

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-136-06-006

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: **12/28/2022**

ACTIVE ITEMS

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

All items except those listed below are active.

SUPERSEDED AND OBSOLETE ITEMS

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

N1-136-06-006/5 superseded by DAA-0136-2017-0001-0001

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER <i>NI-136-06-6</i>	
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received <i>10/25/05</i>	
1 FROM (Agency or establishment) U.S. Department of Agriculture		NOTIFICATION TO AGENCY	
2 MAJOR SUBDIVISION Agricultural Marketing Service (AMS)		In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
3 MINOR SUBDIVISION Science & Technology Program			
4. NAME OF PERSON WITH WHOM TO CONFER Janice Boteler, Janice.Boteler@usda.gov	5 TELEPHONE NUMBER 202 720-0566	DATE <i>6/22/09</i>	ARCHIVIST OF THE UNITED STATES <i>Adrienne Thomas</i>
6 AGENCY CERTIFICATION I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached _____ page(s) are not needed now for the business for this agency or will not be needed after the retention periods specified, and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, <input type="checkbox"/> is not required <input type="checkbox"/> is attached, or <input type="checkbox"/> has been requested			
DATE <i>10/17/05</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>Janice Boteler</i>		TITLE AMS Records Management Officer
7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	U.S. Department of Agriculture Agricultural Marketing Service Record Group 136 Electronic Information System – STAR (see attached). PRIOR APPROVAL BY NARA – AMS Unique Records Schedule Science and Technology Program (old Science Division), Record Series 8000 was previously approved by NARA (see attached).		

7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
STAR-1 (New)	<p>Name of electronic database system: PVPO STAR System Database</p> <p>Agency program or unit supported by the system: USDA, AMS, Science and Technology Program, Plant Variety Protection Office (PVPO). Authorities are Federal Seed Act, Plant Variety Protection Act, and the Agricultural Marketing Act of 1946.</p> <p>Purpose of the system: PVPO uses STAR to store data collected from seed producer applications obtaining a Certificate of Protection Seed Regulatory Testing Branch uses STAR resources to store the names of seed varieties for agricultural and vegetable seeds. STAR also stores information collected from publications, journals, seed catalogs, and international counterpart records. PVPO maintains the databases and is the primary user.</p> <p>Disposition: Except as noted, the disposition instructions apply to records regardless of physical form or characteristics. Records may be maintained in any format on any medium These records are media-neutral</p> <p>Dispose of paper and electronic records in accordance with AMS Unique Records Schedule Science and Technology Program (old name Science Division)</p>		

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<p>Inputs</p> <p>Master Files</p> <p><i>Item 1,</i></p> <p><i>Item 2.</i></p> <p><i>Item 3.</i></p>	<p>a. Input: Information concerning plant and seed data. Plant and seed data includes name, variety, maturity, growth habits, etc., and other information, financial and administrative, gathered from application for PVPO certificates.</p> <p>Disposition: Temporary. Destroy/Delete when no longer needed for administrative, legal, audit or operational purposes.</p> <p>b. Databases:</p> <p>1. Crop/Species databases.</p> <p>Includes the crop name, variety, Plant Variety number, plant inventory number, and other information.</p> <p>Disposition: Permanent. Cut-off data file at the end of fiscal year (snapshot). Transfer to the National Archives in a Microsoft Access database, or other appropriate format, with hyperlinks to the pdfs in accordance with 36 CFR 1228.270.</p> <p>Note: This item is not media-neutral. It will be transferred to NARA in an electronic database format.</p> <p>2. Accounting and Tracking databases.</p> <p>Contains financial information, fee information, and other tracking information for applications for Certificates.</p> <p>Disposition: Temporary. Destroy/delete 7 years after expiration of certificate</p> <p>3. All Other Databases.</p> <p>Includes library reference databases, "look-up" databases, "help" databases, "search" databases, "system" databases, and other reference databases related to the STAR system.</p> <p>Disposition: Temporary. Destroy/Delete when superseded or no longer needed for business operations.</p>	<p>GRS 20, Item 2</p>	

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<p>Outputs:</p> <p>System Documentation</p>	<p>c. Outputs: Ad hoc printouts from the databases listed above.</p> <p>Disposition: Temporary. Destroy/Delete when no longer needed for administrative, legal, audit or operational purposes.</p> <p>d Documentation: Data systems specifications, file specifications, codebooks, record layouts, user guides, output specifications, and final reports (regardless of medium) relating to a master file, database or other electronic records</p> <ol style="list-style-type: none"> 1. Documentation relating to electronic records that are scheduled for destruction in the GRS or in a NARA-approved agency schedule <p>Disposition: Temporary. Destroy or delete upon authorized deletion of the related electronic records or upon the destruction of the output of the system if the output is needed to protect legal rights, whichever is later.</p> <ol style="list-style-type: none"> 2 Documentation relating to electronic records that are scheduled for permanent retention in the GRS or in a NARA-approved agency schedule. <p>Disposition: Permanent Transfer to the National Archives with the permanent electronic records to which the documentation relates.</p> <p><u>2. Plant Variety Protection (PVP) Case File—Issued Certificates</u></p> <p>a Public Access or Certificate File for Issued Certificates. These records include the following items:</p> <ol style="list-style-type: none"> (1) Plant Variety Protection Certificate signed by Secretary of Agriculture. (2) Application for Plant Variety Protection approved by the Secretary of Agriculture. Information may include the name of organization or individual applying for certificate; contact information; seed variety; temporary name; scientific name; PVP identification number; Plant 	<p>GRS 20, Item 16</p> <p>GRS 20, Item 11a(1)</p> <p>GRS 20, Item 11a(2)</p>	

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	<p>Inventory (P1) number for the Germplasma Resources Information Network (GRIN) database; and related correspondence Also includes notes and comments from seed developer, plant examiner, and Commissioner, seed origin—domestic, foreign, or export; and the certificate issue and certificate expiration date.</p> <p>(3) Each file may also contain the following “Exhibits.”</p> <p>Exhibit A: Breeding History</p> <p>This exhibit type includes data on the how the seed type was bred or discovered and developed It includes names of genetically related starting materials, including public or commercial lines, methods used or steps taken to develop the breeds, and the dates that these steps and methods were implemented; criteria used for selection of the seeds; evidence of uniformity and stability, and variant description and frequency of variants.</p> <p>Exhibit B: Statement of Distinctness or Novelty Statement</p> <p>This exhibit provides the name of the most similar comparison varieties; states distinguishing traits and values; and provides evidence that these differences from other similar varieties are clear, uniform, and stable; includes 2-3 generations of statistical evidence of the distinguishing characteristics; and one year of testing within the United States. This substantiating data may include field or greenhouse replications and/or DNA profiling or analyses</p> <p>Exhibit C: Objective Description of Variety</p> <p>This exhibit includes botanical description of the seed variety as described on crop specific forms created by the PVP office. This information is entered into the crop database, and is used to further describe the invention and establish distinctiveness.</p> <p>Exhibit D: Additional Descriptive Information</p> <p>This exhibit is optional, and includes additional data not otherwise reported within an application that supports a claimant’s application for certificate. There may be</p>		

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<p>Item 4</p> <p>Item 5.</p> <p>Item 6.</p>	<p>additional isozyme analysis, various genetic “fingerprinting” techniques or other extensive statistical tables and supporting evidence</p> <p>Exhibit E: Statement of Basis of Ownership</p> <p>The applicant is required to furnish a statement for the basis of the applicant's ownership. The statement explains why the owner is eligible to apply, and states whether any other person or company has ownership or retains rights to the variety.</p> <p>Exhibit F: Declaration of Deposit of Seed to National Center for Genetic Resources</p> <p>The applicant is required to state that a seed sample or tissue culture will be deposited into a public repository. Also includes for imported seeds, a copy of the APHIS Phytosanitary Certificate which documents the origin of the shipment and confirms inspection in the country of origin by a member of that country’s national plant protection organization. It certifies that the seeds for deposit are pest-free.</p> <p><u>Official Recordkeeping Copy of PVP case files.</u></p> <p>Disposition: Permanent. Place PVP case files in “expired certificate files” upon expiration of certificate. Cut-off recordkeeping copy of expired certificates at the end of fiscal year. Transfer to NARA 2 years after cut-off</p> <p>Note: Currently official copy of PVP case files are in Adobe pdf format. These records will be transferred to NARA in accordance to NARA pdf transfer format.</p> <p><u>Unofficial Recordkeeping copy of PVP case files.</u></p> <p>Disposition: Temporary. Transfer “unofficial copy of PVP case files (Currently in paper format) to National Agriculture Library when no longer needed for reference in office.</p> <p>b. Plant Examiner’s Files</p> <p>These are individual examiners working files. They include working papers and records related to the records listed under <u>Public Access or Certificate Files for Issued Certificates.</u></p>		

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<i>Item 7</i>	<p>Disposition: Temporary. Close file upon approval of application and issuance of Certificate Cut-off closed files at the end of fiscal year. Destroy/Delete 7 years after cut-off, or when no longer needed for administrative use.</p> <p>c. Name Files</p> <p>Includes temporary name, scientific names, Name Clearance Letter from the Seed Regulatory and Testing Branch, requests for name changes, requests to transfer ownership to another entity</p>		
<i>Item 8</i>	<p>Disposition: Temporary. Cut-off files at end of fiscal year Destroy 5 years after the expiration of the certificate or when no longer needed for administrative use</p> <p>d. Financial Files</p> <p>Includes fee payment for services such as application filing, submission of new application data, reviving an abandoned application, reproductions of materials and photographs, corrections to re-issuance of a certificate, replenishment of seed samples, petition to protest proceedings, and appeals to the Secretary of Agriculture. Also includes travel and administrative expenses for AMS personnel conducting field inspections, training, or other services. Company/seed developer profile information, crop kind/species, and variety name/designation.</p> <p>Disposition: Temporary. Cutoff file at end of fiscal year Destroy 7 years after the expiration of the certificate or when no longer needed for administrative use</p>		
<i>Item 9</i>	<p>3. Plant Variety Protection (PVP) Case File for cases in which Certificates were not issued or Applications were abandoned.</p> <p>a. Abandoned Applications</p> <p>Includes the application and the exhibits that the seed producer submitted The files are incomplete because the certificate was not issued.</p>		

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<p><i>Item 10.</i></p>	<p>Disposition: Temporary. Cutoff file at end of fiscal year Destroy/Delete 7 years after cut-off or when case file is no longer needed for administrative use.</p> <p>b. Plant Examiner's Files These are individual examiners working files for applications which did not result in the issuance of certificates.</p> <p>Disposition: Temporary. Close file upon confirmation of abandonment of application for Certificate, or disapproval of application for Certificate. Cut-off closed files at the end of fiscal year. Destroy /Delete 7 years after cut-off, or when no longer needed at end of fiscal year.</p>		