



# RECORDS RETENTION AND DISPOSITION SCHEDULE

## Agriculture, Indiana State Department of. Grain Buyers and Warehouse Licensing Agency.

Agency: Lieutenant Governor's Office		Division: Agriculture, Indiana State Department of	
ITEM NO.	RECORD SERIES	TITLE/DESCRIPTION (This Retention Schedule is approved on a space-available basis)	RETENTION PERIOD
1	81-1023	<b>MOISTURE METER TESTING FILE</b> Pursuant to IC 4-4-27-1, the Director of the State Department of Agriculture or the Director-s designee shall at least one time each year inspect and test all equipment used to test the moisture and the foreign material and dockage content of grain purchased, sold, or exchanged in Indiana. Typical file consists of Application for Inspection of Moisture Testing Equipment, (SF 516), and Analysis of Moisture Meter Inspection (Moisture Content of Grain Products), SF 21573. Retention based on IC 34-11-2-7.	TRANSFER to the RECORDS CENTER one (1) year after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges. DESTROY after an additional five (5) years in the RECORDS CENTER. TOTAL RETENTION: Six (6) years after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
2	81-891	<b>NON-LICENSED FACILITY FILE</b> File contains the record of out-of-business grain banks, grain buyers, buyer-warehouses, warehousemen and warehouses. A facility could be out of business or no longer required to be licensed by the Grain Buyers Warehouse Licensing Agency. Typical files includes audits, financial statements, warehouse receipts, and correspondence. A review of any deferred pricing permits is now part of the audit process. Disclosure of these records may be affected by IC 26-3-7-6.5. Retention based on IC 34-11-2-7.	TRANSFER to the RECORDS CENTER one (1) year after the facility is closed or no longer required to be licensed, and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges. DESTROY after an additional five (5) years in the RECORDS CENTER. TOTAL RETENTION: Six (6) years after the facility is closed or no longer required to be licensed, plus receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
3	85-126	<b>SPECIAL FINANCIAL AUDITS</b> These final audits are performed upon closure of a company. Consists of the (now) inactive license file, audit and working papers. Disclosure of these records may be affected by IC 26-3-7-6.5. Retention based on IC 34-11-2-7.	TRANSFER to the RECORDS CENTER upon completion. DESTROY after an additional six (6) years in the RECORDS CENTER. TOTAL RETENTION of six (6) years after completion.
4	93-55	<b>SOYBEAN PROMOTION, RESEARCH &amp; CONSUMER INFORMATION PROGRAM (SPARC)</b> Provisions of the federal Food, Agriculture Conservation and Trade Act of 1990 established a soybean promotion fund for the purpose of finding new uses for soybeans. The Grain Buyers Warehouse Licensing Agency conducts audits wherever the Indiana Soybean Alliance may send it in order to determine compliance with the federal fact. These audits are performed pursuant to a contract with the Indiana Soybean Alliance. Audited facilities could be state-licensed, federally licensed or unlicensed firms. Disclosure of these records may be affected by IC 26-3-7-6.5. Retention based on IC 34-13-1-1.	TRANSFER to the RECORDS CENTER after three (3) years and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges. DESTROY after an additional seven (7) years in the RECORDS CENTER. TOTAL RETENTION: ten (10) years plus receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
5	2015-21	<b>INDIANA CORN CHECKOFF PROGRAM</b> In 2011, the Grain Buyers Warehouse Licensing Agency entered into an agreement with the Indiana Corn Marketing Council to conduct audits of participants in the Indiana Corn Checkoff Program. Disclosure of these records may be affected by IC 26-3-7-6.5. Retention based on IC 34-13-1-1.	TRANSFER to the RECORDS CENTER after three (3) years and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges. DESTROY after an additional seven (7) years in the RECORDS CENTER. TOTAL RETENTION: ten (10) years plus receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
6	81-898	<b>JUDICIAL ACTION</b> Judicial review is performed when a licensee or non-licensee takes exception to the Director-s finding of fact and final order pursuant to an administrative hearing in accordance with IC 26-3-7-31. Disclosure of these records may be affected by IC 26-3-7-6.5. Retention based on IC 34-11-2-6.	TRANSFER to the INDIANA ARCHIVES for EVALUATION, SAMPLING or WEEDING pursuant to archival principles five (5) years after final adjudication of the agency-s action.

7	81-900	<b>WAREHOUSE RECEIPTS LOG</b> Disclosure of these records may be affected by IC 26-3-7-6.5.	DESTROY six (6) years after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
8	85-125	<b>ACTIVE LICENSEES</b> Typical file includes the License Application, SF 20313, for a Grain Bank, Warehouse, Grain Buyer or Buyer/Warehouse License. Other documents usually found are a copy of the active license, bond or cash deposit, insurance certificate, financial statements, audits, and correspondence. This is now part of the audit process. File includes all renewals. Licenses must be renewed annually and a fee paid to remain active, pursuant to IC 26-3-7-6. Disclosure of these records may be affected by IC 26-3-7-6.5.	DESTROY audits and financial statements after six (6) years. TRANSFER all remaining license-related materials if the facility is closed or is no longer required to be licensed, to NON-LICENSED FACILITY FILE (R.S. 81-891) after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
9	85-127	<b>BOND RECOVERY FILES</b> These records are created during an abnormal closure of a company due to such events as a shortage of grain. Typical file includes the (now) inactive license file, routine audit and working papers, bond claim forms, preliminary and final determinations and findings of fact and final orders following hearings on claims in accordance with IC 26-3-7-16.5. Disclosure of these records may be affected by IC 26-3-7-6.5. Retention based on IC 34-11-2-7.	TRANSFER to the RECORDS CENTER after final determination. DESTROY after six (6) years in the RECORDS CENTER. TOTAL RETENTION of six (6) years after final determination..
10	85-128	<b>RECEIVERSHIP FILES</b> Typical file includes the files and records of the company involved, which are returned to that company and/or its representative upon final determination. File also includes the (now) inactive license file, financial audit and working papers, tax returns, legal documents concerning the hearing, evidentiary material, determination and finding of facts and final orders. Disclosure of these records may be affected by IC 26-3-7-6.5. Retention based on IC 34-11-2-7.	TRANSFER to the INDIANA ARCHIVES for EVALUATION, SAMPLING or WEEDING pursuant to archival principles six (6) years after the final determination.
11	88-546	<b>OPERATIONAL ANALYSIS INFORMATION</b> This is a brief summary of information contained in ACTIVE LICENSEES, Record Series 85-125. This duplicate information is used only at staff meetings as reference material. Disclosure of these records may be affected by IC 26-3-7-6.5.	DESTROY at the end of the day.