 18 years	OLD - 17 years NC1 136-79-1 Item 93 [7340]
LPGS-470-43	Objective Description of Variety (Radish)	⁴ Pending - 18 years	OLD - 17 years NC1 136-79-1 Item 93 [7340]

SCIENCE DIVISION (SD)

FORM NUMBER	TITLE	DISPOSITION	DISPOSITION AUTHORITY
LPGS-470-44	Objective Description of Variety (Broccoli)	⁴ Pending - 18 years	OLD - 17 years NC1 136-79-1 Item 93 [7340]
LPGS-470-45	Objective Description of Variety (Sunflower)	⁴ Pending - 18 years	OLD - 17 years NC1 136-79-1 Item 93 [7340]
LPGS-470-46	Objective Description of Variety (Trefoil)	⁴ Pending - 18 years	OLD - 17 years NC1 136-79-1 Item 93 [7340]
LPGS-470-47	Objective Description of Variety (Cabbage)	⁴ Pending - 18 years	OLD - 17 years NC1 136-79-1 Item 93 [7340]
LPGS-470-48	Objective Description of Variety (Flax)	⁴ Pending - 18 years	OLD - 17 years NC1 136-79-1 Item 93 [7340]
LPGS-470-49	Objective Description of Variety (Vetch)	⁴ Pending - 18 years	OLD - 17 years NC1 136-79-1 Item 93 [7340]
LPGS-470-50	Objective Description of Variety (Smooth Bromegrass)	⁴ Pending - 18 years	OLD - 17 years NC1 136-79-1 Item 93 [7340]
LMGS-470-51	Objective Description of Variety (Celery)	⁴ Pending - 18 years	OLD - 17 years NC1 136-79-1 Item 93 [7340]
LMGS-470-52	Objective Description of Variety (Endive)	⁴ Pending - 18 years	OLD - 17 years NC1 136-79-1 Item 93 [7340]
LMGS-470-53	Objective Description of Variety (Tall and Meadow Fescue)	⁴ Pending - 18 years	OLD - 17 years NC1 136-79-1 Item 93 [7340]
LMGS-470-54	Objective Description of Variety (Caper Spurge)	⁴ Pending - 18 years	OLD - 17 years NC1 136-79-1 Item 93 [7340]
LMGS-470-55	Objective Description of Variety (Tomato)	⁴ Pending - 18 years	OLD - 17 years NC1 136-79-1 Item 93 [7340]

SCIENCE DIVISION (SD)

FORM NUMBER	TITLE	DISPOSITION	DISPOSITION AUTHORITY
LMGS-470-56	Objective Description of Variety (Pepper)	⁴ Pending - 18 years	OLD - 17 years NC1 136-79-1 Item 93 [7340]
LMGS-470-59	Objective Description of Variety (Timothy)	⁴ Pending - 18 years	OLD - 17 years NC1 136-79-1 Item 93 [7340]
LMGS-470-60	Objective Description of Variety (Bluegrass)	⁴ Pending - 18 years	OLD - 17 years NC1 136-79-1 Item 93 [7340]
LS-470-61	Objective Description of Variety (Dry Edible Bean)	⁴ Pending - 18 years	OLD - 17 years NC1 136-79-1 Item 93 [7340]
SD-471	Objective Description of Variety (Sorghum)	⁴ Pending - 18 years	OLD - 17 years NC1 136-79-1 Item 93 [7340]
SD-472	Objective Description of Variety (Parsley)	⁴ Pending - 18 years	OLD - 17 years NC1 136-79-1 Item 93 [7340]
SD-473	Objective Description of Variety (Spruce)	⁴ Pending - 18 years	OLD - 17 years NC1 136-79-1 Item 93 [7340]
SD-474	Objective Description of Variety (Sainfoin)	⁴ Pending - 18 years	OLD - 17 years NC1 136-79-1 Item 93 [7340]
SD-475	Objective Description of Variety (Okra)	⁴ Pending - 18 years	OLD - 17 years NC1 136-79-1 Item 93 [7340]

TOBACCO DIVISION (TB)

FORM NUMBER	TITLE	DISPOSITION	DISPOSITION AUTHORITY
TB-1	Tobacco Compliance Auditor	3 months after return to issuing office	GRS 11, Item 4a [2500-3a]
TB-2	Performance Plan Appraisal Worksheet	3 years after date of appraisal	GRS 1, Item 23a(4) [3220-a4]
TB-3	Photo ID Card	3 months after return to issuing office	GRS 11, Item 4a [2500-3a]
TB-5	Gross Sales Record - Types 22 and 23	Disposition is not authorized. Retain until further notice.	Unscheduled
TB-26	Tobacco Stocks Report	5 years	NC1 136-79-1 Item 126 [8370]
TB-28R	Redrying and Stemming Yields as Percent of Original Farm-Sales-Weight	1 year	NC1 136-79-1 Item 122 [8330]
TB-31	Application for Permit to Export Tobacco Seed or Plants	3 years after certificate is issued, voided, or accounted for	NC1 136-79-1 Item 124 [8350]
TB-39	Quarterly Report of Manufacture and Sales of Snuff, Smoking, and Chewing Tobacco	5 years	NC1 136-79-1 Item 127 [8380]
TB-40	Special Hogshead Case Tobacco Inspection Certificate	2 years	NC1 136-79-1 Item 121 [8320]
TB-50	Inspection Service Invoice	Permanent ⁵	NC1 136-79-1 Item 120a [8310]
TB-55	Declaration of Financial Interest in Tobacco Farming and Warehouse Operations	6 years	GRS 1, Item 24b [3230b]
TB-78	Flue-Cured Sales by Warehouse	1 year	NC1 136-79-1 Item 122 [8330]
TB-78A	Flue-Cured Daily Warehouse Sales Summary	1 year	NC1 136-79-1 Item 122 [8330]

TOBACCO DIVISION (TB)

FORM NUMBER	TITLE	DISPOSITION	DISPOSITION AUTHORITY
TB-82	Tobacco Sample Tag	1 year	NC1 136-79-1 Item 122 [8330]
TB-84	Record of Lot Count and Sales by Warehouse	1 year	NC1 136-79-1 Item 122 [8330]
TB-86	Inspection Tag	1 year	NC1 136-79-1 Item 122 [8330]
TB-87	Imported Tobacco Pesticide Residue and End Users Certification	Permanent ⁵	NC1 136-79-1 Item 120a [8310]
TB-89	Imported Tobacco Pesticide Residue Analysis	Permanent ⁵	NC1 136-79-1 Item 120a [8310]
TB-91	Employee Assignment Notice	Review annually & destroy S/O documents; or destroy file relating to an employee within 1 year after separation or transfer	GRS 1, Item 18a [3170a]
TB-92	Import Tobacco Inspection Certificate	Permanent ⁵	NC1 136-79-1 Item 120a [8310]
TB-94	Pesticide Test Sample Removed Label	1 year	NC1 136-79-1 Item 122 [8330]
TB-95	Pesticide Test Sample Removed Tag	1 year	NC1 136-79-1 Item 122 [8330]
TB-96	USDA Controlled Label	1 year	NC1 136-79-1 Item 122 [8330]
TB-97	USDA Controlled Tag	1 year	NC1 136-79-1 Item 122 [8330]
TB-98	Burley Sales By Warehouse	1 year	NC1 136-79-1 Item 122 [8330]

Transportation & Marketing Forms Index
October 1995

TRANSPORTATION & MARKETING DIVISION (TMD)

FORM NUMBER	TITLE	DISPOSITION	DISPOSITION AUTHORITY
TMD-4	Food Facility Survey	10 years or NAU	NC1 136-81-1 Item 28 [8590]
TMD-5	Food Facility Survey (Cost Questionnaire)	10 years or NAU	NC1 136-81-1 Item 28 [8590]

Footnotes

¹ Cooperative Agreements as currently approved for AMS.

DESCRIPTION AND FILING INSTRUCTIONS	DISPOSITION	
	RECORD OFFICE	DISPOSITION AUTHORITY
<p>COOPERATIVE DOCUMENTS/AGREEMENTS - Filed by State and thereunder by program number.</p> <p>a. Cooperative Agreements and Memorandums of Understanding with other Federal agencies which are substantive or are of an exceptional or precedent nature.</p> <p>PERMANENT. Cut off files at the end of the FY/CY in which agreement terminates. Transfer to FRC 5 years after cutoff. Transfer to the National Archives 25 years after cutoff in 5 year blocks.</p> <p>b. Cooperative Agreements and Memorandums of Understanding which are nonsubstantive or of a routine nature. Filed by State and thereunder by number of agreement.</p> <p>c. Reimbursable Agreements (including related records) with other Federal agencies and with other public and private agencies.</p> <p>NOTE: Final reports, evaluations, summaries of results, etc., related to the accomplishment of the agreements described in a, b, and c above, see NC1 136-83-2, Item 11.</p> <p>d. Case files on activities of State Milk Control Agencies. These case files consist of copies of State and local agreements, such as State Milk Orders, Price Schedules, statistical and background information.</p> <p>e. Case files of agreements with transportation companies pertaining to their reporting to Market News Branch of the Fruit & Vegetable Division the rail movements on fruits and vegetables. Includes assigned line codes for reporting purposes.</p> <p>f. An agreement between USDA, in cooperation with the Cotton Division, and 14 foreign associations to establish universal standards for cotton. The purpose of this agreement is to facilitate and promote foreign commerce of cotton.</p> <p>PERMANENT. Cut off files at the end of the FY/CY in which agreement terminates. Transfer to FRC 5 years after cutoff. Transfer to the National Archives 25 years after cutoff in 5 year blocks.</p>	<p>Permanent</p> <p>3 years after termination of agreement</p> <p>3 years after termination of agreement</p> <p>S/O</p> <p>2 years after end of CY agreement terminated</p> <p>Permanent</p>	<p>NC1 136-83-2 Items 7a(1)</p> <p>NC1 136-83-2 Item 7b</p> <p>NC1 136-83-2 Item 7c</p> <p>NC1 136-83-2 Item 7d</p> <p>NC1 136-83-2 Item 7e</p> <p>NC1 136-83-2 Item 7f</p>

Footnotes (Continued)

²The following form's are obsolete: CN-7, CN-43, CN-48, and CN-94.

³PERMANENT. Cut off files at the end of the each FY. Transfer files to the FRC 5 years after cutoff. Transfer to the National Archives 15 years after cutoff.

⁴NC1 136-79-1, Item 93 [File Code 7340], Plant Variety Protection (PVP) Case Files. Disposition is *pending* until the change from 17 years to 18 years is approved through the National Archives. NOTE: Science Division forms in the 470 series (i.e., LS-470-1, LPGS-470-2, etc.) were transferred from the Livestock and Seed Division to the Science Division. As these forms are revised, they will have the prefix identification symbol "SD".

⁵PERMANENT. Cut off files at the end of each FY. Transfer to the FRC 10 years after cutoff. Transfer to the National Archives 20 years after cutoff.

Appendix D

Instructions for Preparing a File Plan

A file plan is created for the purpose of assisting someone in quickly locating the records that you maintain when you are not available. A file plan is not a listing of every document you maintain, but, rather is a listing of the major categories of the documentation on hand. It should be prepared in a manner that will facilitate the location of needed information by someone not familiar with the methods you use to maintain the records. It should contain as a minimum the following information:

1. Identify organizational component accumulating records.

For example: AMS, ERO, IMB, AMS Records Management Office

2. Identify the Location of the Records.

For example: Room 3929-S, Filing Cabinet #1, #2, etc.

3. Identify the contents of each drawer by using major headings.

For example:

Drawer #1 - Organization Management Records ('1000' record series),
and Civilian Personnel Records ('3000' record series)

1060 Administrative Issuances

Folders accumulating under the major heading should be listed on the plan the same way they are shown on the folder. For example:

- RMPDMS Comments on AMS Issuances/Directives

1120 Records Management Files

A major heading containing multiple folders could be sub-divided numerically. For example:

- 1120.1- Accession Number Master Lists (01 Listing from WNRC)
- 1120.2- Electronic Systems Management
- 1120.3- INFOTECH/MAP/FSVIS Committee
- 1120.4- Professional Associations/Meetings - QTR's 1-4
- 1120.5- Records Management General Correspondence
- 1120.6- Records Management Program/Projects:
 - 1120.6a Project #IMB-93-02
 - 1120.6b Project #IMB-94-07
- 1120.7- USDA ARMS AIR Team - General Correspondence

3280 Training Records

- Basic Records Management Training
- NARA Briefing for Program Managers

Reference Files - For Reference Only: Activity Reports, Reader Files

The contents of each drawer should be listed as outlined above.

Example of a File Plan - Prepare for Each Cabinet

File Plan for AMS, ERO, IMB, AMS Records Management Office Room 3929-S

CABINET #1 Active (Current FY) Records Management Files

Drawer #1 - Active Organization Management Records ('1000' record series), and Civilian Personnel Records ('3000' record series)

1060 Administrative Issuances

- RMPDMS Comments on AMS Issuances/Directives

1120 Records Management Files

- 1120.1 - Accession Number Master Lists (01 Listing from WNRC)
- 1120.6 - Records Management Program/Projects:
 - 1120.6a Project #IMB-93-02
 - 1120.6b Project #IMB-94-07
 - 1120.6c Project #IMB-94-08
- 1120.7 - USDA ARMS AIR Team - General Correspondence

3280 Training Records

- Basic Records Management Training
- NARA Briefing for Program Managers

Reference Files - For Reference Only: Activity Reports, Reader Files

Drawer #2 - Active Transfer and Authority Records

1070 Records Disposition Files

- SF-135, Records Transmittal & Receipt - PENDING
- SF-135's - FY57, FY60-95
- SF-115's - NC1 136-79-1 (AMS), NC1 136-81-1 (TMD), NC1 136-81-2 (SD), NC1 136-80-1, (FV), NC1 136-85-1 (DA), NC1 136-83-2 (Admin, PY & Comm Procmt), N1 136-94-1 (SD-Pesticide Data Program), N1 136-94-2 (PY-Grading Certificates & Memorandums), N1 136-94-3 (AMS-Call Detail Records)

Drawer #3 - Inactive Records - FY94

[List File Folder Headings]

Drawer #4 - Inactive Records - FY93

[List File Folder Headings]

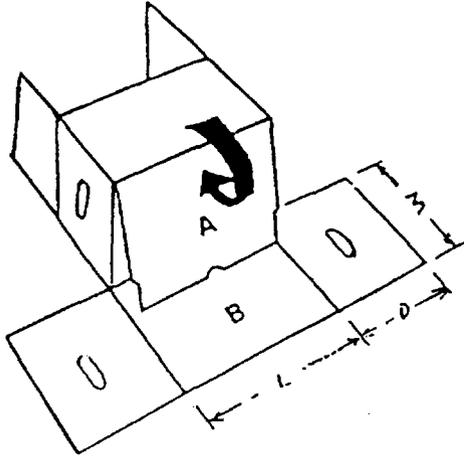
Drawer #5 - Inactive Records - FY92

[List File Folder Headings]

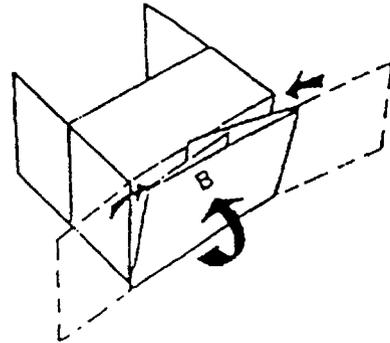
Appendix E

REGIONAL FEDERAL RECORDS CENTERS	AREA COVERED
FEDERAL RECORDS CENTER - BOSTON 380 TRAPELO ROAD WALTHAM, MA 02154 617-647-8745	MAINE, VERMONT, NEW HAMPSHIRE, MASSACHUSETTS, CONNECTICUT, AND RHODE ISLAND
FEDERAL RECORDS CENTER - NEW YORK BUILDING 22 - MILITARY OCEAN TERMINAL BAYONNE, NJ 07002-5388 201-823-7161	NEW YORK, NEW JERSEY, PUERTO RICO, AND THE VIRGIN ISLANDS
FEDERAL RECORDS CENTER - PHILADELPHIA 5006 WISSAHICKON AVENUE PHILADELPHIA, PA 19144 215-951-5588	DELAWARE, PENNSYLVANIA, MARYLAND, VIRGINIA, AND WEST VIRGINIA
FEDERAL RECORDS CENTER - ATLANTA 1557 ST. JOSEPH AVENUE EAST POINT, GA 30344 404-763-7438	KENTUCKY, NORTH CAROLINA, SOUTH CAROLINA, TENNESSEE, MISSISSIPPI, ALABAMA, GEORGIA, AND FLORIDA
FEDERAL RECORDS CENTER - CHICAGO 7358 SOUTH PULASKI ROAD CHICAGO, IL 60629 312-353-0164	ILLINOIS, WISCONSIN, MINNESOTA, AND U.S. COURT RECORDS FROM INDIANA, MICHIGAN, AND OHIO
FEDERAL RECORDS CENTER - DAYTON 3150 SPRINGBORO ROAD DAYTON, OH 45439 513-225-2878	INDIANA, MICHIGAN AND OHIO
FEDERAL RECORDS CENTER - KANSAS CITY 2312 EAST BANNISTER ROAD KANSAS CITY, MO 64131 816-926-7272	KANSAS, NEBRASKA, IOWA, MISSOURI
FEDERAL RECORDS CENTER - FORT WORTH 501 WEST FELIX STREET FORT WORTH, TX 76115 817-334-5515	TEXAS, OKLAHOMA, ARKANSAS, LOUISIANA, AND NEW MEXICO
FEDERAL RECORDS CENTER - DENVER BUILDING 48, DENVER FEDERAL CENTER PO BOX 25307 DENVER, CO 80225 303-236-0804	NORTH DAKOTA, SOUTH DAKOTA, COLORADO, WYOMING, UTAH, AND MONTANA
FEDERAL RECORDS CENTER - SAN FRANCISCO 1000 COMMODORE DRIVE SAN BRUNO, CA 94066 415-876-9015	NEVADA (EXCEPT CLARK COUNTY); CALIFORNIA (EXCEPT SOUTHERN CALIFORNIA); AND AMERICAN SAMOA
FEDERAL RECORDS CENTER - LOS ANGELES 24000 AVILA ROAD LAGUNA NIGUEL, CA 92677-6719 714-643-4220	CLARK COUNTY, NEVADA; SOUTHERN CALIFORNIA (COUNTIES OF SAN LUIS OBISPO, KERN, SAN BERNADINO, SANTA BARBARA, VENTURA, LOS ANGELES, RIVERSIDE, ORANGE, IMPERIAL, INYO, AND SAN DIEGO), AND ARIZONA
FEDERAL RECORDS CENTER - SEATTLE 6125 SAND POINT WAY SEATTLE, WA 98115 206-526-6501	WASHINGTON, OREGON, IDAHO, ALASKA, HAWAII, AND PACIFIC OCEAN AREA (EXCEPT AMERICAN SAMOA)
WASHINGTON NATIONAL RECORDS CENTER WASHINGTON, DC 20409 301-457-3057	WASHINGTON DC

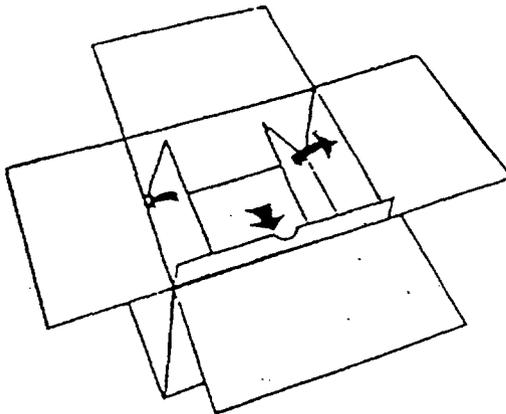
ASSEMBLY INSTRUCTIONS



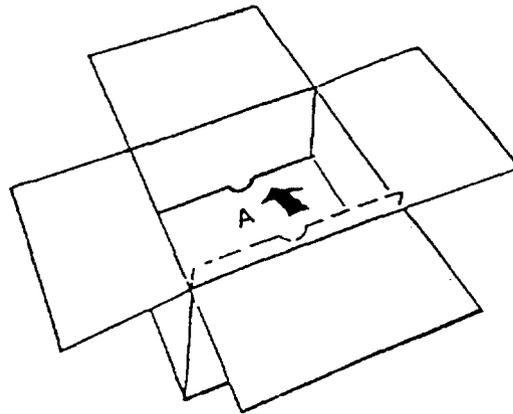
STEP 1. SQUARE UP BOX ON ITS SIDE AND FOLD FLAP A INSIDE.



STEP 2. FOLD EXTENSIONS OVER ON FLAP B AND FOLD TO CLOSED POSITION.

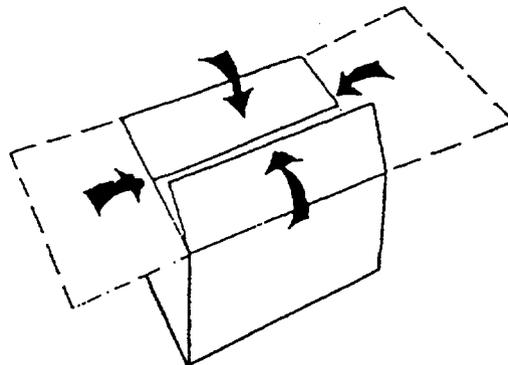


STEP 3. LIFT FLAP A TO VERTICAL POSITION AND THEN LIFT AND FOLD EXTENSIONS OF FLAP B UP AGAINST END WALLS OF BOX.

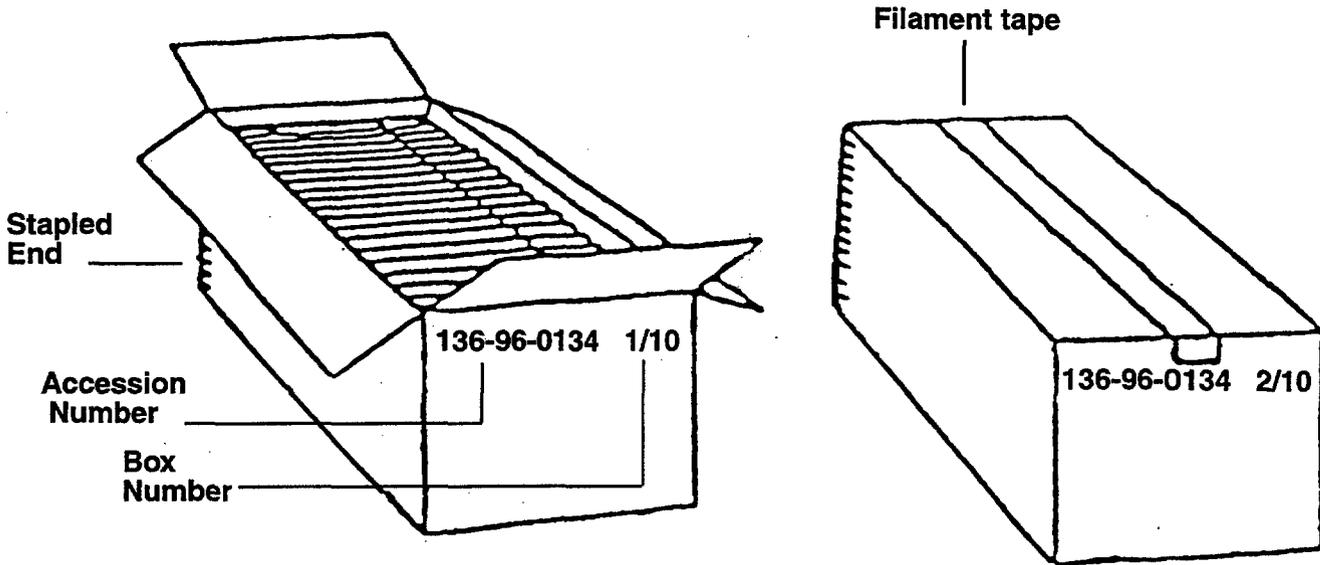


STEP 4. LOWER FLAP A TO BOTTOM OF BOX.

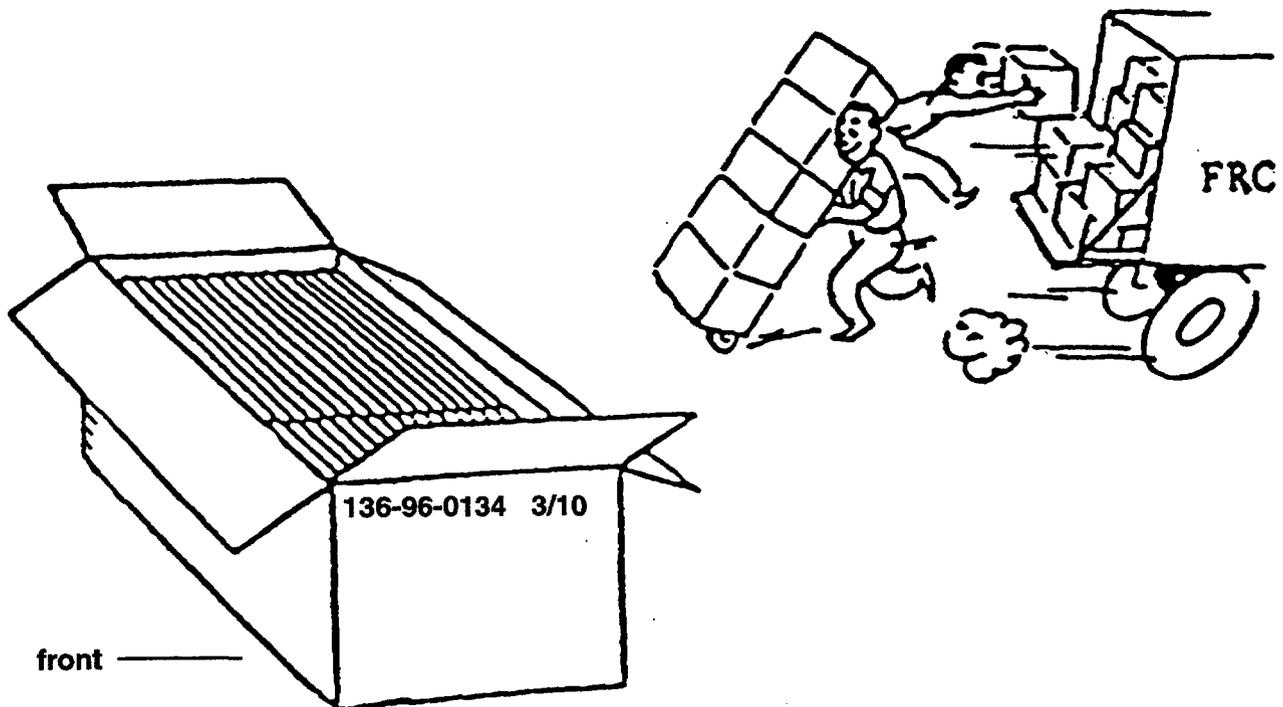
STEP 5. FOLD ALL FLAPS IN TO TOP. SMALL FLAPS FIRST, LARGE FLAPS LAST.



PACKING AND LABELING RECORD BOXES



Letter-size documentation



Legal-size documentation

RECORDS TRANSMITTAL AND RECEIPT

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

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

1. TO (Complete the address for the records center serving your area as shown in 36 CFR 1228.180)		Federal Records Center Washington National Records Center Washington, DC 20409	
2. AGENCY TRANSFER AUTHORIZATION	TRANSFERRING AGENCY OFFICIAL (Signature and Title)	DATE	
3. AGENCY CONTACT	Records Officer (Original Signature)	2-23-93	
TRANSFERRING AGENCY LIAISON OFFICIAL (Name, office and telephone No.) Files Custodian (Employee Name, Title) FIS: XXX-XXX-XXXX COM: XXX-XXX-XXXX			
4. RECORDS CENTER RECEIPT	RECORDS RECEIVED BY (Signature and Title)	DATE	

AGENCY
MAJOR SUBDIVISION
MINOR SUBDIVISION
MAILING ADDRESS
CITY, STATE ZIP CODE

Fold Line

RECORDS DATA

ACCESSION NUMBER		VOLUME NUMBER (per A)	AGENCY BOX NUMBERS	SERIES DESCRIPTION (With inclusive dates of records)	ESTIMATION	DISPOSAL AUTHORITY (Schedule and item number)	DISPOSAL DATE (Y)	LOCATION	COMPLETED BY RECORDS CENTER
RG	FY	(a)	(a)	(f)	(a)	(a)	(Y)	(Y)	DATE RECEIVED (Y)
XXX	XX	XXXX	8	General Accounting Ledgers Closed FY 1992	R	General Records Schedule 7 Item 2	01/1999		