

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-471-89-001

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 5/18/2021

## **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These items, unless subsequently superseded, may be used by the agency to disposition records.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 approved schedule items are active except the ones listed below

## **SUPERSEDED AND OBSOLETE ITEMS**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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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 below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

Item 100-01a is superseded by DAA-0048-2013-0008-0004

Item 100-01b is superseded by DAA-0048-2013-0008-0002

Item 100-03 is superseded by DAA-0048-2013-0008-0007

**REQUEST FOR RECORDS DISPOSITION AUTHORITY**

*(See Instructions on reverse)*

LEAVE BLANK

JOB NO.

N1-471-89-1

TO: **GENERAL SERVICES ADMINISTRATION  
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408**

DATE RECEIVED

11/3/88

1. FROM (Agency or establishment)

United States Department of the Interior

2. MAJOR SUBDIVISION

Office of Surface Mining Reclamation and Enforcement

3. MINOR SUBDIVISION

Directorate of Budget and Administration

4. NAME OF PERSON WITH WHOM TO CONFER

Donald L. Hinderliter, Chief

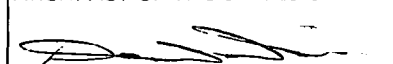
5. TELEPHONE EXT.

343-7826

DATE

1/17/90

ARCHIVIST OF THE UNITED STATES



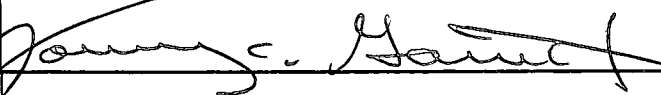
6. CERTIFICATE OF AGENCY REPRESENTATIVE

NOTIFICATION TO AGENCY

In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10. If no records are proposed for disposal, the signature of the Archivist is not required.

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of 75 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, if required under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is attached.

A. GAO concurrence:  is attached; or  is unnecessary.

B. DATE	C. SIGNATURE OF AGENCY REPRESENTATIVE	D. TITLE	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARS USE ONLY)
1/2/90		Assistant Director, Budget & Administration	NC1-433-80-1	
7. ITEM NO.	8. DESCRIPTION OF ITEM <i>(With Inclusive Dates or Retention Periods)</i>			
	<p>The Office of Surface Mining Reclamation and Enforcement (OSM) was established in the Department of the Interior by the Surface Mining Control and Reclamation Act of 1977 (P. L. 95-87). The purpose of OSM is to create a nationwide program that protects the environment from the adverse effects of coal mining operations while ensuring an adequate supply of coal to the nation. OSM establishes minimum national standards for regulating the surface effects of coal mining, assists the States in developing and implementing their own regulatory programs, and promotes the reclamation of previously-mined areas. Organizationally, OSM consists of a Headquarters in Washington, D. C., plus two Field Operations (Western and Eastern), thirteen field offices, and eleven area offices.</p> <p>The records disposition schedule is Appendix II to a Files Maintenance and Records Disposition Manual which contains procedures for the management and retirement of OSM records, a Subject File Classification System for OSM general correspondence files, and dispositions for all records series. Individual schedule items describe each series of records which exists. For most existing series, instructions are given for file cutoff, retirement to FRC (if needed), destruction, or permanent retention in NARA. In several instances, the record series exist but disposition has not been determined.</p>			

*Copy sent to agency, NCF, NSN 7540-00-6344064  
NNA, NNT, NW 1/23/90*

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	<p>The schedule covers records created in all Headquarters directorates and their divisions and branches; in the Office of the Director and related staff offices; and in the field operations, field offices and area offices.</p> <p>Any records series created subsequent to, or not disposable by, this schedule will be covered by supplementary records disposition authority to be obtained from the National Archives and Records Administration (NARA), through submission of additional SF-115's.</p> <p>Records covered by the General Records Schedules (GRS) issued by NARA are disposable in accordance with the disposition instructions given in the GRS without further authorization. For records series making references to the GRS, the disposition instructions are the same as in the GRS. A copy of the GRS will be forwarded under separate cover.</p> <p>Example: Destroy when 2 years old. (GRS 1/16)</p>		

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100-01	<p style="text-align: center;">RECORDS DISPOSITION CONTROL SCHEDULE</p> <p>The Director of the Office of Surface Mining Reclamation and Enforcement (OSM), assisted by the Deputy Director, Assistant Directors, and Field Office Directors, leads OSM in carrying out its responsibilities under the Surface Mining Control and Reclamation Act of 1977 (P.L. 95-87). The Director coordinates various offices in the performance of functions relating to Abandoned Mine Land, Inspection and Enforcement, State and Federal Programs, Technical Services, Management and Budget, and Administrative Services. The Director also has overall responsibilities for cooperation between Headquarters offices and Field Offices and for the coordination of OSM efforts with State and other Federal agencies. The Director's staff offices perform functions relating to liaison with Congress, public affairs, rules, tracking reports, management of correspondence, and equal employment opportunity.</p> <p style="text-align: center;">100 SERIES - SUBJECT CORRESPONDENCE FILES</p> <p>OSM Official Central (Subject) Correspondence Files. Central correspondence files for OSM document the functions and activities for which OSM has primary responsibility. They contain incoming correspondence and the official file copy of outgoing correspondence signed by the Director, Deputy Directors, Assistant Directors, and any other OSM staff members who generate official correspondence. They include correspondence within OSM offices, the Department of the Interior, other Federal agencies, States, and the public. See page 8 of manual for location of official subject files.</p> <p>a. Program correspondence files. Correspondence relating directly to primary functions of OSM. Primary subjects include but are not limited to, Abandoned Mine Land; Regulatory Program Development; Inspection and Enforcement; State, Federal, and Indian Programs; Organization, Planning, and Management; and Technical Services and Research.</p> <p><u>PERMANENT.</u> Cut off file at close of FY. Transfer to FRC 3 years after cutoff. Offer to NARA in 5 year blocks 15 years after cutoff.</p> <p>b. Administrative correspondence files. Correspondence relating to administrative support activities. Subjects include but are not limited to: Automated Data Processing; Administrative Services; Audits and Investigations; Budget and Finance; Committees, Meetings,</p>	433-80-1 700-01 700-02	

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Briefings, and Conferences; Equal Employment Opportunity; Financial Management; Grants Management; Information Services and Program Promotion; Legislative and Legal Affairs; Personnel; Procurement and Contracting; Records Management; and Travel and Transportation.

Cut off file at close of FY. Transfer to FRC 3 years after cutoff. Destroy 15 years after cutoff.

00-02	<p><u>Division/Branch Correspondence (Subject) Files.</u> General correspondence, reports, forms, and other records relating to OSM activities and functional areas maintained in staff offices, directorates, divisions, and branch levels, arranged according to the Subject File Classification System contained in Appendix IV of this manual.</p>	<p>200-01 300-01 400-01 500-01 600-01</p>
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Cut off at end of FY. Destroy when 3 years old or when no longer needed for reference, whichever is sooner.

100-03	<p><u>Director's File Relating to Legislation.</u> Arranged by subject. Correspondence, internal memos, testimony, proposals, and similar records pertaining to Congressional hearings and Federal bills/laws affecting OSM, and OSM efforts to help States enact surface mining and reclamation legislation.</p>	<p>100-02</p>
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PERMANENT. Cut off at close of calendar year. Transfer to FRC 4 years after cutoff. Offer to NARA in 5 year blocks 16 years after cutoff.

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200 SERIES - PROGRAM CASE FILES

Abandoned Mine Land Reclamation

These files are established and maintained in conjunction with reclamation activities and Federal reclamation projects as they relate to Abandoned Mine Land.

200-01	<p><u>State and Tribal Reclamation Plan Files.</u> Arrange alphabetically by State or Tribe. Records relating to the development by States or Tribes and OSM of reclamation plans for the States or Tribes. File includes plan, copy of cooperative agreement between State and OSM, copy of the grant between the Tribe and OSM, review documents, AMLR Plan amendments, <u>Federal Register</u> notices dealing with State or Tribal amendments, and technical assistance records.</p> <p>Cut off file upon receipt of a revised plan incorporating previously issued changes and amendments. Transfer to FRC 1 year after cutoff. Destroy documents 3 years after cutoff.</p>	201-01
200-02	<p><u>National Abandoned Mine Land Inventory.</u> This inventory consists of machine-readable records and topographic materials (annotated U.S. Geological Survey quadrangle maps).</p> <p>Disposal is not authorized. Submit SF-115 to NARA when program is operative.</p>	203-05
200-03	<p>AML Operations Manual</p> <p>Record copy only.</p> <p>Disposal not authorized at this time. Submit SF-115 to NARA when first issue is finalized.</p>	203-07
200-04	<p><u>Realty Files.</u> Arrange as appropriate to the office. Lands adversely affected by past coal mining practices may be acquired by OSM if determined that such acquisition is necessary for successful reclamation (30 CFR 879). File includes but is not limited to consent forms, insurance records, ownership documents, description of land, appraisal report, planning reports, relocation forms, correspondence, and other records about funding of improvements.</p>	203-11

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a.	Records other than abstract or certificate of title.  Transfer to FRC 6 years after completion of acquisition, volume warrants or after unconditional sale or release by Government of conditions, restrictions, mortgages, or other liens. Destroy 10 years later.		
b.	Abstract or certificate of title.  Transfer to purchaser after unconditional sale or release by the Government of conditions, restrictions, mortgages, or other liens.		
200-05	<u>Real Estate Collateral Bonding Files.</u> File includes copies of appraisals, liens, notices of intent, contract information, and all legal documents pertaining to the real estate.		
a.	Record copy only.  Place in inactive file when bond is released. Cut off inactive file at close of FY. Transfer to FRC 3 years after cutoff. Destroy 15 years after cutoff.		
b.	All other copies.  Destroy when bond is released.		
200-06	<u>Federal Program Reclamation Project Files.</u> Arrange as appropriate to office. Records related to emergency reclamation projects, cooperative agreement reclamation projects, and Federal Reclamation projects. File includes but is not limited to briefing papers, funding account number, project evaluation and selection sheets and data, original or duplicate copy of cooperative agreement reports on situations of extreme danger, project design criteria, memoranda and correspondence concerning the project, land acquisition and lien documents, and programs and final reports, if any. A list of projects completed and funds allocated is provided in OSM annual report to Congress.	202-02	
a.	Record copy.  Transfer to FRC 6 years after completion of project. Destroy 25 years after completion of project.		

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200-07	<p>b. Duplicate copies filed in other OSM offices.</p> <p>Transfer to FRC 6 years after completion of project.                      Destroy 15 years after completion of project.</p> <p><u>AML Citizen Complaint Case Files.</u> Arrange as appropriate. Records contain <u>confidential information</u> and include original (written complaint or report of oral complaint), OSM acknowledgement letter, complaint investigation report, reply to citizen and reply to coal mine operator, records relating to Field Office Director's review (if any), and other related correspondence. Maintained in field offices.</p> <p>Destroy in agency 5 years after resolution of complaint.</p>	301-11	



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Inspection and Enforcement

These files are established and maintained in conjunction with State and Federal inspection and enforcement of surface coal mining activity.

201-01      Assessment Case Files.      Arrange alphabetically by name of coal mine company, thereunder by Cessation Order (CO) or Notice of Violation (NOV) number, violation form number, modification form number, and termination form number.      301-01

These records are accumulated in the process of assessing and collecting civil penalties levied by OSM as a result of issuance of CO's and NOV's during a Federal inspection of a mine (30 CFR 72). Records include citation; inspector's statement; inspector's report; assessor's explanation of assessment; assessment worksheet; Notice of Proposed Assessment; assessment cover letter; assessment assignments; application for review docketing; correspondence and other materials received from the coal mining company; affidavits; conference information; supporting documentation; docketing for civil penalty; copy of abstract, check and escrow payment; hearing review; collection letters (if any); certified mail receipts and collection receipts; all fee collection and coordination performed at Headquarters. Closed case contains case history card listing key events and dates in the assessment and collection process and other related material.

Transfer to FRC upon making final review decision or upon expiration of opportunity for review. Destroy 5 years later.

201-02      Abstract of Remittances Book.      Contains deposit sheets (listing company name, date of payment, amount of deposit, balance owed); escrow account information; and photocopies of checks, certified mail receipts, and other payment documents. These items are retained for office reference only; these are not records maintained by agency accounting offices.      301-06

Destroy when no longer needed for reference.

201-03      Ten-Day Notice.      Notification issued by OSM to the regulatory authority that a permittee is conducting a practice within the permit area inconsistent with approved plans or the regulatory authority has issued a permit containing omissions or other defects.

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a. Field or Area office, whichever is applicable (official file).

If filed with permit files, inspection files, etc., destroy with related file. If filed separately, destroy 5 years after final action.

b. All other offices (reference files). Destroy when no longer needed.

201-04 Notice of Violation (NOV) Files. Arrange as appropriate. Records include NOV; inspector's report, modification, vacation, or payment notice; copies of assessment records; and review and related correspondence.

301-07

a. Field or area office, whichever is applicable (official file).

Destroy 5 years after NOV is vacated or paid and terminated.

b. All other offices (reference files).

(1) If filed with mine permit, destroy with related permit file.

(2) If filed separately, destroy when NOV is vacated or paid.

201-05 Notice of Violation Journal.

301-08

Destroy when no longer needed for reference.

201-06 Cessation Order (CO) Files. Arrange as appropriate. File includes CO, inspector's report, copies of assessment, records, and any related correspondence.

301-09

a. Field or area office, whichever is applicable (official file).

Destroy 5 years after CO is vacated or paid.

b. All other offices (reference files).

(1) If filed with mine permits, destroy with related permit file.

(2) If filed separately, destroy when CO is paid or vacated.

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20-07	<u>Cessation Order Journal.</u>  Destroy when no longer needed for reference.	301-10	
201-08	<u>Citizen Complaint Case Files.</u> Arrange as appropriate. Records are <u>confidential</u> and include original complaint (written complaint or report of oral complaint), OSM acknowledgment letter, complaint investigation report, reply to citizen and reply to coal mine operator, records relating to Field Office Director's review (if any), and other related correspondence. Maintained in field offices.  Destroy in agency 5 years after resolution of complaint.	301-11	
201-09	<u>Citizen Complaints Journal.</u>  Destroy when no longer needed for reference.	301-12	
201-10	<u>Reserved.</u> Entry reserved for future use.		
201-11	<u>Mining and Reclamation Plans.</u> More commonly referred to as the <u>PERMIT FILES.</u> These files contain permits submitted under a Federal program, submitted in conjunction with mining activity on Indian Lands, or copies of permits submitted by States with primacy (includes Federal lands where the State issues the permits).  a. <u>State Program Permit Files.</u> Case files include copies of the permit application, approval letter, documents related to environmental concerns and reclamation requirements, attachments, and addendums.  (1) Information which is a duplicate of the information maintained by the State as part of its permit file may be destroyed in the agency upon the expiration of the related permit, supersession of mine plan, or end of life of the mine (after end of reclamation liability period), whichever is appropriate.  (2) Any original information not duplicated from the State permit file is placed in an inactive file at the expiration of the related permit, supersession of mine plan, or end of life of the mine (after end of reclamation liability period), whichever is appropriate.	302-06	

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Cut off inactive file at close of FY. Transfer file to FRC 1 year after cutoff. Destroy 8 years after cutoff.

b. Federal Program Permit Files. Case files include the application, complaint letters, Section 510(c) decision documents, midterm reviews, deficiency letters, renewals, revisions, and, if appropriate, Section 504(d) reviews.

NOTE: Under a Federal program, certain aspects of the permit are encountered that create working files that are made part of the permit file at the conclusion of the process. For example, inspection activity such as U. V's and CO's are documented in inspection case files that are merged with the permit file at the time the permit file is closed. Other activities under a Federal program that eventually contribute case file documentation to these permit files include assessments, bonding, and alternative enforcement.

(1) Record copy only.

Place in inactive file upon expiration of related permit, supersession of mine plan, or end of life of mine (after end of reclamation liability period), whichever is appropriate. Cut off inactive file at close of FY. Transfer file to FRC 1 year after cutoff. Destroy 8 years after cutoff.

(2) All other copies.

Destroy upon expiration of related permit, supersession of mine plan, or end of life of mine (after end of reclamation liability period), whichever is appropriate.

NOTE: If these files are to be filmed, submit SF-115 to NARA providing for new disposition for paper and disposition of film.

c. Indian Lands Permit Files. Case files include copies of application, approval letter, maps, documents related to environmental concerns and reclamation requirements, attachments, and addenda.

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	<p>(1) Information which may be duplicated in information maintained by the Tribe as part of its permit file may be destroyed in the agency upon the expiration of the related permit, supersession of mine plan, or end of life of the mine (after end of reclamation liability period), whichever is appropriate.</p> <p>(2) Any original information relating to the Tribe permit file is placed in an inactive file at the expiration of the related permit, supersession of mine plan, or end of life of the mine (after end of reclamation liability period), whichever is appropriate. Submit SF 115 when records are created.</p>		
01-12	<p><u>Mine Evaluation Inspection Report (MEIR) Files.</u> Arrange as appropriate. The Federal surface coal mine inspection report contains name and addresses of permittee, MSHA number, date of last inspection, permit information, and performance standards (codes) which may include a narrative.</p> <p>a. Record copy only.</p> <p>Cut off annually. Transfer to FRC 3 years after file break, if volume warrants. Destroy 6 years after file cutoff.</p> <p>b. All other copies.</p> <p>Destroy when 3 years old.</p>	302-05	
201-13	<p><u>Blaster Certification Files.</u> These are case files created in conjunction with the Federal Blaster Certification Program. Files are arranged alphabetically by name and include application for certification, examination results, evaluation criteria, fee assessment/collection information, and historical information on the blaster concerning his/her compliance.</p> <p>Destroy two (2) years after expiration of certification.</p>		
201-14	<p><u>Federal Enforcement Files.</u> Arrange alphabetically by coal company. Contains NOV's, CO's, Inspector Statement Reports, court referral information, technical data reports and photos used in regulatory oversight, and two-acre oversight of Federal programs.</p> <p>Destroy when no longer needed.</p>		

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201-15

Mine Inspection Report. Arrange as appropriate. The State surface coal mine inspection report.

a. Record copy only.

Cut off annually. Transfer to FRC 3 years after file break, if volume warrants. Destroy 6 years after file cutoff.

b. All other copies.

Destroy when 3 years old.

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	<p>State, Federal, and Indian Lands Programs</p> <p>These files are established and maintained in conjunction with the regulatory program function vested in an approved State program, Indian Lands program, or Federal program.</p>		
202-01	<p><u>State Regulatory Program Files.</u> P.L. 95-87 requires each State in which there are or may be conducted surface coal mining operations on non-Federal land and which wishes to assume exclusive jurisdiction over the regulation of surface coal mining and reclamation operations to submit to OSM a program document which demonstrates that the State can carry out the provisions of P.L. 95-87 and meet its purposes. Records include the program document, OSM guidance and review documentation, notices of OSM approval or disapproval, copies of <u>Federal Register</u> notices, cooperative agreements, Memorandums of Understanding (MOU), action plans, and any other related records.</p> <p>Cut off file upon receipt of a revised basic document incorporating all changes and amendments previously issued or when replaced by a Federal program. Transfer to FRC one (1) year after cutoff. Destroy five (5) years after cutoff.</p>	401-06	
202-02	<p><u>State Program Evaluation Review Files.</u> The Field Office shall prepare and maintain a program evaluation or oversight file for each State which shall be available for public review as part of the evaluation process. The evaluation file shall include the following materials in chronological order by State:</p> <ul style="list-style-type: none"> <li>- National oversight guidance and format documents;</li> <li>- methods used to conduct the evaluation and prepare the annual evaluation reports;</li> <li>- factual information developed or utilized in the program review;</li> <li>- special study reports;</li> <li>- all correspondence with the State and meeting notes concerning program evaluation procedures, reports or issues;</li> <li>- evaluation reports released by OSM; and</li> </ul>	401-04	

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202-03

- all public comments, complaints, or observations on the evaluation.

Cut off at end of evaluation year. Transfer to FRC 3 years after cutoff. Destroy 5 years after cutoff.

Federal Regulatory Program Files. Program documents prepared by OSM when a State fails to submit a State program covering surface coal mining and reclamation operations, fails to re-submit an acceptable State program after the original State program is disapproved, or fails to implement, enforce, or maintain its approved State program as provided for in P.L. 95-87. File includes the Federal program document, public notice or hearing, records related to the public hearing, OSM review documents, copies of Federal Register notices, and other related materials.

401-07

PERMANENT: Cut off file upon approval of a State Regulatory Program document. Transfer to FRC 1 year after cutoff. Offer to NARA in 5 year blocks 15 years after cutoff.

202-04

Indian Special Studies Files. Section 710 of P.L. 95-87 directs OSM to prepare studies on the regulation of surface mining on Indian lands. OSM contracts with Tribes or Tribal organizations, such as the Council of Energy Resource Tribes (CERT), to perform such studies, and reviews and monitors the studies. Records include cooperative agreements, contracts, OSM review documentation, the final study report and other products of the study, and related correspondence.

402-01

Cut off file after final decision to adapt or implement recommendations contained in the study. Transfer to FRC 3 years after closing, if volume warrants. Destroy 5 years after cutoff.



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203-01	<p style="text-align: center;">Technical Services and Research</p> <p>These files are established and maintained in conjunction with agency research and development, technical support and training, compliance with national environmental policy, and technology transfer.</p> <p><u>Title IV/V Research Program Files.</u> Files may contain applications, proposals, memoranda, correspondence, and other records relating to the decision to accept or reject proposals. Files consist of proposals, project authorization documents or contracts, progress reports, the final product, and related correspondence. For example, they may include:</p> <ul style="list-style-type: none"> <li>a. Unsuccessful (rejected or withdrawn) applications.  <p style="padding-left: 40px;">Destroy 3 years after rejection or withdrawal.</p> </li> <li>b. Accepted applications.  <p style="padding-left: 40px;">Destroy with related contract/grant case file.</p> </li> </ul>		
203-02	<p><u>Technical Assistance to Indian Tribe Files</u></p> <p>File contains request for assistance from Indian Tribes including formal request, decision paper, etc.</p> <p>Cut off file at close of FY if assistance is completed. Destroy 3 years after cutoff.</p>	402-03	
203-03	<p><u>Coal Mining Unsuitability Petition Files.</u> P.L. 95-87 Title V authorizes OSM to establish a process for the public to petition to have an area on Federal lands designated unsuitable for all or certain types of surface coal mining operations. Records in this file may include the petition, OSM internal review documents, review documents by Bureau of Land Management (BLM) or other interested agencies, transcripts and other material from public hearings, maps of the area, notice of acceptance or rejection of the petition, <u>Federal Register</u> notices, statements concerning the abundance of coal resources and the impact of the designation, and the final decision on the petition.</p> <p>Cut off file at end of FY after final decision is rendered. Transfer to FRC 3 years after cutoff. Destroy 10 years after cutoff.</p>	402-04	

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203-04	<p>Laboratories Case Files. According to P.L. 95-87, a qualified public or private laboratory performs the required determination of probable hydrologic consequences of mining and provides statements of the results of bore or core analyses for qualified small operators. Such laboratories are qualified by OSM to perform these services, and records in this file relate to the qualification process. Records include, but are not limited to, qualification statements submitted by the laboratories, OSM review documentation, records of on-site inspection of the laboratories, OSM notification of approval or rejection, re-qualification statement (if any), de-qualification statement (if any), and all related correspondence. These case files are maintained in Field Offices. A list of qualified labs will be published in the <u>Federal Register</u> or similar publication.</p> <p>a. Case files for approved laboratories.</p> <p>Transfer to FRC upon termination of qualification if volume warrants. Destroy 3 years later.</p> <p>b. Case files for unapproved laboratories.</p> <p>Destroy 3 years after determination is made.</p>	403-03	
203-05	<p><u>Experimental Practices Review Case Files.</u> P.L. 95-87 authorizes OSM with the approval of the Secretary to grant departures in individual cases on an experimental basis from the environmental protection performance standards set forth in the Act. File consists of request for review of proposed experimental practice along with OSM review documents.</p> <p>a. If request is approved, hold file until authority for practice is discontinued or until a change in OSM regulations authorizes the practice on a permanent basis. Cut off at close of FY in which discontinuance or rule-change takes place. Destroy 2 years after cutoff.</p> <p>b. If request is disapproved, cutoff file at close of FY and destroy 1 year after cutoff.</p>	502-03	
203-06	<p><u>Regulatory Analysis (RA) Case Files.</u></p> <p>a. Draft working papers and extra copies of comments and related items.</p>	505-01	

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	<p>Destroy <u>immediately</u>.</p> <p>b. Final working papers, including comments by Assistant Secretary for Land and Minerals Management and by the solicitor.</p> <p>Transfer to FRC 10 years after RA is issued. Destroy 25 years after RA is issued.</p> <p>c. OSM record copy of published RA is filed in the Administrative Record where it is retained.</p>		
203-07	<u>Reserved</u> . This entry reserved for future use.		
203-08	<u>OSM Environmental Impact Statement (EIS) Files.</u>	505-02	
	<p>a. Draft working papers and extra copies of comments and related items.</p> <p>Destroy in agency when no longer needed for reference.</p> <p>b. Final working papers, including comments by Assistant Secretary for Land and Minerals Management.</p> <p>Transfer to FRC 10 years after EIS is issued. Destroy 25 years after issuance of EIS.</p> <p>c. OSM record copy of published EIS.</p> <p>Destroy 10 years after issuance. (NOTE: EPA is the Federal office of record for all agency EIS's.)</p>		
203-09	<u>Technical Environmental Assistance (TEA) Files.</u>		
	<p>a. EIS relating to individual mine plans. Place in Mine Plan Review or Permit Case File.</p> <p>b. Environmental assessment of individual mine plans. Place in Mine Plan Review (203-15) or Permit Case File (201-11).</p>		
205	<u>Other Agency EIS Review Files.</u> Comments by OSM on draft EIS submitted by other Federal agencies and by other elements of DOI.	505-04	
	Destroy when 2 years old or when no longer needed for reference, whichever is sooner.		

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203-11	<p><u>Historic Preservation Files.</u> Final regulations entitled "Protecting Historic Properties from Surface Coal Mining Operations" require consideration of the effects of permitting actions on historic properties and consultation with appropriate State, Federal, and local agencies having responsibility for historic properties. Records in these files may include guidance material for Federal permitting entities and for evaluation of State regulatory authorities in the implementation of their approved programs concerning protection of historic properties and documentation of compliance in all Federal permitting actions. Material is filed in appropriate permit file and/or State Program Evaluation File.</p> <p>a. Record copy, only if filed separately from the Permit File.</p> <p>Cut off file at close of FY in which permit expires and transfer to FRC 1 year after cutoff. Destroy 8 years after cutoff.</p> <p>b. Record copy only if filed separately from the State Program Evaluation File.</p> <p>Cut off file at end of evaluation year. Transfer to FRC 3 years after cutoff. Destroy 5 years after cutoff.</p>		
203-12	<p><u>Determination of Valid Existing Rights (VER) Files.</u> Section 522(c) of P.L. 95-87 prohibits or limits surface coal mining operations on or near certain lands, facilities, and structures. These prohibitions and limitations do not apply to operations in existence on August 3, 1977, or when an operator can establish VER to conduct operations on the land in question. Records in these files may include requests for VER determination, Solicitor coordination and initial determination documentation, internal and external correspondence, telephone conversation records, copies of final decision letters, and notices of appeal.</p> <p>Cut off file at end of FY after final decision is rendered. Transfer to FRC 3 years after cutoff. Destroy 10 years after cutoff.</p>		

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203-13	<p><del>Technical Reference Library Files.</del> File consists of requests and replies thereto for technical reference information available from commercial information services and internal or other relevant data bases.</p> <p>Destroy when 3 months old or when no longer needed, whichever is sooner.</p>	GRS 23/7:	
203-14	<p><u>Indian Lands Coal.</u> Cut off files at close of FY in which permit expires and transfer file to FRC. Destroy 15 years after cutoff.</p>		
203-15	<p><u>Mine Plan Review.</u> These are case files created in conjunction with the review of a Federal program application. Includes mine plan, notice of availability, technical analysis of the plan, copy of National Environmental Protection Act (NEPA) analysis, letters of recommendation, notice of pending Federal decision, copy of approval documents, and related records.</p> <p>Record copy only.</p> <p>Cut off file at close of FY in which permit expires and transfer file to FRC. Destroy 15 years after cutoff.</p>	501-01	

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	<p>Fee Compliance Audit</p> <p>These files are established and maintained in conjunction with reclamation fee allocation and collection activities under Title IV of P.L. 95-87.</p>		OF
204-01	<p><u>OSM-1 Files.</u> Arrange as appropriate. OSM-1, the "Coal Production and Reclamation Report," is submitted quarterly to Field Offices by all coal mine operators. The form is a statement of the amount of coal sold during the quarter, the method of 62 coal removal, the type of coal mined, and data for fee computation. The form is notarized and then sent to OSM with the quarterly reclamation fee, which becomes part of the AML Fund. The OSM-1 file is audited to determine the accuracy of the information submitted by the operator. Files include the form, bills of collection, and related correspondence.</p> <p>a. Film records.</p> <p style="padding-left: 40px;">Destroy when no longer needed for reference.</p> <p>b. Paper records.</p> <p style="padding-left: 40px;">Cut off file at close of FY. Transfer to FRC 3 years after file break if volume warrants. Destroy 6 years after file cutoff. Records related to current or pending litigation should be destroyed upon resolution of the litigation.</p> <p>c. Machine-readable records related to OSM-1 files.</p> <p style="padding-left: 40px;">Submit SF-115 to NARA when records are created. Disposal not authorized at this time.</p>	203-01	
204-02	<p><u>Deletions (Abandonments) Files.</u> Arrange alphabetically by State, thereunder alphabetically by name of coal mine operator. Records are required to document the abandonment of a mine. If the mine is abandoned, the mine operator no longer submits OSM-1.</p> <p style="padding-left: 40px;">Destroy 6 years after abandonment.</p>	203-03	
204-03	<p><u>Computer Printout Files.</u> Generated from data containing lists of mine operators (respondents) paying fees, respondents not paying fees, and nonrespondents.</p> <p style="padding-left: 40px;">Destroy when superseded or obsolete.</p>	203-04	

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204-04	<p><u>Working Papers and Backbround Material Related to Fee Compliance Audit Case Files.</u> Includes copies of OSM-1's, preaudit workpapers, auditor notes, Denver ML System printouts, correspondence to and from operator and coal purchasers, inspection information, and comparative data schedules.</p> <p>Destroy when no longer needed.</p>		

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300 SERIES - ADMINISTRATIVE CASE FILES			
Equal Employment Opportunity			
300-01	<u>Official Discrimination Complaint Files.</u> Complaints with related correspondence, reports, exhibits, withdrawal notices, copies of decisions, records of hearings and meetings, and other records as described in 5 CFR 713.222.		
	a. Cases resolved within the agency, EEOC, or U.S. District Court. Destroy 4 years after resolution of case.	GRS 1/25a	
	b. Copies of complaint case files. Destroy 1 year after resolution of case.	GRS 1/25b	
	c. Background files. Destroy 2 years after final resolution of case.	GRS 1/25c	
300-02	<u>Employment Statistics Files.</u> Employment statistics relating to race and sex.		
	Destroy when 5 years old.	GRS 1/25f	
300-03	<u>EEO Affirmative Action Plans (AAP).</u>		
	a. Agency copy of consolidated AAP(s). Destroy 5 years from date of plan.	GRS 1/25h	
	b. Agency feeder plan to consolidated AAP(s). Destroy 5 years from date of feeder plan or when administrative purposes have been served, whichever is sooner.	GRS 1/25h	



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Personnel

301-01 Official Personnel Folders (OPF).

GRS 1/1

a. Current employees.

OPF's of current employees are active files maintained in a secure location by the servicing personnel office.

b. Transferred employees.

See Federal Personnel Manual (FPM) for instructions relating to folders of employees transferred to another agency.

c. Separated employees.

Transfer to National Personnel Records Center (NPRC), St. Louis, Missouri, 30 days after separation. NPRC will destroy 75 years after birth date of employee (60 years after the date of the earliest document in the folder if the date of birth cannot be ascertained) or 5 years after latest separation, whichever is later.

301-02 Employee Record Card Files. Employee record cards used for informational purposes outside the personnel offices (such as SF-7b).

GRS 1/6

Destroy on separation or transfer of employee.

301-03 Position Classification Files.

GRS 1/7a  
(1)

a. Position Classification Standards Files.

(1) Standards and guidelines issued or reviewed by the Office of Personnel Management (OPM) used to classify and evaluate positions within the agency.

Destroy when superseded or obsolete.

(2) Memoranda, correspondence, and other records relating to the development of standards for classification of positions peculiar to the agency and OPM approval or disapproval.

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(a) Case file.

Destroy 5 years after position is abolished or description is superseded.

GRS 1/7a  
(2)(a)

(b) Review file.

Destroy when 2 years old.

GRS 1/7a  
(2)(b)

b. Position Description Files. These consist of files describing established positions, including information on title, series, grade, duties, and responsibilities.

(1) Record copy only.

Destroy 2 years after position is abolished or description is superseded.

GRS 1/7b

(2) All other copies.

Destroy when no longer needed for reference.

c. Survey Files.

(1) Classification Survey Reports. Survey reports on various positions prepared by classification specialists, including periodic reports.

Destroy when 3 years old or 2 years after regular inspection, whichever is sooner.

GRS 1/7c  
(1)

(2) Inspection, Audit, and Survey Files. Correspondence, memoranda, reports, and other records relating to inspections, surveys, desk audits, and evaluations.

Destroy when obsolete or superseded.

GRS 1/7c  
(2)

d. Appeals Files. Case files relating to position classification appeals.

Destroy 3 years after case is closed.

GRS 1/7d

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<p><del>301-04</del></p>	<p><u>Employee Awards Files.</u></p> <p>a. Agency-Sponsored General Awards Records.</p> <p>(1) Case files including recommendations, approved nominations, memoranda, correspondence, reports, and related handbooks pertaining to cash and noncash awards, such as incentive awards, within-grade merit increases, suggestions, and outstanding performance.</p> <p>Destroy 2 years after approval or disapproval.</p> <p>(2) Correspondence or memoranda pertaining to awards from other Government agencies or private organizations.</p> <p>Destroy when 2 years old.</p> <p>b. Length-of-Service and Sick Leave Awards Files. Records including correspondence, memoranda, reports, computations of service and sick leave, and list of awardees.</p> <p>Destroy when 1 year old.</p> <p>c. Letters of Commendation and Appreciation. Copies of letters recognizing length of service and retirement and letters of appreciation and commendation for performance, EXCLUDING copies filed in the OPF.</p> <p>Destroy when 2 years old.</p> <p>d. Lists or Indexes to Agency Award Nominations. Lists of nominees and winners and indexes of nominations.</p> <p>Destroy when superseded or obsolete.</p> <p>e. Departmental Level Awards Files. Records relating to awards made at the Departmental level or higher (Secretary's Awards, Presidential, etc.).</p> <p>Destroy when 1 year old.</p>	<p>GRS 1/12a (1)</p> <p>GRS 1/12a (2)</p> <p>GRS 1/12b</p> <p>GRS 1/12c</p> <p>GRS 1/12d</p>	
<p>301-05</p>	<p><u>Incentive Awards Program Report Files.</u> Reports pertaining to the operation of the Incentive Awards Program.</p> <p>Destroy when 3 years old.</p>	<p>GRS 1/13</p>	

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301-06	<p><u>Personnel Operations Statistical Report Files.</u> Statistical reports on the operating personnel and subordinate offices relating to personnel.</p> <p>Destroy when 2 years old.</p>	GRS 1/16	
301-07	<p><u>Duplicate Personnel Files.</u></p> <p>a. <u>Supervisor's/Administrative Officer's Personnel Action Files.</u> Correspondence, memoranda, forms, and other records relating to positions, authorizations, pending actions; copies of position descriptions; requests for personnel action; and records on individual employees duplicated in or not appropriate for the OPF.</p> <p>Review annually and destroy superseded or obsolete documents or destroy all documents relating to an individual employee 1 year after separation or transfer.</p> <p>b. <u>Duplicate Documentation.</u> Other copies of documents duplicated in OPF not provided for elsewhere in this disposition schedule.</p> <p>Destroy when 6 months old.</p>	GRS 1/18a	
301-08	<p><u>Individual Health Files.</u> Cards that contain information, such as date of employee's visit, diagnosis, and treatment.</p> <p>Destroy 6 years after date of last entry.</p>	GRS 1/19	
301-09	<p><u>Health Unit Control Files.</u> Logs or registers reflecting daily number of visits to dispensaries, first-aid rooms, and health units.</p> <p>a. Information summarized on statistical report.</p> <p>Destroy 3 months after last entry.</p> <p>b. Information not summarized.</p> <p>Destroy 2 years after last entry.</p>	GRS 1/20a	
301-10	<p><u>Performance Rating Files.</u> Whether maintained separately or as part of a duplicate OPF, the following disposition schedule applies:</p>	GRS 1/10b	

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/	a. Non-SES appointees as defined in 5 U.S.C. 4301(2).		
	(1) Appraisals of unacceptable performance, where a notice of proposed demotion or removal is issued but not effected, and all related documents.  Destroy after the employee completes 1 year of acceptable performance from the date of the written advance notice of proposed removal or reduction-in-grade notice.	GRS 1/23a (1)	
	(2) Performance records superseded through an administrative, judicial, or quasi-judicial procedure.  Destroy when superseded.	GRS 1/23a (2)	
	(3) Performance-related records pertaining to a former employee.  Destroy when 3 years old or when no longer needed, whichever is sooner.	GRS 1/23a (3)	
	(4) All other summary performance appraisals records, including performance appraisals and job elements and standards upon which they are based.  Destroy 3 years after date of appraisal.	GRS 1/23a (4)	
	(5) Supporting documents.  Destroy 3 years after date of appraisal or when no longer needed, whichever is sooner.	GRS 1/23a (5)	
	b. SES appointees as defined in 5 U.S.C. 3132a(2).		
	(1) Performance records superseded through an administrative, judicial, or quasi-judicial procedure.  Destroy when superseded.	GRS 1/23b (1)	
	(2) Performance-related records pertaining to a former SES appointee.  Destroy when 5 years old.	GRS 1/23b (2)	

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	<p>(3) All other performance appraisals, along with job elements and standards (job expectations) upon which they are based.</p> <p>Destroy 5 years after date of appraisal, exclusive of any interim service as a Presidential appointee.</p>	<p>GRS 1/23b (3)</p>	
	<p>(4) Supporting documents.</p> <p>Destroy 5 years after date of appraisal or when no longer needed, whichever is sooner.</p> <p>c. Presidential appointees.</p> <p>Disposition pending.</p>	<p>GRS 1/23b (4)</p> <p>GRS 1/23c</p>	
<p>301-11</p>	<p><u>Personnel Counseling Files.</u></p>		
	<p>a. Counseling Files. Reports of interviews, analyses, and related records.</p> <p>Destroy 3 years after termination of counseling.</p>	<p>GRS 1/26a</p>	
	<p>b. Alcohol and Drug Abuse Program. Records created in planning, coordinating, and directing an alcohol and drug abuse program.</p> <p>Destroy when 3 years old.</p>	<p>GRS 1/26b</p>	
<p>301-12</p>	<p><u>Labor Management Relations Files.</u></p>		
	<p>a. Labor Management Relations General and Case Files. Correspondence, memoranda, reports, and other records relating to the relationship between management and employee unions or other groups.</p> <p>(1) Office negotiating the agreement.</p> <p>Destroy when 5 years after expiration of agreement.</p>	<p>GRS 1/28a (1)</p>	
	<p>(2) Other offices.</p> <p>Destroy when superseded or obsolete.</p>	<p>GRS 1/28a (2)</p>	

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301-13	<p>b. Labor Arbitration General and Case Files. Correspondence, forms, and background papers relating to labor arbitration cases.</p> <p>Destroy 5 years after final resolution of case.</p>	GRS 1/28b	
	<p><u>Training Files.</u></p>		
	<p>a. Personnel Training Aids. Record copy only of each manual, syllabus, textbook, and other training aids developed by OSM.</p> <p>Destroy when superseded or obsolete.</p>		
	<p>b. General File of Agency-sponsored training.</p> <p>(1) Correspondence, memoranda, agreements, authorizations, reports, requirement reviews, plans, and objectives relating to the establishment and operation of training courses and conferences.</p> <p>Destroy when 5 years old or 5 years after completion of a specific training program.</p>	GRS 1/29a (1)	
<p>(2) Background and workpapers.</p> <p>Destroy when 3 years old.</p>	GRS 1/29a (2)		
<p>c. Employee Training Files. Case files containing applications for training, authorizations, schedules, and related documents reflecting the training of individual employees. Correspondence, memoranda, reports, and other records relating to the availability of training and employee participation in training programs sponsored by other government agencies or non-governmental institutions.</p> <p>Destroy when 5 years old or when superseded or obsolete, whichever is sooner.</p>	GRS 1/29b		
<p>d. Course Announcement Files. Reference file of pamphlets, notices, catalogs, and other records that provide information on courses or programs offered by government or non-government organizations.</p> <p>Destroy when superseded or obsolete.</p>			

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	<p>e. Individual Development Plan (IDP) Files. Documents maintained on individual employees to record planned progression and training courses.</p> <p>Destroy when 2 years old or 6 months after employee transfers or terminates.</p>		
301-14	<p><u>Grievance, Disciplinary, and Adverse Action Files.</u></p> <p>a. Grievance and Appeals Files (5 CFR 771). Records originating in the review of grievances and appeals raised by agency employees, except EEO complaints. These case files include statements of witnesses, reports of interviews and hearings, examiner's findings and recommendations, a copy of the original decision, related correspondence and exhibits, and records relating to a reconsideration request.</p> <p>Destroy 3 years after case is closed.</p> <p>b. Adverse Action Files (5 CFR 752). Case files and related records created in reviewing an adverse action (disciplinary or nondisciplinary removal, suspension, leave without pay, reduction-in-force) against an employee. The file includes a copy of the proposed adverse action with supporting papers; statements of witnesses; employee's reply; hearing notices, reports, and decisions; reversal of action; and appeal records, EXCLUDING letters of reprimand.</p> <p>Destroy 4 years after case is closed.</p>	<p>GRS 1/30a</p> <p>GRS 1/30b</p>	
301-15	<p><u>Personal Injury Files.</u> Forms, reports, correspondence, and related medical and investigative records related to on-the-job injuries, whether or not a claim for compensation was made, EXCLUDING copies filed in the OPE and copies submitted to the Department of Labor.</p> <p>Cutoff on termination of compensation or when deadline for filing a claim has passed. Destroy 3 years after cutoff.</p>	GRS 1/31	
301-16	<p><u>Employee Locator Files.</u> Consists of information such as name, social security number, submission date, current address, emergency locator information, and office address and telephone number.</p> <p>Destroy when superseded or obsolete.</p>	601-29	



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Staffing Case Files.

a. Vacancy Announcement Files. Arrange by vacancy announcement number. Consists of listing of offices contacted relative to the vacancy, their comments, justifications for filling the positions, SF-171's of applicants, supervisory assessments, certificates of eligibles, certificates of best qualified applicants, panel ratings and other panel records, lists of selectees, copies of letters to unselected applicants, and other similar materials.

Cut off file at close of FY in which announcement closes. Destroy 2 years after cutoff or upon review of files by OPM, whichever is sooner.

b. OPM Certification of Eligibles Files. OPM certificates of eligibles with related requests, forms, correspondence, and statement of reasons for passing over a preference eligible and selecting a nonpreference eligible.

Destroy when 2 years old.

c. Intergovernmental Personnel Act (IPA) Agreement Files. Record copy of IPA agreement, application/resume information, and justification.

Destroy 2 years after expiration of agreement.

d. Examination and Certification Records. Records created under delegated agreements under the authority of 5 U.S.C. 1104 between OPM and OSM allowing for the examination and certification of eligible applicants for Surface Mining Reclamation Specialist positions.

(1) Applications on active register.

GRS 1/33k  
(1)

Destroy upon termination of the register (except applications that may be brought forward to new register if any).

(2) Applications on inactive register.

GRS 1/33k  
(2)

Destroy 1-12 months after eligibles are placed on inactive register, depending on space availability and difficulty of replacing the application for restoration.

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	<p>e. Prior Approval Files. Requests for prior approval of personnel actions on such matters as promotion, transfer, reinstatement, change in status, etc., submitted by SF-59, OPM-648, or equivalent forms.</p> <p>Cut off file annually. Destroy 1 year after cutoff.</p>	GRS 1/331	
301-18	<p><u>Statements of Employment and Financial Interest Files.</u> OSM Form 23, submitted to OSM by State employees in accordance with P.L. 95-87, Section 517(g). Forms contain information about the individual's financial interests, real property holdings, business interests, and creditors. Copies are also retained in files of the individual's State regulatory authority.</p> <p>Destroy 2 years after employee leaves position for which the statement is required.</p>	401-09	
301-19	<p><u>State Conflict of Interest Case Files.</u> Arrange as appropriate. Records include a checklist of OSM responsibilities, copy of conflict-of-interest regulations, letters from State Governors designating the top official of the State regulatory authority, lists of State employees exempt from the conflict-of-interest restrictions, correspondence concerning unresolved conflict-of-interest situations in a State, and other similar material. Records are used to rate State compliance with this provision of P.L. 95-87.</p> <p>Destroy 4 years after completion of related State grant, except for those records involved in current or pending litigation. Such records should be destroyed upon resolution of litigation.</p>	401-10	
301-20	<p><u>Federal Conflict of Interest Files.</u> Statements of employment and financial interests and related records (DI-212A).</p> <p>Destroy 6 years after separation of employee or 6 years after the employee leaves the position for which the statement is required.</p>	GRS 1/24b	
301-21	<p><u>OSM Reports Relating to Federal Conflict of Interest Files.</u> Arrange by year, thereunder by type of report. Recurring reports sent by OSM to DOI. File includes monthly report containing information on number of statements received, cleared, etc.; annual report to DOI</p>	603-11	



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301-26	<p>Destroy after GAO audit or when 3 years old, whichever is sooner.</p> <p><u>Payroll Files</u>. Memorandum copies of payrolls, checklists, and related certification sheets, such as SF-1013A, SF-1128A, or equivalent.</p> <p>a. Security copies of documents prepared or used for disbursement by Treasury disbursing offices with related papers.</p> <p>Destroy when FRC receives second subsequent payroll or checklist covering the same payroll unit.</p> <p>b. All other copies.</p> <p>(1) If earning record card is maintained. Destroy after GAO audit or when 3 years old, whichever is sooner.</p> <p>(2) If earnings record card is not maintained. Transfer to NPRC, St. Louis, Missouri, when 3 years old. Destroy when 10 years old.</p>	<p>GRS 2/13a</p> <p>GRS 2/13b (1)</p> <p>GRS 2/13b (2)</p>	
301-27	<p><u>Payroll Control Files</u>.</p> <p>Destroy after GAO audit or when 3 years old, whichever is sooner.</p>	<p>GRS 2/14</p>	
301-28	<p><u>Payroll Change Files</u>. Payroll change slips, excluding those in the OPF, such as SF-1126.</p> <p>a. Copy used in GAO audit.</p> <p>Destroy when related pay records are audited by GAO or when 3 years old, whichever is sooner.</p> <p>b. Disbursing officer copy used in preparing checks.</p> <p>Destroy after preparation of checks.</p> <p>c. All other copies.</p> <p>Destroy 1 month after the end of the pay period.</p>	<p>GRS 2/15a</p> <p>GRS 2/15b</p> <p>GRS 2/15c</p>	

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301-29	<p><u>Fiscal Schedule Files.</u> Memorandum copies of fiscal schedule used in the payroll process.</p> <p>a. Copy used in GAO audit. Destroy after GAO audit or when 3 years old, whichever is sooner.</p> <p>b. All other copies. Destroy 1 month after the end of the pay period.</p>	<p>GRS 2/16a</p> <p>GRS 2/16b</p>	
301-30	<p><u>Administrative Payroll Report Files.</u> Reports and statistics with supporting and related records pertaining to payroll operations and pay administration.</p> <p>a. Reports and data used for workload and personnel management purposes. Destroy when 2 years old.</p> <p>b. All other reports and data. Destroy when 3 years old.</p>	<p>GRS 2/17a</p> <p>GRS 2/17b</p>	
301-31	<p><u>Tax Files.</u></p> <p>a. Withholding tax exemption certificates, such as IRS Form W-4 and similar State tax exemption forms. Destroy 4 years after form is superseded or obsolete.</p> <p>b. Returns on income taxes such as IRS Form W-2. Destroy when 4 years old.</p> <p>c. Reports of withheld Federal taxes, such as IRS Form W-3, with related papers, including reports relating to income and Social Security taxes. Destroy when 4 years old.</p>	<p>GRS 2/18a</p> <p>GRS 2/18b</p> <p>GRS 2/18c</p>	
301-32	<p><u>Retirement Files.</u></p> <p>a. Reports and Registers. Reports, registers, or other control documents; and other records relating to retirement, such as SF-2807 or equivalent.</p>	<p>GRS 2/19a</p>	



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302-01

Budget and Finance  
Budget Estimates and Justifications Files.

602-01

a. Budget Estimates and Justifications. Consists of appropriation language sheets, narrative statements, related schedules and data, estimates and justifications, budget digests, budget briefing books, budget allowances and appeals and other similar materials, records of Congressional hearings, budget reports to Congress, and responses to questions from Congress.

Cut off file at close of FY. Transfer to FRC 3 years after cutoff. Offer to NARA in 5-year blocks 8 years after cutoff.

b. One set of formal budget estimates and justifications.

Destroy when 10 years old.

c. Working papers, cost statements, and data accumulated in the preparation of annual budget estimates and justifications.

Destroy 1 year after the close of the FY covered by the budget.

302-02

DOI Budget Estimates and Justification Files. Duplicate copies of budget estimates, justifications, Departmental budget, and other similar materials, the record copy of which is maintained in DOI.

602-02

Destroy when no longer needed for reference or 1 year after close of the FY covered by the budget, whichever is sooner.

302-03

Budget Reports Files. Periodic reports on the status of appropriation accounts and apportionments.

a. Annual report (end of FY).

GRS 5/3a

Destroy when 5 years old.

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	b. All other reports.  Destroy 3 years after the end of the FY.	GRS 5/3b	
302-04	<u>Budget Apportionment Files.</u> Apportionment and reapportionment schedules proposing quarterly obligations under each authorized appropriation.  Destroy 2 years after the close of the FY.	GRS 5/4	
302-05	<u>Budget Authorization Ceiling Files.</u> Budget authorizations used to control personnel ceilings and personnel actions.  Destroy when superseded.		
302-06	<u>General Accounting Ledger Files.</u> General accounts ledgers showing debit and credit entries and reflecting expenditures in summary.  Destroy 6 years and 3 months after the close of the FY.	GRS 7/2	
302-07	<u>Appropriation Allotment Files.</u> Allotment records showing status of obligations and allotments under each authorized appropriation.  Destroy 6 years and 3 months after the close of the FY involved.	GRS 7/3	
302-08	<u>Expenditure Accounting Posting and Control Files.</u> Records used as posting and control media, subsidiary to the general and allotment ledgers, and not elsewhere covered in this schedule.  a. Record copy only.  Destroy when 3 years old.  b. All other copies.  Destroy when 2 years old.	GRS 7/4a   GRS 7/4b	
302-09	<u>Report on Obligation Files.</u> Documents, such as SF-225, that report total transactions and transactions within the Federal Government by object class; summary of advances, reimbursements, and income; net obligations incurred; expired accounts (adjustments; and net unpaid obligations for each appropriation.		



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	a. Annual report (end of FY). Destroy when 5 years old.	GRS 5/3a	
	b. All other reports. Destroy 3 years after the close of the FY.	GRS 5/3b	
302-10	<u>Imprest Fund Files.</u> Includes request for imprest funds and increases and records of transactions and audits. Destroy when 3 years old.	GRS 7/4a	
302-11	<u>Travel and Reimbursement Files.</u> Memorandum copies of vouchers (SF-1113A), memorandum copies of transportation requests (SF-1169), travel authorizations; transportation request registers; and records relating to reimbursing individuals, such as travel orders, per-diem vouchers, hotel reservations, and all supporting papers documenting official travel of officers, employees, dependents, or others authorized by law to travel.		
	a. Issuing office memorandum copy and travel administrative office files. Destroy when 3 years old.	GRS 9/4b	
	b. Obligation copies. Destroy when funds are obligated.	GRS 9/4c	
	c. Unused tickets redemption forms, such as SF-1170. Destroy when no longer needed for administrative use.	GRS 9/4d	

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Grants			
	<p>These files are established and maintained in conjunction with grants awarded under OMB Circular A102 for Title IV and Title V of P.L. 95-87. Title IV grants include such areas as AML subsidence insurance and administrative and construction grants related to activity on Indian lands. Title V grants include such areas as administration and enforcement, OAP, Cooperative Agreements, and reclamation plans.</p>		
303-01	<p><u>Grant Case Files.</u> Arrange in accordance with Federal Assistance Manual. These case files include grants under Title IV (AML); Title V (regulatory activities); Federal, State, and Tribal Reclamation Projects; and cooperative agreements. Files include, but are not limited to, accepted and rejected State and Tribal grant applications; grant agreements and amendments thereto; approval correspondence; supporting documentation such as copies of State laws and regulations; OSM review reports, findings, and recommendations; copies of selected financial records and reports; narrative performance reports; requests for information and related replies; press releases; memoranda to the Solicitor; and Congressional inquiries about specific grants.</p>		
	a. Record copy.	401-02	
	<p>Place in inactive file when grant is withdrawn, completed, or terminated. Cut off file at close of FY. Transfer to FRC 5 years after cutoff. Destroy 20 years later.</p>		
	b. Rejected applications with related records.	GRS 3/13a	
	<p>Destroy 3 years after rejection.</p>		
303-02	<p><u>Grant Audit Case Files.</u> These files are created in conjunction with cooperative audit activity conducted by other agencies. Referred to as A-128 audits, these files contain the audit findings developed by the auditing agency for OSM and cover outstanding grants administered by OSM.</p>		
	Record copy.		
	<p>Place in file when grant is withdrawn, completed, or terminated. Cut off file at close of FY. Transfer to FRC 5 years after cutoff. Destroy 20 years after cutoff.</p>		

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304-01	<p style="text-align: center;">Information Services</p> <p><u>Freedom of Information Act (FOIA) Request Files.</u> Files created in response to requests for information under FOIA consisting of the original request, a copy of the reply thereto, and all related supporting documents or files.</p> <p>a. Responses that grant access to all the requested records. Destroy 2 years after date of reply.</p> <p>b. Responses to requests for nonexistent records; to requestors who provide inadequate descriptions; and to those who fail to pay agency reproduction fees. (1) Request <u>not</u> appealed. Destroy 2 years after date of reply. (2) Request appealed. Destroy as authorized below under FOIA appeals.</p> <p>c. Responses denying access to all or part of the records requested. (1) Request <u>not</u> appealed. Destroy 6 years after date of reply. (2) Request appealed. Destroy as authorized FOIA Appeals.</p> <p>d. Record copy of requested records. Dispose of in accordance with approved agency disposition instruction for the related FOIA records, or with the related FOIA request, whichever is later.</p>	<p>GRS 14/11a (1)</p> <p>GRS 14/11a (2)</p> <p>GRS 14/11a (3)</p> <p>GRS 14/11b</p>	
304-02	<p><u>FOIA Appeals Files.</u> Files created in responding to administrative appeals under FOIA for release of information denied by the agency consisting of the appellant's letter, a copy of the reply thereto, and related supporting documents, which may include official file copy of the records under appeal or copy thereof.</p>		

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a.	Correspondence and supporting documents (EXCLUDING the file copy of the records under appeal if filed herein).  Destroy 6 years after final determination by agency or 3 years after final adjudication by the courts, whichever is later.	GRS 14/12	
b.	Record copy of records under appeal.  Dispose of in accordance with approved agency disposition instructions for the related record or with the related FOIA requests, whichever is later.	GRS 14/12	
304-03	<u>FOIA Reports Files.</u>		
a.	Annual reports to the Congress, the Office of Management and Budget, and the Reports New Systems at agency level.  <u>PERMANENT.</u> Offer to NARA when 15 years old in <i>5 year blocks</i>		
b.	Recurring reports and one-time information requirements relating to agency implementation.  Destroy when 2 years old or sooner if no longer needed for administrative use.	GRS 14/14	
304-04	Privacy Act Request Files. Files created in response to requests from individuals to gain access to their records or to any information in the records pertaining to them, as provided for under 5 U.S.C. 552a(d)(1). Files contain the original request, copy of reply thereto, and all related supporting documents, which may include the official file copy of records requested or copy thereof.		
a.	Granting access to all the requested records.  Destroy 2 years after date of reply  (1) Requests <u>not</u> appealed. Destroy 2 years after date of reply.  (2) Requests appealed. See Privacy Act Amendment Files below.	GRS 14/21 (1)	GRS 14/21: (2)(a)
b.	Denying access to all or part of the records requested.		



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Privacy Act Accounting of Disclosure Files. Files maintained under the provisions of 5 U.S.C. 552a(c) for an accurate accounting of the date, nature, and purpose of each disclosure of a record to any person, to another agency, including forms for showing the subject individual's name, requestor's name and address, purpose and date of disclosure, and proof of subject individual's consent when applicable.

GRS 14/23

Dispose of in accordance with the approved disposition instructions for the related subject individual's records or 5 years after the disclosure for which the accountability was made, whichever is later.

304-07

Privacy Act Reports Files.

GRS 14/25

Annual reports to the Congress, the Office of Management and Budget, and th Reports on New Systems at the agency level.

Destroy when 2 years old.

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Public Affairs

305-01 Speeches of the Director, Deputy Director, Assistant Directors and Field Office Directors. Speech topics relate to functions and programs of OSM. 103-01

Record copy only.

PERMANENT. Cut off file at close of FY. Transfer to FRC 4 years after cutoff or when volume warrants. Offer to NARA in 5-year blocks 20 years after cutoff.

305-02 Other Speeches. Speeches other than those described in above; i.e., speeches by Secretary of the Interior and other non-officials and OSM representatives other than the Director, Deputy Director, Assistant Directors, or Field Office Directors. 103-02

Destroy when 4 years old or when no longer needed for reference, whichever is sooner.

305-03 OSM Newsletter. Currently entitled "Grassroots".

Record copy only.

PERMANENT. Cut off file at close of FY. Transfer to FRC 4 years after cutoff or sooner if volume warrants. Offer to NARA in 5-year blocks 20 years after cutoff.

305-04 Biographical Files. Arrange by name. Biographical sketches, sheets, photographs, and other similar materials pertaining to the Director and Deputy Directors.

Record copy only.

PERMANENT. Cut off file at close of year in which individual leaves position. Transfer to FRC 4 years after cutoff. Offer to NARA in 5-year blocks 20 years after cutoff.

3 - Press Clippings Files. Press clippings, teletype news, and similar materials. GRS 14/3

Record copy only.

Destroy when 3 months old.

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305-06	OSM Annual Report. OSM Annual Report to the Secretary of the Interior, Congress, and the President.	103-13	
	Record copy only.		
	<u>PERMANENT</u> . Offer to NARA in 5-year blocks when 25 years old.		
305-07	<u>Audiovisual Records.</u>		
	a. Photographs of routine award ceremonies, social events, and activities not related to the mission of the agency.	GRS 21/1	
	Destroy when 1 year old or when no longer needed.		
	b. Personnel identification or passport photographs.	GRS 21/2	
	Destroy when 5 years old or when no longer needed.		
	c. Internal personnel and administrative training filmstrips and slide of programs that do not reflect the mission of the agency.	GRS 21/3	
	Destroy 1 year after completion of training program.		
	d. Viewgraphs.	GRS 21	
	Destroy 1 year after use or when no longer needed.		



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306-01	<p style="text-align: center;">Automated Data Processing</p> <p>This schedule covers machine-readable records and the related documentation required to service them. Machine-readable records require processing and decoding for conversion to human readable information and are usually stored on media which make them easy to modify and update. This contributes to the mistaken notion that such records are temporary or nonrecord material, as opposed to textual records containing equivalent information. When information exists in both machine-readable and hard copy forms, including computer output microform (COM), various factors bear on the decisions of which should be retained for archival purposes. The items in this schedule categorize records for disposition standards on the basis of the kinds of records or files that are common to most ADP systems. They are divided into three parts:</p> <p>Part I: <u>Master files</u> constitute the definitive state of a data file in a system at a given time. Such files are categorized herein only partly on the basis of subject content.</p> <p>Part II: <u>Processing files</u> are those machine-readable files, aside from master files, which comprise the life cycle of most computerized records prior to the production of a given master file. Processing files - from work files and input/source files to some valid transaction files - are employed to create and use a master file.</p> <p>Part III: <u>Documentation</u> covers those records required for servicing machine-readable records - for converting them from human-readable information to encoded data and vice versa. These are an organized series of descriptive documents required to initiate, develop, operate, and maintain specific applications of ADP systems.</p> <p><u>Master Files.</u></p> <p>a. <u>Grant files</u> consisting of grant applications or awards containing data on characteristics of individual applicants or recipients and their awards.</p> <p>Files which are summary or aggregate fiscal values used for accounting purposes.</p> <p>Destroy after three or more update cycles.</p>		

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- b. Housekeeping files consisting of data for routine administrative processing such as fiscal accountability, supply management, payroll administration, etc.  
  
When required for GAO site audit, destroy in accordance with instructions applicable to hard copy.  
  
When not required for GAO site audit but serve as record copy, destroy with instructions applicable to hard copy.  
  
When not required for GAO site audit and do not serve as record copy, destroy as reference material.
- c. Print files consisting of source output data extracted from the system to produce printouts of tabulations, ledgers, tables, registers and/or reports which are created from files authorized or not authorized for disposal.  
  
Destroy when superseded or obsolete.
- d. Security back-up files consisting of data identical in format to a master file which is retained in case the master file is damaged or inadvertently erased.  
  
Destroy as provided for the related master file.
- e. Technical reformat files consisting of data essentially duplicated in another master file but which is written with varying technical specifications such as density, character code, blocking and labeling which are created for the specific purpose of information exchange.  
  
Destroy as provided for the related master file.

306-02

Processing Files.

- a. Work files consisting of new media, or media not included in a library control system, or files whose retention dates have expired which are used by computer operators to facilitate the processing of a specific job and/or system run.  
  
Available for immediate use or reuse.

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- b. Test files consisting of data used in testing a system which are routine or benchmark data sets constructed or used for the purpose of testing.
- Destroy when no longer needed.
- c. Input/Source files consisting of data abstracted from input/source documents or other media and entered into the system for each update cycle.
- When converted to magnetic media, destroy after verification of data on related magnetic media.
- When used for updating and required to support reconstruction of a master file, destroy after three or more update cycles.
- When retained by ADP operational elements as back-up to magnetic media, destroy when no longer needed.
- When officially designed to replace or serve as the record copy in lieu of hard copy or other input/source document, destroy in accordance with instructions applicable to the hard copy.

306-03

Documentation Files.

- a. Data systems specifications consisting of documents containing definitions of the system including functional requirements, data requirements, system/subsystem specifications, requests for the system, and authorizing directives.
- For a disapproved proposed system, destroy 1 year after final action.
- For an approved system for which all related magnetic data files are authorized for disposal, destroy 1 year after discontinuance of the system.
- For an approved system for which any related magnetic data file is not authorized for disposal, retain with related data file.
- b. System test documentation consisting of descriptive material including test plans and test analysis reports.

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	<p>For an approved system, destroy 1 year after completion of testing.</p> <p>For a disapproved proposed system, destroy when no longer needed.</p> <p>c. <u>File specifications</u> consisting of definitions of the logical and physical characteristics of each record, element or item of data in the file, including names and tags or labels; relative position, form, format and size of data elements (record layout); specifications of all codes used; cross-reference code manual; security and privacy restrictions; and validity characteristics; update and access conditions; recording medium and volume; and a sample copy of each input/source document.</p> <p>For a system for which all related magnetic data files are authorized for disposal, destroy with related data file.</p> <p>For a system for which related magnetic data file is not authorized for disposal, retain with related data file.</p> <p>d. <u>User guides</u> consisting of information which sufficiently describes the functions of the system in non-ADP terminology so that users can determine its applicability and when and how to use it; serves for the preparation of input data and the interpretation of results which are handbooks, guides to data availability, and procedures for querying files.</p> <p>Retain with data systems specifications.</p> <p>e. <u>Information retrieval files</u> consisting of a series of machine instructions designed to retrieve information from specific data systems.</p> <p>For general purpose programs, destroy when no longer needed.</p> <p>For special purpose programs for data files which disposal is authorized, destroy with related data file.</p> <p>For special purpose programs for data files for which disposal is not authorized, retain with related data file.</p>		

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307-01	<p style="text-align: center;">Administrative Services</p> <p><u>Intergovernmental Cooperative Agreement Files.</u> Arrange by agreement number. Files that reflect formal agreement with State agencies or other Federal agencies to perform services on a reimbursable basis. Documents include, but are not limited to, original copies of pre-award data, such as contract status control; requests for contract action; basic interagency agreements and subagreements; modifications and supporting papers; cost estimates and related data; voucher transfers between appropriations or funds; vouchers and schedules of withdrawal and credits; technical, financial, and other reports; and press releases, information bulletins, and related papers.</p> <p>a. Record copy only.</p> <p>Place in inactive file when final payment is made. Cut off file at close of FY. Transfer to FRC 2 years after cutoff or when volume warrants. Destroy 6 years after cutoff.</p> <p>b. Agreement working files maintained by requesting or monitoring office.</p> <p>Place in inactive file when agreement is completed. Cut off file at close of FY. Destroy 2 years after cutoff.</p> <p>c. Cooperative agreements filed as part of larger case files (e.g., part of a project file).</p> <p>Destroy in accordance with disposition schedule instructions for related case file.</p>	606-01	
307-02	<p><u>General Procurement Files.</u> Contract, requisition, purchase order, lease, and bond and surety records, including correspondence and related papers pertaining to award, administration; receipt, inspection and payment; and other records described in the Federal Acquisition Regulations, 48 CFR 4.805.</p> <p>a. Procurement office copy and related papers necessary for GAO or internal audit purposes.</p> <p>(1) Transactions of more than \$25,000 and all construction contracts exceeding \$2,000.</p>	GRS 3/3a (1)	

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	<p>Destroy 6 years and 3 months after final payment.</p> <p>(2) Transactions of \$25,000 or less and construction contracts under \$2,000.</p> <p>Destroy 3 years after final payment.</p>	GRS 3/3a (2)	
	<p>b. Obligation copy.</p> <p>Destroy when funds are obligated.</p>	GRS 3/3b	
	<p>c. All other copies.</p> <p>Destroy upon termination or completion.</p>	GRS 3/3c	
307-03	<p><u>Supply Management Files.</u> Files of reports on supply requirements and procurement matters, such as FPI, Unicor, etc., submitted for supply management purposes (other than those incorporated in case files or other files of a general nature), exclusive of Department of Defense. Reports reflect procurement under exemptions authorized under Section 201(a) of the Federal Property and Administrative Service Act of 1949 (40 U.S.C. 481).</p>		
	<p>a. Copies received from other offices for internal purposes or for transmission to staff agencies.</p> <p>Destroy when 2 years old.</p>	GRS 3/4a	
	<p>b. All other copies and related workpapers.</p> <p>Destroy when 1 year old.</p>	GRS 3/4b	
307-04	<p><u>Bid Files.</u></p>		
	<p>a. Successful bids and proposals.</p> <p>Destroy with related contract case files.</p>	GRS 3/5a	
	<p>b. Solicited and unsolicited unsuccessful bids and proposals.</p> <p>(1) Relating to small purchases as defined in the Federal Acquisition Regulation, 48 CFR, Part 13.</p> <p>Destroy 1 year after date of award or final payment, whichever is later.</p>	GRS 3/5b (1)	

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	<p>(2) Relating to transactions above the small purchase limitation in 48 CFR, Part 13.</p> <p>(a) When filed separately from the contract file, destroy when related contract is completed.</p> <p>(b) When filed with contract case file, destroy with related contract case file.</p> <p>c. Canceled solicitations files.</p> <p>(1) Formal solicitations of offers to provide products or services (e.g., Invitations for Bid, Requests for Proposals, Requests for Quotations) which were cancelled prior to award of a contract. The files include presolicitation documentation of the requirement, any offers which were opened prior to the cancellation, documentation of any government action up to the time of cancellation, and evidence of the cancellation.</p> <p>Destroy 5 years after date of cancellation.</p> <p>(2) Unopened bids.</p> <p>Return to bidder.</p> <p>d. Lists or card files of acceptable bidders.</p> <p>Destroy when superseded or obsolete.</p>	<p>GRS 3/5b (2)(a)</p> <p>GRS 3/5b (2)(b)</p> <p>GRS 3/5c (1)</p> <p>GRS 3/5c (2)</p>	
307-05	<p><u>Contractor's Payroll Files.</u></p> <p>Destroy 3 years after date of completion of construction contract unless contract performance is subject of enforcement action on such date.</p>	GRS 3/11	
307-06	<p><u>Public Printer Files.</u> Records relating to requisitions to the Printer and all supporting papers.</p>		

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	<p>a. Printing procurement office copy of requisition, invoice, specifications, and related papers.</p> <p>Destroy 3 years after completion or cancellation of requisition.</p>	GRS 3/6a	
	<p>b. Accounting office copy of requisition.</p> <p>Destroy 3 years after period covered by related account.</p>	GRS 3/6b	
307-07	<p><u>Tax Exemption Files.</u></p> <p>Destroy 3 years after period covered by related account.</p>	GRS 3/12	
307-08	<p><u>Accountable Officer Files.</u></p> <p>a. Original or ribbon copy of accountable officer accounts maintained for site audit by GAO auditors, consisting of statements of transactions, statements of accountability, collection schedules, collection vouchers, disbursement schedules, disbursement vouchers, and all other schedules and vouchers or documents used as schedules or vouchers, exclusive of freight records and payroll records. Certain required documents supporting vouchers and/or schedules are included in the site audit records. These records document only the basic financial transaction, money received, and money paid out or deposited in the course of operation of the agency. All copies, <u>except</u> the certified payment or collection copy, usually the original or ribbon copy, and all additional or supporting documentation not involved in an integrated system are covered by succeeding items in this schedule.</p> <p>Destroy 6 years and 3 months after period covered by account.</p> <p>b. Memoranda or extra copies of accountable officers' returns, including statements of transactions and accountability, all supporting vouchers, schedules, and related papers not covered elsewhere in this schedule, and excluding freight records covered by GRS 9 and payroll records covered by GRS 2.</p> <p>Destroy when 1 year old.</p> <p>c. Claims against the United States. Records relating to claims against the United States for monies which have been administratively (1) disallowed in full; or</p>	<p>GRS 6/1a</p> <p>GRS 6/1b</p> <p>GRS 6/10a</p>	



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	<p>(2) allowed in full or in part, and final payment of the amount awarded, EXCLUDING claims covered by sub-item e below.</p> <p>Destroy when 6 years, 3 months old.</p> <p>d. Claims by the United States subject to the Federal Claims Collection Standards and 28 U.S.C. 2415 or 31 U.S.C. 3716(c)(1).</p> <p>Records relating to claims for money or property which were administratively determined to be due and owing to the United States and which are subject to the Federal Claims Collection Standards (4 CFR Chapter II), EXCLUDING claims covered under subitem e below.</p> <p>(1) Claims which were paid in full or by means of a compromise agreement pursuant to 4 CFR Part 103.</p> <p>Destroy when 6 years, 3 months old.</p> <p>(2) Claims for which collection action has been terminated under 4 CFR Part 104.</p> <p>(a) Claims for which the Government's right to collect was not extended.</p> <p>Destroy 10 years, 3 months after the year in which the Government's right to collect first accrued.</p> <p>(b) Claims for which the Government is entitled (pursuant to 28 U.S.C. 2415) to additional time to initiate legal action.</p> <p>Destroy 3 months after the end of the extended period.</p> <p>(3) Claims which the agency administratively determines are not owed to the United States after collection action was initiated.</p> <p>Destroy when 6 years, 3 months old.</p>	<p>GRS 6/10b (1)</p> <p>GRS 6/10b (2)(a)</p> <p>GRS 6/10b (2)(b)</p> <p>GRS 6/10b (3)</p>	

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	<p>e. Claims files that are affected by a court order or that are subject to litigation proceedings.</p> <p>Destroy when the court order is lifted, litigation is concluded, or when 6 years, 3 months old, whichever is later.</p>	GRS 6/10c	
307-09	<p><u>GAO Exceptions Files.</u></p> <p>Destroy 1 year after exception has been reported as cleared by GAO.</p>	GRS 6/2	
307-10	<p><u>Certificates Settlement Files.</u></p> <p>a. Certificates covering closed account settlements, supplemental settlements, and final balance settlements.</p> <p>Destroy 2 years after date of settlement.</p> <p>b. Certificates covering periodic settlements.</p> <p>Destroy when subsequent certificate of settlement is received.</p>	GRS 6/3a  GRS 6/3b	
307-11	<p><u>General Fund Files.</u> Records relating to availability, collection, custody, and deposit of funds, including appropriation warrants and certificates of deposit (SF-215).</p> <p>Destroy when 3 years old.</p>	GRS 6/4	
307-12	<p><u>Freight Files.</u> Original vouchers and support documents covering freight charges of settled fiscal accounts. Including registers and other control documents.</p> <p>a. Records covering payment for services furnished when the charges for any single bill of lading is less than \$100.</p> <p>Cut off at end of FY. Destroy when 3 years old.</p> <p>b. Records covering payment for freight charges for interstate and international transportation by freight forwarders or unaccompanied baggage or privately owned vehicles shipped separate from household goods.</p> <p>Destroy when 3 years old.</p> <p>c. Records covering payment for all other freight and passenger transportation not covered by items 1a(1) and 1(2).</p>	GRS 9/1c (1)  GRS 9/1a (2)  GRS 9/1a (3)	

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	Destroy when 6 years old.		
	d. Records covering payment for freight and passenger transportation charges for services for which notice of overcharge has been or is expected to be issued, deduction or collection action has been taken, voucher has become involved in litigation, detection of an undercharge or any other condition that requires the voucher be retained beyond the 3 or 6 year disposal period.	GRS 9/1a (4)	
	Destroy when 10 years old.		
307-13	<u>Lost or Damaged Shipments Files.</u>		
	Destroy when 3 years old.	GRS 9/2	
307-14	<u>Motor Vehicle Operating and Maintenance Files.</u>		
	a. Operating records, including those relating to gas and oil consumption, dispatching, and scheduling.	GRS 10/2a	
	Destroy when 3 months old.		
	b. Maintenance record, including those relating to service and repair.	GRS 10/2b	
	Destroy when 1 year old.		
307-15	<u>Motor Vehicle Cost Files.</u> Motor vehicle ledger and worksheets providing cost and expense data.	GRS 10/3	
	Destroy 3 years after discontinuance of ledger or date of worksheet.		
307-16	<u>Motor Vehicle Report Files.</u> Reports on motor vehicles other than accident, operating, and maintenance reports.	GRS 10/4	
	Destroy 3 years after date of report.		
307-17	<u>Motor Vehicle Accident Files.</u> Reports relating to motor vehicle accidents.	GRS 10/5	
	Destroy 6 years after case is closed.		
307-18	<u>Motor Vehicle Release Files.</u> Records relating to transfer, sale, donation, or exchange of vehicles.	GRS 10/6	
	Destroy 4 years after vehicle leaves agency custody.		
307-19	<u>Gasoline Sales Tickets.</u> Hard copies of sales tickets filed in support of paid vouchers for credit card purchases of gasoline.	GRS 6/7	

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307-20	<p>Destroy after GAO audit or when 3 years old, whichever is sooner.</p> <p><u>Agency Space Files.</u> Records relating to the allocation, utilization, and release of space under agency control, and related reports to GSA.</p> <p>a. Building plan files and related agency records used in space planning, assignment, and adjustment.</p> <p>Destroy 2 years after termination of assignment, when lease is canceled, or when plans are superseded or obsolete.</p> <p>b. Correspondence with and reports to staff agencies relating to agency space holdings and requirements.</p> <p>(1) Agency reports to the GSA regarding space occupied in "Metropolitan Washington" and "Outside the District of Columbia" and related papers.</p> <p>Destroy when 2 years old.</p> <p>(2) All other copies.</p> <p>Destroy when 1 year old.</p>	<p>GRS 11/2a</p> <p>GRS 11/2b (1)</p> <p>GRS 11/2b (2)</p>	
307-21	<p><u>Building and Equipment Service Files.</u></p> <p>Destroy 3 months after work is performed or requisition is canceled.</p>	<p>GRS 11/5</p>	
307-22	<p><u>Telecommunications Service Agreement and Reference Voucher Files.</u></p> <p>a. Copies of agreements with background data and other records relating to agreements for telecommunications services.</p> <p>Destroy 2 years after expiration or cancellation of agreement.</p> <p>b. Reference copies of vouchers, bills, invoices, and related records.</p> <p>Destroy when 1 year old.</p>	<p>GRS 12/2e</p> <p>GRS 12/2d (1)</p>	

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	Records relating to installation, change, removal, and servicing of equipment.  Destroy 1 year after audit or when 3 years old, whichever is sooner.	GRS 12/2d (2)	
307-23	<u>Telephone Records.</u> Telephone statements and toll slips.  Destroy after GAO audit or when 3 years old whichever is sooner.	GRS 6/8	
307-24	<u>Telephone Summaries.</u> Summaries of long distance telephone reports used to indicate authorized use of telephone service as well as to audit expense vouchers.  Destroy after the close of the FY in which audited.		
307-25	<u>Postal Records.</u>		
	a. Records related to incoming or outgoing registered mail pouches; registered, certified, insured, and special delivery mail, including receipts and return receipts.  Destroy when 1 year old.	GRS 12/5a	
	b. Application for postal registration and certificates of declared value of matter subject to postal surcharge.  Destroy when 1 year old.	GRS 12/5b	
	c. Report of loss, rifling, delay, wrong delivery, or other improper treatment of mail.  Destroy when 1 year old.	GRS 12/5c	
307-26	<u>Mail and Delivery Service Control Files.</u>		
	a. Records of receipt and routing of incoming and outgoing mail and items handled by private delivery companies.  Destroy when 1 year old.	GRS 12/6a	
	b. Statistical reports of postage used on outgoing mail and fees paid for private deliveries (special delivery, foreign, registered, certified, and parcel post or packages over 4 pounds).	GRS 12/6b	

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Destroy when 6 months old.

- c. Statistical reports and data related to handling of mail and volume of work performed.

GRS 12/6d

Destroy when 1 year old.

- d. Records related to checks, cash, stamps, money orders, or any other valuables remitted to the agency by mail.

GRS 12/6e

Destroy when 1 year old.

- e. Records of and receipts for mail and packages received through the Official Mail and Messenger Service.

GRS 12/6f

Destroy when 6 months old.

- f. Locator cards, directories, indexes, and other records related to mail delivery to individuals.

GRS 12/6h

Destroy 5 months after separation or transfer of individual or when obsolete, whichever is applicable.

- 307-27 Secure Access Files. Forms or lists used to record safe and padlock combinations, names of individuals knowing combinations, and comparable data used to control access into secure files. See Part I, Chapter I, on Filing Confidential Records.

GRS 18/7

Destroy when superseded by a new form or list.

- 307-28 Investigative Files. Investigative files accumulating from investigations of fires, explosions, aircraft accidents, and other accidents.

GRS 18/11

Destroy when 2 years old.

- 307-29 Personnel Security Clearance Files. Personnel security clearance files and related indexes maintained by the personnel security office.

- a. Files documenting the processing of investigations on Federal employment, whether or not a security clearance is granted; and other persons, such as those performing work for a Federal agency under contract, who require an approval before having access to Government facilities or to sensitive data.

GRS 18/22a

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	<p>Destroy upon notification of death or no later than 5 years after separation or transfer of employee, or no later than 5 years after contract relationship expires, whichever is applicable.</p> <p>b. Investigative reports and related papers furnished to agencies by investigative organizations for use in making security/suitability determinations.</p> <p>Destroy in accordance with the investigating agency instructions.</p>	GRS 12/22b	
307-30	<p><u>Personnel Security Clearance Status Files.</u> Lists or rosters showing the current security clearance status of individuals.</p> <p>Destroy when superseded or obsolete.</p>	GRS 12/23	
307-31	<p><u>Property Pass Files.</u> Property pass files authorizing removal of property or materials.</p> <p>Destroy 3 months after expiration or revocation.</p>	GRS 18/12	
307-32	<p><u>Personal Property Accountability Files.</u> Files related to accountability for personal property lost or stolen.</p> <p>a. Ledger files.</p> <p>Destroy 3 years after final entry.</p> <p>b. Reports, loss statements, receipts, and other papers related to lost and found articles.</p> <p>Destroy when 1 year old.</p>	GRS 18/15a GRS 18/15b	
307-33	<p><u>Excess Personal Property Report Files.</u></p> <p>Destroy when 3 years old.</p>	GRS 4/2	
307-34	<p><u>Surplus Property Files.</u> Files on sales of surplus personal property comprised of invitations, bids, acceptances, lists of materials, evidence of sales, and related correspondence.</p> <p>a. Transactions of \$25,000 or more.</p> <p>Place in inactive file on final payment and transfer to FRC after 2 years. Destroy 6 years after final payment.</p>	GRS 4/3a	

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	<p>b. Transactions of \$25,000 or less.</p> <p>Cut off file at end of FY, retain 3 years, and destroy. Files on which actions are pending will be brought forward to the next FY files for destruction. Destroy 3 years after final payment.</p>	GRS 4/3b	
307-35	<p><u>Inventory Requisition Files.</u> Requisitions for supplies and equipment for current inventory.</p> <p>a. Record copy.</p> <p>Destroy 2 years after completion or cancellation of requisition.</p> <p>b. All other copies.</p> <p>Destroy when 6 months old.</p>	GRS 3/8a	
307-36	<p><u>Property/Inventory Files.</u></p> <p>a. Property/Inventory Lists.</p> <p>Destroy 2 years from date of list.</p> <p>b. Property Inventory Cards.</p> <p>Destroy 2 years after discontinuance of item, 2 years after stock balance is transferred to new card or recorded under a new classification, or 2 years after equipment is removed from agency control.</p> <p>c. Report of survey files and other papers used as evidence for adjustment of inventory cards not otherwise covered in the GRS.</p> <p>Destroy 2 years after date of survey action or date of posting.</p>	GRS 3/8b	
307-37	<p><u>Key Accountability Files.</u> Files relating to accountability for keys issued.</p> <p>Destroy 6 months after key has been returned.</p>	GRS 3/9a	
307-38	<p><u>Visitor Control Records.</u> Registers or logs used to record names of outside contractors, service personnel, visitors, employees admitted to areas, and reports on automobiles and passengers.</p>	GRS 3/9b	
		GRS 3/9c	
		GRS 18/16b	
		GRS 18/17	



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307-39	<p>Destroy 2 years after final entry or 2 years after date of document.</p> <p><u>Records Disposition Files.</u> Descriptive inventories disposal authorizations, schedules, and reports.</p> <p>a. Basic documentation of records description and disposition programs, including SF-115, Request for Records Disposition Authority; SF-135, Records Transmittal and Receipt; and related documentation.</p> <p>Destroy when related records are destroyed or transferred to the National Archives or when no longer needed for administrative or reference purposes.</p> <p>b. Working papers and background material.</p> <p>Destroy 6 months after final action on project report or 3 years after completion of report if no final action is taken.</p>	<p>GRS 16/2a</p> <p>GRS 16/3b</p>	
307-40	<p><u>Forms Files.</u></p> <p>a. One record copy of each form created by the agency with related instructions and documentation showing inception, scope, and purpose of form.</p> <p>Destroy 5 years after related form is discontinued, superseded, or canceled.</p> <p>b. Working papers, background material, requisitions, specifications, processing data, and control records.</p> <p>Destroy when related form is discontinued, superseded, or canceled.</p>	<p>GRS 16/3a</p> <p>GRS 16/3B</p>	
307-41	<p><u>Records Holding Files.</u> Statistical reports of agency records holdings, including Federal reports from all offices and data on the volume of records disposed of by destruction or transfer.</p> <p>a. Record held by offices which prepare reports on an agency-wide records holding for submission to GSA.</p> <p>Destroy when 3 years old.</p>	<p>GRS 16/4a</p>	

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	<p>b. All other copies.</p> <p>Destroy when 1 year old.</p>	GRS 16/4b	
307-42	<p><u>Report Control Files.</u> Files maintained for each OSM report created or proposed, including public use reports. Includes SF-83; pertinent forms or descriptions of format; authorizing directives; preparation instructions; and documents relating to the evaluation, continuation, revision, and discontinuation of reporting requirements.</p> <p>Destroy 2 years after report is discontinued.</p>	GRS 16/6	
307-43	<p><u>Directives Record Set.</u> Arrange alphabetically, then numerically. Official file copy of each formal policy and procedural issuance published by OSM (also known as the historical file of directives).</p> <p>a. Record copy only of directives related to agency program functions.</p> <p><u>PERMANENT.</u> Place in inactive file when canceled or superseded. Transfer to FRC 3 years after canceled or superseded. Offer to NARA in 5-year blocks after 20 years.</p> <p>b. Issuances related to routine administrative functions.</p> <p>Destroy when superseded or obsolete.</p>	603-18	
307-44	<p><u>Directives Supporting Case Files.</u> Documents related to the preparation, review, clearance, publication, and distribution of OSM directives. Includes material on the concurrence and concurrence of draft issuances, revisions, and cancellations.</p> <p>a. Case files related to agency program functions (307-43a) which document important aspects of the development of the issuance.</p> <p><u>PERMANENT.</u> Place in inactive file when canceled or superseded. Transfer to FRC 3 years later. Offer to NARA in 5-year blocks after 20 years.</p> <p>b. Case files related to routine administrative functions.</p> <p>Destroy when canceled or superseded.</p>	603-19	

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307-45	<p><u>Working Papers and Background Material Related to Directive Case Files.</u> Includes materials such as notes, studies, analyses, and interim reports.</p> <p>Destroy 6 months after final action on project report or 3 years after completion of report if no final action is taken.</p>		

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<p>Organization, Planning, and Management</p>			
308-01	<p><u>OSM Management Plan Files.</u> Arrange as appropriate. Files containing specific plans, i.e., human resources management plan relating to organization, planning, and management of OSM.</p> <p>a. Record copy (maintained in RDIM, Headquarters)</p> <p><u>PERMANENT.</u> Cut off obsolete or superseded plans at close of FY. Transfer to FRC 3 years after cutoff. Offer to NARA in 5-year blocks 20 years after cutoff.</p> <p>b. All other copies.</p> <p>Destroy when superseded or no longer needed for reference.</p>	607-03	
308-02	<p><u>Program Evaluations and Studies Files.</u> Arrange as appropriate. Files contain functional analyses, organization and reorganization studies, implementation policy, internal control reviews, scheduled and unscheduled program evaluations, special studies, and related material.</p> <p>Cutoff file at end of FY after final action. Transfer to FRC 3 years after cutoff. Destroy 10 years after cutoff.</p> <p><u>Delegations/Redelegations of Authority Files.</u> Delegations involving authority from the Director to specific positions delegations/redelegations approving officials to delegate authority to lower levels of management.</p> <p>a. Record copy only.</p> <p>Destroy 6 years after expiration or when superseded.</p> <p>b. All other offices.</p> <p>Destroy when expired or superseded.</p>	602-34	
308-04	<p><u>Employee Designations Files.</u> Designations of employees to receive, handle, have custody of, or account for monies, negotiable instruments, remittances, repayments, collection of loans, and other funds received, or administer control of funds as a result of the activities of the agency.</p>		

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308-05	<p>a. Record copy only.</p> <p>Destroy 6 years and 3 months after designation.</p> <p>b. All other copies.</p> <p>Destroy after expiration or when superseded.</p> <p><u>Memoranda of Understanding Agreement Files.</u> Documents relating to agreements between OSM and other Federal or non-Federal agencies, States or tribes to perform a specific service. No funds are involved in these agreements.</p> <p>a. Record copy (maintained in RDIM, Headquarters)</p> <p>Cutoff file at close of FY when superseded, terminated, or expired. Transfer to FRC 3 years after cutoff, if volume warrants. Destroy 10 years after cutoff.</p> <p>b. All other copies.</p> <p>Destroy when superseded, terminated, or expired.</p>		

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400-01	<p>400 SERIES - ADMINISTRATIVE RECORD</p> <p>The Administrative Record. Official file of public comments; meeting transcripts; drafts; <u>Federal Register</u> submissions and other material supporting OSM initial regulations; permanent regulations, such as State program regulations and amendments thereto and Abandoned Mine Land regulations; Regulatory Analysis; and Environmental Impact Statements.</p> <p>a. Initial Regulations Administrative Record. Arrange by section of the regulations. Records include technical reference literature and bibliography, preamble to proposed rules, proposed rules, final rules, <u>Federal Register</u> notices, worksheets on comments received, originals and photocopies of comments received, indexes of comments, transcripts of public hearings, and other similar records.</p> <p>(1) Technical literature and related bibliography.</p> <p>Destroy when no longer needed for reference or donate to Departmental Library. (NOTE: Technical literature and related bibliography must be maintained as long as the rule to which it pertains is in effect.)</p> <p>(2) Official record copy.</p> <p>Transfer to FRC 10 years after publication of initial regulations. Destroy 25 years after publication.</p> <p>b. Permanent Regulations Administrative Record. Arrange by section of the regulations. Records include technical reference literature and bibliography, worksheets containing evaluation of public comments, draft regulations, originals and photocopies of public comments, indexes of comments, transcripts of public hearings, summaries of public meetings, proposed and final rules, <u>Federal Register</u> submissions and notices, and other similar records.</p> <p>(1) Technical literature and related bibliography.</p> <p>Destroy when no longer needed for reference or donate to Departmental Library. (NOTE: Technical literature and related bibliography must be maintained as long as the rule to which it pertains is in effect.)</p>	603-21	

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(2) Internal drafts, progress reports, and working papers not contributing substantively to the history of the regulations.

Destroy upon publication of the regulations.

(3) Official record copy.

Transfer to FRC 10 years after publication of permanent regulations. Destroy 25 years after publication.

c. State Programs and Amendment Regulations. Arrange by section of the regulations (30 CFR 901 through 950). Records include State regulations, State statutes, official State program submissions, amendments and modifications to State submissions, executive recommendations and/or written notifications of official submissions, written public comments, transcripts of public hearings, records of public meetings and telephone conversations, summary records of all discussions and meetings about a State program, comments from other agencies and the public, Federal Register notices, official correspondence, and relevant technical literature. Internal memoranda should not, as a matter of course, be included in the Administrative Record. There may be occasions, however, when it may be useful to include a Solicitor's opinion or explanatory internal memorandum. Decisions on the inclusion of internal memoranda should be made on a case-by-case basis.

(1) Technical literature and related bibliography.

Destroy when no longer needed for reference or donate to Departmental Library. (NOTE: Technical literature and related bibliography must be maintained as long as the rule to which it pertains is in effect.)

(2) Internal drafts, progress reports, and other working papers not contributing substantively to the history of the regulations.

Destroy upon publication of the regulations.

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10. ACTION  
TAKEN  
(NARS USE  
ONLY)

(3) Official record copy.

Transfer to FRC 10 years after publication of the final regulations. Destroy 25 years after publication.

d. Abandoned Mine Land Regulations. Arrange by the regulations. Records include those related to preparation of regulations of 30 CFR Parts 872, 874, 875, 877, 879, 880, 881, 882, 884, 886, 887, and 888, which incorporate Title IV of P.L. 95-87. Records include proposed regulations, drafts, internal comments, notes for preambles, verbatim proceedings of public hearings on proposed rules, final rules, comments from other agencies and the public, submissions to the Federal Register and copies of the Federal Register, and technical literature and bibliography used as background to the rules and regulations.

(1) Technical literature and related bibliography.

Destroy when no longer needed for reference. Not authorized for transfer to FRC. (NOTE: Technical literature and related bibliography must be maintained as long as the rule to which it pertains is in effect.)

(2) Official record copy.

Transfer files to FRC 10 years after publication of the final regulations. Destroy 25 years after publication.

e. Regulatory Analysis (RA) Administrative Record. Records include original comments received and technical reference literature.

603-21c

(1) Official record copy.

Transfer to FRC 10 years after issuance of final RA. Destroy 25 years after issuance.

f. OSM Environmental Impact Statement (EIS) Administrative Record. Records include original comments received.

603-21D

Transfer to FRC 10 years after issuance of final EIS. Destroy 25 years after issuance.



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g. Extra copies of Federal Register, EIS, and RA.

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Destroy when no longer needed for reference.

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	<p>500 SERIES - MATERIAL COMMON TO MOST OFFICES</p> <p>NO MATERIAL IN THIS SERIES SHOULD EVER BE SENT TO A FEDERAL RECORDS CENTER FOR STORAGE.</p> <p>This section defines the type of material commonly generated in most offices and provides standards for disposing of it. It accumulates in offices as a convenience to personnel and should be kept to a minimum. This material is often found interfiled with official papers, but this files maintenance practice is to be avoided. Ideally, much of this material should be destroyed <u>without ever having been filed</u>. Keeping it out of files reduces volume and makes files more useful. If, however, it is filed, it should be kept separate from official records.</p>		
500-01	<p><u>Reading or Chronological Files.</u> Nonrecord copies of correspondence prepared and maintained by the originating office solely as a reading or reference file for the convenience of personnel.</p> <p>Cut off at close of FY. Destroy 2 years after cutoff or when reference value has been exhausted, whichever is sooner.</p>	701-02	
500-02	<p><u>Suspense Files.</u> Also known as Tickler Files or Follow-up Files. Papers arranged in chronological order as a reminder that an action is required on a given date; a reply to an action expected and, if not received, should be traced; or a transitory paper held for reference that may be destroyed on a given date. Examples of papers in suspense files are:</p> <p>a. A note or other reminder to submit a report or to take some other action.</p> <p>Destroy after action is taken.</p> <p>b. The file copy or an extra copy of an outgoing communication filed by the date on which a reply is expected.</p> <p>Withdraw papers when reply is received. If suspense copy is an extra copy, destroy it; if it is the file copy, place it in the official file.</p>	701-03	
		GRS 23/6a	
		GRS 23/6b	

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	<p>c. Papers that lose their value in 30 days or less.</p> <p>Destroy on suspense date.</p>		
500-03	<p><u>Transitory Files.</u> Papers of short-term interest that have no documentary or evidential value and normally need not be retained more than 90 days. Examples include: Routine requests for information or publications and copies of replies that require no administrative action, no policy decision, and no special compilation or research for reply; letters of transmittal that do not add any information to the transmittal material; and quasi-official notices that do not serve as the basis of official action (e.g., announcements of holidays or Combined Federal Campaign, bond campaigns, and similar papers). They exclude items described elsewhere in this schedule.</p> <p>Cut off file monthly. Destroy 3 months after cutoff or when no longer needed, whichever is sooner.</p>	701-04 GRS 23/7	
500-04	<p><u>Routine Control Files.</u> Papers used to ease or control work in progress, such as job control records, status cards, routing slips, work processing sheets, and records that control work flow and record action taken or serve as receipts for records charged out. Excludes control files listed elsewhere in this schedule.</p> <p>Destroy when work is completed or when no longer needed.</p>	701-05 GRS 23/8	
500-05	<p><u>Reference Copies of Agency Directives and Publications.</u> Arrange as appropriate. Extra copies of local, internal, and external regulations, OSM Annual Report, directives, publications of OSM and DOI manual releases, bulletins, circulars, pamphlets, and public relations material.</p> <p>Keep copies at the minimum necessary for official reference. Destroy when superseded, obsolete, or no longer needed for reference.</p>	701-06	
500-06	<p><u>Publications of Other Government Agencies.</u> Copies of Congressional documents, OMB circulars, Code of Federal Regulations, <u>Federal Register</u>, GSA publications, and State publications.</p> <p>Destroy when superseded, obsolete, or no longer needed for reference.</p>	701-07	

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500-07	<p><u>Non-Government Publications.</u> Arrange as appropriate. Publications of commercial firms, private institutions, vendors, catalogs, brochures, price lists, and similar publications.</p> <p>Destroy when superseded or obsolete.</p>	701-08	
500-08	<p><u>Library Material.</u> Arrange as appropriate. Extra copies of books, pamphlets, journals, and similar material. Examples include handbooks for Small Operators; Reclamation Techniques Which Preserve and Enhance Water Quality and Quantity in the East; and Program Guidance Primer on Assistance for the Small Operator Under the Surface Mining Control and Reclamation Act of 1977.</p> <p>Destroy when superseded, obsolete or no longer needed for reference.</p>	701-09	
500-09	<p><u>Technical Reference Material.</u> Arrange as appropriate. Copies of reports, AML Operations Manual, studies, special compilations of data, drawings, periodicals, clippings, etc., needed for reference and information purposes but not part of the official files. Materials are prepared both internally and externally.</p> <p>Review annually and destroy material of no further reference value.</p>	701-10	
500-10	<p><u>Reference Files.</u> Duplicate or "for information" copies of documents kept solely for convenience or reference purposes. Examples include press releases, news releases, biographical files, press clipping files, speeches, Grassroots.</p> <p>Review annually and destroy when no longer needed.</p>	701-11	
500-11	<p><u>Administrative Training Aids.</u> Examples include procurement training, Records Management Manual, etc.</p> <p>Destroy when no longer needed.</p>		
500-12	<p><u>Technical Training Aids.</u> Includes Inspector's Training Handbook, Inspector's Guide Book, Blasters Training, etc.</p> <p>Destroy when no longer needed.</p>		
500-13	<p><u>File Maintenance and Disposition Plan.</u></p> <p>Destroy when superseded.</p>		