

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

## **Schedule Number: N1-057-08-001**

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 10/12/2022

### **ACTIVE ITEMS**

These items, unless subsequently superseded, may be used by the agency to disposition records.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

All other items remain active.

### **SUPERSEDED AND OBSOLETE ITEMS**

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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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

Item 101-04b2 was superseded by DAA-0048-2013-0001-0001

Item 102-02 was superseded by DAA-0048-2013-0008-0004

Item 202-01c was superseded by DAA-0048-2013-0001-0013

Item 301-01e was superseded by DAA-0048-2013-0001-0013

Item 303-01a was superseded by DAA-0048-2013-0001-0011

Item 303-05c was superseded by DAA-0048-2013-0001-0010

Item 303-08a was superseded by N1-057-11-001, item 303-08a

Item 303-08c was superseded by N1-057-11-001, item 303-08c

Item 303-08d was superseded by N1-057-11-001, item 303-08d

Item 303-08e was superseded by N1-057-11-001, item 303-08e

Item 306-03 was superseded by DAA-0048-2013-0001-0001

Item 306-04 was superseded by DAA-0048-2013-0001-0011

Item 306-05 was superseded by DAA-0048-2013-0001-0001

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

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Item 306-06 was superseded by DAA-0048-2013-0001-0002  
Item 401-01 was superseded by DAA-0048-2013-0001-0004  
Item 401-02 was superseded by DAA-0048-2013-0001-0004  
Item 404-04 was superseded by DAA-0048-2013-0001-0004  
Item 404-06 was superseded by DAA-0048-2013-0001-0004  
Item 404-12m was superseded by DAA-0048-2013-0001-0004  
Item 405-01a was superseded by DAA-0048-2013-0001-0004  
Item 405-01b was superseded by DAA-0048-2013-0001-0004  
Item 408-01a was superseded by DAA-0048-2013-0001-0004  
Item 408-01b was superseded by DAA-0048-2013-0001-0005  
Item 408-01c was superseded by DAA-0048-2013-0001-0004  
Item 408-06a was superseded by DAA-0048-2013-0001-0004  
Item 409-07 was superseded by DAA-0048-2013-0001-0005  
Item 412-01 was superseded by DAA-0048-2013-0001-0005  
Item 412-04 was superseded by DAA-0048-2013-0001-0004  
Item 413-01a was superseded by DAA-0048-2013-0001-0013  
Item 413-01b was superseded by DAA-0048-2013-0001-0005  
Item 413-01c1 was superseded by DAA-0048-2013-0001-0013  
Item 413-01c2 was superseded by DAA-0048-2013-0001-0005  
Item 413-01d was superseded by DAA-0048-2013-0001-0014  
Item 413-01e was superseded by DAA-0048-2013-0001-0004  
Item 413-02a was superseded by DAA-0048-2013-0001-0005  
Item 413-03 was superseded by DAA-0048-2013-0001-0005  
Item 415-01b was superseded by DAA-0048-2013-0001-0005  
Item 415-01d2 was superseded by DAA-0048-2013-0001-0005

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

As of 10/12/2022

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		LEAVE BLANK (NARA use only)	
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD, COLLEGE PARK, MD 20740-6001		JOB NUMBER <i>NI-057-08-1</i>	
1. FROM (Agency or establishment) <i>Department of the Interior</i>		Date Received <i>10/02/07</i>	
2. MAJOR SUB DIVISION <i>U.S. Geological Survey</i>		NOTIFICATION TO AGENCY  In accordance with the provisions of 44 U.S.C 3303a, the disposition request, including amendments is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
3. MINOR SUBDIVISION <i>Geospatial Information Office</i>			
4. NAME OF PERSON WITH WHOM TO CONFER <i>Carol Wippich</i>	5. TELEPHONE <i>703-648-7109</i>	DATE <i>11/17/08</i>	ARCHIVIST OF THE UNITED STATES <i>Alber...</i>
6. AGENCY CERTIFICATION I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached _____ page(s) are not needed now for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, <input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE <i>9/25/07</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>John Faundeen</i>		TITLE <i>Acting Records Officer</i>
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	<i>See attached sheets</i>  <i>U.S. Geological Survey General Records Disposition Schedule</i>  <i>See attached</i>  <i>Chapters 100, 200, 300, and 400</i>		

*All 8/20/08 copies sent to Agency, scanned sent to NARA, NARA ME, NARA W, NARA SP, NARA R, NARA*

**CHAPTER 100. ORGANIZATIONAL, HISTORY, ADMINISTRATIVE MANAGEMENT, AND PROGRAM POLICY AND MANAGEMENT RECORDS**

Because of the nature of the activities documented in this section, most of these records have a continuing value to the bureau and are vital to the history of the USGS and care should be taken to ensure that they are preserved and transferred according to this disposition schedule.

**Chapter 100 Topics. This section provides for the disposition of the following:**

- 101 Organizational, History, Administrative Management, and Commissions/Councils/Boards/Committee Records
- 102 Program Management, Director's, Project, and Oversight Records
- 103 Bureau Directives and Federal Register Notices

**101. Organizational, History, Administrative Management, and Commissions/Councils/Boards/Committee records include the following records:**

- 101-01 Organizational Functions and USGS Histories - Official organizational and reorganization documents, narrative histories, and related records.
- 101-02 Agency Management Plans, Surveys, Studies, Strategies, and Initiatives - Records that contribute to increasing efficiency and improving performance.
- 101-03 Final Agency-Level Strategic and Performance Plans – Strategic and performance plans which state bureau goals, objectives, performance indicators, and strategies for accomplishment.
- 101-04 Temporary Commissions, Councils, Boards, Committees, and Conference Records – Includes Federal Advisory Committee Act (FACA) records, interagency, international, advisory, and high-level internal committees, and all other committee records. Also, includes conference materials which document the conference.

**102. Program Management, Director's, Project, and Oversight Records include the following records:**

- 102-01 Program Mission Files – Relates to the primary function of the USGS. To be used only with the authorization of the USGS Records Management Officer.
- 102-02 Correspondence Control System – Electronic tracking system for bureau controlled correspondence.
- 102-03 Bureau Director's Files – Copies of signed Director's Office correspondence.
- 102-04 Program Policy, Direction, and Decision Case Files – Case files which document major policies and other decisions not documented in a mission-related directives case file.
- 102-05 Project Records – Records reflecting the complete history of projects not covered in a USGS mission-specific records schedule.
- 102-06 Oversight Files – Files pertaining to oversight responsibilities.
- 102-07 General Reports and Correspondence Files – Miscellaneous reports and materials and any copies of records found in this chapter.

**103. Bureau Directives and Federal Register Notices include the following records:**

103-01	Bureau Directives Files – Records of both temporary and permanent bureau directives.
103-02	Bureau Directives Management Program Files – Records relating to program oversight.
103-03	Bureau External Directives Case Files – Records documenting notices open to the public and rules scheduled for review.

**What records in this chapter are important or considered permanent USGS records?**

- Official organizational charts, narrative histories, studies, and related records that document the internal organization/reorganization and functions of the USGS.
- Record copies of bureau Strategic and other high-level bureau Performance Plans.
- Records documenting Federal Advisory Committee Act (FACA) Advisory Commissions.
- Internal bureau records documenting interagency, international, advisory, and high-level internal committees related to the bureau mission.
- Program mission files.
- Director's Office correspondence.
- Program policy, direction, and decision case files.
- Project case files.
- Bureau internal directives and Survey Manual chapters.

**What records in this section are considered temporary USGS records?**

- Agency management plans, surveys, studies, strategies, and initiatives which contribute to increasing efficiency and improving performance.
- Committee records of committees established under FACA.
- All other internal bureau committee records.
- Conference records.
- Supporting project records.
- Oversight files.
- General correspondence records.
- Bureau directives management program and copies of bureau directives and Survey Manual chapters.
- Federal Register related files.
- Semiannual Agenda files.

**Questions?**

Contact the USGS Records Manager or your discipline or regional Records Liaison Officer - <http://internal.usgs.gov/gio/irm/fmassis2.html>

**CHAPTER 100. ORGANIZATIONAL, HISTORY, ADMINISTRATIVE  
MANAGEMENT, AND PROGRAM POLICY AND MANAGEMENT RECORDS**

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
<p><b>101. Organizational, History, Administrative Management, and Commissions/Councils/Boards/Committee Records.</b> Official organization charts, narrative histories, studies, and related records that document the internal organization/reorganization and functions of the USGS. Commissions/Council/Board/ Committee records related to the establishment, organization, accomplishments, and eventual termination.</p>		
<p><b>101-01. Organizational Functions and USGS Histories.</b> Records, created for and/or maintained at the Director's, Associate Director's, and Regional Director's levels, relating to the establishment of and changes in organization, functions, and relationships of bureau activities. Included are official organization charts, narrative histories (including oral history projects), studies, reorganizations, and related records that document the internal organization and functions of the bureau. Include oral history interviewee release forms, and any existing transcripts of interviews. Do not include copies of the USGS documents made for convenient reference.</p>	<p><b>PERMANENT.</b> Cutoff at the end of the fiscal year in which the project is completed. Transfer to the Federal Records Center (FRC) 5 years after cutoff. Transfer to the National Archives and Records Administration (NARA) in 5-year blocks when 20 years old. Transfer original or earliest generation recordings in appropriate format, and a copy for reference, if one exists, directly to NARA when 10 years old.</p>	<p>N1-57-01-04, Item 101-01a(1)</p>
<p><b>101-02. Agency Management Plans, Surveys, Studies, Strategies, and Initiatives.</b> Documents bureau plans, surveys, studies, strategies, and initiatives which contribute to increasing efficiency and improving performance. These could result from shifting strategic directions or mandated activities such as from the President's Management Agenda and Office of Management and Budget (OMB) directed initiatives such as the Fair Act Inventory which may involve workforce implications. May include bureau planning documents,</p>	<p>Cutoff at the end of the fiscal year in which plan, survey, study, strategy, or initiative is implemented or completed. Destroy 7 years after cutoff or when superseded, obsolete, or no longer needed, whichever is later.</p>	<p>N1-57-01-04, Item 101-02</p>

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
inventories, workload studies, administrative task force files, benefit and risk analysis, reports, team minutes, and action plans.		
<b>101-03. Final Agency-Level Strategic and Performance Plans.</b> Developed for establishment of performance goals, final agency level performance reports, and annual performance plans as related to strategic plan goals, which are submitted to the USGS Director, Department of the Interior, OMB, and Congress. Annual performance plans state goals, objectives, performance indicators, and strategies for accomplishment.	<b>PERMANENT.</b> Cutoff when superseded. Transfer to NARA in 5-year blocks 20 years after cutoff.	N1-57-01-04, Item 101-05a(2)
<b>101-04. Temporary Commissions, Councils, Boards, Committees, and Conference Records.</b> <ul style="list-style-type: none"> <li>• Contains directives, correspondence, and reports relating to the establishment, organization, membership, policy, and termination of temporary commissions, boards, councils, and committees. In the case of interagency bodies, covers the records maintained by the designated secretariat as well as records accumulated by other commission members. Arrange alphabetically by subject.</li> <li>• Conference materials that document the conference.</li> </ul>		
<b>101-04a. Advisory Commissions, Councils, Boards, Committees, and Other Groups Established under the Federal Advisory Committee Act (FACA).</b> Established by statute or reorganization plan; established or utilized by the President; or established or utilized by one or more agencies or officers of the Federal Government.		
<b>101-04a(1). Records Documenting the Commission's Establishment, Membership, Policy, Organization, Deliberations, Findings, and Recommendations.</b> Includes such records as original charter; minutes; testimony; transcripts of meetings; reports; studies; pamphlets; posters; publications; speeches; key correspondence; research	<b>PERMANENT.</b> Transfer to NARA on termination of the Commission. Earlier transfer is authorized for commissions operating for 3 years or longer.	New Item – GRS 26/2a

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
records; questionnaires; surveys; raw data; and records created to comply with the provisions of the Government in the Sunshine Act (annual reports to Congress).	NOTE: Prior to termination consult NARA to review web site records and electronic records.	
<p><b>101-04a(2). Records that Relate to Day-to-Day Commission Activities.</b> Records which do not contain unique information of historical value, including working files, pictures of members and staff, extra copies of records, and routine records.</p> <p>NOTE: Prior to destruction, NARA, in consultation with Commission staff, will review records covered by this item and may identify files that warrant permanent retention. Such records will be transferred to NARA at the time that related permanent records are transferred.</p> <p>Administrative records generated by an advisory committee may be disposed of in accordance with schedule items that pertain to the subject of those records (i.e., budget, personnel).</p>	Destroy when 3 years old.	<del>New Item – GRS 26/2b</del>
<b>101-04a(3). Committee Management Records.</b>		
<p><b>101-04a(3)(a). Records Maintained by the Agency Committee Management Officers for Committees Established under FACA.</b> Records include the establishment, appointment of members, and operation and termination of chartered FACAs.</p>	Destroy when 6 years old.	<del>New Item – GRS 26/4</del>
<p><b>101-04a(3)(b). Committee Records not Maintained by the Agency Committee Management Officers.</b></p> <p>NOTE: Records of an international committee held by the U.S. member or representative when the U.S. is not the sponsor or Secretariat should be described on a SF-115 and submitted to NARA for disposition authority.</p>	Destroy when 3 years old	<del>New Item – GRS 26/3</del>
<b>101-04b. Agency Committees and Conference Records.</b>		



RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
<p><b>101-04b(1). Record Copy.</b> Interagency, international, advisory, and high-level internal committees related to the bureau's mission and agency conference records. Agendas, minutes, electronic mail (e-mail), word processing records, final reports, and all related records documenting the accomplishments of official boards and committees. Maintained by the office of committee origin. Examples: Executive Leadership Team, Regional Leadership Team, and the Federal Geographic Data Committee.</p>	<p><b>PERMANENT.</b> Transfer to FRC 5 years after termination. Transfer to NARA in 5-year blocks 20 years after termination.</p>	<p>RCS/Item 201-02a(1) and NC1-57-81-2, Item 6a(1)</p>
<p><b>101-04b(2). All Other Agency Committee Records and Conference Records.</b> Any other records created by agency committees as well as any records created by internal committees. Also, any copies of conference materials that document the purpose, activities, and results of agency conferences.</p>	<p>Destroy when 3 years old or when no longer needed for reference.</p>	<p>RCS/Item 201-02a(2) and NC1-57-81-2, Item 6a(2)</p>
<p><b>102. Program Management, Director's, Project, and Oversight Records.</b></p>		
<p><b>102-01. Program Mission Files.</b> Program mission records, maintained anywhere throughout the bureau, that directly relate to primary functions of the USGS and definitely do not fit within the authorized USGS discipline mission-specific records disposition schedules. Program mission records include, but are not limited to, research in biology, geology, topography, geochemistry, hydrology, geophysics, oceanography, and related sciences; inventorying national mineral, energy and water resources; classification of Federal lands for mineral and waterpower potential; surveying and mapping; publication of maps and reports detailing the results of these activities.</p> <p>NOTE: This item can only be used with the authorization of the USGS Records Management Officer.</p>	<p><b>PERMANENT.</b> Cutoff at the end of the fiscal year. Transfer to FRC 5 years after break. Transfer to NARA in 5-year blocks 20 years after file break</p>	<p>N1-57-01-04, Item 102-01a</p>
<p><b>102-02. Correspondence Control System.</b> Located in the USGS senior level executive</p>	<p><b>PERMANENT.</b> Transfer electronic records to</p>	<p>New Item</p>

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
<p>offices. These electronic files provide a correspondence locator, follow-up control and subject reference for correspondence received in the Office of the Director. The files contain document numbers assigned to correspondence, subjects, dates, and action office information. Input is from incoming and outgoing correspondence on a daily basis. Completed files are retired from the master file.</p> <p>NOTE: Official files in the Director's File Room are specifically identified in Item 102-03 below.</p>	<p>NARA every 3 years with any related documentation, finding aids, and related information as specified in 36 CFR 1228.270 or according to standards applicable at the time of transfer.</p>	
<p><b>102-03. Bureau Director's Files.</b> Copies of signed Director's Office correspondence.</p>	<p><del>PERMANENT. Cutoff at the end of the fiscal year. Transfer to FRC 3 years after cutoff. Transfer to NARA 20 years after file break.</del></p>	<p><del>N1-57-01-04, Item 102-01b(1)</del></p>
<p><b>102-04. Program Policy, Direction, and Decision Case Files.</b> Case files, arranged by program activity name, containing documentation of major policy and other decisions that are not documented in a mission-related directives case file. These records provide a complete history of major events, approvals, and changes in program direction and other important actions.</p>	<p><del>PERMANENT. Cutoff at the end of the fiscal year or if accumulation is limited; cutoff every 5 years. Transfer to FRC 10 years after cut-off. Transfer to NARA 30 years after cutoff.</del></p>	<p><del>N1-57-01-04, Item 101-03</del></p>
<p><b>102-05. Project Records.</b></p>		
<p><b>102-05a. Project Case Files.</b> Files reflect complete history of each project and may include planning documents, records of appraisal, evaluation, or review; test and trial results; reports; scientific peer review records; original observations, laboratory notes, notebooks, equipment printouts, and models; sampling methods; final results; copies of contracts or agreements for research services; drawings, specifications, and photographs of designed items; technical and progress reports; notices of completion or cancellation, and any correspondence or other action or discussion affecting the development of the</p>	<p><del>Cutoff upon completion of the project. Transfer to FRC 2 years after cutoff. Destroy 30 years after cutoff.</del></p>	<p><del>RCS/Item 202-02 and NC1-57-81-2, Item 32</del></p>

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
<p>project. Related records may include computer disks and other electronic media and information. This item should not be used if the project case file is covered more specifically in a USGS mission-specific records schedule. Copies of records may also be cross-filed in the bureau, discipline, regional, or office budget and accounting files if expenditure or receipt of funds is involved within their area.</p>		
<p><b>102-05b. Supporting Project Technical Information.</b> Includes incidental project information not appropriate to the official project case file, i.e., not necessary to the official history of the project or are not of sufficient value for the incorporation into the project case files. Includes preliminary data and information, administrative correspondence, project reports, records containing technical and scientific data that has been duplicated in the project case file.</p>	<p>Destroy when project final results are published.</p>	<p>New Item</p>
<p><b>102-05c. Project Summary.</b> Copy of the project's key information such as proposal, formal work plan, summary of project finances, listing of key contacts, presentation materials, and final report retained in the Project Chief/Scientist files.</p>	<p>Destroy when no longer needed for reference.</p>	<p>New Item</p>
<p><b>102-06. Oversight Files.</b> Correspondence and related materials pertaining to oversight responsibilities, i.e., Regional or Administrative offices. Includes, but not limited to, internal and/or external correspondence; records on areas of oversight (organized by subject or location); and general records relating to oversight responsibilities.</p>	<p>Cutoff at the end of the fiscal year. Destroy 6 years after cutoff.</p>	<p>RCS/Item 102-02b and NCI-57-82-4, Item 2B</p>
<p><b>102-07. General Reports and Correspondence Files.</b> Miscellaneous reports and any materials or any copies of records, for all areas contained in this chapter.</p>	<p>Cutoff at the end of the fiscal year. Destroy 2 years after cutoff.</p>	<p>New Item</p>
<p><b>103. Bureau Directives and Federal Register Notices.</b></p>		
<p><b>103-01. Bureau Directives Files.</b> The USGS directives system is comprised of both</p>		

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
<p>temporary and permanent directives. Temporary directives are in effect for a short period of time. The USGS manual system is a permanent record of written policy and procedural instructions consisting of directives indexes, manual sections, manual supplements, handbooks, and handbook supplements. All Survey Manual (SM) issuances at the bureau, discipline, and regional level, with supporting documents, if any, document important aspects of development. These directives announce major changes in bureau policies and procedures. Also, included are all Departmental Manual issuances, developed by the bureau, that document the organizational structure of the USGS.</p>		
<p><b>103-01a. Bureau Internal Directives Case Files.</b> Record copy and supporting documentation of directive related to bureau program functions, organizations, etc., issued through the SM or discipline Operating Manuals, or organizational issuances published in the Departmental Manual. Maintained by the individual or staff responsible for directives control and distribution in the originating office.</p>	<p><b>PERMANENT.</b> Cutoff at the end of the fiscal year. Retire to FRC when volume exceeds at least 1 cubic foot. Transfer to NARA in 5-year blocks when 20 years old.</p>	<p>N1-57-89-1, Item 203-01a</p>
<p><b>103-01b. Temporary Issuances.</b> Issuances related to routine administrative functions (e.g., payroll, procurement, personnel, property, vehicles, budget, forms, reports, mail, and printing). Maintained by the originating office.</p>	<p>Destroy when issuance is superseded, canceled, or no longer needed for reference. Destroy any supporting documentation when issuance is destroyed.</p>	<p>N1-57-02-02, Item 205-01b</p>
<p><b>103-02. Bureau Directives Management Program Files.</b> Correspondence and material accumulated as a result of managing the directives program established to develop internal policy and procedural instructions. Includes preparation, format, revision, clearance, publication, distribution, and sales of instructions and releases.</p>	<p>Cutoff at the end of the fiscal year. Destroy 3 years after cutoff or when no longer needed for administrative purposes, whichever is later.</p>	<p>N1-57-02-02, Item 205-03</p>
<p><b>103-03. Bureau External Directives Case Files.</b></p>		

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
<p><b>103-03a. Federal Register Notices.</b> Material documenting the processing of notices announcing committee meetings, including meetings open to the public under the Government in Sunshine Act (5 U.S.C. 552b(e)(3)); hearing and investigations; filing of petitions and applications; issuance or revocation of a license; grant application deadlines, the availability of certain environmental impact statements; delegations of authority; and other matters that are not codified in the Code of Federal Regulation. (See note below).</p> <p>(Note: Agency files documenting the development, clearance, and processing of proposed and final rules for publication in the Federal Register are not covered by the General Records Schedules. These records may be, but are not necessarily, permanent. They must be scheduled individually by each agency so NARA can conduct an analysis and appraisal to determine their appropriate disposition.)</p>	Destroy when 1 year old.	N1-57-02-02, Item 205-02c
<p><b>103-03b. Temporary Issuances of Regulations/Notices Maintained for Reference.</b></p>	Destroy when reference need expires.	N1-57-89-1, Item 203-08c
<p><b>103-03c. Semiannual Agenda.</b></p>		
<p><b>103-03c(1).</b> Information on rules scheduled for review or development during the subsequent 6-month period and on the status of those rules previously scheduled. This information is forwarded to the Office of Management and Budget for publication in the Federal Register.</p>	Destroy when no longer needed for reference.	N1-57-87-2, Item 203-08d
<p><b>103-03c(2).</b> Files documenting the processing of semiannual regulatory agenda.</p>	Cutoff at the end of the fiscal year. Destroy when 2 years old.	N1-57-02-02, Item 205-02e(2)

**U.S. Geological Survey**  
**Chapter 100. Organizational, History, Administrative Management, and**  
**Program Policy and Management Records**

**Cross Index**

ITEM NUMBER	SUBJECT	SUPERSEDED CITATION
<b>101</b>	<b>Organizational, History, Administrative Management, and Commissions/Councils/Boards/Committee Records</b>	
101-01	Organizational Functions and USGS Histories (Estimated volume – less than 1 cubic foot per year)	Item 101-01a(1) N1-57-01-04, Item 101-01a(1) (Combined 101-01a(1) and 101-01b(1))
101-02	Agency Management Plans, Surveys, Studies, Strategies, and Initiatives	Item 101-02 N1-57-01-04, Item 101-02 (Combined 101-02, 101-04a, and 101-05b))
101-03	Final Agency-Level Strategic and Performance Plans (Estimated volume – less than 1 cubic foot per year)	Item 101-05a(2) N1-57-01-04, Item 101-05a(2)
101-04	Temporary Commissions, Councils, Boards, Committees, and Conference Records	
101-04a	Advisory Commissions, Councils, Boards Committees, and Other Groups Established Under the FACA	
101-04a(1)	Records Documenting the Commission's Establishment, Membership, Policy, Organization, Deliberations, Findings, and Recommendations (Estimated volume – 5 cubic feet per year)	New Item – GRS 26/2a
101-04a(2)	Records that Relate to Day-to-Day Commission Activities	New Item – GRS 26/2b
101-04a(3)	Committee Management Records	
101-04a(3)(a)	Records Maintained by the Agency Committee Management Officers for	New Item – GRS 26/4

Committees Established under FACA

101-04a(3)(b)	Committee Records not Maintained by the Agency Committee Management Officers	New Item – GRS 26/3
101-04b	Agency Committees and Conference Records	
101-04b(1)	Record Copy (Estimated volume – 10 cubic feet per year)	Item 101-06a(1) RCS/Item 201-02a(1) and NC1-57-81-2, Item 6a(1)
101-04b(2)	All Other Agency Committee Records and Conference Records	Item 101-06a(2) RCS/Item 201-02a(2) and NC1-57-81-2, Item 6a(2) (Combined 101-06a(2) and 101-06b)

**102 Program Management, Director's, Project and Oversight Records**

102-01	Program Mission Files (Estimated volume – less than 1 cubic foot per year)	Item 102-01a N1-57-01-04, Item 102-01a
102-02	Correspondence Control System	New Item
102-03	Bureau Director's Files (Estimated volume – 5 cubic feet per year)	Item 102-01b(1) N1-57-01-04, Item 102-01b(1)
102-04	Program Policy, Direction, and Decision Case Files (Estimated volume – less than 1 cubic foot per year)	Item 101-03 N1-57-01-04, Item 101-03
102-05	Project Records	
102-05a	Project Case Files	Item 102-02 RCS/Item 202-02 and NC1-57-81-2, Item 32 (Combined 102-02 and 102-07b)
102-05b	Supporting Project Technical Information	New Item (Combined 102-03, 102-04, 102-06a, 102-06b, and 102-07a)
102-05c	Project Summary	New Item (Combined 102-05a, b, and c)

102-06	Oversight Files	RCS/Item 102-02b & NC1-57-82-4, Item 2B
102-07	General Reports and Correspondence Files	New Item (Combined 101-01a(2), 101-01b(2), 101-04b, 101-05a(1), and 101-05c)
<b>103</b>	<b>Bureau Directives and Federal Register Notices</b>	
103-01	Bureau Directives Files	
103-01a	Bureau Internal Directives Case Files (Estimate of volume of records on hand is less than 1 cubic foot; estimate of volume of records created yearly is less than 1 cubic foot)	Item 205-01a N1-57-89-1, Item 203-01a
103-01b	Tempoary Issuances	Item 205-01b N1-57-02-02, Item 205-01b
103-02	Bureau Directives Management Program Files	Item 205-03 N1-57-02-02, Item 205-03
103-03	Bureau External Directives Case Files	
103-03a	Federal Register Notices	Item 205-02c N1-57-02-02, Item 205-02c
103-03b	Copies of Regulations/Notices	Item 205-02d N1-57-89-1, Item 203-08c
103-03c	Semiannual Agenda	
103-03c(1)	Information on Rules Scheduled	Item 205-02e(1) N1-57-87-2, Item 203-08d
103-03c(2)	Files Documenting the Processing of Semiannual Regulatory Agenda	Item 205-02e(2) N1-57-02-02, Item 205-02e(2)

**Deleted Items**

- 102-01b(2) – Microfiche copies of the Bureau Director’s files.



**U.S. Geological Survey**  
**Chapter 200. Chief Information Officer, Security Program, Information Resources Management, Bureau Directives, Telecommunications, Computer, and Electronic Records**

**Cross Index**

<b>ITEM NUMBER</b>	<b>SUBJECT</b>	<b>SUPERSEDED CITATION</b>
<b>201</b>	<b>Federal Chief Information Officer's Files</b>	
201-01	Information Technology (IT) Program Planning Records	New Item – GRS 27/1
201-02	Enterprise Architecture Records	New Item – GRS 27/2
201-03	IT Capital Investment Records	New Item – GRS 27/3
201-04	Legal and Regulatory Compliance Records	New Item – GRS 27/4
201-05	CIO Committee Records	New Item – GRS 27/5
201-06	CIO Subject and Office Records	New Item – GRS 27/6
<b>202</b>	<b>IT Oversight and Compliance Files</b>	
202-01	Oversight and Compliance Files	
202-01a	Performance Measures and Benchmarks	New Item – GRS 24/1a
202-01b	All Other Oversight and Compliance Records	New Item – GRS 24/1b
202-01c	General IT Files	New Item
202-02	IT Facility, Site Management, and Equipment Support Services Records	New Item – GRS 24/2
202-03	IT Asset and Configuration Management Files	
202-03a	Inventories of IT Assets, Network Circuits, and Building or Circuitry Diagrams	New Item – GRS 24/3a
202-03b	Management and Planning Records	
202-03b(1)	Data and Detailed Reports on	New Item – GRS 24/3b(1)

Implementation of Systems, Applications,  
and Modifications

202-03b(2)	Records of Routine IT Maintenance on the Network Infrastructure	New Item – GRS 24/3b(2)
202-04	System Backups	New Item – GRS 24/4a(1)(2) (Combined 4a(1) and (2))
202-05	Files Related to Maintaining the Security of Systems and Data	
202-05a	System Security Plans and Disaster Recovery Plans	New Item – GRS 24/5a (Changed Disposition)
202-05b	IT Risks	New Item – GRS 24/5b
202-06	User Identification, Profiles, Authorizations, and Password Files, Excluding Records Relating to Electronic Signatures	
202-06a	System Requiring Special Accountability	New Item – GRS 24/6a
202-06b	Routine Systems	New Item – GRS 20/1c
202-07	IT Operations Records	
202-07a	Records Related to IT Operations	New Item – GRS 24/8a
202-07b	Problem Reports and Related Decision Documents	New Item – GRS 24/8b
202-07c	Reports on Operations	New Item – GRS 24/8c
202-08	IT Customer Service Files	New Item – GRS 24/10a and b (Combined)
202-09	IT Infrastructure Design and Implementation Files	
202-09a	Records for Projects that are not Implemented	New Item – GRS 24/11a
202-09b	Records for Projects that are Implemented	New Item – GRS 24/11b
202-09c	Installation and Testing Records	New Item – GRS 24/11c
202-10	IT Security Data Files	
202-10a	Statements of Responsibility	Item 201-10a N1-57-02-02, Item 201-10a (Combined 201-10a and 10b)

202-10b	Computer Security Incident Reports	Item 201-10c N1-57-02-02, Item 201-10c
202-10c	Access to IT Systems	Item 201-10d N1-57-02-02, Item 201-10d
202-10d	Firewall Access Requests	Item 201-10e N1-57-02-02, Item 201-10e
202-10e	Secure Room Sign-in Sheets	Item 201-10f N1-57-02-02, Item 201-10f
202-10f	IT Security, Contingency Plans, and Risk Assessments	Item 201-10g N1-57-02-02, Item 201-10g (Combined 201-10g, h, and i)
202-10g	IT Policies and Procedures	New Item
202-10h	IT Audit Logs	New Item
<b>203</b>	<b>Management Control Records</b>	
203-01	Policy, Procedure, and Guidance Files	Item 301-01a RCS/Item 202-10a and GRS 16, Item 14a
203-02	Management Control Plans	Item 301-01b RCS/Item 202-10b and GRS 16, Item 14b
203-03	Risk Analyses	Item 301-01c RCS/Item 202-10c and GRS 16, Item 14c
203-04	Annual Reports and Assurance Statements	Item 301-01d RCS/Item 202-10d and GRS 16, Item 14d
203-05	Tracking Files	Item 301-01e RCS/Item 202-10e and GRS 16, Item 14e
203-06	Review Files	
203-06a	Review Files Maintained by Office with Responsibility for Coordinating Internal Control Functions	Item 301-01f(1) RCS/Item 202-10f(1) and GRS 16, Item 14f(1)
203-06b	Copies Maintained Elsewhere	Item 301-01f(2)

RCS/Item 202-10f(2) and GRS 16,  
Item 14f(2)

203-07	Management Control General Records	New Item
<b>204</b>	<b>Security Program Support Records</b>	
204-01	Federal Information Security Management Act (FISMA) Files	New Item
204-02	Security Program System Certification and Accreditation (C&A) Files	New Item
204-03	Patch, Change, and Configuration Management Files	New Item
204-04	Program Plan of Action and Milestones (POA&M) Files	New Item
204-05	Security Program Support Files	New Item
204-06	IT Security Scorecard Files	New Item
204-07	Computer Incident Response Team Files	New Item
204-08	Security Program General Files	New Item
<b>205</b>	<b>A-76 (Performance of Commercial Activities) Competitive Sourcing Records</b>	
205-01	Reviews and Studies	
205-01a	Case Files Maintained by the Office Conducting the Study	New Item – GRS 3/18
205-01b	Records Maintained by Other Offices	New Item – GRS 3/18b
205-02	Records Documenting the USGS Implementation of A-76	New Item
<b>206</b>	<b>IRM Files</b>	
206-01	IRM Oversight Files	Item 201-06 N1-57-02-02, Item 201-06
206-02	IRM Policies and Procedures	Item 201-02 N1-57-02-02, Item 201-02
206-03	IRM Feasibility Studies and Program Files	Item 201-05a N1-57-02-02, Item 201-05a (Combined 201-04 and 201-05a)

206-04	General IRM Files	Item 201-01 N1-57-02-02, Item 201-01 (Combined 201-01 and 201-03)
<b>207</b>	<b>Records Management, Forms, and Information Collection Budget Files</b>	
207-01	Records Management Filing Systems (Estimated volume – less than 1 cubic foot per year)	Item 201-05b N1-57-02-02, Item 201-05b
207-02	Records Management Files	Item 205-06a(2) N1-57-02-02, Item 205-06a(2) (Combined 205-06a(1) and (2))
207-03	Records Holding Files	Item 205-07a N1-05-02-02, Item 205-07a (Combined 205-07a and 07b)
207-04	Microform Inspection Records	Item 205-09b RCS/Item 203-06b and GRS 16, Item 10b (Combined 205-09a and 205-09b)
207-05	Vital Records	Item 205-10 N1-05-02-02, Item 205-10
207-06	Forms Case Files	Item 205-05a RCS/Item 203-02a and GRS 16, Item 3a (Combined 205-05a and 05b)
207-07	Information Collection Budget Files	Item 201-03b RCS/Item 203-10 and GRS 16, Item 12
<b>208</b>	<b>Telecommunications Files</b>	
208-01	General Telecommunications Management Files	Item 203-01 N1-57-02-02, Item 203-01
208-02	Telecommunications Management Policies and Procedures Files	Item 203-02 N1-57-02-02, Item 203-02
208-03	Telecommunications Equipment Management Files	Item 203-05 N1-57-02-02, Item 203-05
208-04	Telephone Use (Call Detail) Records	
208-04a	Telephone Listings of Called Telephone	

	Numbers	
208-04a(1)	Computer-Generated Listings	Item 203-07a(1) N1-57-02-02, Item 203-07a(1)
208-04a(2)	Paper Copies	Item 203-07a(2) N1-57-02-02, Item 203-07a(2)
208-04b	Records Relating to the Location of Telephones and Assignments to Employees	Item 203-07b N1-57-02-02, Item 203-07b
208-05	Telephone Calling Card Records	
208-05a	General Records	Item 203-08a N1-57-02-02, Item 203-08a
208-05b	Lists or Rosters	Item 203-08b N1-57-02-02, Item 203-08b
208-05c	Case Files	Item 203-08c N1-57-02-02, Item 203-08c
208-06	Radio Communications Systems	
208-06a	Correspondence and Related Materials	Item 203-09a N1-57-02-02, Item 203-09a
208-06b	Lists or Rosters	Item 203-09b N1-57-02-02, Item 203-09b
208-06c	Radio Frequency Authorization Files	Item 203-10a N1-57-02-02, Item 203-10a
<b>209</b>	<b>Computer Files</b>	
209-01	Bureau-Level Software, Hardware, and Computer System Files	
209-01a	Key Maintenance Information	Item 201-07a(1) N1-57-02-02, Item 201-07a(1) (Combined 201-07a(1), 201-07b(1), 201-08a, and 203-11a)
209-01b	Key System Documentation	Item 201-07a(2) N1-57-02-02, Item 201-07a(2) (Combined 201-07a(2), 201-07b(2), 201-08b, 203-11b)
209-02	User Support and Liaison Files	Item 201-09 N1-57-02-02, Item 201-09

<b>210</b>	<b>Electronic Records</b>	
210-01	Files and Records Relating to the Creation, Use, and Maintenance of Computer Systems, Applications, or Electronic Records	
210-01a	Electronic Files Created Solely to Test System Performance	GRS 20, Item 1a
210-01b	Electronic Files Used to Create or Update a Master File	GRS 20, Item 1b
210-01c	Electronic Files and Hard-Copy Printouts Created to Monitor System Usage	GRS 20, Item 1c (Changed Disposition)
210-02	Input/Source Records	
210-02a	Hard-copy Documents Used Solely to Create, Update, or Modify the Records	
210-02a(1)	Hard-Copy Documents that NARA has Specifically Designated as Permanent	GRS 20, Item 2a(1)
210-02a(2)	Hard-copy Records Previously Approved As Permanent that are Converted To Electronic Records	GRS 20, Item 2a(2)
210-02a(3)	Hard-copy Documents that Contain Information not Captured in the Electronic Version	GRS 20, Item 2a(3)
210-02a(4)	Hard-copy Documents Other than Those Covered by Items 210-02a(1) Through 210-02a(3)	GRS 20, Item 2a(4)
210-02b	Electronic Records, Except as Noted in 210-02c, Entered into the System during an update Process and not required for Audit and Legal Purposes	GRS 20, Item 2b
210-02c	Electronic Records Received from Another Agency and used as Input/Source Records by the Receiving Agency, Excluding Records Produced by Another Agency Under the Terms of an Interagency Agreement, or Records Created by Another Agency in Response to the Specific Information Needs of the Receiving Agency	GRS 20, Item 2c

210-02d	Computer files or Records Containing Uncalibrated and Unvalidated Digital or Analog Data Collected during Observation or Measurement Activities or Research and Development Programs and Used as Input for a Digital Master File or Database	GRS 20, Item 2d
210-03	Electronic Records that Replace Temporary Hard-copy Records	
210-03a	Scanned Images	GRS 20, Item 3a
210-03b	Electronic Formats other than Scanned Images	
210-03b(1)	Records Covered by Temporary Items in the GRS, except those listed	GRS 20, Item 3a(1)
210-03b(2)	Records Listed which are Covered	GRS 20, Item 3a(2)
210-03b(3)	Digital Versions of Pictures, Sound Recordings, Motion Picture Film, and Video Recordings	GRS 20, Item 3a(3)
210-03b(4)	Program Records Approved for Destruction in a Previously Approved Schedule that is Media Neutral and does Not Explicitly Exclude Electronic Records	GRS 20, Item 3a(4)
210-03b(5)	Program Records Maintained in an Electronic Format that are not Covered By Items 210-03a, 03b(1), 03b(3), or 03b(4)	GRS 20, Item 3a(5)
210-03c	Electronic Records that Replace Permanent Hard-Copy Records	GRS 20, Item 3.1
210-04	Data Files Consisting of Summarized Information	GRS 20, Item 4
210-05	Records Consisting of Extracted Information	GRS 20, Item 5
210-06	Print File	GRS 20, Item 6
210-07	Technical Reformat File	GRS 20, Item 7
210-08	Backups of Files	GRS 20, Item 8



210-08a	File Identical to Records Scheduled for	GRS 20, Item 8a
210-08b	File Identical to Records Authorized for Disposal by NARA	GRS 20, Item 8b
210-09	Finding Aids (or Indexes)	GRS 20, Item 9
210-10	Special Purpose Programs	GRS 20, Item 10
210-11	Documentation	
210-11a	Data Systems Specifications	GRS 20, Item 11a
210-11a(1)	Documentation Relating to Electronic Records that are Scheduled for Destruction in the GRS or an Approved Records Schedule	GRS 20, Item 11a(1)
210-11a(2)	Documentation Relating to Electronic Records that are Scheduled for Permanent Retention in the GRS or an Approved Records Schedule	GRS 20, Item 11a(2)
210-11b	Copies of Records Relating to System Security	GRS 20, Item 11b
210-12	Downloaded and Copied Data	GRS 20, Item 12
210-12a	Derived Data Used for Ad Hoc or One-Time Inspection, Analysis, or Review	GRS 20, Item 12a
210-12b	Derived Data which Provide User Access	GRS 20, Item 12b
210-12c	Metadata or Reference Data	GRS 20, Item 12c
210-13	Word Processing Files	GRS 20, Item 13
210-14	Electronic Mail Records	GRS 20, Item 14
210-15	Electronic Spreadsheets	GRS 20, Item 15
210-15a	When Used to Produce Hard-copy that Maintained in Organized Files	GRS 20, Item 15a
210-15b	When Maintained only in Electronic Form	GRS 20, Item 15b
210-16	Hard-copy Printouts Created to Meet Ad Hoc Business Needs	GRS 20, Item 16

### **Deleted Records**

- 203-03 – Telecommunications Management Reports – Entire section including 203-03a and 203-03b
- 203-04 – Telecommunications Voucher Files – Entire section including 203-04a, 203-04b, and 203-04c
- 203-06 – Telecommunications Operations Files – Entire section including 203-06a and 203-06b
- 203-09c – Case files relating to investigations of alleged lost, stolen, or misused agency radios.
- 203-10b – Radio Logs
- 204 – Year 2000 (Y2K) Files – Entire section including 204-01, 204-01a, 204-01b, 204-01c, 204-02, 204-03, 204-03a, and 204-03b
- 205-02a – Regulations Case Files
- 205-02b – Federal Register Documents
- 205-04 – Bureau Directives Index Database Files
- 205-05c – Bureau internal non-official forms, such as routing slips.
- 205-06b – Extra copies and routine correspondence and memoranda.
- 205-08 – Reports Control Files
- 206 – Electronic Mail and Word Processing System Copies – Entire section including 206-01, 206-01a, and 206-01b.
- Revised the entire 210 section to conform with the revision of the GRS Schedule 20, Electronic Records in December 2007 and March 2008

**CHAPTER 200. CHIEF INFORMATION OFFICER, SECURITY PROGRAM, INFORMATION RESOURCES MANAGEMENT, TELECOMMUNICATIONS, COMPUTER, AND ELECTRONIC RECORDS**

All aspects of the Chief Information Officer’s activities, including information technology, enterprise architecture, capital planning, IT security, and management control are covered. In addition, records for the bureau security program, competitive sourcing activities, information resources management responsibilities, telecommunications program, and computer and electronic files.

**Chapter 200 Topics. This section provides for the disposition of the following:**

- 201. Federal Chief Information Officer’s Files
- 202. Information Technology (IT) Oversight and Compliance Files
- 203. Management Control Records
- 204. Security Program Support Records
- 205. A-76 (Performance of Commercial Activities) Competitive Sourcing Records
- 206. IRM Files
- 207. Records Management, Forms, and Information Collection Budget Files
- 208. Telecommunications Files
- 209. Computer Files
- 210. Electronic Records

**201. Federal Chief Information Officer’s Files include the following records:**

- 201-01 IT Program Planning Records – Records relating to the development of agency IT programs.
- 201-02 Enterprise Architecture Records – Records identifying the IT systems and networks required to perform the agency’s mission.
- 201-03 IT Capital Investment Records – Records documenting the integration of IT investments with agencywide strategic planning, budgeting, procurement, and management.
- 201-04 Legal and Regulatory Compliance Records – Records documenting agency compliance with Federal IRM laws and regulations.
- 201-05 CIO Committee Records – Records maintained to document CIO designated committees, councils, and other such policy bodies.
- 201-06 CIO Subject and Office Records – Other CIO records not identified in this schedule.

**202. IT Oversight and Compliance Files include the following records:**

- 202-01 Oversight and Compliance Files – Records for managing IT operations relating to compliance with IT policies, directives, and plans.
- 202-02 IT Facility, Site Management, and Equipment Support Services Records – Records for offices maintaining IT equipment, systems, and storage media.

202-03	IT Asset and Configuration Management Files – Includes all records for IT maintenance, planning, and management.
202-04	System Backups – Backups maintained for potential restoration.
202-05	Files Related to Maintaining the Security of Systems and Data – Includes system security and disaster recovery plans, and records associated with identifying and analyzing IT risks.
202-06	User Identification, Profiles, Authorizations, and Password Files, Excluding Records Relating to Electronic Signatures – includes systems requiring special accountability.
202-07	IT Operations Records – Consists of records related to IT operations.
202-08	IT Customer Service Files – Includes records related to providing help desk support.
202-09	IT Infrastructure Design and Implementation Files – Records of individual projects designed to provide and support new agency IT infrastructure, systems, and services.
202-10	IT Security Data Files – Covers program assurances that adequate security is provided.

**203. Management Control Records include the following records:**

203-01	Management Control Records – Records created to perform evaluations of agency accounting and administrative controls to prevent waster, fraud, and mismanagement.
203-01	Policy, Procedure, and Guidance Files – Copies of internal directives outlining policy and procedure for performing management reviews.
203-02	Management Control Plans – Records documenting efforts to ensure compliance.
203-03	Risk Analyses – Files documenting review of program areas.
203-04	Annual Reports and Assurance Statements – Copies of USGS reports.
203-05	Tracking Files – Files used to ensure the completion of reports.
203-06	Review Files – Records that identify program internal control weaknesses and corrective actions taken.
203-07	Management Control General Files – Records relating to the general administration of the mandate.

**204. Security Program Support Records include the following records:**

204-01	Federal Information Security Management Act (FISMA) Files – Includes records on the implementation of IT security to safeguard Federal information.
204-02	Security Program System Certification and Accreditation (C&A) Files – Records on USGS systems for C&A certifications.
204-03	Patch, Change, and Configuration Management Files – Records that provide patch management capabilities and bureau configuration management files.
204-04	Program Plan of Action and Milestones (POA&M) Files – Files used to manage and track all IT security weaknesses and activities.
204-05	Security Program Support Files – Files to support enterprise security architecture.
204-06	IT Security Scorecard Files – Files that measure the effectiveness of agency implementation of FISMA.
204-07	Computer Incident Response Team Files – Files of events of suspected incidents.

204-08 Security Program General Files – Records relating to the general administration and oversight of the bureau security program.

**205. A-76 (Performance of Commercial Activities) Competitive Sourcing Records include the following records:**

205-01 Reviews and Studies – Records relating to reviews of USGS activities.  
205-02 Records Documenting the USGS Implementation of A-76 – Records on bureau implementation procedures.

**206. Information Resources Management (IRM) Files include the following records:**

206-01 IRM Oversight Files – Records relating to oversight of the bureau IRM program.  
206-02 IRM Policies and Procedures – Records pertaining to policies and procedures governing the IRM program.  
206-03 IRM Feasibility Studies and Program Files – Records of studies conducted to analyze improvements before the installation of technologies or equipment associated with information management systems.  
206-04 General IRM Files – Records relating to the general administration and oversight of the IRM program.

**207. Records Management, Forms, and Information Collection Budget Files include the following records:**

207-01 Records Management Filing Systems – Any materials used to assist the bureau in numbering and filing of official records.  
207-02 Records Management Files – Records containing information on scheduling, records storage, and dispositions.  
207-03 Records Holding Files – Reports of agency holdings.  
207-04 Microform Inspection Records – Copies of bureau inventories, logs, and reports documenting microform record inspections.  
207-05 Vital Records – Inventories of vital record holdings.  
207-06 Forms Case Files – Record copies of bureau forms.  
207-07 Information Collection Budget Files – Reports and associated records for project oversight.

**208. Telecommunications Files include the following records:**

208-01 General Telecommunications Management Files - Records relating to the general administration and oversight of the bureau telecommunications program.  
208-02 Telecommunications Management Policies and Procedures Files – Policies and procedures relating to telecommunications management activities.  
208-03 Telecommunications Equipment Management Files – Records related to the installation, operation, maintenance, and management of telecommunication equipment.  
208-04 Telephone Use (Call Detail) Records – Copies of telephone listings of called numbers.  
208-05 Telephone Calling Card Records – Records relating to the allocation, use, and distribution of agency telephone calling cards.

208-06 Radio Communications Systems – Records related to the installation, operation, maintenance, and management of radio equipment.

**209. Computer Files include the following records:**

- 209-01 Bureau-level Software, Hardware, and Computer System Files – Records related to bureau-level software development, hardware physical equipment and components, office computer system operations, maintenance, installation, and operation.
- 209-02 User Support and Liaison Files – Records relating to user support and liaison.

**210. Electronic Records include the following records:**

- 210-01 Files and Records Relating to the Creation, Use, and Maintenance of Computer Systems, Applications, or Electronic Records – Disposable records created or received by the bureau. Covers certain master files and certain files created from master files.
- 210-02 Input/Source Records – Electronic records used to create, update, or modify the records.
- 210-03 Electronic Records that Replace Temporary Hard-copy Records – Electronic versions of records
- 210-04 Data Files Consisting of Summarized Information – Records that contain summarized or aggregated information.
- 210-05 Records Consisting of Extracted Information – Records extracted from a single master file or database.
- 210-06 Print File – Used to produce hard-copy printouts.
- 210-07 Technical Reformat File – Consists of data copied from a complete or master file or database for information interchange.
- 210-08 Backups of Files – Record retained in case of the master file or database being damaged or inadvertently erased.
- 210-09 Finding Aids (or Indexes) – Used to provide access to records.
- 210-10 Special Purpose Programs – Application software to use or maintain a master file or database.
- 210-11 Documentation – Documentation relating to a master file or database.
- 210-12 Downloaded and Copied Data – Derived data and data files which are copied, extracted, merged and/or calculated from other data.
- 210-13 Word Processing Files – Documents recorded on electronic media.
- 210-14 Electronic Mail Records – Employee versions of e-mail messages that meet the definition of a Federal record.
- 210-15 Electronic Spreadsheets – Supports administrative functions.
- 210-16 Hard-copy Printouts Created to Meet Ad Hoc Business Needs – Derived from electronic records for reference purposes.

**What records in this chapter are important or considered permanent USGS records?**

- A-76 or Competitive Sourcing study records.
- Records management filing systems.
- Records management files containing information on location or storage of records.
- Electronic records which NARA has designated as permanent records.

**What records in this section are considered temporary USGS records?**

- Federal Chief Information Officer's files.
- IT oversight and compliance files.
- IT facility, site management, and equipment support services records.
- IT asset, configuration management, planning, and system backup files.
- Files related to maintaining the security of systems and data.
- IT operation, customer service, infrastructure design and implementation, and security data files.
- Management control records.
- Security program support files.
- Records documenting the USGS implementation of A-76.
- IRM files.
- Records management, forms, and information collection budget files.
- Telecommunications, telephone, and radio communications files.
- Computer files.
- Disposable electronic records.

**Questions?**

Contact the USGS Records Manager or your discipline or regional Records Liaison Officer - <http://internal.usgs.gov/gio/irm/fmassis2.html>

**CHAPTER 200. CHIEF INFORMATION OFFICER, SECURITY PROGRAM, INFORMATION RESOURCES MANAGEMENT, TELECOMMUNICATIONS, COMPUTER, AND ELECTRONIC RECORDS**

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
<b>201. Federal Chief Information Officer's Files.</b>		
<p><b>201-01. Information Technology (IT) Program Planning Records.</b> Records relating to the development of agency IT programs. Included are records that document agencywide IT goals; specify milestones to be achieved; identify performance measures for the agency's IT portfolio; or summarize the underlying principles and approach by which the agency will plan for and manage its IT resources. Records may include strategic and tactical plans documenting the implementation and maintenance of IT systems in support of the agency mission and also may include records supporting formally issued plans, such as records of concurrence, comments, clearances, justifications, and other issuance records.</p> <p>NOTE: This item does not apply to the data content or design of individual IT systems.</p>	Cutoff at the end of the fiscal year. Destroy when 7 years old or when no longer needed, whichever is later.	<del>New Item – GRS 27/1</del>
<p><b>201-02. Enterprise Architecture Records.</b> Records identifying the IT systems and networks required to perform the agency's mission and the transitional processes required to implement comprehensive programs to support that mission. Records may include technical reference models, diagrams, graphics, models, and narratives that describe the agency's baseline architecture, target architecture, and related sequencing plans.</p>	Cutoff when superseded by a new iteration of the enterprise architecture. Destroy when 7 years old or when no longer needed, whichever is later.	<del>New Item – GRS 27/2</del>
<p><b>201-03. IT Capital Investment Records.</b> Records documenting the integration of IT investments with agencywide strategic planning, budgeting, procurement, and management. Records include routine</p>	Cutoff at the end of the fiscal year. Destroy when 7 years old or when no longer needed, whichever is later.	<del>New Item – GRS 27/3</del>



RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
<p>and periodic reports on IT capital investments; capital asset plans; privacy impact assessments; business cases for major investments, systems, acquisitions, or operational assets identified in the agency's capital investment portfolio; and clearance and review records.</p> <p>NOTE: Records needed to support contracts are scheduled in Chapter 800.</p>		
<p><b>201-04. Legal and Regulatory Compliance Records.</b> Records documenting agency compliance with Federal Information Resources Management (IRM) laws and regulations, including systems and reports created to support compliance with the mandates of Office of Management and Budget (OMB), General Accounting Office (GAO), and other Federal IRM and IT oversight agencies.</p>	<p>Cutoff at the end of the fiscal year. Destroy when 5 years old.</p>	<p><del>New Item – GRS 27/4</del></p>
<p><b>201-05. CIO Committee Records.</b> Records maintained by committees, boards, task forces, conferences, or other IT advisory, governing, or policy bodies for which the CIO has designated sponsorship, leadership, or recordkeeping responsibilities. Records include meeting minutes, summaries, agendas, and transcripts; reports, studies, and publications; membership records; correspondence, mailing, and distribution records; and other administrative committee records. Examples include IT Management Council and Investment Review Boards.</p>	<p>Cutoff at the end of the fiscal year. Destroy when 5 years old.</p>	<p><del>New Item – GRS 27/5</del></p>
<p><b>201-06. CIO Subject and Office Records.</b> Records not otherwise identified in this schedule that include briefings, reports, presentations, studies, correspondence, and other documents created to support IT program objectives; responses to and decisions on matters affecting the IT program; or operational</p>	<p>Cutoff at the end of the fiscal year. Destroy when 5 years old.</p>	<p><del>New Item – GRS 27/6</del></p>

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
<p>and managerial guidance to all organizational segments of the agency.</p> <p>NOTE: Official agency policy records generated by the CIO are not covered by this item.</p>		
<b>202. IT Oversight and Compliance Files.</b>		
<b>202-01. Oversight and Compliance Files.</b> Records in offices with bureauwide responsibility for managing IT operations relating to compliance with IT policies, directives, and plans including recurring and special reports, responses to findings and recommendations, and reports of follow-up activities.		
<b>202-01a. Performance Measures and Benchmarks.</b>	Destroy when 5 years old or 1 year after responsible office determines there are no unresolved issues, whichever is longer.	<del>New Item – GRS 24/1a</del>
<b>202-01b. All Other Oversight and Compliance Records.</b> Includes certification and accreditation of equipment, quality assurance reviews and reports, reports on implementation of plans, compliance reviews, and data measuring or estimating impact and compliance.	Destroy when 3 years old or 1 year after responsible office determines there are no unresolved issues, whichever is longer.	<del>New Item – GRS 24/1b</del>
<b>202-01c. General IT Files.</b> General correspondence, miscellaneous reports, newsletters, and other records relating to IT topics not otherwise covered in this schedule.	Cutoff at the end of the fiscal year. Destroy 3 years after cutoff.	New Item
<b>202-02. IT Facility, Site Management, and Equipment Support Services Records.</b> Records maintained by offices responsible for the control and operation of buildings and rooms where IT equipment, systems, and storage media are located, including files identifying IT facilities and sites, and files concerning implementation of IT facility and site	Destroy when 3 years old or when superseded or obsolete, whichever is longer.	<del>New Item – GRS 24/2</del>

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
management and equipment support services provided to specific sites, including reviews, site visit reports, trouble reports, equipment service histories, reports of follow-up actions, and related correspondence.		
<b>202-03. IT Asset and Configuration Management Files.</b>		
<b>202-03a. Inventories of IT Assets, Network Circuits, and Building or Circuitry Diagrams.</b> Includes equipment <del>control systems</del> such as databases of barcodes affixed to IT physical assets.	Destroy 1 year after completion of the next inventory.	<del>New Item – GRS 24/3a</del>
<b>202-03b. Management and Planning Records.</b> Records created and retained for asset management, performance and capacity management, system management, configuration and change management, and planning, follow-up, and impact assessment of operational networks and systems. Includes, but is not limited to:		
<b>202-03b(1).</b> Data and detailed reports on implementation of systems, applications, and modifications; application sizing, resource and demand management; documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting implementation of changes; <del>documentation of software distribution and release or version management.</del>	Destroy 1 year after termination of the system.	<del>New Item – GRS 24/3b(1)</del>
<b>202-03b(2).</b> Records of routine IT maintenance on the network infrastructure documenting preventative, corrective, adaptive, and perfective (enhancement) <del>maintenance</del> actions, including requests for service, work orders, service histories, and related records.	Destroy when 3 years old or 1 year after termination of system, whichever is sooner.	<del>New Item – GRS 24/3b(2)</del>
<b>202-04. System Backups.</b> Backups maintained for potential restoration in the event of a system failure or other unintentional loss of data (excludes Lotus Notes backups).	Destroy backups when superseded by a backup or when backup is verified as successful, or when no longer needed for system restoration,	<del>New Item – GRS 24/4a(1)(2)</del>

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<p>NOTE: Lotus Notes backups are maintained according to the policy set up by the USGS Collaborative Communication Infrastructure Team.</p> <p>See 210-08 for backups of master files and databases.</p>	whichever is later.	
<b>202-05. Files Related to Maintaining the Security of Systems and Data.</b>		
<b>202-05a. System Security Plans and Disaster Recovery Plans.</b>	Destroy when superseded or obsolete.	New Item- GRS 24/5a
<b>202-05b. IT Risks.</b> Documents identifying IT risks and analyzing their impact, risk measurements, and assessments, actions to mitigate risks, implementation of risk action plan, service test plans, test files, and data.	Destroy 1 year after system is superseded.	<del>New Item – GRS 24/5b</del>
<b>202-06. User Identification, Profiles, Authorizations, and Password Files, Excluding Records Relating to Electronic Signatures</b>		
<b>202-06a.</b> Systems requiring special accountability, e.g., those containing information that may be needed for audit or investigative purposes and those that contain classified records.	Destroy inactive file 6 years after user account is terminated or password is altered, or when no longer needed for investigative or security purposes, whichever is later.	<del>New Item – GRS 24/6a</del>
<b>202-06b.</b> Routine systems, i.e., those not covered by 202-06a above.	Destroy when the bureau determines they are no longer needed for administrative, legal, audit, or other operational purposes.	<del>New Item – GRS 20/1c</del>
<b>202-07. IT Operations Records.</b>		
<b>202-07a.</b> Consists of records related to IT operations, including workload schedules, run reports, schedules of maintenance and support activities, problem reports, reports on operations, and related records.	Destroy when 1 year old.	<del>New Item – GRS 24/8a</del>
<b>202-07b.</b> Problem reports and related decision documents relating to the software infrastructure of the network or system.	Destroy 1 year after problem is resolved.	<del>New Item – GRS 24/8b</del>

<b>RECORD ITEM/DESCRIPTION</b>	<b>DISPOSITION</b>	<b>AUTHORITY</b>
<del>202-07c. Reports on operations, including measures of benchmarks, performance indicators, and critical success factors, error and exception reporting, self-assessments, performance monitoring; and management reports.</del>	<del>Destroy when 3 years old.</del>	<del>New Item – GRS 24/8c</del>
<b>202-08. IT Customer Service Files.</b> Records related to providing help desk information to customers; help desk logs and reports, and other files related to customer query and problem response; query monitoring and clearance; and customer feedback records; and related trend analysis and reporting.	Destroy when 1 year old or when superseded, obsolete, or no longer needed, whichever is later.	New Item – GRS 24/10a and 10b
<b>202-09. IT Infrastructure Design and Implementation Files.</b> Records of individual projects designed to provide and support new agency IT infrastructure, systems, and services. Includes records documenting (1) requirements for and implementation of functions such as maintaining network servers, desktop computers, and other hardware, installing and upgrading network operating systems and shared applications, and providing data telecommunications; (2) infrastructure development and maintenance such as acceptance/accreditation of infrastructure components, analysis of component options, feasibility, costs and benefits, and work associated with implementation, modification, and troubleshooting; (3) models, diagrams, schematics, and technical documentation; and (4) quality assurance reviews and test plans, data, and results.		
<b>202-09a. Records for Projects that are not Implemented.</b>	Destroy 1 year after final decision is made.	<del>New Item – GRS 24/11a</del>
<b>202-09b. Records for Projects that are Implemented.</b>	Destroy 5 years after project is terminated.	<del>New Item – GRS 24/11b</del>
<b>202-09c. Installation and Testing Records.</b>	Destroy 3 years after final decision on acceptance is made.	<del>New Item – GRS 24/11c</del>

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
<b>202-10. IT Security Data Files.</b> Security program assures that adequate security is provided for all bureauwide information collected, processed, transmitted, stored, or disseminated in general support systems and major application systems.		
<b>202-10a. Statements of Responsibility.</b> Signed original to be filed on the left side of the Official Personnel Folder. All other copies to be maintained by the local IT Security Officer.	Destroy 1 year after separation or transfer of employee.	N1-57-02-02, Item 201-10a
<b>202-10b. Computer Security Incident Reports.</b> Used to document and report all IT security incidents. Incidents involving physical and personnel complaints and violations are reported to the local IT Security Officer. Incidents involving IT resources that result in the loss of technology, fraud, compromise, or disclosure of sensitive material are reported to the Bureau IT Security Manager.	Cutoff at the end of the fiscal year in which the incident occurs. Destroy 5 years after cutoff.	N1-57-02-02, Item 201-10c
<b>202-10c. Access to IT Systems.</b> Documentation of requests for access, changes to access, deletion of users, and revocations.	Destroy 1 year after separation or transfer of employee.	N1-57-02-02, Item 201-10d
<b>202-10d. Firewall Access Requests.</b> Forms and supporting documentation for access through USGS firewalls to the USGS internal networks and systems.	Cutoff at the end of the fiscal year upon termination of access. Destroy 1 year after cutoff.	N1-57-02-02, Item 201-10e
<b>202-10e. Secure Room Sign-in Sheets.</b> Documentation showing authorized entry to a computer installation by individuals who are not directly involved in managing or operating the facility.	Destroy 6 months after last entry on sign-in sheet.	N1-57-02-02, Item 201-10f
<b>202-10f. IT Security, Contingency Plans, and Risk Assessments.</b> Security plans providing an overview of the security and privacy requirements of a sensitive system or major application and contingency plans which document actions following a major disaster to ensure that all the IT resources needed for mission and business critical functions	Destroy when replaced by an updated plan.	N1-57-02-02, Item 201-10g

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will be available. Risk assessments which evaluate the IT assets and vulnerabilities of a system, identify potential threats to the system, and propose safeguards for the system.		
<b>202-10g. IT Policies and Procedures.</b> Policies and procedures pertinent to future and continuing actions for IT activities.	Cutoff at the end of the fiscal year. Place in inactive file when canceled, superseded, or revoked. Destroy when no longer needed for reference purposes.	New Item
<b>202-10h. IT Audit Logs.</b> Audit trails of activity sufficient to reconstruct security relevant events. Includes the identity of each entity accessing the system, time and date of access (including activities performed using a system administrator's identification), and activities that could modify, bypass, or negate the system's security controls.	Retain for 90 days or for the period specified in your System Security Plan (SSP), whichever is longer.	New Item
<b>203. Management Control Records.</b> Records created in accordance with procedures mandated by the Office of Management and Budget (OMB) Circular A-123, Internal Control Systems, and Public Law 97-255, the Federal Managers' Financial Integrity Act. Under these authorities, agencies are required to perform evaluations of their accounting and administrative controls to prevent waste, fraud, and mismanagement.		
<b>203-01. Policy, Procedure, and Guidance Files.</b> Copies of internal directives maintained by the agency's internal control staff (but not those copies maintained in the agency's official file of internal directives); external directives such as OMB Circular A-123; and correspondence outlining policy and procedure for performing management reviews.	Destroy when superseded, obsolete, or no longer needed.	<del>RCS/Item 202-10a and GRS 16, Item 14a</del>
<b>203-02. Management Control Plans.</b> Comprehensive plans documenting the	<del>Destroy when superseded.</del>	<del>RCS/Item 202-10b and GRS 16, Item</del>

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
agency's efforts to ensure compliance with OMB Circular A-123.		14b
<del>203-03. Risk Analyses. Reports and supporting materials used to document review of program areas for susceptibility to loss or unauthorized use of resources, errors in reports and information, and illegal and unethical actions.</del>	<del>Cutoff closed files at the end of the fiscal year. Destroy after next review cycle.</del>	<del>RCS/Item 202-10c and GRS 16, Item 14c</del>
<del>203-04. Annual Reports and Assurance Statements. Created by USGS organizational components and compiled by the USGS into a single unified report for direct submission to the President and Congress.</del>	<del>Cutoff closed files at the end of the fiscal year. Destroy after next reporting cycle.</del>	<del>RCS/Item 202-10d and GRS 16, Item 14d</del>
<del>203-05. Tracking Files. Files used to ensure the completion and timeliness of submission of feeder reports, including schedules of evaluations, interim reporting, lists of units required to report, and correspondence relating to the performance of the reviews.</del>	<del>Destroy 1 year after report is completed.</del>	<del>RCS/Item 202-10e and GRS 16, Item 14e</del>
203-06. Review Files. Correspondence, reports, action copies of audit findings, and other records that identify program internal control weaknesses, and corrective actions taken to resolve such problems. Since OMB Circular A-123 provides for alternative internal control reviews under OMB Circulars A-76, A-127, or A-130, this item also applies to copies of these reviews, provided they are identified as alternative reviews in the management control plan.		
<del>203-06(a). Review files maintained by office with responsibility for coordinating internal control functions.</del>	<del>Cutoff when no further corrective action is necessary. Destroy 5 years after cutoff.</del>	<del>RCS/Item 202-10f(1) and GRS 16, Item 14f(1)</del>
203-016(b). Copies maintained by other offices as internal reviews.	<del>Cutoff when no further corrective action is necessary. Destroy 1 year after cutoff.</del>	<del>RCS/Item 202-10f(2) and GRS 16, Item 14f(2)</del>
	Note: Alternative reviews such as computer security reviews and management and	



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	consultant studies should be cutoff when no further corrective action is necessary. They should be destroyed when no longer needed. This applies only to copies maintained as internal reviews.	
<b>203-07. Management Control General Records.</b> Correspondence, memoranda, and other records relating to the performance of evaluations.	Cutoff at the end of the fiscal year. Destroy 3 years after cutoff.	New Item
<b>204. Security Program Support Records.</b>		
<b>204-01. Federal Information Security Management Act (FISMA) Files.</b> The FISMA sets forth the minimum requirements for implementing IT security for safeguarding Federal information and information assets. Includes, but not limited to, bureau inputs to DOI on specific action plans.	Cutoff at the end of the fiscal year. Destroy 2 years after cutoff or when no longer needed, whichever is later.	New Item
<b>204-02. Security Program System Certification and Accreditation (C&amp;A) Files.</b> Files on USGS systems with accompanying documentation such as system inventory, system security plans, C&A packages, contingency plans, assessments, and authorizations for the system to operate. Often arranged by system.	Cutoff at the end of the fiscal year. Destroy 7 years after cutoff or when the files are no longer needed, whichever is later.	New Item
<b>204-03. Patch, Change, and Configuration Management Files.</b> Files include, but not limited to, use, test, and other assets that provide patch management capabilities; results of scans of internal networks for vulnerabilities; and bureau configuration management procedure files for operating system software, server, mainframe, desktop, laptop, network devices and other infrastructure components.	Cutoff at the end of the fiscal year. Destroy 3 years after cutoff or when no longer needed, whichever is later.	New Item
<b>204-04. Program Plan of Action and</b>	Cutoff at the end of the fiscal	New Item

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<b>Milestones (POA&amp;M) Files.</b> Files which manage and track all IT security weaknesses and activities. Includes, but not limited to, reports to DOI and Exhibit 300 reviews and supporting documentation.	year. Destroy when 3 years old or when no longer needed, whichever is later.	
<b>204-05. Security Program Support Files.</b> Files such as waiver requests, e-authentication files, and DOI guidance and informational documents.	Cutoff at the end of the fiscal year. Destroy 5 years after cutoff or when superseded or no longer needed, whichever is later.	New Item
<b>204-06. IT Security Scorecard Files.</b> Measures the effectiveness of agency implementation of the FISMA.	Cutoff at the end of the fiscal year. Destroy 2 years after cutoff.	New Item
<b>204-07. Computer Incident Response Team Files.</b> Files of events of suspected incidents.	Cutoff at the closure of the suspected incident. Destroy when no longer needed.	New Item
<b>204-08. Security Program General Files.</b> Correspondence, memoranda, and other records relating to the general administration and oversight of the security program.	Cutoff at the end of the fiscal year. Destroy 3 years after cutoff.	New Item
<b>205. A-76 (Performance of Commercial Activities) Competitive Sourcing Records.</b>		
<b>205-01. Reviews and Studies.</b> Correspondence, working papers, tabulations, team records, and any other records relating to individual reviews of USGS activities and to productivity reviews required under OMB Circular A-76.		
<b>205-01a. Case Files.</b> Maintained by the office conducting the study.	Cutoff at the completion of the study. Records should be maintained as long as the function being studied is performed at the USGS. Destroy at the end of the fiscal year in which the function is no longer performed.	New Item – GRS 3/18
<b>205-01b. Records Maintained by Other Offices, Including Information Copies and Background Material.</b>	Cutoff at the end of the study. Destroy 2 years after cutoff	New Item – GRS 3/18b

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<p><b>205-02. Records Documenting the USGS Implementation of A-76.</b> Records consist of bureau implementation procedures, including appeals procedures, inventory of in-house commercial activities, inventory of activities already contracted out, documentation for various A-76 reviews conducted, reports, plans, and submissions to DOI and OMB.</p>	Cutoff at the end of the fiscal year. Destroy 10 years after cutoff or when superseded, obsolete, or no longer needed, whichever is later.	New Item
<p><b>206. IRM Files.</b></p>		
<p><b>206-01. IRM Oversight Files.</b> Correspondence and related materials pertaining to IRM oversight. Includes, but not limited to, internal and/or external correspondence; records on areas of oversight (organized by subject); and general records relating to oversight responsibilities.</p>	Cutoff at the end of the fiscal year. Destroy when 5 years old or when no longer needed, whichever is later.	<del>N1-57-02-02, Item 201-06</del>
<p><b>206-02. IRM Policies and Procedures.</b> Policies and procedures pertinent to future and continuing actions for IRM activities.</p>	Cutoff at the end of the fiscal year. Place in inactive file when canceled, superseded, or revoked. Destroy when no longer needed for reference purposes.	<del>N1-57-02-02, Item 201-02</del>
<p><b>206-03. IRM Feasibility Studies and Program Files.</b> Studies conducted before the installation of any technology or equipment associated with information management systems, such as word processing and communications. These studies typically include a consideration of the alternatives to the proposed system and cost benefit analysis of the improved efficiency and effectiveness to be expected from the proposed system. Program records include correspondence and related materials pertaining to overall program promotion and improvement.</p>	Cutoff at the end of the fiscal year or project. Destroy 6 years after cutoff.	N1-57-02-02, Item 201-05a
<p><b>206-04. General IRM Files.</b> General correspondence, miscellaneous reports, newsletters, and other records relating to IRM topics not otherwise covered in this schedule.</p>	Cutoff at the end of the fiscal year. Destroy 3 years after cutoff.	<del>N1-57-02-02, Item 201-01</del>

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<b>207. Records Management, Forms, and Information Collection Budget Files.</b>		
<b>207-01. Records Management Filing Systems.</b> Correspondence, handbooks, index or guides, and other material related to systems developed and prescribed by the USGS for the numbering and filing of correspondence, reports, publications, and other <del>formats</del> such as drawings, maps, field books, audio visual, electronic files, microfilm and directives.	<b>PERMANENT.</b> Place in inactive file when superseded, canceled, or revoked. <del>Cutoff inactive file</del> at the end of the fiscal year. Transfer to the Federal Records Center (FRC) 10 years after cutoff. Transfers to the National Archives and Records Administration (NARA) 30 years after cutoff.	N1-57-02-02, Item 201-05b
<b>207-02. Records Management Files.</b> Files containing information on records scheduling, location/details of records storage, record inventories, records receipts, and disposal authorizations. Includes copies of completed forms such as the SF-115, Request for Records Disposition Authority; SF-135s and SF-135a, Records Transmittal and Receipt; Optional Form 11, NARA Reference Requests, Federal Records Centers; NA 13000, Agency Review for Contingent Disposal; NA 13001, Intent to Destroy Records; NA 13016, Notice of Accession Location Change, and related documentation.  NOTE : Although this item has a temporary retention, it is suggested all documents under item be kept indefinitely for reference purposes.	Destroy 6 years after the related records are destroyed or transferred to NARA, whichever is applicable. (See Note)	N1-57-02-02, Item 205-06a(2)
<b>207-03. Records Holding Files.</b> Statistical reports of agency holdings, including feeder reports from all offices and data on the volume of records disposed of by destruction and transfer.	Cutoff at the end of the fiscal year. Destroy when 3 years old.	N1-05-02-02, Item 205-07a
<b>207-04. Microform Inspection Records.</b> Bureau copy of inventories, logs, and reports documenting the inspection of <del>microform records</del> , as required by 36 CFR	For inspection of permanent microform records, <del>destroy 1</del> year after the records are transferred to NARA. For	RCS/Item 203-06b and GRS 16, Item 10b

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Part 1230.	inspection of temporary microform records, destroy when 2 years old or when superseded, whichever is later.	
<del>207-05. Vital Records. Inventories of vital records data, relating to the identification and protection of records vital to the operation of USGS during emergencies or which protect the legal or financial rights of individuals or the Federal Government. Inventories cite the cycle during which the vital records data will be refreshed. Updates to the inventory should occur as necessary to keep the inventory current. The entire inventory should be reviewed and revised at least once every six years.</del>	<del>Destroy and replace with current inventories as superseded, or when 6 years old, whichever is sooner.</del>	<del>N1-05-02-02, Item 205-10</del>
207-06. Forms Case Files. One record copy of each form created and approved for use by the bureau with related instructions, documentation, and background materials. Maintained by the office issuing the form.	Destroy 5 years after related form is discontinued, superseded, or canceled.	RCS/Item 203-02a and GRS 16 Item 3a
<del>207-07. Information Collection Budget Files. Reports required by Office of Management and Budget (OMB) under the Paperwork Reduction Act regarding the number of hours the public spends fulfilling agency reporting requirements. Included are associated feeder reports, report exhibits, correspondence, directives, and statistical compilations.</del>	<del>Cutoff at the end of the fiscal year. Destroy 7 years after cutoff.</del>	<del>RCS/Item 203-10 and GRS 16, Item 12</del>
<b>208. Telecommunications Files.</b>		
<del>208-01. General Telecommunications Management Files. General correspondence and other records relating to communications management topics not otherwise covered in this schedule.</del>	<del>Cutoff at the end of the fiscal year. Destroy 2 years after cutoff.</del>	<del>N1-57-02-02, Item 203-01</del>
208-02. Telecommunications Management Policies and Procedures Files. Policies and procedures pertinent to future and continuing actions for telecommunications management	Cutoff at the end of the fiscal year. Place in inactive file when canceled, superseded, or revoked. Destroy when no longer needed for reference	N1-57-02-02, Item 203-02

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activities.	purposes.	
<b>208-03. Telecommunications Equipment Management Files.</b> Correspondence and related materials pertaining to the installation, operation, maintenance, and management of telecommunications equipment used for the transmission of voice and data signals over hard wire or via satellite. Includes such records as requirements for acquisition, usage, consolidation, disposition of equipment; leased facilities, equipment, or lines; frequency materials, line changes, traffic, and service reports; inventories; recurring charges; work orders; plans, and studies.	Cutoff at the end of the fiscal year. Destroy 10 years after cutoff or if replaced before then, destroy 2 years after replacement.	N1-57-02-02, Item 203-05
<b>208-04. Telephone Use (Call Detail) Records.</b> Telephone detail call records and facsimile transmissions.		
<b>208-04a.</b> Telephone listings of called telephone numbers, dates, and specifics of calls.		
<b>208-04a(1).</b> Computer-generated listings. Telephone call accounting data generated by the telephone system, automatically collected, and maintained on a standalone computer.	Records maintained electronically are the official record. Delete when 3 years old.	N1-57-02-02, Item 203-07a(1)
<b>208-04a(2).</b> Paper copies.	Destroy when no longer needed.	N1-57-02-02, Item 203-07a(2)
<b>208-04b.</b> Records relating to the location of telephones and records indicating assignment of employee telephone numbers. Included is Directory Service (includes telephone directories) that are maintained in electronic form. Include any records relating to the compilation of the directory service listings.	The designated official electronic record copy of these records should be maintained for 1 year with accessibility to a back-up copy.	N1-57-02-02, Item 203-07b
<b>208-05. Telephone Calling Card Records.</b>		
<b>208-05a.</b> General records relating to the allocation, use, and distribution of agency telephone calling cards.	Cutoff at the end of the fiscal year. Destroy 3 years after cutoff.	N1-57-02-02, Item 203-08a
<b>208-05b.</b> Lists or rosters showing the current allocation of agency telephone	Cutoff at the end of the fiscal year. Destroy 3 years after	N1-57-02-02, Item 203-08b

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calling cards issued.	cutoff.	
<b>208-05c.</b> Case files relating to investigations of alleged lost, stolen, or misused telephone calling cards.	Cutoff at the end of the fiscal year. Destroy 3 years after the close of the investigation.	N1-57-02-02, Item 203-08c
<b>208-06. Radio Communications Systems.</b>		
<b>208-06a.</b> Correspondence and related materials pertaining to the installation, operation, maintenance, and management of equipment used for direct communication, automation, or remote control of either voice or data transmissions. Includes, but not limited to, microwave, satellite systems, 2-way fixed or mobile radios, leased services, and cellular telephones.	Cutoff at the end of the fiscal year. Destroy 2 years after cutoff.	N1-57-02-02, Item 203-09a
<b>208-06b.</b> Lists or rosters showing the current allocation of agency radios.	Cutoff at the end of the fiscal year. Destroy when 3 years old.	N1-57-02-02, Item 203-09b
<b>208-06c.</b> Radio Frequency Authorization Files. Includes radio frequency authorizations and frequency use agreements. Authorizations and use agreements are reviewed every 5 years.	Destroy when replaced by a new authorization/agreement.	N1-57-02-02, Item 203-10a
<b>209. Computer Files</b>		
<b>209-01. Bureau-Level Software, Hardware, and Computer System Files.</b> Correspondence and related material pertaining to bureau-level software development, hardware physical equipment and components in a computer system, office computer systems technical operations and maintenance, and installation, operation, and maintenance of equipment used in the supervision and control of USGS systems by either direct communication, automation, or remote control.		
<b>209-01a. Key Maintenance Information.</b>	Cutoff at the end of the fiscal year. Retain key maintenance information for the life of the system.	N1-57-02-02, Item 201-07a(1)
<b>209-01b. Key System Documentation.</b>	Cutoff at the end of the fiscal	N1-57-02-02, Item

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	year. Retain key system documentation for 5 years after the system is replaced.	201-07a(2)
<b>209-02. User Support and Liaison Files.</b> Correspondence and related material pertaining to user support and liaison. Includes computer user technical assistance, establishing user support groups, articles for newsletters, user meetings data and notes, and technical notes.	Cutoff at the end of the fiscal year. Destroy 3 years after cutoff.	<del>N1-57-02-02, Item 201-09</del>
<b>210. Electronic Records</b>		
<b>210-01. Files and Records Relating to the Creation, Use, and Maintenance of Computer Systems, Applications, or Electronic Records.</b>		
<b>210-01a.</b> Electronic files or records created solely to test system performance, as well as hard-copy printouts and related documentation for the electronic files or records.	Delete or destroy when no longer needed for administrative, legal, audit, or other operational purposes.	<del>GRS 20, Item 1a</del>
<b>210-01b.</b> Electronic files or records used to create or update a master file, including, but not limited to, work files, valid transaction files, and intermediate input/output records.	Delete after information has been transferred to the master file and verified.	<del>GRS 20, Item 1b</del>
<b>210-01c.</b> Electronic files and hard-copy printouts created to monitor system usage, including, but not limited to, log-in files, password files, audit trail files, system usage files, and cost-back files used to assess charges for system use.	Delete or destroy when 1 year old or when no longer needed for administrative, legal, audit, or other operational purposes, whichever is later.	GRS 20, Item 1c
<b>210-02. Input/Source Records</b>		
<b>210-02a.</b> Hard-copy (non-electronic) documents used to create, update, or modify electronic records when the electronic records are retained to meet recordkeeping requirements and are covered by a NARA-approved schedule. Included are such records as hard-copy forms used for data input as well as hard-copy documents that are scanned into an electronic recordkeeping system (e.g.,		



RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
<p>correspondence, reports, still pictures, maps, etc.).</p> <p>NOTE: The term hard-copy records or non-electronic records as used in this schedule includes, in addition to traditional textual files: still picture negatives, prints, slides, and transparencies; aerial photography, maps, charts, and drawings; motion picture film and analog videotape; and analog sound recordings.</p>		
<p><b>210-02a(1).</b> Hard-copy documents that NARA has specifically designated as permanent records that must be transferred to NARA in hard-copy format, even if records have been copied or converted to an electronic format.</p>	<p><b>PERMANENT.</b> Transfer to NARA in accordance with <del>previously approved schedule.</del></p>	<p><del>GRS 20, Item 2a(1)</del></p>
<p><b>210-02a(2).</b> Hard-copy records previously approved as permanent that are converted to electronic records where the electronic records do not meet NARA's transfer standards for permanent <del>electronic records</del> in effect at the time of conversion.</p>	<p><b>PERMANENT.</b> Transfer to NARA in accordance with <del>previously approved schedule.</del></p>	<p><del>GRS 20, Item 2a(2)</del></p>
<p><b>210-02a(3).</b> Hard-copy documents that contain information that is not or cannot be captured in the electronic version of the records (e.g., <del>certain handwritten annotations</del>).</p>	<p>Apply previously approved schedule.</p>	<p><del>GRS 20, Item 2a(3)</del></p>
<p><b>210-02a(4).</b> Hard-copy documents other than those covered by Items 210-02(a)(1) through 210-02a(3).</p>	<p>Destroy after the information has been converted to an electronic medium and verified, when no longer needed for legal or audit purposes, or to support the reconstruction of, or serve as a backup to, the electronic records, or 60 days after NARA has been provided the notification required by 36 CFR 1228.31(b)(1)(i), whichever is later.</p>	<p>GRS 20, Item 2a(4)</p>
<p><b>210-02b.</b> Electronic records, except as</p>	<p>Delete when data have been</p>	<p>GRS 20, Item 2b</p>

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
noted in 210-02c, entered into the system during an update process and not required for audit and legal purposes.	entered into the master file or database and verified, or when no longer required to support reconstruction of, or serve as backup to, a master file or database, whichever is later.	
<del>210-03c. Electronic records received from another agency and used as input/source records by the receiving agency, excluding records produced by another agency under the terms of an Interagency Agreement, or records created by another agency in response to the specific information needs of the receiving agency.</del>	<del>Delete when data have been entered into the master file or database and verified, or when no longer needed to support reconstruction of, or serve as backup to, the master file or database, whichever is later.</del>	<del>GRS 20, Item 2c</del>
<del>210-03d. Computer files or records containing uncalibrated and unvalidated digital or analog data collected during observation or measurement activities or research and development programs and used as input for a digital master file or database.</del>	<del>Delete after the necessary data have been incorporated into a master file.</del>	<del>GRS 20, Item 2d</del>
<b>210-03. Electronic Records that Replace Temporary Hard-copy Records.</b> Electronic records that replace temporary hard-copy records covered by previously approved schedules that do not explicitly exclude electronic records. (If a previously approved schedule explicitly excludes electronic records, an SF-115 must be submitted to NARA. None of the authorities provided below may be applied)		
<del>210-03a. Scanned Images.</del>	<del>Delete after the expiration of the retention period authorized for the hard-copy records.</del>	<del>GRS 20, Item 3a</del>
<b>210-03b. Electronic Formats other than Scanned Images.</b>  NOTE: Items 210-03b(1) and 210-03b(3) may be applied to electronic records consisting of information drawn from multiple previously scheduled hard-copy series of administrative housekeeping		

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
<p>records. In such instances, the electronic records must be retained for the longest retention period specified in the previously approved schedules.</p> <p>Disposition authorities included in Item 210-03 may be applied to copies of records maintained on agency web sites only in the case of administrative housekeeping records. These items may not be applied to web site copies of program records, which must be scheduled separately.</p>		
<p><b>210-03b(1).</b> Records covered by temporary items in the GRS other than GRS 1, Item 21 (Employee Medical Folders); GRS 1, Item 22 (Statistical Summaries); GRS 1, Item 25f (Equal Employment Opportunity Statistics Files); GRS 12, Item 3 (Telecommunications Operational Files); and GRS 18, Item 5 (Top Secret Accounting and Control Files) OR records covered by temporary items in an agency-specific schedule that pertain to administrative or housekeeping activities.</p>	Delete after the expiration of the retention period authorized for the hard-copy records.	<del>GRS 20, Item 3b(1)</del>
<p><b>210-03b(2).</b> Records covered by GRS 1, Item 21 (Employee Medical Folders); GRS 1, Item 22 (Statistical Summaries); GRS 1, Item 25f (Equal Employment Opportunity Statistics Files); GRS 12, Item 3 (Telecommunications Operational Files); and GRS 18, Item 5 (Top Secret Accounting and Control Files)</p>	Submit SF-115 to NARA.	<del>GRS 20, Item 3b(2)</del>
<p><b>210-03b(3).</b> Digital versions of temporary still pictures, sound recordings, <del>motion picture film,</del> and video recordings.</p>	Delete after the expiration of the retention period authorized for the hard-copy records.	<del>GRS 20, Item 3b(3)</del>
<p><b>210-03b(4).</b> Program records approved for destruction in a previously approved <del>schedule that is media neutral and does not explicitly exclude electronic records.</del></p>	Delete after the expiration of the retention period specified in the previously approved schedule.	<del>GRS 20, Item 3b(4)</del>
<p><b>210-03b(5).</b> Program records maintained in an electronic format that are not covered by <del>Items 210-03a, 210-03b(1),</del></p>	Submit SF-115 to NARA.	<del>GRS 20, Item 3b(5)</del>

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
210-03b(3), or 210-03b(4).		
<p><b>210-03c. Electronic Records that Replace Permanent Hard-Copy Records.</b> Electronic records that replace hard-copy records approved as permanent in a previously approved schedule.</p> <p>NOTE: Electronic versions of permanent records that are retained as recordkeeping copies must meet the standards contained in NARA guidance concerning the creation, maintenance, and transfer of permanent electronic records.</p> <p>Item 210-03c may be applied if the electronic records consist of information drawn from multiple previously scheduled permanent series. In cases where the electronic records include information drawn from both temporary and permanent hard-copy series, an agency may apply Item 210-03c or submit an SF-115 that proposes disposal of the records if the agency believes the electronic records do not warrant permanent retention.</p> <p>This item does not cover copies of permanent records maintained on agency web sites, which must be scheduled separately.</p>	<p><b>PERMANENT.</b> Submit notification to NARA in accordance with 36 CFR 1228.31(b)(1)(i).</p>	<p>GRS 20, Item 3.1</p>
<p><b>210-04. Data Files Consisting of Summarized Information.</b> Records that contain summarized or aggregated information created by combining data elements or individual observations from a single master file or database that is disposable under a GRS item or is authorized for deletion by a disposition job approved by NARA after January 1, 1988, excluding data files that are created as disclosure-free files to allow public access to the data which may not be destroyed before securing NARA</p>	<p>Delete when no longer needed for administrative, legal, audit, or other operational purposes.</p>	<p>GRS 20, Item 4</p>

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
<p>approval.</p> <p>NOTE: Data files consisting of summarized information which were created from a master file or database that is unscheduled, or that was scheduled as permanent but no longer exists or can no longer be accessed, may not be destroyed before securing NARA approval.</p>		
<p><b>210-05. Records Consisting of Extracted Information.</b> Electronic files consisting solely of records extracted from a single master file or database that is disposable under the GRS or approved for deletion by a NARA-approved disposition schedule, excluding extracts that are:</p> <p>a. produced as disclosure-free files to allow public access to the data; or</p> <p>b. produced by an extraction process which changes the informational content of the source master file or database; which may not be destroyed before securing NARA approval. For print and technical reformat files see items 210-06 and 210-07 of this schedule respectively.</p> <p>NOTES: (1) Records consisting of extracted information that was created from a master file or database that is unscheduled, or that was scheduled as permanent but no longer exists or can no longer be accessed may not be destroyed before securing NARA approval. (2) See Item 210-12 of this schedule for other extracted data.</p>	Delete when no longer needed for administrative, legal, audit, or other operational purposes.	GRS 20, Item 5
<p><b>210-06. Print File.</b> Electronic file extracted from a master file or database without changing it and used solely to produce hard-copy publications and/or printouts of tabulations, ledgers, registers, and statistical reports.</p>	Delete when no longer needed for administrative, legal, audit, or other operational purposes.	GRS 20, Item 6
<p><b>210-07. Technical Reformat File.</b></p>	Delete when no longer needed	GRS 20, Item 7

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
Electronic file consisting of data copied from a complete or partial master file or database made for the specific purpose of information interchange and written with varying technical specifications, excluding files created for transfer to the NARA.	for administrative, legal, audit, or other operational purposes.	
<b>210-08. Backups of Files.</b> Electronic copy, considered by the agency to be a Federal record, of the master copy of an electronic record or file and retained in case the master file or database is damaged or inadvertently erased.		
<del><b>210-08a.</b> File identical to records scheduled for transfer to the NARA.</del>	<del>Delete when the identical records have been captured in a subsequent backup file or when the identical records have been transferred to NARA and successfully copied.</del>	<del>GRS 20, Item 8a</del>
<del><b>210-08b.</b> File identical to records authorized for disposal in a NARA-approved records schedule.</del>	<del>Delete when the identical records have been deleted or when replaced by a subsequent backup file.</del>	<del>GRS 20, Item 8b</del>
<del><b>210-09. Finding Aids (or Indexes).</b> Electronic indexes, lists, registers, and other finding aids used only to provide access to records authorized for destruction in this records schedule, in the GRS, or a NARA-approved SF-115, excluding records containing abstracts or other information that can be used as an information source apart from the related records.</del>	<del>Delete with related records or when no longer needed for administrative, legal, audit, or other operational purposes, whichever is later.</del>	<del>GRS 20, Item 9</del>
<del><b>210-10. Special Purpose Programs.</b> Application software necessary solely to use or maintain a master file or database authorized for disposal in a GRS item or in a NARA-approved records schedule, excluding special purpose software necessary to use or maintain any unscheduled master file or database or any master file or database scheduled for transfer to NARA.</del>	<del>Delete when related master file or database has been deleted.</del>	<del>GRS 20, Item 10</del>

<b>RECORD ITEM/DESCRIPTION</b>	<b>DISPOSITION</b>	<b>AUTHORITY</b>
<b>210-11. Documentation.</b>		
<b>210-11a.</b> Data systems specifications, file specifications, codebooks, record layouts, user guides, output specifications, and final reports (regardless of medium), relating to a master file, database, or other electronic records.		
<b>210-11a(1).</b> Documentation relating to electronic records that are scheduled for destruction in the GRS or in a NARA-approved agency schedule.	Destroy or delete upon authorized deletion of the related electronic records or upon the destruction of the output of the system if the output is needed to protect legal rights, whichever is later.	<del>GRS 20, Item 11a(1)</del>
<b>210-11a(2).</b> Documentation relating to electronic records that are scheduled for permanent retention in the GRS or in a NARA-approved agency schedule.	<del>PERMANENT.</del> Transfer to NARA with the permanent electronic records to which the documentation relates.	<del>GRS 20, Item 11a(2)</del>
<b>210-11b. Copies of Records Relating to System Security.</b>	Refer to Item 202-05	GRS 20, Item 11b
<b>210-12. Downloaded and Copied Data.</b> Derived data and data files that are copied, extracted, merged and/or calculated from other data generated within the bureau when the original data is retained.		
<b>210-12a.</b> Derived data used for ad hoc or one-time inspection, analysis, or review, if the derived data are not needed to support the results of the inspection, analysis, or review.	Delete when no longer needed for administrative, legal, audit, or other operational purposes.	<del>GRS 20, Item 12a</del>
<b>210-12b.</b> Derived data that provide user access in lieu of hard-copy reports that are authorized for disposal.	Delete when no longer needed for administrative, legal, audit, or other operational purposes.	<del>GRS 20, Item 12b</del>
<b>210-12c.</b> Metadata or reference data, such as format, range, or domain specifications which is transferred from a host computer or server to another computer for input, updating, or transaction processing operations.	Delete from the receiving system or device when no longer needed for processing.	<del>GRS 20, Item 12c</del>
NOTE: See Item 210-05 for other extracted data.		
<b>210-13. Word Processing Files.</b>	Delete from the word	<del>GRS 20, Item 13</del>

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
Documents such as letters, memoranda, reports, handbooks, directives, and manuals recorded on electronic media such as hard disks or floppy diskettes after they have been copied to an electronic recordkeeping system, paper, or microform for recordkeeping purposes.	processing system when no longer needed for updating or revision.	
<p><b>210-14. Electronic Mail Records.</b> Senders' and recipients' versions of electronic mail messages that meet the definition of Federal records, and any attachments to the record messages after they have been copied to an electronic recordkeeping system, paper, or microform for recordkeeping purposes.</p> <p>NOTE: Along with the message text, the recordkeeping system must capture the names of the sender and recipients and date (transmission data for recordkeeping purposes) and any receipt data, when required.</p>	Delete from the e-mail system after copying to a recordkeeping system.	GRS 20, Item 14
<p><b>210-15. Electronic Spreadsheets.</b> Electronic spreadsheets generated to support administrative functions or generated by an individual as background materials or feeder reports.</p>		
<p><b>210-15a.</b> When used to produce hard-copy that is maintained in organized files</p>	Delete when no longer needed to update or produce hard-copy.	GRS 20, Item 15a
<p><b>210-15b.</b> When maintained only in electronic form.</p>	Delete after the expiration of the retention period authorized for the hard-copy by the GRS or a NARA-approved SF-115. If the electronic version replaces hard-copy records with differing retention periods and agency software does not readily permit selective deletion, delete after the longest retention period has expired.	GRS 20, Item 15b
<p><b>210-16. Hard-copy Printouts Created</b></p>	Destroy when the agency	GRS 20, Item 16



<b>RECORD ITEM/DESCRIPTION</b>	<b>DISPOSITION</b>	<b>AUTHORITY</b>
<p><b>to Meet Ad Hoc Business Needs.</b>  Printouts derived from electronic records created on an ad hoc basis for reference purposes or to meet day-to-day business needs.</p>	<p>determines that they are no longer needed for administrative, legal, audit, or other operational purposes, provided the printouts do not contain substantive information, such as substantive annotations, that is not included in the electronic records. (Printouts that contain substantive information should be disposed of in accordance with the NARA-approved schedule that covers the series in which they are filed).</p>	

**U.S. Geological Survey  
Chapter 300. Administrative Support Records**

**Cross Index**

<b>ITEM NUMBER</b>	<b>SUBJECT</b>	<b>SUPERSEDED CITATION</b>
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301-01b	Electronic records that contain USGS.GOV web site development documents.	Item 302-01b N1-57-02-02, Item 302-01b
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301-02b	USGS.GOV Policy and Planning Records	Item 302-04c N1-57-02-02, Item 302-04c (Combined 302-04c, 302-03d, and 302-03c)
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304-03b	All Other Copies	Item 305-03b N1-57-02-02, Item 305-03b
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**305 Natural Science Network (NSN) Program**

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306-07	Library Statistical Reports	New Item
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308-01c	High-Level Agency Records Not Incorporated in Official Files (Estimated volume – less than 1 cubic foot per year)	Item 307-01c NC1-57-89-1, Item 102-04c

<b>309</b>	<b>Records Common to Most Offices</b>	
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<b>310</b>	<b>Administrative Databases and Electronic Spreadsheets</b>	
310-01	Administrative Databases	
310-01a	When Hard Copy Records are Retained to Meet Requirements.	Item 308-01a N1-57-02-02, Item 308-01a and GRS 20, Item 3b(1)

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#### **DELETED RECORDS**

- 302-01a – Records that contain web site change requests from the USGS webmasters and USGS leadership, and all clearances.
- 302-02a – Correspondence, records, and related materials pertaining to information on the location of servers, technical operation, maintenance, system upgrade data, and operational procedures for USGS.GOV web servers located throughout the USGS.
- 302-02b – Software.
- 302-02c – Accessibility Issues.
- 302-02d – Correspondence and related materials pertaining to the physical equipment and components in the computer system housing USGS.GOV websites or used in its daily activities.
- 302-03b – Correspondence, announcements, flyers, warnings, and related materials pertaining to potential or ongoing security incident reports.
- 302-04b – User support and liaison.
- 303-03c – Requisitions for stamps (exclusive of copies used as supporting documents to payment vouchers).
- 305-07 – Cost Accounting Reports – Entire section including 305-07a and 305-07b.
- 305-08 – Cost Report Data Files – Entire section including 305-08a, 305-08b, 305-08b(1), 305-08b(2), and 305-08b(3).
- 305-09 – Stores Control Files.
- 310 – Entire section including 310-01, 310-01a, and 310-01b.



**CHAPTER 300. ADMINISTRATIVE SUPPORT RECORDS**

Records relating to various aspects of bureau administrative support and records common to most offices.

**Chapter 300 Topics. This section provides for the disposition of the following:**

- 301. USGS.GOV Web Site
- 302. Mail, Messenger, and Distribution Files
- 303. Travel and Transportation Files
- 304. Self-Service Store Operations Files
- 305. National Science Network (NSN) Program
- 306. Library Records
- 307. Internal and External Audits
- 308. Schedules of Daily Activities
- 309. Records Common to Most Offices
- 310. Administrative Databases

**301. USGS.GOV Web Site records include the following records:**

- 301-01 USGS.GOV Web Content – Web site change requests, developments documents, feedback from Web site users, electronic code, and access logs.
- 301-02 USGS.GOV Reports, Statistics, Policies, Guidance, and Planning Records – Reports, statistics, policy, guidelines, and planning records.
- 301-03 USGS.GOV General Files – Correspondence of a general nature and other related items not found elsewhere in the schedule.

**302. Mail, Messenger, and Distribution Files include the following records:**

- 302-01 Messenger Service Files – Daily logs, assignment records, dispatch records, delivery receipts, route schedules, and related records.
- 302-02 Post Office and Private Mail Company Records – Forms and supporting papers, exclusive of records held by the United States Postal Service.
- 302-03 Mail and Delivery Service Control Files – Statistical and general files relating to the administration of mail room operations and mail delivery.
- 302-04 Metered Mail Files – Reports and related papers.
- 302-05 Postal Irregularities Files – Records relating to irregularities in the handling of mail.

**303. Travel and Transportation Files include the following records:**

- 303-01 Commercial Freight and Passenger Transportation Files – Supporting documents covering commercial freight and passenger transportation charges.
- 303-02 Lost or Damaged Shipments Files – Records relating to the administration of the Government Losses in Shipment Act.
- 303-03 Foreign Travel Records – Records created related to foreign travel.

- 303-04 Reimbursable Travel Files – Records relating to reimbursing individuals and other supporting documents relating to official travel.
- 303-05 General Travel and Transportation Files – Records pertaining to commercial and foreign travel and transportation and freight functions not covered elsewhere in the schedule.
- 303-06 Non-Federally Funded Travel Files – Records on payments made to the agency from non-Federal sources for travel, subsistence, and related expenses.
- 303-07 Federal Employee Transportation Subsidy Records – Records relating to the disbursement of transportation subsidies.
- 303-08 Records Relating to Official Passports – Documents relating to issuance of official passports.

**304. Self-Service Store Operations Files include the following records:**

- 304-01 Self-Service Store Operations General Files – Routine records relating to bureau self-service store stock, operations, or other areas not covered in the schedule.
- 304-02 Stores Invoice Files – Records used for stores accounting.
- 304-03 Inventory Requisition Files – For supplies and equipment inventories.
- 304-04 Inventory Files – Records on inventories.
- 304-05 Stores Accounting Files – Includes reports and records on returns.
- 304-06 Stores Accounting Background Files – Working files used in accumulating stores accounting data.

**305. National Science Network (NSN) Program Files include the following records:**

- 305-01 NSN Program Operations Files – Records on the management of NSN.
- 305-02 NSN Program Planning Files – Records which support the program planning such as studies, analysis, reports, and other related documents.
- 305-03 NSN Finding Aids – Inventories, indexes and other documents used to assist the researcher.
- 305-04 NSN Information Requests, Referrals, and Acknowledgement Files – General requests for information, acknowledgements, or referrals for reply.
- 305-05 NSN State Agreements – Case files to monitor and track agreements.
- 305-06 IBiS System – Supports in the distribution of all USGS published materials.

**306. Library Records include the following records:**

- 306-01 Library Operations – Records related to general library activities.
- 306-02 Library Materials – Reference circulating materials.
- 306-03 Interlibrary Borrowing Requests – Requests for interlibrary loans.
- 306-04 Library Purchase Transactions – Records from time of order to receipt.
- 306-05 Library Reference Inquiries and Document Delivery Field Requests – Files on reference inquiries and deliveries.
- 306-06 Library Management Records – Records related to overall management of the library.
- 306-07 Library Statistical Reports – Compilations of library activities.
- 306-08 Library Historical Records – Summary records of events of historical importance to the library.

306-09 Library Catalogue – Database records for books, journals, maps, microforms, videocassettes, CD-ROMs, and pamphlets.

**307. Internal and External Audit Records include the following records:**

307-01 Audit Files – Case files.  
307-02 Office of the Inspector General Contact Reports Files – Employee reports of contacts or meetings with the Inspector General personnel.  
307-03 General Audit Files – Routine administrative records not covered elsewhere in the schedule.

**308. Schedules of Daily Activities Records include the following records:**

308-01 Schedules of Daily Activities – Calendars, appointment books, and other records documenting meetings, appointments, telephone calls, trips, visits, and other such activities.

**309. Records Common to Most Offices include the following records:**

309-01 Files Maintenance and Disposition Plans – File plan that documents records held in an office or individual's files.  
309-02 Reading or Chronological Files – Extra copies of correspondence maintained solely as a reading or reference file.  
309-03 Policy and Precedent Reference Files – Copies of policy or other such documents maintained only for convenience.  
309-04 Temporary Files – Short-term interest files.  
309-05 Routine Tracking and Control Files – Documents used to track work flow, recording of actions taken, or other processes.  
309-06 Agency Directives and Publications – Reference and/or Circulating Copies – Extra copies of local internal and external releases.  
309-07 Administrative Announcements – Copies of short-term guidance and information concerning operating procedures.  
309-08 Directives and Publications of Other Government Agencies – Copies of other Government publications maintained for reference.  
309-09 Non-Government Publications – Copies of non-government publications maintained for reference.  
309-10 Office Administrative Files – General records of an administrative nature and not covered elsewhere in the schedule.  
309-11 Delegations of Authority Files – Delegations designating coverage of individuals.

**310. Administrative Databases and Electronic Spreadsheets include the following records:**

310-01 Administrative Databases – Databases that support administrative or housekeeping functions.

**What records in this chapter are important or considered permanent USGS records?**

- Official Government Passports – they must be returned to the Department of State upon expiration or upon the separation of the employee.
- Historical Records of the Library.
- Schedules of USGS officials including the Director, Deputy Director, Assistant Directors, and may include other high-level USGS officials who report to either the Director or the Deputy Director.

**What records in this section are considered temporary USGS records?**

- USGS.GOV Web site records.
- Mail, messenger, mail delivery, and postal files.
- Travel and transportation files.
- Lost or damaged shipments files.
- Routine relocation files.
- Non-federally funded travel files.
- Federal Employee Transportation Subsidy files.
- Official passport application files.
- Self-service store operations files.
- National Science Network (NSN) program, information requests, referrals, acknowledgements, and agreements files.
- IBiS System files.
- Original machine-readable records of the Inventory of Cartographic Databases.
- Library records, including operations, borrowing and purchase requests, inquiries, management, statistical and catalogue records.
- Internal and external audit files.
- Schedules of daily activities.
- Records common to most offices.
- Administrative databases.

**Questions?**

Contact the USGS Records Manager or your discipline or regional Records Liaison Officer - <http://internal.usgs.gov/gio/irm/fmassis2.html>

**CHAPTER 300. ADMINISTRATIVE SUPPORT RECORDS**

<b>RECORD ITEM/DESCRIPTION</b>	<b>DISPOSITION</b>	<b>AUTHORITY</b>
<b>301. USGS.GOV Web Site.</b> The USGS website is a highly complex site with many sub-sites and sub-sub-sites emerging. It contains ephemeral bulletin board postings, official agency publications, original materials not captured elsewhere in the recordkeeping systems, and other USGS business created interactively in real time.		
<b>301-01. USGS.GOV Web Content</b>		
<b>301-01a.</b> Records that contain Web site change requests from USGS content providers and management, and all clearances.	Cutoff at the end of the fiscal year. Destroy when 2 years old or when no longer needed, whichever is later.	<del>N1-57-02-02, Item 302-01a</del>
<b>301-01b. Electronic Records that Contain USGS.GOV Web Site Development Documents.</b> Examples include specifications, list of change items, and steps for migrating the Web site from the test server to the production server.	Cutoff at the end of the fiscal year. Destroy when 2 years old or when no longer needed, whichever is later.	<del>N1-57-02-02, Item 302-01b</del>
<b>301-01c. User Feedback.</b> Records that contain all comments, questions, and feedback from Web site users. Correspondence and related material pertaining to user support and liaison. Included are Web site user technical assistance, help files, and technical notes	Cutoff at the end of the fiscal year. Destroy when 2 years old or when no longer needed, whichever is later.	<del>N1-57-02-02, Item 302-01c</del>
<b>301-01d. USGS.GOV Web Site Electronic Code.</b> Electronic code (HTML, JavaScript, ASP, etc.) that contains the information to produce the USGS.GOV website at any given point in time. Files uploaded through local Andrew File System (AFS) servers then replicated to the USGS Web. All part of the USGS National Web Server System (NATWEB) which manages web hosting.	Current code is superseded on an ongoing basis as new information is put on the Web site. The code will be deleted when no longer needed for agency business.	<del>N1-57-02-02, Item 302-01d</del>
<b>301-01e. USGS.GOV Web Site Access Logs.</b> Web access logs, including all the information that Web browsers send when they request a Web page, such as name, domain, and numerical Internet address of	Cutoff at the end of the fiscal year. Destroy when 2 years old or when no longer needed, whichever is later.	New Item

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
the host computer; date and time of the access; Internet address of the referring Web page; page requested; User Agent Information; and so forth.		
<b>301-02. USGS.GOV Reports, Statistics, Policies, Guidance, and Planning Records.</b> Reports, statistics, policy, guidelines, and planning records pertaining to the USGS.GOV Web sites.		
<b>301-02a. USGS.GOV Reports.</b> All reports that pertain to the USGS .GOV Web sites. Examples include, but not limited to, web log analysis reports, statistical reports, compliance reports with OMB, DOI, USGS and other Federal agencies regarding Web sites, AccMonitor accessibility reports, Web certification reports, and performance, usability, and daily load reports.	Cutoff at the end of the fiscal year. Destroy when 3 years old or when no longer needed, whichever is later.	N1-57-02-02, Item 302-04a
<b>301-02b. USGS.GOV Policy and Planning Records.</b> Records created or approved by the USGS leadership or designated officials that document efforts taken to identify strategies, plans, criteria, etc., for improvements or upgrades of the USGS.GOV Web site. Examples are search engine planning and USGS.GOV design planning.	Cutoff at the end of the fiscal year. Place in inactive file when canceled, superseded, or revoked. Destroy when no longer needed for reference purposes.	N1-57-02-02, Item 302-04c
<b>301-02c. USGS.GOV Guidance and Instructional Records.</b> Correspondence, handbooks, guidelines, and other instructional material related to the publication of USGS information on the USGS.GOV Web sites. Included are such things as Visual identity instructions and guidelines, bureau guidelines for presenting USGS data, guidelines for serving information from Web servers, and guidelines for complying with OMB, Department of the Interior, USGS, and other Federal policies regarding Web sites.	Cutoff at the end of the fiscal year. Destroy when superseded, obsolete, or no longer needed.	N1-57-02-02, Item 302-05a
<b>301-03. USGS.GOV General Files.</b> Correspondence of a general nature pertaining to the USGS.GOV Web site (internal or external Web sites), accepted	Cutoff at the end of the fiscal year. Destroy when 2 years old or when no longer needed, whichever	N1-57-02-02, Item 302-05b

<b>RECORD ITEM/DESCRIPTION</b>	<b>DISPOSITION</b>	<b>AUTHORITY</b>
bureau rules of behavior for the Web, and other related items not found anywhere else in this schedule.	is later.	
<b>302. Mail, Messenger, and Distribution Files.</b>		
<b>302-01. Messenger Service Files.</b> Daily logs, assignment records and instructions, <del>dispatch records, delivery receipts,</del> route schedules, and related records.	Destroy when 2 months old.	<del>RCS/Item 305-01 and GRS 12, Item 1</del>
<b>302-02. Post Office and Private Mail Company Records.</b> Post Office and private mail company forms and supporting papers, exclusive of records held by the United States Postal Service.		
<b>302-02a.</b> Records relating to incoming or outgoing registered mail pouches, registered, certified, insured, <del>overnight, express, and special</del> delivery mail including receipts and return receipts.	Destroy when 1 year old.	<del>RCS/Item 305-02a and GRS 12, Item 5a</del>
<b>302-02b.</b> Application for registration and certification of declared value mail.	Destroy when 1 year old.	<del>RCS/Item 305-02b and GRS 12, Item 5b</del>
<b>302-02c.</b> Reports of loss, rifling, delayed, wrong delivery, or other improper treatment of mail.	Destroy when 1 year old.	<del>RCS/Item 305-02c and GRS 12, Item 5c</del>
<b>302-03. Mail and Delivery Service Control Files.</b>		
<b>302-03a. Statistical Reports and General Files.</b> Statistical reports, records of receipts for mail and packages, and any other general correspondence, <del>memoranda, directives, and guidelines</del> relating to the administration of mail room operations.	Destroy when 1 year old or when superseded or <del>obsolete, whichever is</del> applicable.	<del>RCS/Item 305-03g and GRS 12, Item 6d and 6g</del>
<b>302-03b.</b> Directories and other records relating to mail delivery to individuals.	Destroy 5 months after separation or transfer of <del>individual or when</del> obsolete, whichever is applicable.	<del>RCS/Item 305-03h and GRS 12, Item 6b</del>
<b>302-04. Metered Mail Files.</b> Official <del>metered mail reports and all related papers.</del>	Destroy when 6 years old.	<del>RCS/Item 305-04 and GRS 12, Item 7</del>
<b>302-05. Postal Irregularities Files.</b> <del>Memoranda, correspondence, reports, and</del> other records relating to irregularities in the	Destroy 3 years after completion of investigation.	<del>RCS/Item 305-05 and GRS 12, Item 8</del>

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
handling of mail, such as loss or shortage of postage stamps or money orders, loss or destruction of mail, or evidence of tampering.		
<b>303. Travel and Transportation Files.</b> Originals should be filed in the office responsible for paying the voucher. Copies of records may also be cross-filed in the bureau, discipline, division, or office budget and accounting files if expenditure or receipt of funds is involved within their area.		
<b>303-01. Commercial Freight and Passenger Transportation Files.</b>		
<b>303-01a. Original Vouchers (Domestic, Foreign, and Relocation Travel).</b> Supporting documents covering commercial freight and passenger transportation charges of settled fiscal accounts, including registers and other control documents (except for those in 304-01b).	Destroy 6 years 3 months after the period of the account.	RCS/Item 308-01a and GRS 9, Item 1a
<b>303-01b. Records Covering Payments.</b> For commercial freight and passenger transportation charges for services for which (1) notice of overcharge has been or is expected to be issued, or if a rail freight overpayment is involved, (2) deduction or collection action has been taken, (3) voucher contains inbound transit shipment(s), (4) parent voucher has print of paid supplemental bill associated, (5) the voucher has become involved in litigation, or (6) any other condition arises that prevents the settling of the account, requiring the voucher to be retained beyond the 6-years, 3 months retention period, such as detection of overcharge.	Destroy when 10 years old.	<del>RCS/Item 308-01b and GRS 9, Item 1b</del>
<b>303-01c. Issuing Office Copies.</b> Consists of government or commercial bills of lading, commercial passenger transportation vouchers, and transportation requests, travel authorizations, and	Destroy 6 years after period of the account.	<del>RCS/Item 308-01c and GRS 9, Item 1c</del>



RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
supporting documents.		
<b>303-01d. Obligation Copy of Commercial Passenger Transportation Vouchers.</b>	Destroy when funds are obligated.	<del>RCS/Item 308-01d</del> and GRS 9, Item 1d
<b>303-01e. Unused Ticket Redemption Forms.</b>	Destroy 3 years after the year in which the transaction is completed.	<del>RCS/Item 308-01e</del> and GRS 9, Item 1e
<b>303-02. Lost or Damaged Shipments Files.</b> Schedules of valuables shipped, <del>correspondence, memoranda,</del> reports, and other records relating to the administration of the Government Losses in Shipment Act.	Destroy when 6 years old.	<del>RCS/Item 308-02</del> and GRS 9, Item 2
<b>303-03. Foreign Travel Records.</b> Forms, reports, briefing statements, correspondence, and other records created for programmatic, <del>national security,</del> or <del>personal</del> reasons.	Cutoff at the end of the fiscal year. Destroy 7 years after cut-off.	N1-57-02-02, Item <del>304-03a</del>
<b>303-04. Reimbursable Travel Files.</b> Copies of records relating to reimbursing individuals, such as travel orders, per diem vouchers (domestic, foreign, and relocation), and all other supporting documents relating to official travel by employees, dependents, or others authorized by law to travel.		
<b>303-04a. Travel Administrative Office Files.</b>	Destroy when 6 years old.	<del>RCS/Item 308-04a</del> and GRS 9, Item 3a
<b>303-04b. Obligation Copies.</b>	Destroy when funds are obligated.	<del>RCS/Item 308-04b</del> and GRS 9, Item 3b
<b>303-05. General Travel and Transportation Files.</b>		
<b>303-05a. Routine Administrative Records.</b> Relating to travel, including correspondence, notices, memorandums, reports, and related records pertaining to <del>commercial and foreign travel and transportation</del> and freight functions not covered elsewhere in this schedule.	Cutoff at the end of the fiscal year. Destroy when 2 years old.	<del>RCS/Item 308-05a</del> and GRS 9, Item 4a
<b>303-05b. Accountability Records.</b> Includes individual employee travel case files, containing copies of per diem vouchers and related receipts, <del>maintained by other offices such as field offices,</del> for accountability purposes. NOTE: For	Destroy 1 year after all entries are cleared.	<del>RCS/Item 308-05b</del> and GRS 9, Item 4b

<b>RECORD ITEM/DESCRIPTION</b>	<b>DISPOSITION</b>	<b>AUTHORITY</b>
routine relocation (permanent change of duty station) records see 305-05c below.		
<b>303-05c. Routine Relocation Records.</b> Contains copies maintained for fiscal or accountability purposes.	Cutoff at the end of the fiscal year. Destroy 3 years after cutoff	New Item
<b>303-06. Non-Federally Funded Travel Files.</b>		
<b>303-06a. Agency Copies of Semiannual Expense Reports for Non-Federally Funded Travel.</b> Submitted by all Executive Branch agencies to the Office of Government Ethics. Reports summarize payments made to the agency from non-Federal sources for travel, subsistence, and related expenses for an employee who attends a meeting or similar function relating to official duties.	Destroy when 4 years old.	<del>N1-57-02-02, Item 304-06a</del>
<b>303-06b. Compilation Records.</b> Statements, forms, and other records used to compile Semiannual Expense Reports for Non-Federally Funded Travel.	Destroy 1 year after submission of report to the Office of Government Ethics.	<del>N1-57-02-02, Item 304-06b</del>
<b>303-07. Federal Employee Transportation Subsidy Records.</b> Documents in either paper or electronic form relating to the disbursement of transportation subsidies to employees, including applications of employees no longer in the program, superseded applications, certification logs, vouchers, spreadsheets, and other forms used to document the disbursement of subsidies.	Destroy when 3 years old.	<del>N1-57-02-02, Item 304-07 and GRS 9, Item 7</del>
<b>303-08. Records Relating to Official Passports.</b>		
<b>303-08a. Application Files.</b> Documents relating to the issuance of official passports, including requests for passports and transmittal letters.  NOTE: Official passports should be returned to the Department of State upon expiration or upon the separation of the employee.	Destroy when 3 years old.	RCS/Item 308-05c and GRS 9, Item 5a
<b>303-08b. Passport Registers.</b> Registers and lists of agency personnel who have	Destroy when superseded or obsolete.	<del>RCS/Item 308-05e</del> and GRS 9, Item 5c

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
official passports.		
<b>304. Self-Service Store Operations Files.</b>		
<b>304-01. Self-Service Store Operations General Files.</b> Routine administrative records including any correspondence or announcements relating to <del>bureau self-service store stock</del> , operations, or other areas not covered elsewhere in this schedule.	Cut-off at the end of the fiscal year. Destroy when <del>2 years old</del> or when no longer needed, whichever is later.	<del>N1-57-02-02, Item 305-10</del>
<b>304-02. Stores Invoice Files.</b> Invoices or <del>equivalent papers used for stores</del> accounting, including receiving reports.	Destroy when 3 years old.	<del>RCS/Item 309-02 and GRS 8, Item 2</del>
<b>304-03. Inventory Requisition Files.</b> Requisitions for supplies and equipment for current inventory.		
<b>304-03a. Reston Supply Service Center (RSSC) Copy.</b>	Destroy 2 years after completion of requisition.	<del>N1-57-02-02, Item 305-03a</del>
<b>304-03b. All Other Copies.</b>	Destroy when 6 months old.	<del>N1-57-02-02, Item 305-03b</del>
<b>304-04. Inventory Files.</b>		
<b>304-04a. Inventory Records.</b>	Destroy 2 years from date of list.	<del>N1-57-02-02, Item 305-04a</del>
<b>304-04b. Report of Survey Files and Other Papers.</b> Used as evidence for <del>adjustment of inventory records</del> , not otherwise covered in this schedule.	Destroy 2 years after date of <del>survey action</del> or date of posting medium.	<del>N1-57-02-02, Item 305-04c</del>
<b>304-05. Stores Accounting Files.</b> Stores <del>accounting returns and reports.</del>	Destroy when 3 years old.	<del>RCS/Item 309-03 and GRS 8, Item 3</del>
<b>304-06. Stores Accounting Background Files.</b> Working files used in <del>accumulating stores accounting data.</del>	Destroy when 2 years old.	<del>RCS/Item 309-04 and GRS 8, Item 4</del>
<b>305. Natural Science Network (NSN) Program.</b> A nationally linked network of USGS data, information, and knowledge.		
<b>305-01. NSN Program Operations Files.</b> Relates to the management of the NSN. Includes correspondence, reports, evaluations, working papers, reference materials, and related papers.	Cutoff at the end of the fiscal year. Destroy when 3 years old.	New Item
<b>305-02. NSN Program Planning Files.</b> Includes program objectives, projections for	Cutoff at the end of the fiscal year. Destroy when	New Item

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
<p>future activities, and program planning which support the agency's mission. Includes studies, analysis, statistical data, correspondence which documents current and long-range plans, and working papers preliminary to final reports.</p>	<p>7 years old.</p>	
<p><b>305-03. NSN Finding Aids.</b></p>	<p>Destroy in agency when no longer needed for reference.</p>	<p>New Item</p>
<p><b>305-04. NSN Information Requests, Referrals, and Acknowledgement Files.</b> Requests for information and copies of replies thereto, involving no administrative actions, and no policy decisions. Acknowledgements and transmittals of inquiries and requests that have been referred elsewhere for reply. May include chronological list and electronic index to the records and may be maintained in different media and formats. Therefore, this series is written to authorize the disposition of records in any media (media neutral). Electronic systems in use include the Customer Inquiry System (CIS), Customer Inquiry Label System, and the GSanswers e-mail application.</p>	<p>Cutoff at the end of the fiscal year. Destroy 5 years after cutoff.</p>	<p>New Item</p>
<p><b>305-05. NSN State Agreements.</b> Case files maintained to monitor and track agreements. A typical file contains the agreement, correspondence, progress reports, agreement amendments and renewals, and similar records.</p>	<p>Cutoff at expiration of the agreement. Place in inactive file. Destroy when no longer needed for reference purposes.</p>	<p>New Item</p>
<p><b>305-06. IBiS System.</b> Supports the NSN in the distribution of all USGS published materials such as maps, books, and scientific reports. Other Federal agencies such as the Bureau of Land Management, Forest Service, and the National Geospatial-Intelligence Agency provide products that are also distributed from the IBiS System. Files consist of the scanned original customer correspondence for orders, copies of checks, and deposit slips.</p>	<p>Cutoff at the end of the fiscal year. Destroy 6 years and 3 months after cutoff.</p>	<p>New Item</p>

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
<b>306. Library Records.</b>		
<b>306-01. Library Operations.</b> Correspondence and records related to normal activities performed for acquisitions, cataloguing, serial records, reference, circulation, and document delivery.	Cutoff at the end of the fiscal year. Destroy 3 years after cutoff.	N1-57-02-02, Item 309-10
<b>306-02. Library Materials.</b> Reference circulating copies of books, pamphlets, journals, catalogues, and similar materials. Arrangement as appropriate. This material should not be kept in the office files.	Destroy when superseded, obsolete, or no longer needed for reference. Refer items of potential value to librarian for disposition.	N1-57-02-02, Item 309-11
<b>306-03. Interlibrary Borrowing Requests.</b>	Cutoff at the end of the calendar year. Destroy 3 years after cutoff.	New Item
<b>306-04. Library Purchase Transactions.</b> Transactions for books, periodicals, and databases from time of order to receipt.	Destroy when 5 years old.	New Item
<b>306-05. Library Reference Inquiries and Document Delivery Field Requests.</b>	Destroy after 6 months.	New Item
<b>306-06. Library Management Records.</b> Correspondence and records related to the policies, procedures, and staffing of the library and its relations with other libraries, committees, and organizations.	Cutoff at the end of the fiscal year. Destroy when 5 years old or when obsolete, superseded, or no longer needed, whichever is later.	New Item
<b>306-07. Library Statistical Reports.</b> Yearly compilations, including but not limited to, monthly reference service, document delivery, circulation, cataloging, and serials check-in activities.	Cutoff at the end of the fiscal year. Destroy 20 years after cutoff.	New Item
<b>306-08. Library Historical Records.</b> Summary records of events of historical importance to the Library. Examples include, but not limited to, open houses, dedications, significant donations, and disasters.	Cutoff at the end of the event. Destroy when no longer needed for reference.  NOTE: For historical purposes, it is suggested that all documents be retained indefinitely.	New Item
<b>306-09. Library Catalogue.</b> Database containing over 325,000 records for books, journals, maps, microforms, videocassettes,	Destroy when obsolete, superseded, or no longer needed, whichever is later.	New Item

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
CD-ROMs, and pamphlets. Online citations describe items that have been added to the library since 1975 plus all of the publications of the USGS. The catalogue identifies how many copies of each title are in the collection, where the copies are located, and whether they are currently charged out or available.		
<b>307. Internal and External Audits.</b>		
<b>307-01. Audit Files.</b>		
<b>307-01a. Audit Case Files.</b> Case files of internal audits of agency programs, operations, administrative and technical procedures reviews, and other reviews of USGS programs and of external audits of contractors and grantees. Consists of the official audit reports, correspondence, memoranda, and supporting working papers maintained by the office conducting the audit, review, or evaluation. Also, includes records created by streamlining and other teams established to evaluate processes and procedures.	Cutoff at the end of the fiscal year in which case is closed. Destroy 8 years after cut-off.	<del>N1-57-02-02, Item 306-01a</del>
<b>307-01b. All Other Copies.</b>	Cutoff at the end of the fiscal year. Destroy 2 years after cutoff or when no longer needed for reference value, whichever is sooner.	<del>N1-57-02-02, Item 306-01b</del>
<b>307-02. Office of the Inspector General Contact Reports Files.</b> Employee reports of contacts or meetings with Inspector General personnel, including contact report forms or memorandums, and related correspondence.	Cutoff at the end of the fiscal year. Destroy 3 years after cut-off.	<del>N1-57-02-02, Item 306-02</del>
<b>307-03. General Audit Files.</b> Routine administrative records including correspondence and related records pertaining to bureau internal or external audits or inspector general information, not covered elsewhere in this schedule.	Cutoff at the end of the fiscal year. Destroy when 2 years old or when no longer needed, whichever is later.	<del>N1-57-02-02, Item 306-03</del>
<b>308. Schedules of Daily Activities.</b>		

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
<b>308-01. Schedules of Daily Activities.</b> Paper and/or electronic copies of calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities by Federal employees while serving in the positions of bureau Director, Deputy Director, Regional Directors, Associate Directors, and may include other high-level bureau personnel who report to the Director or Deputy Director. Files should not include materials determined to be personal or non-record.		
<b>308-01a.</b> Records containing substantive information relating to official activities, the substance of which has not been incorporated into official files, excluding records relating to the official activities of high government officials (see 308-01c below).	Destroy or delete when 2 years old.	<del>RCS/Item 102-04a and GRS 23, Item 5a</del>
<b>308-01b.</b> Records documenting routine activities containing no substantive information and records containing substantive information, the substance of which has been incorporated into organized files.	Destroy or delete when no longer needed.	<del>RCS/Item 102-04b and GRS 23, Item 5b</del>
<b>308-01c.</b> Records containing substantive information relating to the official activities of high-level officials, the substance of which has not been incorporated in the official files. High-level bureau officials include the Director, Deputy Director, and other high-level USGS officials who report to the Director or Deputy Director.	<del>PERMANENT. Cutoff at the end of the calendar year. Offer to NARA 4 years after cut-off or immediately upon leaving position.</del>	<del>NC1-57-89-1, Item 102-04c</del>
<b>309. Records Common to Most Offices.</b>		
<b>309-01. Files Maintenance and Disposition Plans.</b> Documents that reflect file categories, disposal instructions, and other information about the files accumulated at an individual file station.	Destroy upon receipt of a revised plan or discontinuance of the plan.	<del>N1-57-02-02, Item 309-01</del>
<b>309-02. Reading or Chronological Files.</b> Extra copies of correspondence prepared and maintained by the originating office	Cutoff at the end of the fiscal year. Destroy 1 year after cut-off or after	<del>N1-57-02-02, Item 309-02</del>

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
used solely as a reading or reference file for the convenience of personnel.	reference value has been exhausted, whichever is sooner.	
<p><b>309-03. Policy and Precedent Reference Files.</b> Copies of documents, establishing policy or precedents pertinent to future and continuing actions, are filed here. Normally, policy and precedent files are maintained at operating levels and consist of extra copies of operating procedures, statements of policy or procedure, examples of typical cases, and other documents duplicated in official files. Original or official record copies will not be placed in this file. This file consists of non-official copies maintained only for convenience of reference such as USGS policy memorandums or a copy of the USGS Strategic Plan.</p>	Destroy when organizational unit is discontinued or when documents become obsolete or are no longer needed for operating or reference purposes.	N1-57-02-02, Item 309-03
<p><b>309-04. Temporary Files.</b> Papers, transmittal letters, and quasi-official notices (e.g., e-mail messages) of short-term interest that have no documentary or evidential value and normally need not be kept more than 180 days.</p>	Destroy immediately or when no longer needed for reference.	N1-57-02-02, Item 309-04
<p><b>309-05. Routine Tracking and Control Files.</b> Hard copy or electronic copy of records and/or papers used to facilitate 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.</p>	Destroy or delete when 2 years old, or 2 years after the date of the latest entry, whichever is applicable.	RCS/Item 101-07 and GRS 23, Item 8
<p><b>309-06. Agency Directives and Publications – Reference and/or Circulating Copies.</b> Extra copies, either received electronically or on paper, of local internal and external regulations, directives, and publications; bureau and Department of the Interior manual releases, bulletins, circulars, pamphlets, and public relations material, are filed here. Examples to include, but not limited to, USGS Survey Manual Chapters, the USGS Yearbook, or a</p>	Keep copies at minimum necessary for official reference use. Destroy when 2 years old, or when superseded, obsolete, or no longer needed for reference.	N1-57-02-02, Item 309-06



RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
copy of the USGS Customer Service Plan.		
<b>309-07. Administrative Announcements.</b> Includes bureau, regional, and discipline all employee memorandums and similar announcements. These are issuances used for short-term guidance and information on policy or changes concerning operating procedures.	Destroy when superseded, obsolete, or no longer needed for reference.	NC1-57-81-2, Item 4a
<b>309-08. Directives and Publications of Other Government Agencies.</b> Copies of such things as Congressional documents, Office of Management and Budget Circulars, Code of Federal Regulations, Federal Register notices, General Services and Administration publications.	Destroy when superseded, obsolete, or, when in the case of bound volumes, when not needed for library purposes.	N1-57-02-02, Item 309-08
<b>309-09. Non-Government Publications.</b> Publications of commercial firms, private institutions, and vendors, including catalogs, brochures, price lists, and similar publications. Arrangement as appropriate. This material should not be kept in the office files.	Destroy when superseded or obsolete.	N1-57-02-02, Item 309-09
<b>309-10. Office Administrative Files.</b> Only for records not covered elsewhere in this schedule. Consists of correspondence, reports, forms, and other materials of a general nature on a wide variety of subjects.	Cutoff at the end of the fiscal year. Destroy when 2 years old or earlier if purpose has been served.	NC1-57-81-2, Item 1
<b>309-11. Delegations of Authority Files.</b>		
<b>309-11a. Approving Office.</b>	Destroy 6 years after expiration of delegation.	NC1-57-84-4, Item 03a
<b>309-11b. All Other Offices.</b>	Destroy upon expiration.	NC1-57-84-4, Item 03b
<b>310. Administrative Databases and Electronic Spreadsheets.</b>		
<b>310-01. Administrative Databases.</b> Databases that support administrative or housekeeping functions, containing information derived from hard-copy records authorized for destruction herein. Examples of these data bases include accounting, supply management, excess property management, and museum property management.		

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
<p>NOTE: Electronic Information System with long-term or permanent retention are scheduled separately. Some of the items covered under this schedule item include: USGS Web Suite of Applications (GS Answers, About USGS, and the such), Federal Document Imaging System (FDI), Personnel Resource Utilization System (PRUS), Personnel Security Clearance System (PSCS), Facility Maintenance Management System (FMMS), Excess Property System (XSP), Reston Supply Service Center Inventory Control (RSSCIC), Vehicle Reporting: Odometer or Maintenance (VROOM), Aperture, National Center Badging Identification System (NCBIS), Facilities Budget Activity Online (FBA Online), USGS Mail Management System (WinMMS), Museum Property Database Re: Discovery, Federal Transportation Subsidy Program, BASIS+, Training Management System, and IDEAS.</p>		
<p><b>310-01a.</b> When hard-copy records are retained in order to meet recordkeeping requirements.</p>	<p>Delete information from the database when no longer needed.</p>	<p>N1-57-02-02, Item 308-01a and GRS 20, Item 3b(1)</p>
<p><b>310-01b.</b> When the database takes the place of hard-copy records.</p>	<p>Delete after the expiration of the retention period authorized for the hard-copy file, or when no longer needed, whichever is later.</p>	<p>N1-57-02-02, Item 308-01b and GRS 20, Item 3b(2)</p>
<p><b>310-01c.</b> Hard-copy printouts created for short term administrative purposes.</p>	<p>Destroy when no longer needed.</p>	<p>N1-57-02-02, Item 308-01c and GRS 20, Item 3b(3)</p>

**CHAPTER 400. HUMAN CAPITAL PROGRAM (INCLUDING PAYROLL AND TIME AND ATTENDANCE RECORDS), EQUAL EMPLOYMENT OPPORTUNITY, AND EMPLOYEE DEVELOPMENT RECORDS**

Records relating to all areas involved in the oversight and management of Federal civilian personnel.

**Chapter 400 Topics. This section provides for the disposition of the following:**

- 401. Human Capital Program Files
- 402. Official Personnel Folders (OPF)
- 403. Volunteer Personnel Files
- 404. Employment Files
- 405. Employee Performance and Awards Files
- 406. Position Classification and Job Evaluation Files
- 407. Employee Relations and Service Files
- 408. Benefits and Workplace Enhancement Program Records
- 409. Ethics and Employee Standards of Conduct
- 410. Federal Workplace Drug Testing
- 411. Special Appointment Files
- 412. Educational and Student Program Files
- 413. Employee Training Files
- 414. Employee Health Files
- 415. Labor Relations Files
- 416. EEO Files
- 417. Payroll and Time and Attendance Files

**401. Human Capital Program Files include the following records:**

- 401-01 Human Capital Program Plans and General Records – Correspondence, program planning records, and other general administrative and operational records.
- 401-02 Human Capital Management Analysis, Statistical, and Other Reports – Miscellaneous reports relating to Human Capital management activities.
- 401-03 Human Resources Initiatives (HRI) Proposal Awards – Files and related records on project proposals and funding.

**402. Official Personnel Folders (OPF) include the following records:**

- 402-01 OPF of Federal Employees – Records, copies, correspondence, and other forms maintained in the OPF.
- 402-02 Supervisor's Personnel Files and Duplicate OPF Documentation – Correspondence and other related records on individual employees duplicated or not appropriate for the OPF and maintained for convenience.

**403. Volunteer Personnel Files include the following records:**

- 403-01 Volunteer Files – Files and related documents for volunteer personnel.

403-02 Volunteer Program Administrative Files – General correspondence, reports, and other materials which document the activities of the Volunteer Program.

**404. Employment Files include the following records:**

- 404-01 Appointment Information and Employment Staffing and Analysis Files – Materials pertaining to appointments.
- 404-02 Offers of Employment Files – Correspondence related to offering appointments to potential employees.
- 404-03 Certificates of Eligibles Files – Copies of certificates and related correspondence.
- 404-04 Employee Merit Promotion Case Files – Records relating to promotions.
- 404-05 Personnel Interview Records – Records relating to interviews.
- 404-06 Notifications of Personnel Actions – Records documenting personnel actions.
- 404-07 Employment Applications – Application records.
- 404-08 E-Mail Vacancy Notification System – USGS system which automatically sends out notifications, by e-mail, whenever jobs are available that meet employee specifications.
- 404-09 Vacancy Announcements (As Created and Maintained in Personnel Offices) – Postings used to notify employees of available jobs.
- 404-10 Recruitment Packages – Packets containing promotional materials on the USGS.
- 404-11 Prehire Test Files – Records used to measure suitability for hire.
- 404-12 Employment Examination and Certification Records – Records which allow for the examination and certification of applicants for employment.
- 404-13 Unemployment Compensation Records – Records documenting the unemployment process.
- 404-14 Reductions-in-Force Files – Correspondence and other related records pertaining to separation procedures.
- 404-15 Online Automated Recruitment System (OARS) – Computerized employment application processing system.
- 404-16 Exit Interviews – USGS web-based system to conduct exit interviews and gather statistical information from departing employees.
- 404-17 Volunteer for Science Program System – USGS system with information on perspective volunteers.

**405. Employee Performance and Awards Files include the following records:**

- 405-01 Employee Awards Files – Case files on employee awards and copies of letters of commendation and appreciation.
- 405-02 Employee Performance File System Records – Appraisal, performance plans, and ratings along with supporting documentation.

**406. Position Classification and Job Evaluation Files include the following records:**

- 406-01 Classification Files – Position classification standards, guidelines, and other review records.
- 406-02 FastClass – USGS web-based classification system that generates position descriptions.

- 406-03 Wage Survey Files – Records and related correspondence pertaining to area wages paid for employees.
- 406-04 Pay Comparability Records – Records documenting use of retention initiatives such as recruitment bonuses.
- 406-05 Classification Appraisals (Pay) Files – Documents the comparison of salaries.

**407. Employee Relations and Service Files include the following records:**

- 407-01 Employee Relations Case Files – Records relating to disciplinary and adverse actions.
- 407-02 Employee Investigative Files – Records of investigations conducted by and for personnel offices.
- 407-03 Leave Program Files – Records associated with bureau leave programs.
- 407-04 Employee Concerns Program – Case files which document employee allegations on such areas as environmental, safety, and health-related issues.
- 407-05 Conflict Resolution (CORE) Program – Records of program oversight and mediation.

**408. Benefits and Workplace Enhancement Program Records include the following records:**

- 408-01 Physical Fitness Program – Records on all aspects of local and bureau programs and employee reimbursements.
- 408-02 Alternate Worksite/Flexiplace Telecommuting Program – Miscellaneous records and reports and employee agreement records.
- 408-03 Transportation Fringe Benefit Program – Miscellaneous records and employee participation records.
- 408-04 Federally Run Day Care Centers – Records related to general administration and operation of centers.
- 408-05 General Workplace Enhancement Program Files – Miscellaneous records relating to employee programs.
- 408-06 Employee Assistance Program (EAP) Files – Program files and general records relating to general health and wellness topics.
- 408-07 Federal Employees Health Benefits Program – Records related to eligibility.
- 408-08 Employee Benefits Files – Records on retirements and death cases.

**409. Ethics and Employee Standards of Conduct Records include the following records:**

- 409-01 Ethics and Employee Standards of Conduct Files – Records related to general standards of conduct and ethics topics.
- 409-02 Financial Disclosure Reports – Records and related documents submitted by individuals required to submit reports.
- 409-03 Stock Holding Conflicts and Advisories – Guidance and case files regarding all aspects of the USGS Conflict of Interest Policy and its compliance.
- 409-04 Conflict-of-Interest Files – Forms and records on outside work requests.
- 409-05 Serving in Official Duty Capacity in Outside Organizations – Employee records on serving as officers or members of Boards of outside organizations.

- 409-06 Ethics Training Records – Records on required mandatory annual training requirements for individuals filing financial disclosure reports.
- 409-07 Acreage Report Files – Miscellaneous reports related to individuals and companies holding Federal oil, gas, or mining leases.

**410. Federal Workplace Drug Testing Records include the following records:**

- 410-01 Federal Workplace Drug Testing Program Files – Drug testing program records.
- 410-02 Federal Workplace Drug Awareness Program Files – General documents pertaining to administration of the bureau drug awareness program.

**411. Special Appointment Files include the following records:**

- 411-01 Americans with Disabilities Act Files – Files describing and documenting work environment issues.

**412. Educational and Student Program Files include the following records:**

- 412-01 Academic and Outreach Programs – Records that document educational outreach.
- 412-02 Apprenticeship Program Files – Records and related documents developed during apprenticeship terms.
- 412-03 Tuition Reimbursement Records – Records relating to employees involved in a tuition assistance program.
- 412-04 Student Recruitment System (SRS) – USGS system that allows students to learn about the USGS.
- 412-05 Student Placement Assistance (SPA) System – Interactive website which assists current students in locating alternate positions.

**413. Employee Training Files include the following records:**

- 413-01 Learning Management System (LMS) – Employee records of training.
- 413-02 Training Records – Records associated with the coordination of training courses.
- 413-03 USGS Programs Designed to Help USGS Employees – Records and other documents related to employee programs.
- 413-04 Training Support Databases – System used to support administrative or housekeeping functions.

**414. Employee Health Files include the following records:**

- 414-01 Individual Non-Occupational Health Record Files – Records documenting an individual employee's medical history.
- 414-02 Health Unit Control Files – Records reflecting visits to health units.
- 414-03 Employee Medical Folders (EMF) – Individual employee medical files.
- 414-04 Employee Health Statistical Summaries – Records pertaining to employee health statistics and smoking issues and policies.
- 414-05 Worker's Compensation Files – Records relating to on-the-job injuries.
- 414-06 Occupational Injury and Illness Files – Records documenting occupational injuries and illnesses.

**415. Labor Relations Files include the following records:**

- |        |  |
|--------|--|
| 415-01 | Labor Management Relations – Records relating to relationship between management and employee unions or other groups.                        |
| 415-02 | Certification/Decertification Files – Files documenting management’s actions relating to the response to union membership organizing drives. |

**416. EEO Files include the following records:**

- |        |   |
|--------|---|
| 416-01 | EEO Official Discrimination Records – Case files of complaints.   |
| 416-02 | EEO Compliance Records – Records relating to contractor employment practices and reports on compliance.           |
| 416-03 | EEO Employment Statistics Files – Records relating to employment statistics.                                      |
| 416-04 | EEO Affirmative Action Plans (AAPs) – Records of reports and other related documents.                             |
| 416-05 | Special Emphasis Programs and Project Records – Records on all aspects of special emphasis programs and projects. |
| 416-06 | EEO General Files – General correspondence related to the EEO program.  |

**417. Payroll and Time and Attendance Files include the following records:**

- |        |   |
|--------|---|
| 417-01 | Individual Employee Pay Records – Employee pay records.   |
| 417-02 | Non-Current Payroll Files – Copies of non-current payroll data.   |
| 417-03 | Time and Attendance – Leave Application Files – Approvals of employee leave requests.   |
| 417-04 | Time and Attendance Source Records – Records which leave input data are based on.   |
| 417-05 | Time and Attendance Input Records – Records used to input time into a payroll system.   |
| 417-06 | Flexitime Attendance – Background records used for time under flexitime systems.  |
| 417-07 | Leave Record Files – Records of employee leave.   |
| 417-08 | Tax Files – Copies of employee tax information.   |
| 417-09 | Savings Bond Purchase Files – Records regarding savings bond purchases.   |
| 417-10 | Combined Federal Campaign and Other Allotment Authorizations – Employee authorization records.                                    |
| 417-11 | Payroll Levy and Garnishment Files – Official notices and related correspondence.   |
| 417-12 | Payroll Administration – Payroll System Reports – Reports and data used for agency workload and/or personnel management purposes. |
| 417-13 | Payroll Adjustment and Change Files – Corrections or adjustments to pay.  |
| 417-14 | Payroll Correspondence – Copies of correspondence between the USGS and payroll and any general payroll records.                   |

**What records in this chapter are important or considered permanent USGS records?**

- All records that are filed in the OPFs of Federal employees.
- All records that are filed in the Official EMFs.
- Official payroll files found in an agency personnel/payroll system.

**What records in this section are considered temporary USGS records?**

- Human Capital Program files.
- HRI proposal records.
- Employee informational materials relating to personnel management, EEO, and payroll and timekeeping.
- Employee files which are created and do not belong in the OPFs.
- Volunteer files.
- Employment files.
- Employment examination files.
- Employee awards files.
- Position classification files.
- Wage and pay records.
- Employee relations and service files.
- Employee investigative files.
- Employee concerns files.
- Workplace enhancement program materials.
- Employee benefits files
- Employee Assistance Program files.
- Standards of conduct files.
- Ethics files.
- Federal workplace drug testing files.
- Special appointment files.
- Educational and student outreach program records.
- Employee training files.
- Miscellaneous health files not pertaining or found in EMFs.
- Labor relation files.
- EEO files after resolution of cases and various compliance and review files.
- Miscellaneous files relating to leave, time and attendance, and payroll.

**Questions?**

Contact the USGS Records Manager or your discipline or regional Records Liaison Officer – <http://internal.usgs.gov/gio/irm/fmassis2.html>



**CHAPTER 400. HUMAN CAPITAL PROGRAM (INCLUDING PAYROLL AND TIME AND ATTENDANCE RECORDS), EQUAL EMPLOYMENT OPPORTUNITY, AND EMPLOYEE DEVELOPMENT RECORDS**

<b>RECORD ITEM/DESCRIPTION</b>	<b>DISPOSITION</b>	<b>AUTHORITY</b>
<b>401. Human Capital Program Files.</b>		
<b>401-01. Human Capital Program Plans and General Records.</b> Correspondence, memoranda, announcements, and other records relating to the Human Capital Strategic Plan, Human Capital Program plans, and general administration and operation records of the Office of Human Capital functions. Excludes records specifically described elsewhere in this schedule and records maintained at agency staff planning levels.	Cutoff at the end of the fiscal year. Destroy 3 years after cutoff, or when no longer needed, whichever is sooner.	N1-57-02-02, Item 401-01
<b>401-02. Human Capital Management Analysis, Statistical, and Other Reports.</b> Miscellaneous reports generated in the Office of Human Capital and subordinate units relating to Human Capital management activities.	Cutoff at the end of the fiscal year. Destroy 2 years after cutoff, or when no longer needed, whichever is sooner.	RCS/Item 401-05 and GRS 1, Item 16
<b>401-03. Human Resources Initiatives (HRI) Proposal Awards.</b> Project funds available for the support of education and training by USGS employees.		
<b>401-03a. Files and Records Related to the USGS Process for HRI Proposal Awards.</b> These include, but are not limited to, records such as criteria to be used for selections, announcements to call for proposals, selection of a panel to review the proposals submitted, and determination of level at which approved proposals are funded.	Cutoff at the end of the fiscal year. Destroy 5 years after cutoff.	<del>N1-57-02-02, Item 405-03a</del>
<b>401-03b.</b> HRI proposals received for consideration from bureauwide call.		
<b>401-03b(1).</b> Approved Proposals.	<del>Destroy 3 years after proposal is approved and funds have been distributed.</del>	<del>N1-57-02-02, Item 405-03b(1)</del>
<b>401-03b(2).</b> Unapproved Proposals.	<del>Destroy 1 year after proposal is rejected.</del>	<del>N1-57-02-02, Item 405-03b(2)</del>
<b>401-03c.</b> Forms and other records generated by <del>the agency to track and evaluate the process and</del>	<del>Destroy when 1 year old or when no longer</del>	<del>N1-57-02-02, Item 405-03c</del>

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
review the results from the proposals chosen for conformance to criteria.	needed, whichever is later.	
<b>402. Official Personnel Folders (OPF).</b>		
<b>402-01. OPF of Federal Employees.</b> Records filed on the right side of the OPF. (See Item 402-01c below for temporary papers on the left side of the OPF). Folders covering employment terminated after December 31, 1920, excluding those selected by the National Archives and Records Administration (NARA) for permanent retention.		
<b>402-01a.</b> Transferred Employees.	See Chapter 7 of <u>The Guide to Personnel Recordkeeping</u> for instructions relating to folders of employees transferred to another agency.	<del>RCS/Item 401-02a and GRS 1, Item 1a</del>
<b>402-01b.</b> Separated Employees.	Transfer folder to the National Personnel Records Center (NPRC), St. Louis, Missouri, 30 days after latest separation. NPRC will destroy 65 years after separation from Federal service.	<del>RCS/Item 401-02b and GRS 1, Item 1b</del>
<b>402-01c. OPF Temporary Individual Employee Records.</b> All copies of correspondence and forms maintained on the left side of the OPF in accordance with Chapter 3 of <u>The Guide to Personnel Recordkeeping</u> , excluding the Immigration and Naturalization Service Form I-9 and performance-related records.	Destroy when superseded or obsolete, or upon separation or transfer of employee, unless specifically required to be transferred with the OPF. See Item 402-01d for disposition of I-9 forms and Item 405-02 for disposition of temporary performance-related records.	<del>N1-57-02-02, Item 402-01c</del>
<b>402-01d.</b> Immigration and Naturalization Service Forms I-9.	Destroy 3 years after employee separates from service or transfers to another agency.	<del>N1-57-02-02, Item 402-01d</del>

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
<b>402-02. Supervisor's Personnel Files and Duplicate OPF Documentation.</b>		
<b>402-02a. Supervisor's Personnel Files.</b> Correspondence, memoranda, forms, and other records relating to positions, authorizations, pending actions; copies of position descriptions; performance plans and reviews; requests for personnel action, and records on individual employees duplicated in or not appropriate for the OPF. Also, include any electronic copies of correspondence, memoranda, forms, and such that are created on electronic mail (e-mail) and word processing systems and printed solely for recordkeeping copies.	Review annually and destroy superseded or obsolete documents; or destroy file relating to an employee within 1 year after separation or transfer.	RCS/Item 401-04a and GRS 1, Item 18a
<b>402-02b. Duplicate Documentation.</b> Other copies of documents duplicated in OPFs not provided for elsewhere in this schedule.	Destroy when 6 months old.	RCS/Item 401-04b and GRS 1, Item 18b
<b>402-02c. Non-Supervisory Desk Copy Files.</b> Duplicate copies of files found in Item 402-02a above and maintained, for convenience, by supervisor's office human resource personnel, with supervisor's knowledge.	Review annually and destroy superseded or obsolete documents; or destroy file relating to an employee within 1 year after separation or transfer.	N1-57-02-02, Item 402-02c
<b>403. Volunteer Personnel Files.</b> Documenting the administration and operation of the volunteer program and the activities of individuals or organized groups who voluntarily and without compensation or reimbursement provide services to USGS.		
<b>403-01. Volunteer Files.</b> Personnel files as described in FPM 308.7-6d containing volunteer application, service agreement, performance evaluation, certificate of appreciation, correspondence, and related materials.	Cutoff at the end of the fiscal year in which services are terminated. Destroy 3 years after cutoff.	N1-57-02-02, Item 404-01a
<b>403-02. Volunteer Program Administrative Files.</b> General correspondence, annual reports, and other material documenting the routine administration, internal procedures, and general activities of the volunteer program.	Cutoff at the end of the fiscal year. Destroy 2 years after cutoff.	N1-57-02-02, Item 404-01b
<b>404. Employment Files.</b>		

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
<b>404-01. Appointment Information and Employment Staffing and Analysis Files.</b> Material pertaining to the appointment and tenure or career, career-conditional, temporary, indefinite employees and to employment staffing methods, procedures, and practices.	Cutoff at the end of the fiscal year. Destroy 3 years after cutoff.	<del>N1-57-02-02, Item 403-01</del>
<b>404-02 Offers of Employment Files.</b> Correspondence, including letters and telegrams, offering appointments to potential employees.		
<b>404-02a. Accepted Offers.</b>	Destroy when appointment is effective.	N1-57-02-02, Item 403-03a and GRS 1, Item 4a
<b>404-02b. Declined offers for Federal employment:</b>		
<b>404-02b(1).</b> When name is received from certificate of eligibles.	Return to Office of Personnel Management (OPM) with reply and application.	<del>N1-57-02-02, Item 403-03b(1) and GRS 1, Item 4b(1)</del>
<b>404-02b(2).</b> Temporary or Excepted Appointment.	File with application. (See Item 404-07).	N1-57-02-02, Item 403-03b(2) and GRS 1, Item 4b(2)
<b>404-02b(3).</b> All Others.	Destroy immediately.	<del>N1-57-02-02, Item 403-03b(3) and GRS 1, Item 4b(3)</del>
<b>404-03. Certificates of Eligibles Files.</b> Copies obtained from OPM of certificates of eligibles with related requests, forms, correspondence, and statement of reasons for passing over a preference eligible and selecting a non-preference eligible.	Cutoff at the end of the fiscal year. Destroy 2 years after cutoff.	<del>RCS/Item 402-01 and GRS 1, Item 5</del>
<b>404-04. Employee Merit Promotion Case Files.</b> Records relating to the promotion of an individual that document qualification standards, evaluation methods, selection procedures, and evaluations of candidates.	Destroy after OPM audit or 2 years after the personnel action is completed, whichever is sooner. In instances where a complaint has been filed concerning an action, file must be retained for a minimum of 2 years following resolution of the case	N1-57-02-02, Item 403-05

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
<p><b>404-05. Personnel Interview Records.</b> Correspondence, reports, and other records relating to interviews with employees.</p>	<p>Destroy 6 months after transfer or separation of employee.</p>	<p><del>RCS/Item 402-04</del> and GRS 1, Item 8</p>
<p><b>404-06. Notifications of Personnel Actions.</b> Federal SF-50 and if available, fact sheets, documenting all individual personnel actions such as employment, promotions, transfers, and separation, exclusive of the copy in the OPF or in the supervisor's reference file.</p>	<p>Cutoff at the end of the fiscal year. Destroy when 2 years old.</p>	<p>RCS/Item 402-07a and GRS 1, Item 14a</p>
<p><b>404-07. Employment Applications.</b> Applications, including OF-612, resumes, and any other application that an agency may develop for unique jobs with specialized requirements, and related records, excluding records relating to appointments requiring Senatorial confirmation and applications resulting in appointment which are filed in the OPF.</p>	<p>Destroy upon receipt of OPM inspection report or when 2 years old, whichever is earlier.</p>	<p><del>RCS/Item 402-08</del> and GRS 1, Item 15</p>
<p><b>404-08. E-mail Vacancy Notification System.</b> USGS system by which notifications are automatically sent out by e-mail whenever the kind of job a person desires opens in the USGS.</p>		
<p><b>404-08a. Inputs.</b> Electronic inputs consisting of personnel e-mail addresses and their preferences for any vacancies that meet their criteria.</p>	<p>Delete or destroy after input and verification of data into master file or when no longer needed to support the reconstruction of the master file, whichever is later.</p>	<p><del>N1-57-02-02,</del> Item 403-09a</p>
<p><b>404-08b. Master File.</b> Consists of a database that contains all users' current preferences and the OPM's USAJobs control numbers of the vacancies that they have already been notified about. Users update elements and/or entire record as required, and delete their own records from the master file when they no longer require the service. The system automatically deletes a file when the user's e-mail address is unusable or becomes invalid.</p>	<p>Delete record at the request of the user, or when the user's e-mail address is no longer valid, whichever is sooner.</p>	<p><del>N1-57-02-02,</del> Item 403-09b</p>
<p><b>404-08c. Outputs.</b> E-mail notifications are received by USGS employees who have registered with the system. E-mail notifications are a consolidated listing of each new vacancy at the USGS, found in the OPM's USAJobs that</p>	<p>Destroy when superseded, obsolete, or no longer needed.</p>	<p><del>N1-57-02-02,</del> Item 403-09c</p>

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meets the criteria provided by the employee.		
<del>404-08d. System Documentation. All material relating to the system resides on the web site.</del>	<del>Cutoff when system is replaced. Destroy any printed documentation 6 years after cutoff.</del>	<del>N1-57-02-02, Item 403-09d</del>
<del>404-08e. All Other Copies. Informational copies of employee e-mails, announcements, memoranda, and such relating to implementation and use of the E-Mail Vacancy Notification System.</del>	<del>Cutoff at the end of the fiscal year. Destroy 2 years after cutoff or when superseded, obsolete, or no longer needed, whichever is later.</del>	<del>N1-57-02-02, Item 403-09e</del>
<del>404-09. Vacancy Announcements (As Created and Maintained in Personnel Offices). Information used to notify employee population of the availability of a particular job opening. Postings contain general description of duties, requirements, salary range, and cutoff date for accepting employment applications.</del>	<del>Cutoff at the end of the fiscal year. Destroy 3 years after cutoff.</del>	<del>N1-57-02-02, Item 403-10</del>
<del>404-10. Recruitment Packages. Packets containing original promotional material, blank forms giving investigative authorization, and general philosophy, benefits, and other incentives.</del>	<del>Cutoff at the end of the fiscal year. Destroy when superseded, obsolete, or no longer needed.</del>	<del>N1-57-02-02, Item 403-11</del>
404-11. Prehire Test Files. Prehire test files consist of, but are not limited to, written and practical job-skill/proficiency pass/fail tests administered by labor management personnel to measure suitability for hire. Includes pre-placement physical examination.		
<del>404-11a. Successful prehire applicant test files, where an offer of employment was made.</del>	<del>Transfer to OPF after date of hire.</del>	<del>N1-57-02-02, Item 403-12a</del>
<del>404-11b. Successful prehire applicant test files, where no employment offer was made.</del>	<del>Destroy 2 years after date of test.</del>	<del>N1-57-02-02, Item 403-12b</del>
<del>404-11c. Unsuccessful prehire applicant test.</del>	<del>Destroy 1 year after date of test.</del>	<del>N1-57-02-02, Item 403-12c</del>
404-12. Employment Examination and Certification Records. Delegated agreements and related records created under the authority of 5 U.S.C. 1104 between the OPM and agencies, allowing for the examination and certification of applicants for employment.		
404-12a. Delegated Agreements.	Destroy 3 years after termination of agreement.	RCS/Item 402-09a and GRS 1, Item 33a

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<b>404-12b.</b> Correspondence concerning applications, eligibles certification, and all other examining and recruiting operations. Includes, but not limited to, correspondence from the Congress, White House, and general public, and correspondence regarding accommodations for holding examinations and shipment of test materials.	Cutoff at the end of the fiscal year. Destroy 1 year after cutoff.	N1-57-02-02, Item 403-13b and GRS 1, Item 33b
<b>404-12c.</b> Test Material Stock Control. Stock control records of examination test material including running inventory of test material in stock.	Destroy when test is superseded or obsolete.	RCS/Item 402-09b and GRS 1, Item 33d
<b>404-12d.</b> Application Record Card (OPM Form 5000A, or equivalent).	Cutoff after examination. Destroy no later than 90 days after cutoff.	N1-57-02-02, Item 403-13d and GRS 1, Item 33e
<b>404-12e.</b> Examination Announcement Case Files. Correspondence regarding examination requirements, original drafts of examination, and announcements issued excluding records concerning qualification standards, job specifications, and their development.	Cutoff after termination of related register or inventory or after final action is taken on the certificate generated by case examining procedures. Destroy 2 years after cut off.	N1-57-02-02, Item 403-13e and GRS 1, Item 33f
<b>404-12f.</b> Register of Eligibles (OPM Form 5001-C or equivalent, documenting eligibility of an individual for Federal jobs).	Destroy 2 years after the date on which the register of inventory is terminated.	N1-57-02-02, Item 403-13f and GRS 1, Item 33g
<b>404-12g.</b> Letters to applicants denying transfer of eligibility (OPM Form 4896 or equivalent).	Cutoff at the end of the fiscal year. Destroy 1 year after cutoff.	N1-57-02-02, Item 403-13g and GRS 1, Item 33h
<b>404-12h.</b> Canceled and ineligible applications, supplemental forms, and attachments.	Cutoff at the end of the fiscal year. Destroy 1 year after cutoff.	N1-57-02-02, Item 403-13h and GRS 1, Item 33k
<b>404-12i.</b> Test Answer Sheets. Written test answer sheets for both eligibles and ineligibles. Filed by date of processing.	Destroy when 6 months old.	N1-57-02-02, Item 403-13i and GRS 1, Item 33i
<b>404-12j.</b> Lost or Exposed Test Material Case Files. Records showing the circumstances of loss, nature of the recovery action, and corrective action required.	Cutoff at the end of the fiscal year. Destroy 5 years after cutoff.	N1-57-02-02, Item 403-13j and GRS 1, Item 33j
<b>404-12k.</b> Eligible Applications.		
<b>404-12k(1).</b> On Active Register.	Destroy 90 days after termination of the register or inventory, (except for	N1-57-02-02, Item 403-13k(1) and GRS 1, Item

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	those applications that may be brought forward to a new register or inventory, if any).	331(1)
<del>404-12k(2). On Inactive Register.</del>	<del>Cutoff at the end of the fiscal year. Destroy 1 year after cutoff.</del>	<del>NI-57-02-02, Item 403-13k(2) and GRS 1, Item 331(2)</del>
404-12l. Request for prior approval of personnel actions taken by agencies. Relating to such matters as promotion, transfer, reinstatement, or change in status, submitted by SF-59, OPM 648, or equivalent form.	Cutoff at the end of the fiscal year. Destroy 1 year after cutoff.	RCS/Item 402-09c and GRS 1, Item 33o
404-12m. Certificate Files. SF-39, SF-39A, or equivalent, and all papers upon which the certification was based: detailed rating schedule, record of selective and quality ranking factors used, list of eligibles screened for the vacancies, rating assigned, availability statements, and other documentation material designated by the examiner of retention. It is recommended that both the file copy and the audited report copy of the certificate be kept in this file. Files should be arranged to permit reconstruction or validation of actions taken in the event of appeal or legal action.	Cutoff at the end of the fiscal year. Destroy 2 years after cutoff date unless litigation has resulted. In those cases, retain until further notice from OPM.	NI-57-02-02, Item 403-13m and GRS 1, Item 33p
<del>404-12n. Certification Request Control Index.</del>	<del>Cutoff at the end of the fiscal year. Destroy 2 years after cutoff.</del>	<del>NI-57-02-02, Item 403-13n and GRS 1, Item 33q</del>
<del>404-12o. Interagency Placement Program (IPP) applications, registration sheets, letters, and other documentation.</del>	<del>Destroy upon expiration of employee's DEP eligibility.</del>	<del>NI-57-02-02, Item 403-13o and GRS 1, Item 33r</del>
404-13. <b>Unemployment Compensation Records.</b> Records documenting all aspects of the unemployment process from notification of termination and administrative review to any dispute hearings that may occur prior to or immediately following the termination process. These records include correspondence, compensation enrollment forms, employment verification, employee depositions, computation of benefit amounts, and related working papers between the compensating state and the personnel office.	If filed separately, cutoff at termination and maintain for 3 years. Link file to its related OPF and follow the disposition in Item 402-01.	NI-57-02-02, Item 403-14



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<b>404-14. Reductions-in-Force Files</b>		
<b>404-14a. Correspondence and Related Materials.</b> Correspondence and related material <del>pertaining to reductions-in-force</del> (RIF) and separation procedures, exit interviewing, and resignation processes. Includes such things as appeal procedures and actions, assignment rights, scope of competition, competitive levels involuntary separations and furloughs other than military, surplus employee lists, and reemployment rights.	Cutoff at the end of the fiscal year. Destroy 3 years after cutoff.	<del>N1-57-02-02,</del> Item 403-15a
<b>404-14b. Retention Registers.</b>		
<b>404-14b(1).</b> Registers of eligibles and related records <del>used to effect RIF actions.</del>	Destroy 3 years from the date the case closes.	<del>N1-57-02-02,</del> Item 403-15b(1) and GRS 1, Item 17b(1)
<b>404-14b(2).</b> Registers from which no RIF actions <del>have been taken</del> and related records.	Destroy when superseded or obsolete.	<del>N1-57-02-02,</del> Item 403-15b(2) and GRS 1, Item 17b(2)
<b>404-15. Online Automated Recruitment System (OARS).</b> A computerized employment application processing system, which electronically prescreens candidates and ranks them according to specified criteria.		
<b>404-15a. Inputs.</b> Electronic inputs consisting of registrant, vacancy announcement, and applicant information ( <del>answers to vacancy questions</del> ).	Delete or destroy after input and verification of data into master file or when no longer needed to support the reconstruction of the master file, whichever is later.	<del>N1-57-02-02,</del> Item 403-16a
<b>404-15b. Master File.</b> Consists of a database that retains registrant, vacancy and applicant information, and does not interface with any other database.	Delete vacancy records that are over 3 years old and registrant records that have been inactive over 3 years.	<del>N1-57-02-02,</del> Item 403-16b
<b>404-15c. Outputs.</b> Provides management with lists of vacancy questions and candidates eligible to be considered for selection.		
<b>404-15c(1).</b> Electronic Copy.	Delete after recordkeeping copy is produced or no longer needed for operational	<del>N1-57-02-02,</del> Item 403-16c(1)

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	purposes, whichever is later.	
<del>404-15c(2). Recordkeeping Copy (paper).</del>	<del>Cutoff at the end of the fiscal year. Destroy 3 years after cutoff.</del>	<del>N1-57-02-02, Item 403-16c(2)</del>
<del>404-15d. System Documentation. Consists of user manuals.</del>	<del>Cutoff when system is replaced. Destroy 6 years after cutoff.</del>	<del>N1-57-02-02, Item 403-16d</del>
<del>404-15e. All Other Copies. Informational copies of employee e-mails, announcements, memoranda, and such relating to implementation and use of the OARS and related website.</del>	<del>Cutoff at the end of the fiscal year. Destroy 2 years after cutoff or when superseded, obsolete, or no longer needed, whichever is later.</del>	<del>N1-57-02-02, Item 403-16e</del>
<del>404-16. Exit Interviews. USGS web-based tool to conduct exit interviews and gather statistical information from departing USGS employees.</del>		
<del>404-16a. Inputs. Electronic inputs consisting of survey information and answers to survey questions that exiting employees fill out before they leave the USGS.</del>	<del>Delete or destroy after input and verification of data into master file or when no longer needed to support the reconstruction of the master file, whichever is later.</del>	<del>N1-57-02-02, Item 403-17a</del>
<del>404-16b. Master File. Consists of a database that houses the survey results and does not interface with any other database.</del>	<del>Delete records only when data is no longer statistically significant for doing trend analysis.</del>	<del>N1-57-02-02, Item 403-17b</del>
<del>404-16c. Outputs. Provides management with a copy of the survey provided by employees that are leaving the USGS.</del>		
<del>404-16c(1). Electronic Copy.</del>	<del>Delete after recordkeeping copy is produced or no longer needed for operational purposes, whichever is later.</del>	<del>N1-57-02-02, Item 403-17c(1)</del>
<del>404-16c(2). Recordkeeping Copy (paper).</del>	<del>Cutoff at the end of the fiscal year. Retire records to storage facility 2 years after cutoff. Destroy 6 years after cutoff.</del>	<del>N1-57-02-02, Item 403-17c(2)</del>

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<del>404-16d. System Documentation. Consists of a Raosoft EZSurvey Project file.</del>	<del>Cutoff when system is replaced. Destroy 6 years after cutoff.</del>	<del>N1-57-02-02, Item 403-17d</del>
<del>404-16e. All Other Copies. Informational copies of employee e-mails, announcements, memoranda, and such relating to implementation and use of the Exit Interview System and related website.</del>	<del>Cutoff at the end of the fiscal year. Destroy 2 years after cutoff or when superseded, obsolete, or no longer needed, whichever is later.</del>	<del>N1-57-02-02, Item 403-17e</del>
404-17. Volunteer for Science Program System. USGS system with information on the USGS Volunteer for Science Program.		
<del>404-17a. Inputs. Electronic inputs consisting of applications from perspective volunteers to apply for volunteer opportunities at the USGS and opportunities from managers.</del>	<del>Delete or destroy after input and verification of data into master file or when no longer needed to support the reconstruction of the master file, whichever is later.</del>	<del>N1-57-02-02, Item 404-02a</del>
404-17b. Master File. Consists of a database that contains volunteer applications.	<del>Delete records after 1 year.</del>	<del>N1-57-02-02, Item 404-02b</del>
404-17c. Outputs Provides management with volunteer application forms for consideration.		
<del>404-17c(1). Electronic Copy.</del>	<del>Delete after recordkeeping copy is produced or no longer needed for operational purposes, whichever is later.</del>	<del>N1-57-02-02, Item 404-02c(1)</del>
<del>404-17c(2). Recordkeeping Copy (paper).</del>	<del>Cutoff at the end of the fiscal year. Destroy 1 year after cutoff.</del>	<del>N1-57-02-02, Item 404-02c(2)</del>
404-17d. System Documentation. Volunteer Handbook is available for managers. Applications are available online. Volunteer agreements and emergency care for minor forms are available for managers.	<del>Cutoff when system is replaced. Destroy 6 years after cutoff.</del>	<del>N1-57-02-02, Item 404-02d</del>
<del>404-17e. All Other Copies. Informational copies of employee e-mails, announcements, memoranda, and such relating to implementation and use of the Volunteer for Science Program website.</del>	<del>Cutoff at the end of the fiscal year. Destroy 2 years after cutoff or when superseded, obsolete, or no longer needed, whichever is later.</del>	<del>N1-57-02-02, Item 404-02e</del>

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<b>405. Employee Performance and Awards Files.</b>		
<b>405-01. Employee Awards Files.</b>		
<b>405-01a. Case Files.</b> Includes recommendations, nominations, memoranda, correspondence, reports, and related handbooks pertaining to agency-sponsored cash and non-cash awards such as incentive awards, within-grade merit increases, suggestions, outstanding performance, length-of-service, and any awards from other Federal agencies or non-Federal organizations. Also, copies of letters of commendation and appreciation. Examples of internal awards include, but are not limited to, Safety and Health Awards, Going the Extra Mile Award, Unsung Hero Award. (Excludes official copy in the OPF).	Cutoff at the end of the fiscal year. Destroy 2 years after approval or disapproval or after cutoff, whichever is sooner.	RCS/Item 403-01a(1) and GRS 1, Items 12a, 12b, and 12c
<b>405-01b. Employee Awards Correspondence and Reports.</b> Copies of e-mails, memoranda, reports, and any other correspondence relating to the bureau Incentive Awards Program	Cutoff at the end of the fiscal year. Destroy 3 years after cutoff.	RCS/Item 403-02 and GRS 1, Item 13
<b>405-01c. Lists of, or Indexes to, Agency Award Nominations.</b> Lists of nominees and winners and indexes of nominations.	Destroy when superseded, obsolete, or no longer needed.	<del>RCS/Item 403-</del> 01d and GRS 1, Item 12d
<b>405-02. Employee Performance File System Records.</b>		
<b>405-02a.</b> Non-SES appointees (as defined in 5 U.S.C. 4301(2)).		
<b>405-02a(1).</b> 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.	<del>RCS/Item 403-</del> 03a(1) and GRS 1, Item 23a(1)
<b>405-02a(2).</b> Performance records superseded through an administrative, judicial, or quasi-judicial procedure.	Destroy when superseded.	<del>RCS/Item 403-</del> 03a(2) and GRS 1, Item 23a(2)
<b>405-02a(3).</b> Performance-related records pertaining to former employees.		
<b>405-02a(3)(a).</b> Latest rating of record 3 years old or less and performance plan upon which it is based, and any summary rating.	Place records on left side of the OPF and forward the OPF to gaining	<del>RCS/Item 403-</del> 03a(3)(a) and GRS 1, Item

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	Federal agency upon transfer or to NPRC if employee separates. An agency retrieving an OPF from NPRC will dispose of these documents in accordance with Item 405-02a(3)(b) below.	23a(3)(a)
405-02a(3)(b). All other performance plans and ratings.	Destroy when 4 years old.	RCS/Item 403-03a(3)(b) and GRS 1, Item 23a(3)(b)
405-02a(4). All other summary performance appraisal records, including performance appraisals and job elements and standards upon which they are based.	Destroy 4 years after date of appraisal.	RCS/Item 403-03a(4) and GRS 1, Item 23a(4)
405-02a(5). Supporting documents.	Destroy 4 years after date of appraisal.	RCS/Item 403-03a(5) and GRS 1, Item 23a(5)
405-02b. SES appointees (as defined in 5 U.S.C. 3132a(2)).		
405-02b(1). Performance records superseded through an administrative, judicial, or quasi-judicial procedure.	Destroy when superseded.	RCS/Item 403-03b(1) and GRS 1, Item 23b(1)
405-02b(2). Performance-related records pertaining to a former SES appointee.		
405-02b(2)(a). Latest rating of record that is less than 5 years old and performance plan upon which it is based and any summary rating.	Place records on the left side of the OPF and forward the OPF to the gaining Federal agency upon transfer or to NPRC if employee leaves Federal service. An agency retrieving an OPF from NPRC will dispose of those documents in accordance with Item 405-02b(2)(b) below.	RCS/Item 403-03b(2)(a) and GRS 1, Item 23b(2)(a)
405-02b(2)(b). All other performance ratings and plans.	Destroy when 5 years old.	RCS/Item 403-03b(2)(b) and GRS 1, Item 23b(2)(b)
405-02b(3). All other performance appraisals, along with job elements and standards (job	Destroy 5 years after date of appraisal.	RCS/Item 403-03b(3) and GRS

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expectations) upon which they are based, EXCLUDING those for SES appointees serving on a Presidential appointment (5 CFR 214).		1, Item 23b(3)
<b>405-02b(4).</b> Supporting documents.	Destroy 5 years after date of appraisal.	RCS/Item 403-03b(4) and GRS 1, Item 23b(4)
<b>406. Position Classification and Job Evaluation Files.</b>		
<b>406-01. Classification Files.</b>		
<b>406-01a. Position Classification Standards Files.</b> Standards and guidelines issued or reviewed by OPM and used to classify and evaluate positions (including GS/GM and wage grade employees) within the agency. This also includes internal USGS classification guidance on interpreting OPM classification guidelines.	Destroy when superseded or obsolete.	RCS/Item 404-01a(1) and GRS 1, Item 7a(1)
<b>406-01b. Position Descriptions.</b> Record copies of position descriptions that include information on title, series, grade, duties and responsibilities, and related documents.	Destroy 2 years after position is abolished or description is superseded.	RCS/Item 404-01b and GRS 1, Item 7b
<b>406-01c. Classification Review Files.</b> Position review and audit files including correspondence, memoranda, reports and other records related to organizational and occupational reviews, desk audits, and position evaluations.	Destroy when 3 years old or 2 years after regular inspection, whichever is sooner.	RCS/Item 404-01c(1) and GRS 1, Item 7c(1)
<b>406-01d. Appeals Files.</b>		
<b>406-01d(1).</b> Case files relating to classification appeals, excluding OPM classification certificate.	Destroy 3 years after case is closed.	RCS/Item 404-01d(1) and GRS 1, Item 7d(1)
<b>406-01d(2).</b> Certificates of classification issued by OPM.	Destroy after the affected position is abolished or superseded.	RCS/Item 404-01d(2) and GRS 1, Item 7d(2)
<b>406-02. FastClass.</b> USGS web-based classification system that will generate position descriptions.		
<b>406-02a. Inputs.</b> Electronic inputs consisting of duty and factor statements that are used to create position related documentation.	Delete or destroy after input and verification of data into master file or when no longer needed to support the reconstruction of the master file, whichever is later.	N1-57-02-02, Item 406-02a
<b>406-02b. Master File.</b> Consists of a database	Delete position	N1-57-02-02,

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that contains position descriptions of record and standardized position descriptions. This system interfaces with the task statements housed in the OARS database.	descriptions of record 2 years after the position is abolished or the description is superseded. Standard position descriptions may be deleted when no longer needed.	Item 406-02b
<b>406-02c. Outputs.</b> Provides management with position related documentation such as position descriptions and position description coversheets.		
<del>406-02c(1). Electronic Copy.</del>	<del>Delete after recordkeeping copy is produced or no longer needed for operational purposes, whichever is later.</del>	<del>N1-57-02-02, Item 406-02c(1)</del>
<del>406-02c(2). Recordkeeping Copy (paper).</del>	<del>Destroy record 2 years after the position is abolished or description is superseded.</del>	<del>N1-57-02-02, Item 406-02c(2)</del>
<del>406-02d. System Documentation.</del> Consists of a user manual and developmental documentation such as specifications and requirements.	<del>Cutoff when system is replaced. Transfer to records storage facility 1 year after cutoff. Destroy 6 years after cutoff.</del>	<del>N1-57-02-02, Item 406-02d</del>
<del>406-02e. FastClass Related Files.</del> Includes e-mails, announcements, memoranda, and other documents related to developing, implementing, and using the FastClass System and related website.	<del>Cutoff at the end of the fiscal year. Destroy 2 years after cutoff or when superseded, obsolete, or no longer needed, whichever is later.</del>	<del>N1-57-02-02, Item 406-02e</del>
<b>406-03. Wage Survey Files.</b> Wage survey reports and data, background documents, and related correspondence pertaining to area wages paid for each employee class; background papers establishing need, authorization, direction, and analysis of wage surveys; development and implementation of wage schedules; and request for an authorization of specific rates, excluding authorized wage schedules and wage survey recapitulation sheets.	Destroy after completion of second succeeding wage survey.	RCS/Item 704-22 and GRS 1, Item 38

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<p><b>406-04. Pay Comparability Records.</b> Written narratives and computerized transaction registers documenting use of retention, relocation and recruitment bonuses, allowances, and supervisory differentials under Federal Employees Pay Comparability Act.</p>	<p>Destroy 3 years following the date of approval or upon completion of the relevant service agreement or allowance, whichever is later.</p>	<p><del>RCS/Item 704-08 and GRS 1, Item 41</del></p>
<p><b>406-05. Classification Appraisals (Pay) Files.</b> Files, which document the comparison of salaries, paid locally and nationally to established salary percentage increase, comparative grade studies, guidelines, and justification base for employee performance assessments.</p>	<p>Cutoff at the end of the fiscal year. Destroy 3 years after cutoff or when superseded, obsolete, or no longer needed, whichever is later.</p>	<p><del>N1-57-02-02, Item 417-12</del></p>
<p><b>407. Employee Relations and Service Files.</b></p>		
<p><b>407-01. Employee Relations Case Files.</b> Records relating to disciplinary and adverse actions, performance-based actions, appeals, grievances, denials of within-grade increases, and cases in which discussions were held but no action was taken.</p>		
<p><b>407-01a.</b> Disciplinary and Adverse Action Files (5 CFR 752) and Performance-Based Actions (5 CFR 432). Case files and records related to adverse actions and performance-based actions (removal, suspension, reduction-in-grade, furlough) against employees. The file includes a copy of the proposed adverse action with supporting documents; statements of witnesses; employee's reply; hearing notices, reports and decisions; reversal of action; and appeal records, excluding letters of reprimand which are filed in the OPF.</p>	<p>Destroy 5 years after date of last entry.</p>	<p><del>RCS/Item 405-01a and NCI-57-81-2, Item 15a and GRS 1, Item 30b</del></p>
<p><b>407-01b.</b> Appeals of Disciplinary/Adverse Action Files (5 CFR 752) and Performance-Based Actions (5 CFR 432). Case files and records related to adverse actions and performance-based actions (removal, suspension, reduction-in-grade, furlough) against employees. The file includes a copy of</p>	<p>Destroy 5 years after date of last entry.</p>	<p><del>RCS/Item 405-01c and NCI-57-81-2, Item 15c</del></p>



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the proposed adverse action with supporting documents: statements of witnesses; employee's reply; hearing notices, reports and decisions; reversal of action; and appeal records, excluding letters of reprimand which are filed in the Official Personnel Folder.		
<b>407-01c.</b> Administrative Grievance Files (5 CFR 771). Records relating to grievances raised by agency employees, except Equal Employment Opportunity (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.	Destroy 5 years after date of last entry.	<del>RCS/Item 405-01d and NC1-57-81-2, Item 15d and GRS 1, Item 30a</del>
<b>407-01d.</b> Separation of Probationary employees.	Destroy 5 years after separation.	<del>RCS/Item 405-01e and NC1-57-81-2, Item 15e</del>
<b>407-01e.</b> Cases in which no action was taken.	Destroy 1 year after date of last contact or 6 months after employee's separation, whichever is earlier.	<del>RCS/Item 405-01f and NC1-57-81-2, Item 15f</del>
<b>407-02. Employee Investigative Files.</b> Records of investigations conducted by and for the personnel office pertaining to allegations of violations and misconduct of employees (exclusive of EEO case files).	Destroy 1 year after case is closed.	<del>RCS/Item 405-02 and NC1-57-81-2, Item 17</del>
<b>407-03. Leave Program Files.</b> Includes, but not limited to, Family Friendly leave, restored leave, jury duty, leave without pay, military leave, and blood leave.		
<b>407-03a. General Administrative Records.</b> Correspondence or subject files in the office responsible for overseeing employee leave programs. Files should include such items as bureau policy, procedures for governing, and correspondence to employees. Files should be separated by program and filed alphabetically.	Cutoff at the end of the fiscal year. Destroy 5 years after cutoff or when superseded, obsolete, or no longer needed, whichever is later.	<del>N1-57-02-02, Item 417-09a</del>
<b>407-03b. Correspondence or Subject Files.</b> For all other offices that receive e-mails, correspondence, pamphlets, or information on these other leave programs. Files should be	Cutoff at the end of the fiscal year. Destroy 2 years after cutoff or when superseded, obsolete, or	<del>N1-57-02-02, Item 417-09b</del>

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separated by program and filed alphabetically.	no longer needed, whichever is later.	
<b>407-03c. Leave Transfer Program Case Files.</b> Case files documenting the receipt and donation of leave for medical emergencies, including recipient applications, agency approvals or denials, medical or physician certifications, leave donation records or Optional Form 630-A, supervisor and timekeeper approvals, leave transfer records, payroll notification records, and leave program termination records.	Beginning in January 1994, destroy 1 year after the end of the year in which the file is closed.	RCS/Item 704-19 and GRS 1, Item 37
<b>407-04. Employee Concerns Program.</b> Case files which serve to document employee allegations of impropriety or inadequacy of USGS and/or contractor-managed activities. Subjects include, but not strictly limited to, environmental, safety, and health-related issues; fraud; waste; and abuse; personnel and management matters; quality; security conditions; or incidents of retaliation. Supporting documents include employee statements or declarations, witness testimonials, investigation reports, and corrective actions to mitigate potential risks to the public, the environment, employees of the USGS, or relevant contractor entities.		
<b>407-04a. Official Employee Concerns Program Files.</b>		
<b>407-04a(1).</b> Concerns relating to security, environmental, safety, and health-related issues.	Cutoff at the close of the fiscal year in which the case was closed. Destroy 10 years after cutoff.	N1-57-02-02, Item 407-06a(1)
<b>407-04a(2).</b> All other concerns.	Cutoff at the close of the fiscal year in which the case was closed. Destroy 4 years after cutoff.	N1-57-02-02, Item 407-06a(2)
<b>407-04b. Records Documenting Concerns that do not Develop into Official Cases.</b>		
<b>407-04b(1).</b> Security-related concerns.	Cutoff at the end of the fiscal year. Destroy 4 years after cutoff.	N1-57-02-02, Item 407-06b(1)
<b>407-04b(2).</b> All other concerns.	Cutoff at the end of the fiscal year. Destroy 2	N1-57-02-02, Item 407-06b(2)

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	years after cutoff.	
<b>407-05. Conflict Resolution (CORE) Program.</b> CORE Program offers an ideal forum of opportunity for early resolution of workplace conflicts.		
<b>407-05a. Mediation Files.</b> CORE Program Manager retains the following records: intake form, agreement to mediate, notice of results and options, participant evaluation form, and original copy of written agreements.	Destroy 5 years after termination of mediation.	<del>N1-57-02-02,</del> Item 407-07a
<b>407-05b. All Other Records, Notes, Work Products, or the Like Developed During the Mediation Process.</b>	Destroy after the completion of the mediation process.	<del>N1-57-02-02,</del> Item 407-07b
<b>407-05c. Other Records.</b> General administrative records, memoranda, e-mails, and such that pertain to the CORE Program and its benefits to USGS employees.	Cutoff at the end of the fiscal year. Destroy 2 years after cutoff or when superseded, obsolete, or no longer needed, whichever is later.	<del>N1-57-02-02,</del> Item 407-07c
<b>408. Benefits and Workplace Enhancement Program Records.</b> Records relating to employee retirement, life insurance, health benefits, death benefits, and USGS programs designed to improve work environment and to help provide employees with the tools they need to meet the USGS mission goals.		
<b>408-01. Physical Fitness Program.</b> The USGS is committed to providing its employees with opportunities to achieve and maintain physical fitness to the fullest extent possible within budgetary constraints. The Physical Fitness Program is designed to provide interested employees access to fitness training while not dictating the form and source of that training.		
<b>408-01a. Physical Fitness Program Handbook.</b> Provides information on the USGS Physical Fitness Program for local implementation to meet the needs of USGS employees, regardless of their geographic location.	Destroy when 3 years old or when superseded, obsolete, or no longer needed, whichever is later.	New Item
<b>408-01b. Copies of the Waiver and Informed Consent Statement (Attachment 2 of</b>	Cutoff at the end of the fiscal year. Destroy 6	New Item

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<b>Handbook) and substantiating reimbursement receipts.</b> Maintain on file in the office where approval for cost sharing or employee reimbursement is exercised.	years after cutoff.	
<b>408-01c. Copies of Employee E-mails and Other Materials,</b> Relates to the Physical Fitness Program, including, but not limited to, updates on the initiative received and actions taken.	Cutoff at the end of the fiscal year. Destroy 2 years after cutoff or when no longer needed, whichever is later.	New Item
<b>408-02. Alternate Worksite/Flexiplace Telecommuting Program.</b>		
<b>408-02a. Approved requests or applications to participate in an alternate worksite/flexiplace program.</b> Includes agreements between the agency and the employee and/or telecommuting center; and records relating to the safety of the worksite, the installation and use of equipment, hardware, and software, and if required, the use of secure, classified information, or data subject to the Privacy Act.	Destroy 1 year after the end of the employee's participation in the program.	<del>N1-57-02-02, Item 408-02a and GRS 1, Item 42a</del>
<b>408-02b. Unapproved Requests.</b>	Destroy 1 year after request is rejected.	<del>N1-57-02-02, Item 408-02b and GRS 1, Item 42b</del>
<b>408-02c. Miscellaneous Forms and Reports.</b> Generated by the agency or the participating employee evaluating the alternate worksite/flexiplace/telecommuting program.	Destroy when 1 year old, or when no longer needed, whichever is later.	<del>N1-57-02-02, Item 408-02c and GRS 1, Item 42c</del>
<b>408-03. Transportation Fringe Benefit Program.</b> For USGS employees who use public transportation for commuting to and from work, or who commute in a commuter highway vehicle on a regular, ongoing basis and are eligible to receive tax benefits for qualifying transportation expenditures.		
<b>408-03a.</b> Approved requests or applications to participate in the Transportation Fringe Benefit Program.	Destroy 1 year after the end of the employee's participation in the program.	<del>N1-57-02-02, Item 408-03a</del>
<b>408-03b.</b> Unapproved requests.	Destroy 1 year after request is rejected.	<del>N1-57-02-02, Item 408-03b</del>
<b>408-03c.</b> Forms and other records generated by the agency and the participating employee in evaluating the program.	Destroy when 1 year old, or when no longer needed, whichever is later.	<del>N1-57-02-02, Item 408-03c</del>

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<b>408-04. Federally Run Day Care Centers.</b> Correspondence, reports, and any other records pertaining to the general administration, operation, financing, budgeting, personnel, hiring, and such associated with USGS oversight or association with a Federally run day care center.	Cutoff at the end of the fiscal year. Destroy 6 years after cutoff or when superseded, obsolete, or no longer needed, whichever is later.	<del>N1-57-02-02, Item 408-04</del>
<b>408-05. General Workplace Enhancement Program Files.</b> Miscellaneous correspondence, memoranda, e-mail, updates, reports, guides, booklets, publications, and other records relating to Workplace Enhancement Programs for employees at the USGS. Includes, but not limited to Federal Employee Express and the Thrift Savings Plan.	Cutoff at the end of the fiscal year. Destroy 2 years after cutoff or when superseded, obsolete, or no longer needed, whichever is later.	<del>N1-57-02-02, Item 408-05</del>
<b>408-06. Employee Assistance Program (EAP) Files.</b>		
<b>408-06a. Files Concerning the Planning, Coordination, and Direction of the EAP.</b>	Cutoff at the end of the fiscal year. Destroy 3 years after cutoff, or when no longer needed for reference, whichever is later.	New Item
<b>408-06b. Correspondence, memoranda, and other records relating to general health and wellness topics.</b> Usually sent out by USGS employee health units. Examples include, but not limited to, notices of flu shots, announcements of health-related topics and visits, and health insurance information and visits.	Cutoff at the end of the fiscal year. Destroy 2 years after cutoff or when superseded, obsolete, or no longer needed, whichever is later.	<del>N1-57-02-02, Item 414-04a</del>
<b>408-07. Federal Employees Health Benefits Program.</b> Denied eligibility files consisting of applications, court orders, denial letters, appeal letters, and related papers.		
<b>408-07a.</b> Health benefits denied, not appealed.	Destroy 3 years after denial.	<del>RCS/Item 407-</del> 07a and GRS 1, Item 35a
<b>408-07b.</b> Health benefits denied, appealed to OPM for reconsideration.		
<b>408-07b(1).</b> Appeal successful - benefits granted.	Create enrollment file in accordance with Section 11 of the <u>Federal Employee Health</u>	<del>RCS/Item 407-</del> 07b(1) and GRS 1, Item 35b(1)

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	<u>Benefits (FEHB) Handbook.</u>	
<p><b>408-07b(2).</b> Appeal unsuccessful - benefits denied.</p> <p>NOTE: Pursuant to Section 11 of the FEHB Handbook, enrollment files of spouses eligible for benefits are transferred to OPM when former spouse cancels the enrollment, when enrollment is terminated by the employing office, or when former spouse begins receiving an annuity payment.</p>	Destroy 3 years after denial.	<del>RCS/Item 407-07b(2) and GRS 1, Item 35b(2)</del>
<b>408-08. Employee Benefits Files.</b>		
<b>408-08a. Retirement Case Files.</b> Duplicate copies of retirement applications and all other forms forwarded to OPM for adjudication of employee's retirement.	Destroy 2 years after effective date of retirement.	<del>RCS/Item 405-03a and NC1-57-81-2, Item 20a</del>
<b>408-08b. Estimated Annuity Computations.</b>	Destroy upon retirement.	<del>RCS/Item 405-03b and NC1-57-81-2, Item 20b</del>
<b>408-08c. Retirement Assistance Files.</b> Correspondence, memoranda, and other records used to assist retiring employees or survivors claim insurance or retirement benefits.	Destroy when 1 year old.	<del>NC1-57-02-02, Item 407-03c and GRS 1, Item 39</del>
<b>408-08d. Death Case Files.</b> Duplicate copies of claim forms forwarded to OPM and the Office of Federal Employee Group Life Insurance for adjudication of survivor benefits.	Destroy 2 years after date of death.	<del>RCS/Item 405-03c and NC1-57-81-2, Item 20c</del>
<b>409. Ethics and Employee Standards of Conduct.</b>		
<b>409-01. Ethics and Employee Standards of Conduct Files.</b> Correspondence, memoranda, advisories, e-mails, and other records relating to general standards of conduct and ethics topics other than those referenced in Item 409-02 through Item 409-07 below. Topics include, but not limited to: A-76 studies, awards, contractors in the workplace, contributions to USGS, cooperative agreements, court testimony, endorsements, Federal advisory committees, fiscal law issues, fundraising, gift acceptance, gambling, honoraria, Intergovernmental Personnel Act employees,	Cutoff at the end of the calendar year. Destroy 6 years after cutoff or when superseded, obsolete, or no longer needed.	<del>RCS/Item 405-05 and GRS 25, Item 1b</del>

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<p>limitations while seeking employment, lobbying, misuse of position, nepotism, outside work, political activity, post-Government employment, representational restrictions, teaching, speaking and writing, technology transfer, technical assistance agreements, training, and the use of Government resources</p>		
<p><b>409-02. Financial Disclosure Reports.</b></p>		
<p><b>409-02a.</b> Reports and related documents submitted by individuals as required under the Ethics in Government Act of 1978 (Public Law 95-521).</p>		
<p><b>409-02a(1).</b> Records, including SF-278A, for individuals filing according to Section 201b of the Act, and not subsequently confirmed by the U.S. Senate.</p>	<p>Destroy 1 year after nominee ceases to be under consideration for appointment, except those documents needed in an ongoing investigation will be retained until no longer needed in the investigation.</p>	<p><del>N1-57-02-02, Item 409-02a(1) and GRS 25, Item 2a(1), 2b(1), and 2c(1)</del></p>
<p><b>409-02a(2).</b> Public Financial Disclosure Reports (SF 278) and Confidential Supplemental Financial Disclosure Reports (DI-278) as well as Confidential Financial Disclosure Reports (OGE Form 450) and Confidential Supplemental Financial Disclosure Reports (DI-1993 and DI-1993-A).</p>	<p>Destroy when 6 years old, except those documents needed in an ongoing investigation will be retained until no longer needed in the investigation.</p>	<p><del>N1-57-02-02, Item 409-02a(2) and GRS 25, Item 2a(2), 2b(2), and 2c(2)</del></p>
<p><b>409-03. Stock Holding Conflicts and Advisories.</b> The USGS Organic Act prohibits USGS employees from owning stock in entities holding substantial Federal leases for oil, gas, or mining activities in the United States and other stocks are subject to dollar limitations on the value of shares that may be held, pursuant to USGS Conflict of Interest Policy. Through guidance issued in the Financial guide for USGS employees, employees are responsible to ensure they are in compliance by periodically reviewing their holdings or when changes occur through inheritance or gifts. When conflicts arise, case files are created containing information appropriate to the case. Depending on the aspects of the case, files could contain</p>	<p>Cutoff at the end of the calendar year in which the case was closed. Destroy 5 years after cutoff.</p>	<p><del>N1-57-02-02, Item 409-03</del></p>

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such things as written waivers, recusal memoranda, divestiture orders and certificates of divestitures, appeals, and remediation information.		
<b>409-04. Conflict-of-Interest Files.</b> These files contain outside work requests (USGS Form 9-1510); Reports of Payments from Non-Federal sources (DI-2000); gift acceptance documentation; and conflict-of-interest determinations and ethics opinions for specific employee situations. All of these forms and records are reviewed and analyzed to make conflict-of-interest determinations in accordance with Federal statutes, the Code of Federal Regulations (CFR), DOI and Survey Manual requirements.	Cutoff at the end of the calendar year. Destroy 6 years after cutoff.	N1-57-02-02, Item 409-04 and GRS 25, Item 3
<b>409-05. Serving in Official Duty Capacity in Outside Organizations.</b> Employees who serve as officers or members of boards of Directors of outside organizations in their official USGS capacities, must have Memorandums of Understanding (MOUs) between the USGS and the outside organizations, waivers of conflict of interest under 18 U.S.C. 208(b)(1) and recusal memoranda.	Cutoff at the end of the calendar year. Destroy 6 years after cutoff.	N1-57-02-02, Item 409-05
<b>409-06. Ethics Training Records.</b> Federal regulations require that all individuals filing financial disclosure reports must receive a minimum of 1 hour of ethics training per year. New employees must receive initial ethics orientation training.	Cutoff at the end of the calendar year. Destroy 6 years after cutoff.	N1-57-02-02, Item 409-06 and GRS 25, Item 8
<b>409-07. Acreage Report Files.</b> The Ethics Office uses from the Bureau of Land Management (BLM) and the Minerals Management Service (MMS) to compile a consolidated report of individuals and companies holding Federal oil, gas, or mining leases.	Cut of at the end of the calendar year. Destroy 6 years after cutoff.	New Item
<b>410. Federal Workplace Drug Testing.</b>		
<b>410-01. Federal Workplace Drug Testing Program Files.</b> Drug testing program records created under Executive Order 12564 and		



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<p>Public Law 100-71, Section 503 (101 Stat. 468), including annual reports to Congress, as required by Public Law 100-71, § 503(f). Excluded are consolidated statistical and narrative reports concerning the operation of bureau programs.</p> <p>NOTE: Any records covered by Item 410-01a through item 410-01e, that are relevant to litigation or disciplinary actions should be disposed of no earlier than the related litigation or adverse action case file(s).</p>		
<p><b>410-01a. Drug test plans and procedures, excluding documents that are filed in record sets of formal issuances (directives, procedures handbooks, operating manuals, and the like).</b> Bureau copies of plans and procedures, with related drafts, correspondence, memoranda, and other records pertaining to the development of procedures for drug testing programs, including the determination of testing incumbents in designated positions.</p>	<p>Destroy when 3 years old or when superseded, obsolete, or no longer needed, whichever is later. (See NOTE above.)</p>	<p>RCS/Item 405-06a and GRS 1, Item 36a</p>
<p><b>410-01b. Employee Acknowledgment of Notice Forms.</b> Forms completed by employees whose positions are designated sensitive for drug testing purposes acknowledging that they have received notice that they may be tested.</p>	<p>Destroy when employee separates from testing-designated position. (See NOTE above).</p>	<p>RCS/Item 405-06b and GRS 1, Item 36b</p>
<p><b>410-01c. Drug Test Selection/Scheduling Records.</b> Records relating to the selection of specific employees/applicants for testing and the scheduling of tests. Included are lists of selectees, notification letters, and testing schedules.</p>	<p>Destroy when 3 years old. (See NOTE above).</p>	<p>RCS/Item 405-06c and GRS 1, Item 36c</p>
<p><b>410-01d. Records Relating to the Collection and Handling of Specimens.</b></p>		
<p><b>410-01d(1).</b> "Permanent" Record Books. Bound books containing identifying data on each specimen, recorded at each collection site in the order in which the specimens were collected.</p>	<p>Destroy 3 years after date of last entry.</p>	<p>N1-57-02-02, Item 410-01d(1) and GRS 1, Item 36d(1)</p>
<p><b>410-01d(2).</b> Chain of Custody Records. Forms and other records used to maintain control and accountability of specimens from the point of collection to the final disposition of the</p>	<p>Destroy when 3 years old.</p>	<p>N1-57-02-02, Item 410-01d(2) and GRS 1, Item 36d(2)</p>

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specimen.		
<b>410-01e. Test Results.</b> Records documenting individual test results, including reports of testing, notifications of employees/applicants and employing offices, and documents relating to follow-up testing.		
<b>410-01e(1). Positive Results.</b>		
<b>410-01e(1)(a). Employees.</b>	Destroy when employee leaves the agency or when 3 years old, whichever is later.	<del>N1-57-02-02, Item 410-01e(1)(a) and GRS 1, Item 36e(1)(a)</del>
<b>410-01e(1)(b). Applicants not accepted for employment.</b>	Destroy when 3 years old.	<del>N1-57-02-02, Item 410-01e(1)(b) and GRS 1, Item 36e(1)(b)</del>
<b>410-01e(2). Negative Results.</b>	Destroy when 3 years old.	<del>RCS/Item 405-06d(2) and GRS 1, Item 36e(2)</del>
<b>410-02. Federal Workplace Drug Awareness Program Files.</b> Materials pertaining to the administration of drug awareness and control programs. Includes such things as notices of bureau or departmental drug awareness training programs, all employee notifications regarding drug awareness at the USGS, and procedures for drug incident reporting.	Cutoff at the end of the fiscal year. Destroy 3 years after cutoff or when superseded, obsolete, or no longer needed, whichever is later.	<del>N1-57-02-02, Item 410-02</del>
<b>411. Special Appointment Files.</b>		
<b>411-01. Americans with Disabilities Act Files.</b> Files that describe and document work environment issues related to employees with disabilities.		
<b>411-01a. Routine Files.</b> Contains employee requests for reasonable accommodations, including related working files, reports, exhibits and corrective actions, in accordance with the American with Disabilities Act.	Cutoff at case closure. Destroy 3 years after cutoff.	<del>N1-57-02-02, Item 411-01a</del>
<b>411-01b. Originating Agency's Files.</b> Contains complaints with related correspondence, reports, exhibits, withdrawal notices, copies of decisions, records of hearing and meetings, and other records as described in	Cutoff at case closure. Destroy 4 years after cutoff.	<del>N1-57-02-02, Item 411-01b</del>

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29 CFR 1613.222, in accordance with the Americans with Disabilities Act.		
<b>412. Educational and Student Program Files.</b>		
<b>412-01. Academic and Outreach Programs.</b> Records created to document educational outreach program transactions between the USGS and its contractors and schools, colleges, universities, community groups, and various State and Federal agencies for the purpose of generating and tracking interest in careers with the USGS and its contractors. Includes records relating to the oversight of the program such as informational guides, training aids, instructions, and other related documents. Also, includes records relating to tracking the impact of educational programs on the people involved and for measuring the success rate of each program; contract or funding information records such as MOUs with the schools, colleges and any grant, scholarship, or budget information; and records containing any contact information with the school or community group.	Cutoff at the end of the fiscal year. Destroy 6 years after cutoff or project completion, whichever is later.	N1-57-02-02, Item 412-01c
<b>412-02. Apprenticeship Program Files.</b> Apprentice program files consist of external training classroom and practical instruction records and reports of progress such as correspondence, testing, evaluations, and other pertinent information developed during the apprenticeship term.		
<b>412-02a.</b> Files of employees who successfully complete all aspects of apprenticeship program.	Cutoff at separation or transfer of employee. Destroy 4 years after cutoff.	<del>N1-57-02-02,</del> Item 412-02a
<b>412-02b.</b> Files of employees who terminate or are terminated from the program prior to completion.	Cutoff at termination. Destroy 10 years after cutoff.	<del>N1-57-02-02,</del> Item 412-02b
<b>412-03. Tuition Reimbursement Records.</b> Records relating to tuition reimbursement for employees taking part in a tuition assistance program offered by the employers. The tuition reimbursement is provided for work related undergraduate certificate, and graduate level	Cutoff at the end of the fiscal year. Destroy 6 years and 3 months after cutoff.	<del>N1-57-02-02,</del> Item 410-03

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courses taken at an accredited college, university, or vocational school. The records consist of original, signed tuition request forms, notification of grades, proofs of payments, and related correspondence.		
<b>412-04. Student Recruitment System (SRS).</b> A USGS system that allows students using the Internet to learn about the USGS, explore the benefits of working for the USGS and the Federal Government, and view information about applying for vacancies.	Destroy when no longer needed for current business.	New Item
<b>412-05. Student Placement Assistance (SPA) System.</b> Interactive website designed to assist current USGS student employees in locating alternate positions in the event the students are no longer available for their location, are switching career fields, or when their current appointment is scheduled to expire within the next 120 days.		
<b>412-05a. Inputs.</b> Electronic inputs consisting of Federal Personnel Payroll System (FPPS) data, student resumes and availability data, and supervisor evaluation.	Delete or destroy after input and verification of data into master file or when no longer needed to support the reconstruction of the master file, whichever is later.	<del>N1-57-02-02, Item 412-05a</del>
<b>412-05b. Master File.</b> Consists of a database that tracks students through their resignation or conversion to permanent appointment.	Delete records 5 years after student is converted to a permanent appointment or separated from the USGS, whichever is earlier.	<del>N1-57-02-02, Item 412-05b</del>
<b>412-05c. Outputs.</b> Provides management with electronic copies of student resumes for consideration for employment.	Delete after no longer needed by management for employment consideration.	<del>N1-57-02-02, Item 412-05c</del>
<b>412-05d. System Documentation.</b> Step-by-step information is available electronically directly on the website. Documentation used in the development of the system as well as paper copy user guides are available.	Cutoff when system is replaced. Destroy 6 years after cutoff.	<del>N1-57-02-02, Item 412-05d</del>
<b>412-05e. All Other Copies.</b> Informational copies of employee e-mails, announcements, memoranda, and such relating to	Cutoff at the end of the fiscal year. Destroy 2 years after cutoff or when	<del>N1-57-02-02, Item 412-05e</del>

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implementation and use of the SPA System Website as well as all aspects of students working for the USGS.	superseded, obsolete, or no longer needed, whichever is later.	
<b>413. Employee Training Files.</b>		
<b>413-01. Learning Management System (LMS).</b> DOI employee record of training that tracks all investment in training and developmental experiences for Department employees. It can be used to plan for employee development via an Individual Development Plan (IDP), obtain approval for training, register students for training with the DOI-provider/vendor, track training investment/experiences, report employee development investment information to management, and obtain training investment at various organizational levels.		
<b>413-01a. Inputs.</b> Electronic inputs consisting of training information that is on the SF-182.	Delete or destroy after input and verification of data into master file or when no longer needed to support the reconstruction of the master file, whichever is later.	New Item
<b>413-01b. Master File.</b> Consists of a database of basic employee records that are uploaded from FPPS every two weeks. Upload allows identification of new USGS employees and flags employees who have left USGS in order to inactivate records.	Electronic records of individual employees are inactivated as employees are separated from the agency. Records are deleted 6 years after inactivation, or when no longer needed for data analysis, whichever is later.	New Item
<b>413-01c. Outputs.</b> Provides management with all training requests for approval and reports on what types of training and development is taken and how much is invested on training and development at the USGS.		
<b>413-01c(1).</b> Electronic Copy.	Delete after recordkeeping copy is produced or no longer needed for operational	New Item

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	purposes, whichever is later.	
413-01c(2). Recordkeeping Copy (paper).	Cutoff at the end of the fiscal year. Retire records to storage facility 2 years after cutoff. Destroy 6 years after cutoff.	New Item
413-01d. <b>System Documentation.</b> Consists of system requirements analysis and design documents.	Cutoff when system is replaced. Destroy 6 years after cutoff.	New Item
413-01e. <b>All Other Copies.</b> Informational copies of employee e-mails, announcements, memoranda, and such relating to implementation and use of the Learning Management System website.	Cutoff at the end of the fiscal year. Destroy 2 years after cutoff or when superseded, obsolete, or no longer needed, whichever is later.	New Item
413-02 <b>Training Records.</b> Records associated with the coordination of courses excluding records of formally established Office of Employee Development programs including Orientation, Mentoring, Supervisory/ Management, and Leadership.		
413-02a. <b>General files of agency-sponsored training, excluding record copy of manuals, syllabuses, textbooks, and other training aids developed by the bureau.</b> Correspondence, memoranda, agreements, authorizations, reports, requirement reviews, plans, working files, and objectives relating to the establishment and operation of training courses and conferences. Examples include, but not limited to, Field Water Quality Methods for Ground Water and Surface Water and the Joint Fact-Finding Seminar.	Destroy when 5 years old or 5 years after completion of a specific training program.	RCS/Item 406-01a(1) and GRS 1, Item 29a(1) and 29a(2)
413-02b. <b>Employee Training Other than USGS.</b> Correspondence, memoranda, reports, and other records relating to the availability of training and employee participation in training programs sponsored by other Federal agencies or non-Federal institutions.	Destroy when 5 years old or when superseded or obsolete, whichever is sooner.	<del>RCS/Item 406-01b</del> and GRS 1, Item 29b
413-03. <b>USGS Programs Designed to Help USGS Employees.</b> Examples include the Orientation Program, Mentoring Program,	Cutoff at the end of the fiscal year. Destroy 5 years after cutoff or when	N1-57-02-02, Item 413-02a

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Supervisory/Management Program, and Leadership Program. Records include information copies of employee e-mails, announcements, memoranda, handbooks, training materials, guidelines, instructions, and any other material related to the program.	superseded, obsolete, or no longer needed, whichever is later.	
<b>413-04. Training Support Databases.</b> PC-based system used to support administrative or housekeeping functions, containing information derived from paper copy records or from other electronic data systems disposable under the NARA General Records Schedules or approved agency records disposition schedule. Examples of these databases include participant database in Office of Employee Development (OED) – sponsored/managed programs, course listings/schedules for the web, and property management.		
<b>413-04a.</b> When the electronic record replaces hard copy records that support administrative housekeeping functions.	Use 210-03b(1)	<del>GRS 20, Item 3b(1)</del>
<b>414. Employee Health Files.</b>		
<b>414-01. Individual Non-Occupational Health Record Files.</b> Forms, correspondence, and other records, including summary records, documenting an individual employee's medical history, physical condition, and visits to Government health facilities, for non-work related purposes, excluding records covered by Item 414-03 of this schedule.	Destroy 6 years after date of last entry.	<del>RCS/Item 407-01 and GRS 1, Item 19</del>
<b>414-02. Health Unit Control Files.</b> Logs or registers reflecting daily number of visits to dispensaries, first aid rooms, and health units.		
<b>414-02a.</b> If information is summarized on statistical report.	Destroy 3 months after last entry.	<del>RCS/Item 407-02a and GRS 1, Item 20a</del>
<b>414-02b.</b> If information is not summarized.	Destroy 2 years after last entry.	RCS/Item 407-02b and GRS 1, Item 20b
<b>414-03. Employee Medical Folders (EMF).</b>		
<b>414-03a.</b> Long-term medical records as defined in 5 CFR, Part 293, Subpart E.		
<b>414-03a(1).</b> Transferred employees.	See 5 CFR, Part 293,	<del>RCS/Item 407-</del>

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
	Subpart E for instructions.	03a(1) and GRS 1, Item 21a(1)
414-03a(2). Separated employees.	Transfer to NPRC, St. Louis, Missouri, 30 days after separation. NPRC will destroy 75 years after birth date of employee, 60 years after date of the earliest document in the folder if the date of birth cannot be ascertained, or 30 years after latest separation, whichever is later.	<del>RCS/Item 407-03a(2) and GRS 1, Item 21a(2)</del>
414-03b. Temporary or short-term records as defined in the Federal Personnel Manual.	Destroy 1 year after separation or transfer of employee.	<del>RCS/Item 407-03b and GRS 1, Item 21b</del>
414-03c. Individual Employee Health Case Files created prior to the establishment of the EMF System that have been retired to a FRC.	Destroy 60 years after retirement to FRC.	<del>RCS/Item 407-03c and GRS 1, Item 21c</del>
414-04. <b>Employee Health Statistical Summaries.</b> Miscellaneous statistical summaries and reports with related papers pertaining to employee health and retained by the reporting unit.	Destroy 2 years after date of summary or report.	<del>RCS/Item 407-04 and GRS 1, Item 22</del>
414-04a. <b>Smoking Issues and Policies.</b> Correspondence, memorandums, and other records relating to USGS smoking issues and policies.	Cutoff at the end of the fiscal year. Destroy 5 years after cutoff or when superseded, obsolete, or no longer needed, whichever is later.	<del>N1-57-02-02, Item 414-04b</del>
414-05. <b>Personal Injury Files.</b> Forms, reports, correspondence, and related medical and investigatory records relating to on-the-job injuries, including volunteer-related incidents, whether or not a claim for compensation was made, excluding copies filed in the EMF and copies submitted to the Department of Labor.	Cutoff on termination of compensation or when deadline for filing a claim has passed. Destroy 3 years after cutoff or after file is no longer active, whichever is longer.	RCS/Item 407-05 and GRS 1, Item 31
414-06. <b>Occupational Injury and Illness Files.</b> Reports and logs (including volunteer occupational injury and illness reports, Occupational Safety and Health Administration (OSHA) Forms 100, 101, 102, and 200, or equivalents) maintained as prescribed in 29	Cutoff at the end of the fiscal year. Destroy 5 years after cutoff.	<del>RCS/Item 407-06 and GRS 1, Item 34</del>



RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
CFR 1960 and OSHA Pamphlet 2014 to document all recordable occupational injuries and illnesses for each establishment.		
<b>415. Labor Relations Files.</b>		
<b>415-01. Labor Management Relations.</b> Correspondence, memoranda, reports, case files, and other records relating to the relationship between management and employee unions or other groups.		
<b>415-01a. General Correspondence.</b>	Cutoff at the end of the fiscal year. Destroy 5 years after cutoff or when no longer needed, whichever is later.	<del>RCS/Item 408-01a and N1-57-87-2, Item 408-01a and GRS 1, Item 28b</del>
<b>415-01b. Office Negotiating Agreement.</b>	Destroy 5 years after expiration of agreement or when no longer needed, whichever is later.	RCS/Item 408-01b and N1-57-87-2, Item 408-01b and GRS 1, Item 28a(1)
<b>415-01c. Negotiated Grievance Files (5 CFR 771).</b> Records relating to grievances raised by employees covered under a negotiated grievance system. 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.	Destroy 5 years after date of last entry.	<del>N1-57-02-02, Item 415-01d</del>
<b>415-01d. Labor Management Relations.</b> Reports required by OPM, the Department of the Interior, or the bureau for management of the program.		
<del><b>415-01d(1).</b> Bargaining unit status reports.</del>	<del>Destroy when obsolete or superseded.</del>	<del>N1-57-87-2, Item 408-01d(1)</del>
<b>415-01d(2).</b> Labor Agreement Information Retrieval System and Official Time Reports.	Destroy when 5 years old or when no longer needed, whichever is later.	N1-57-87-2, Item 408-01d(2)
<b>415-02. Certification/Decertification Files.</b> These files document meeting minutes, correspondence, and other records documenting management's actions relating to the response to union membership organizing drives.	Destroy 10 years after decertification of the union.	<del>N1-57-02-02, Item 415-03</del>

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
<b>416. EEO Files.</b>		
<b>416-01. EEO Official Discrimination Records.</b>		
<b>416-01a. Official Discrimination Complaint Case Files.</b> Originating agency's file containing complaints with related correspondence, reports, exhibits, withdrawal notices, copies of decisions, records of hearings and meetings, and other records as described in 29 CFR 1613.222. Cases resolved within the agency, by the DOI, by the Equal Employment Opportunity Commission, or by a U.S. Court.	Destroy 4 years after resolution of case.	<del>RCS/Item 409-01a and GRS 1, Item 25a</del>
<b>416-01b. Copies of EEO Complaint Case Files.</b> Duplicate case files or documents pertaining to case files retained in official Discrimination Complaint Case files.	<del>Destroy 1 year after resolution of case.</del>	<del>RCS/Item 409-01b and GRS 1, Item 25b</del>
<b>416-01c. EEO Preliminary and Background Records.</b>		
<b>416-01c(1).</b> Background records not filed in the official Discrimination Complaint Case files.	<del>Destroy 2 years after final resolution of case.</del>	<del>RCS/Item 409-01c(1) and GRS 1, Item 25c(1)</del>
<b>416-01c(2).</b> Records documenting complaints that do not develop into official Discrimination Complaint Cases.	<del>Destroy when 2 years old.</del>	<del>RCS/Item 409-01c(2) and GRS 1, Item 25c(2)</del>
<b>416-01d. Discrimination Complaint Status Reports.</b> Documents created in reporting data on the number of discrimination complaints on hand, received during the reporting period, closed during the reporting period, and number of cases in progress.	<del>Cutoff at the end of the fiscal year. Destroy 5 years after cutoff.</del>	<del>N1-57-02-02, Item 416-01d</del>
<b>416-02. EEO Compliance Records.</b>		
<b>416-02a. EEO Compliance Review Files.</b> Reviews, background documents, and correspondence relating to contractor employment practices.	<del>Cutoff at the end of the fiscal year. Destroy 7 years after cutoff.</del>	<del>RCS/Item 409-01d(1) and GRS 1, Item 25d(1)</del>
<b>416-02b. EEO Compliance Reports.</b>	<del>Cutoff at the end of the fiscal year. Destroy 3 years after cutoff.</del>	<del>RCS/Item 409-01d(2) and GRS 1, Item 25d(2)</del>
<b>416-03. EEO Employment Statistics Files.</b> Record copies of statistics relating to race and sex. (See NOTE below).	<del>Cutoff at the end of the fiscal year. Destroy 5 years after cutoff.</del>	<del>RCS/Item 409-01f and GRS 1, Item 25f</del>
NOTE: Electronic master files and databases		

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
created to supplement or replace the records covered by this sub-item are not authorized for disposal under the General Records Schedule. Such files must be scheduled on an SF-115.		
<b>416-04. EEO Affirmative Action Plans (AAPs).</b>		
<b>416-04a.</b> Agency copy of consolidated AAPs.	Destroy 5 years from date of plan.	<del>RCS/Item 409-</del> 01h(1) and GRS 1, Item 25h(1)
<b>416-04b.</b> Agency feeder plans to consolidated AAPs.	Destroy 5 years from date of feeder plan or when administrative purposes have been served, whichever is sooner.	<del>RCS/Item 409-</del> 01h(2) and GRS 1, Item 25h(2)
<b>416-04c.</b> Record copies of reports of on-site reviews of AAPs.	Destroy 5 years from date of report.	<del>RCS/Item 409-</del> 01h(3) and GRS 1, Item 25h(3)
<b>416-04d.</b> Agency copy of annual reports of Affirmative Action Accomplishments.	Destroy 5 years from date of report.	<del>RCS/Item 409-</del> 01h(4) and GRS 1, Item 25h(4)
<b>416-05. Special Emphasis Programs and Project Records.</b> Documents accumulated in planning, administering, conducting, and assisting in special emphasis programs and projects nationwide that are not identified with other projects, and programs listed elsewhere in this schedule. Included are projects or programs that may be requested by managers or employees as a means of keeping informed of local, regional, and national minority, women's, or disability services programs.	Cutoff at the end of the fiscal year. Destroy when no longer needed for administrative purposes.	<del>N1-57-02-02,</del> <del>Item 416-05</del>
<b>416-06. EEO General Files.</b> General correspondence and copies of regulations with related records pertaining to the Civil Rights Act of 1964, the EEO Act of 1972, any pertinent later legislation, and agency EEO Committee meeting records including minutes and reports.	Destroy when 3 years old, or when superseded or obsolete, whichever is applicable.	<del>RCS/Item 409-</del> 01g and GRS 1, Item 25g
<b>417. Payroll and Time and Attendance Files.</b>		
<b>417-01. Individual Employee Pay Records.</b>		
<b>417-01a.</b> Pay record for each employee as maintained in an electronic database. This database may be a standalone payroll system or	Update elements and/or entire record as required.	<del>RCS/Item 704-</del> 01a and GRS 2, Item 1a

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
part of a combined personnel/payroll system.		
<b>417-01b. Individual Pay Record, containing pay data on each employee within an agency.</b> This record may be in paper or microform but not in machine-readable form.	<del>Transfer to the NPRC.</del> Destroy when 56 years old.	<del>RCS/Item 704-01b and GRS 2, Item 1b</del>
<b>417-02. Non-Current Payroll Files.</b> Copy of non-current payroll data as maintained by payroll service bureaus in either microform or machine-readable form.	<del>Destroy 15 years after close of pay year in which generated.</del>	<del>RCS/Item 704-02 and GRS 2, Item 2</del>
<b>417-03. Time and Attendance - Leave Application Files.</b> SF-71, e-mails with approval by supervisor for requested leave, or any other equivalent plus any supporting documentation for requests and approvals of leave.		
<b>417-03a.</b> If employee initials time card or equivalent.	<del>Destroy at end of following pay period.</del>	<del>RCS/Item 704-03a and GRS 2, Item 6a</del>
<b>417-03b.</b> If employee has not initialed time card or equivalent.	<del>Destroy after General Accounting Office (GAO) audit or when 3 years old, whichever is sooner.</del>	<del>RCS/Item 704-03b and GRS 2, Item 6b</del>
<b>417-04. Time and Attendance Source Records.</b> All time and attendance records upon which leave input data are based, such as time or sign-in sheets; time cards (such as OF-1130); flexitime records; leave applications for jury and military duty; and authorized premium pay or overtime, maintained at duty post, upon which leave input data are based. Records may be in either machine-readable or paper form.	<del>Destroy after GAO audit or when 6 years old, whichever is sooner.</del>	<del>RCS/Item 704-04 and GRS 2, Item 7</del>
<b>417-05. Time and Attendance Input Records.</b> Records in either paper or machine-readable form used to input time and attendance data into a payroll system, maintained either by agency or payroll processor.	<del>Destroy after GAO audit or when 6 years old, whichever is sooner.</del>	<del>RCS/Item 704-05 and GRS 2, Item 8</del>
<b>417-06. Flexitime Attendance.</b> Supplemental time and attendance records and any other background materials used for time accounting under flexitime systems.	<del>Destroy after GAO audit or when 6 years old, whichever is sooner.</del>	<del>N1-57-02-02, Item 417-06 and GRS 2, Item 7</del>
<b>417-07. Leave Record Files.</b>		
<b>417-07a.</b> Record of employee leave, such as SF-1150, prepared upon transfer or separation.	<del>File on right side of the OPF. See Item 402-01</del>	<del>RCS/Item 704-06a and GRS 2,</del>

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
	for disposition.	Item 9a
<b>417-07b.</b> Creating agency copy, when maintained.	Destroy when 3 years old.	RCS/Item 704-06b and GRS 2, Item 9b
<b>417-08. Tax Files.</b>		
<del>417-08a.</del> Employee withholding allowance certificate such as Internal Revenue Service (IRS) Form W-4 and state equivalents.	<del>Destroy 4 years after superseded or obsolete or upon separation of employee.</del>	<del>RCS/Item 704-07a and GRS 2, Item 13a</del>
<del>417-08b.</del> Agency copy of employee wages and tax statements, such as IRS Form W-2 and state equivalents, <del>maintained by agency or payroll processor.</del>	<del>Destroy when 4 years old</del>	<del>RCS/Item 704-07b and GRS 2, Item 13b</del>
<del>417-08c.</del> Agency copy of employer reports of Federal tax withheld, such as IRS Form W-3, with related papers including reports relating to income and social security tax, and state equivalents, maintained by agency or payroll processor.	<del>Destroy when 4 years old.</del>	<del>RCS/Item 704-07c and GRS 2, Item 13c</del>
<b>417-09. Savings Bond Purchase Files.</b>		
<del>417-09a.</del> Authorization for Purchase and Request for Change - U.S. Savings Bonds, SB 2152, or equivalent.	<del>Destroy when superseded or after separation of employee.</del>	<del>RCS/Item 704-09a and GRS 2, Item 14a</del>
<del>417-09b.</del> Bond registration files: issuing agent's copies of bond registration stubs.	<del>Destroy 4 months after date of issuance of bond.</del>	<del>RCS/Item 704-09b and GRS 2, Item 14b</del>
<del>417-09c.</del> Bond receipt and transmittal files: receipts for and transmittals of U.S. Savings Bonds.	<del>Destroy 4 months after date of issuance of bond.</del>	<del>RCS/Item 704-09c and GRS 2, Item 14c</del>
<b>417-10. Combined Federal Campaign and Other Allotment Authorizations.</b>		
<del>417-10a.</del> Authorization for individual allotment to the Combined Federal Campaign.	<del>Destroy after GAO audit or when 3 years old, whichever is sooner.</del>	<del>RCS/Item 704-10a and GRS 2, Item 15a</del>
<del>417-10b.</del> Other authorizations, such as union dues and savings.	<del>Destroy after GAO audit or when 3 years old, whichever is sooner.</del>	<del>RCS/Item 704-10b and GRS 2, Item 15b</del>
<b>417-11. Payroll Levy and Garnishment Files.</b> Official Notice of Levy or Garnishment (IRS Form 668A or equivalent), change slip, work papers, correspondence, release and other forms, and other records relating to charge against retirement funds or attachment of salary for payment of back taxes or other debts of	Destroy 3 years after garnishment is terminated.	RCS/Item 704-13 and GRS 2, Item 18

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
Federal employees.		
<b>417-12. Payroll Administration - Payroll System Reports.</b>		
<del>417-12a. Error reports, ticklers, and system operation reports.</del>	<del>Destroy when related actions are completed or when no longer needed, not to exceed 2 years.</del>	<del>RCS/Item 704-14a and GRS 2, Item 22a</del>
<del>417-12b. Reports and data used for agency workload and/or personnel management purposes.</del>	<del>Cutoff at the end of the fiscal year. Destroy when 2 years old.</del>	<del>RCS/Item 704-14b and GRS 2, Item 22b</del>
<del>417-12c. Reports providing fiscal information on agency payroll.</del>	<del>Destroy after GAO audit or when 3 years old, whichever is sooner.</del>	<del>RCS/Item 704-14c and GRS 2, Item 22c</del>
<b>417-13. Payroll Adjustment and Change Files.</b> Records forwarded to payroll operations to direct a change or correction of an individual pay transaction whether created and maintained by paying agency or payroll processor.		
<del>417-13a. Copies subject to GAO audit.</del>	<del>Destroy after GAO audit or when 3 years old, whichever is sooner.</del>	<del>RCS/Item 704-15a and GRS 2, Item 23a</del>
<del>417-13b. All Other Copies.</del>	<del>Destroy 1 month after end of related pay period.</del>	<del>RCS/Item 704-15b and GRS 2, Item 23b</del>
<b>417-14. Payroll Correspondence.</b> Correspondence between agency and payroll processor regarding general routine administrative issues that do not relate to individual payments and general correspondence, e-mail, or memoranda to employees on all aspects of bureau timekeeping.	<del>Cutoff at the end of the fiscal year. Destroy when 2 years old.</del>	<del>RCS/Item 704-16 and GRS 2, Item 24</del>

**U.S. Geological Survey**  
**Chapter 400. Human Capital Program (Including Payroll and Time and Attendance Records), Equal Employment Opportunity, and Employee Development Records**

**Cross Index**

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404-16c	Outputs	
404-16c(1)	Electronic Copy	Item 403-17c(1) N1-57-02-02, Item 403-17c(1)
404-16c(2)	Recordkeeping Copy (Paper)	Item 403-17c(2) N1-57-02-02, Item 403-17c(2)
404-16d	System Documentation	Item 403-17d N1-57-02-02, Item 403-17d
404-16e	All Other Copies	Item 403-17e N1-57-02-02, Item 403-17e
404-17	Volunteer for Science Program System	
404-17a	Inputs	Item 404-02a N1-57-02-02, Item 404-02a
404-17b	Master File	Item 404-02b N1-57-02-02, Item 404-02b
404-17c	Outputs	
404-17c(1)	Electronic Copy	Item 404-02c(1) N1-57-02-02, Item 404-02c(1)
404-17c(2)	Recordkeeping Copy (Paper)	Item 404-02c(2) N1-57-02-02, Item 404-02c(2)
404-17d	System Documentation	Item 404-02d N1-57-02-02, Item 404-02d
404-17e	All Other Copies	Item 404-02e N1-57-02-02, Item 404-02e

<b>405</b>	<b>Employee Performance and Awards Files</b>	
405-01	Employee Awards Files	
405-01a	Case Files	Item 405-01a(1) RCS/Item 403-01a(1) and GRS 1, Item 12a, 12b, and 12c (Combined 405-01a(1), 405-01a(2), 405-01b, and 405-01c)
405-01b	Employee Awards Correspondence and Reports	Item 405-02 RCS/Item 403-02 and GRS 1, Item 13 (Combined 405-01a(3) and 405-02)
405-01c	Lists of, or Indexes to, Agency Award Nominations	Item 405-01d RCS/Item 403-01d and GRS 1, Item 12d
405-02	Employee Performance File System Records	
405-02a	Non-SES Appointees	
405-02a(a)	Appraisals of Unacceptable Performance	Item 405-04a(1) RCS/Item 403-03a(1) and GRS 1, Item 23a(1)
405-02a(2)	Performance Records Superseded Through an Administrative, Judicial, or Quasi-Judicial Procedure	Item 405-04a(2) RCS/Item 403-03a(2) and GRS 1, Item 23a(2)
405-02a(3)	Performance-Related Records Pertaining to Former Employees	
405-02a(3)(a)	Latest Rating of Record	Item 405-04a(3)(a) RCS/Item 403-03a(3)(a) and GRS 1, Item 23a(3)(a)
405-02a(3)(b)	All Other Performance Plans and Ratings	Item 405-04a(3)(b)* RCS/Item 403-03a(3)(b) and GRS 1, Item 23a(3)(b)
405-02a(4)	All Other Summary Performance Appraisal Records	Item 405-04a(4) RCS/Item 403-03a(4) and GRS 1, Item 23a(4)
405-02a(5)	Supporting Documents	Item 405-04a(5)* RCS/Item 403-03a(5) and GRS 1, Item 23a(5)
405-02b	SES Appointees	
405-02b(1)	Performance Records Superseded	Item 405-04b(1)

	Through an Administrative, Judicial, or Quasi-Judicial Procedure	RCS/Item 403-03b(1) and GRS 1, Item 23b(1)
405-02b(2)	Performance-Related Records Pertaining to a Former SES Appointee	
405-02b(2)(a)	Latest Rating of Record	Item 405-04b(2)(a) RCS/Item 403-03b(2)(a) and GRS 1, Item 23b(2)(a)
405-02b(2)(b)	All Other Performance Ratings and Plans	Item 405-04b(2)(b)* RCS/Item 403-03b(2)(b) and GRS 1, Item 23b(2)(b)
405-02b(3)	All Other Performance Appraisals	Item 405-04b(3) RCS/Item 403-03b(3) and GRS 1, Item 23b(3)
405-02b(4)	Supporting Documentation	Item 405-04b(4)* RCS/Item 403-03b(4) and GRS 1, Item 23b(4)
<b>406</b>	<b>Position Classification and Job Evaluation Files</b>	
406-01	Classification Files	
406-01a	Position Classification Standards Files	Item 406-01a RCS/Item 404-01a(1) and GRS 1, Item 7a(1)
406-01b	Position Descriptions	Item 406-01b RCS/Item 404-01b and GRS 1, Item 7b
406-01c	Classification Review Files	Item 406-01c(1) RCS/Item 404-01c(1) and GRS 1, Item 7c(1) (Combined 406-01c(1) and 406-01c(2))
406-01d	Appeals Files	
406-01d(1)	Case Files	Item 406-01d(1) RCS/Item 404-01d(1) and GRS 1, Item 7d(1)
406-01d(2)	Certificates of Classification	Item 406-01d(2) RCS/Item 404-01d(2) and GRS 1, Item 7d(2)
406-02	Fast Class	

406-02a	Inputs	Item 406-02a N1-57-02-02, Item 406-02a
406-02b	Master File	Item 406-02b N1-57-02-02, Item 406-02b
406-02c	Outputs	
406-02c(1)	Electronic Copy	Item 406-02c(1) N1-57-02-02, Item 406-02c(1)
406-02c(2)	Recordkeeping Copy (Paper)	Item 406-02c(2) N1-57-02-02, Item 406-02c(2)
406-02d	System Documentation	Item 406-02d N1-57-02-02, Item 406-02d
406-02e	Fast Class Related Files	Item 406-02e N1-57-02-02, item 406-02e
406-03	Wage Survey Files	Item 407-04 RCS/Item 704-22 and GRS 1, Item 38
406-04	Pay Comparability Records	Item 417-11* RCS/Item 704-08 and GRS 1, Item 41
406-05	Classification Appraisals (Pay) Files	Item 417-12 N1-57-02-02, Item 417-12
<b>407</b>	<b>Employee Relations and Service Files</b>	
407-01	Employee Relations Case Files	
407-01a	Disciplinary and Adverse Action Files	Item 407-01a RCS/Item 405-01a and NC1-57-81-2, Item 15a and GRS 1, Item 30b and RCS/Item 405-01b and NC1-57-81-2, Item 15b (Combined 405-01a and 405-01b) (Minor change in disposition wording)
407-01b	Appeals of Disciplinary/Adverse Action Files	Item 407-01c RCS/Item 405-01c and NC1-57-81-2, Item 15c (Minor change in disposition wording)
407-01c	Administrative Grievance Files	Item 407-01d RCS/Item 405-01d and NC1-57-81-2, Item 15d and GRS 1, Item 30a (Minor change in disposition wording)

407-01d	Separation of Probationary Employees	Item 407-01e RCS/Item 405-01e and NC1-57-81-2, Item 15e
407-01e	Cases in which no Action was Taken	Item 407-01f RCS/Item 405-01f and NC1-57-81-2, Item 15f
407-02	Employee Investigative Files	Item 407-02 RCS/Item 405-02 and NC1-57-81-2, Item 17
407-03	Leave Program Files	
407-03a	General Administrative Records	Item 417-09a N1-57-02-02, Item 417-09a
407-03b	Correspondence or Subject Files	Item 417-09b N1-57-02-02, Item 417-09b
407-03c	Leave Transfer Program Case Files	Item 417-08* RCS/Item 704-19 and GRS 1, Item 37
407-04	Employee Concerns Program	
407-04a	Official Employee Concerns Program Files	
407-04a(1)	Concerns Relating to Security, Environmental, Safety, and Health-Related Issues	Item 407-06a(1) N1-57-02-02, Item 407-06a(1)
407-04a(2)	All Other Concerns	Item 407-06a(2) N1-57-02-02, Item 407-06a(2)
407-04b	Records Documenting Concerns that do not Develop into Official Cases	
407-04b(1)	Security-Related Concern	Item 407-06b(1) N1-57-02-02, Item 407-06b(1)
407-04b(2)	All Other Concerns	Item 407-06b(2) N1-57-02-02, Item 407-06b(2)
407-05	Conflict Resolution (CORE) Program	
407-05a	Mediation Files	Item 407-07a N1-57-02-02, Item 407-07a
407-05b	All Other Records, Notes, Work Products, or the Like Developed During the Mediation Process	Item 407-07b N1-57-02-02, Item 407-07b



407-05c	Other Records	Item 407-07c N1-57-02-02, Item 407-07c
<b>408</b>	<b>Benefits and Workplace Enhancement Program Records</b>	
408-01	Physical Fitness Program	
408-01a	Physical Fitness Program Handbook	New Item
408-01b	Copies of the Waiver and Informed Consent Statement and Substantiating Reimbursement Receipts	New Item
408-01c	Copies of Employee E-Mails and Other Materials	New Item
408-02	Alternate Worksite/Flexiplace Telecommuting Program	
408-02a	Approved Requests or Applications to Participate in an Alternate Worksite/ Flexiplace Program	Item 408-02a N1-57-02-02, Item 408-02a and GRS 1, Item 42a
408-02b	Unapproved Requests	Item 408-02b N1-57-02-02, Item 408-02b and GRS 1, Item 42b
408-02c	Miscellaneous Forms and Reports	Item 408-02c N1-57-02-02, Item 408-02c and GRS 1, Item 42c
408-03	Transportation Fringe Benefit Program	
408-03a	Approved Requests	Item 408-03a N1-57-02-02, Item 408-03a
408-03b	Unapproved Requests	Item 408-03b N1-57-02-02, Item 408-03b
408-03c	Forms and Other Records	Item 408-03c N1-57-02-02, Item 408-03c
408-04	Federally Run Day Care Centers	Item 408-04 N1-57-02-02, Item 408-04
408-05	General Workplace Enhancement Program Files	Item 408-05 N1-57-02-02, Item 408-05
408-06	Employee Assistance Program (EAP) Files	

408-06a	Files Concerning the Planning, Coordination, and Direction of the EAP	New Item
408-06b	Correspondence, Memoranda, and Other Records	Item 414-04a N1-57-02-02, Item 414-04a
408-07	Federal Employees Health Benefits Program	
408-07a	Health Benefits Denied, Not Appealed	Item 414-08a RCS/Item 407-07a and GRS 1, Item 35a
408-07b	Health Benefits Denied, Appealed	
408-07b(1)	Appeal Successful	Item 414-08b(1) RCS/Item 407-07b(1) and GRS 1, Item 35b(1)
408-07b(2)	Appeal Unsuccessful	Item 414-08b(2) RCS/Item 407-07b(2) and GRS 1, Item 35b(2)
408-08	Employee Benefits Files	
408-08a	Retirement Case Files	Item 407-03a RCS/Item 405-03a and NC1-57-81-2, Item 20a
408-08b	Estimated Annuity Computations	•Item 407-03b RCS/Item 405-03b and NC1-57-81-2, Item 20b
408-08c	Retirement Assistance Files	Item 407-03c* N1-57-02-02, Item 407-03c and GRS 1, Item 39
408-08d	Death Case Files	Item 407-03d RCS/Item 405-03c and NC1-57-81-2, Item 20c
<b>409</b>	<b>Ethics and Employee Standards of Conduct</b>	
409-01	Ethics and Employee Standards of Conduct Files	Item 409-01 RCS/Item 405-05 and GRS 25, Item 1b
409-02	Financial Disclosure Reports	
409-02a	Reports and Related Documents Submitted by Individuals	

409-02a(1)	Records for the Individuals	Item 409-02a(1) N1-57-02-02, Item 409-02a(1) and GRS 25, Item 2a(1), 2b(1), and 2c(1)
409-02a(2)	Public Financial Disclosure Reports and Confidential Supplemental Financial Disclosure Reports	Item 409-02a(2) N1-57-02-02, Item 409-02a(2) and GRS 25, Item 2a(2), 2b(2), and 2c(2) (Combined 409-02a(2) and 409-02(b))
409-03	Stock Holding Conflicts and Advisories	Item 409-03 N1-57-02-02, Item 409-03
409-04	Conflict-of-Interest Files	Item 409-04 N1-57-02-02, Item 409-04 and GRS 25, Item 3
409-05	Serving in Official Duty Capacity in Outside Organizations	Item 409-05 N1-57-02-02, Item 409-05
409-06	Ethics Training Records	Item 409-06 N1-57-02-02, item 409-06 and GRS 25, Item 8
409-07	Acreage Report Files	New Item
<b>410</b>	<b>Federal Workplace Drug Testing</b>	
410-01	Federal Workplace Drug Testing Program Files	
410-01a	Drug Test Plans and Procedures Excluding Documents that are Filed in Record Sets of Formal Issuances	Item 410-01a RCS/Item 405-06a and GRS 1, Item 36a
410-01b	Employee Acknowledgment of Notice Forms	Item 410-01b RCS/Item 405-06b and GRS 1, Item 36b
410-01c	Drug Test Selection/Scheduling Records	Item 410-01c RCS/Item 405-06c and GRS 1, Item 36c
410-01d	Records Relating to the Collection and Handling of Specimens	
410-01d(1)	Permanent Record Books	Item 410-01d(1) N1-57-02-02, Item 410-01d(1) and GRS 1, Item 36d(1)
410-01d(2)	Chain of Custody Records	Item 410-01d(2) N1-57-02-02, Item 410-01d(2) and

GRS 1, Item 36d(2)

410-01e	Test Results	
410-01e(1)	Positive Results	
410-01e(1)(a)	Employees	Item 410-01e(1)(a) N1-57-02-02, Item 410-01e(1)(a) and GRS 1, Item 36e(1)(a)
410-01e(1)(b)	Applicants not Accepted for Employment	Item 410-01e(1)(b) N1-57-02-02, Item 410-01e(1)(b) and GRS 1, Item 36e(1)(b)
410-01e(2)	Negative Results	Item 410-01e(2) RCS/Item 405-06d(2) and GRS 1, Item 36e(2)
410-02	Federal Workplace Drug Awareness Program Files	Item 410-02 N1-57-02-02, Item 410-02
<b>411</b>	<b>Special Appointment Files</b>	
411-01	Americans with Disabilities Act	
411-01a	Routine Files	Item 411-01a N1-57-02-02, Item 411-01a
411-01b	Originating Agency's Files	Item 411-01b N1-57-02-02, Item 411-01b
<b>412</b>	<b>Educational and Student Program Files</b>	
412-01	Academic and Outreach Programs	Item 412-01c N1-57-02-02, Item 412-01c (Combined 412-01a, 412-01b, 412-01c, 412-01d, 412-01e, and 412-01f)
412-02	Apprenticeship Program Files	
412-02a	Files of Employees who Successfully Complete Program	Item 412-02a N1-57-02-02, Item 412-02a
412-02b	Files of Employees who Terminate or are Terminated from the Program Prior to Completion	Item 412-02b N1-57-02-02, Item 412-02b
412-03	Tuition Reimbursement Records	Item 410-03 N1-57-02-02, Item 410-03
412-04	Student Recruitment System (SRS)	New Item

412-05	Student Placement Assistance (SPA) System	
412-05a	Inputs	Item 412-05a N1-57-02-02, Item 412-05a
412-05b	Master File	Item 412-05b N1-57-02-02, Item 412-05b
412-05c	Outputs	Item 412-05c N1-57-02-02, Item 412-05c
412-05d	System Documentation	Item 412-05d N1-57-02-02, Item 412-05d
412-05e	All Other Copies	Item 412-05e N1-57-02-02, Item 412-05e
<b>413</b>	<b>Employee Training Files</b>	
413-01	Learning Management System (LMS)	
413-01a	Inputs	New Item
413-01b	Master File	New Item
413-01c	Outputs	
413-01c(1)	Electronic Copy	New Item
413-01c(2)	Recordkeeping Copy (Paper)	New Item
413-01d	System Documentation	New Item
413-01e	All Other Copies	New Item
413-02	Training Records	
413-02a	General files of Agency-Sponsored Training	Item 413-01a(1)* RCS/Item 406-01a(1) and GRS 1 Item 29a(1) and 29a(2) (Combined 413-01a(1) and 413-01a(2))
413-02b	Employee Training Other than USGS	Item 413-01b* RCS/Item 406-01b and GRS 1, Item 29b
413-03	USGS Programs Designed to Help USGS Employees	Item 413-02a N1-57-02-02, Item 413-02a (Combined 413-02a, 413-02b, 413-03a, and 413-03b)

413-04	Training Support Databases	
413-04a	When the Electronic Record Replaces Hard Copy Records that Support Administrative Housekeeping Functions	GRS 20, Item 3b(1)
<b>414</b>	<b>Employee Health Files</b>	
414-01	Individual Non-Occupational Health Record Files	Item 414-01 RCS/Item 407-01 and GRS 1, Item 19
414-02	Health Unit Control Files	
414-02a	If Information is summarized on Statistical Report	Item 414-02a RCS/Item 407-02a and GRS 1, Item 20a
414-02b	If Information is not Summarized	Item 414-02b RCS/Item 407-02b and GRS 1, Item 20b
414-03	Employee Medical Folders (EMF)	
414-03a	Long-Term Medical Records	
414-03a(1)	Transferred Employees	Item 414-03a(1) RCS/Item 407-03a(1) and GRS 1, Item 21a(1)
414-03a(2)	Separated Employees	Item 414-03a(2) RCS/Item 407-03a(2) and GRS 1, Item 21a(2)
414-03b	Temporary or Short-Term Records	Item 414-03b RCS/Item 407-03b and GRS 1, Item 21b
414-03c	Individual Employee Health Case Files	Item 414-03c RCS/Item 407-03c and GRS 1, Item 21c
414-04	Employee Health Statistical Summaries	Item 414-05 RCS/Item 407-04 and GRS 1, Item 22
414-04a	Smoking Issues and Policies	Item 414-04b N1-57-02-02, Item 414-04b
414-05	Personal Injury Files	Item 414-06 RCS/Item 407-05 and GRS 1, Item 31 (Changed disposition)
414-06	Occupational Injury and Illness	Item 414-07 RCS/Item 407-06 and GRS 1, Item 34

<b>415</b>	<b>Labor Relations Files</b>	
415-01	Labor Management Relations	
415-01a	General Correspondence	Item 415-01a RCS/Item 408-01a and N1-57-87-2, Item 408-01a and GRS 1, Item 28b
415-01b	Office Negotiating Agreement	Item 415-01b RCS/Item 408-01b and N1-57-87-2, Item 408-01b and GRS 1, Item 28a(1) (Combined 415-01b and 415-01c)
415-01c	Negotiated Grievance Files	Item 415-01d N1-57-02-02, Item 415-01d
415-01d	Labor Management Relations	
415-01d(1)	Bargaining Unit Status Reports	Item 415-01f(1) N1-57-87-2, Item 408-01d(1)
415-01d(2)	Labor Agreement Information Retrieval System and Official Time Reports	Item 415-01f(2) N1-57-87-2, Item 408-01d(2) (Changed disposition)
415-02	Certification/Decertification Files	Item 415-03 N1-57-02-02, Item 415-03
<b>416</b>	<b>EEO Files</b>	
416-01	EEO Official Discrimination Records	
416-01a	Official Discrimination Complaint Case Files	Item 416-01a RCS/Item 409-01a and GRS 1, Item 25a
416-01b	Copies of EEO Compliant Case Files	Item 416-01b RCS/Item 409-01b and GRS 1, Item 25b
416-01c	EEO Preliminary and Background Records	
416-01c(1)	Background Records not Filed in the Official Discrimination Complaint Cases	Item 416-01c(1) RCS/Item 409-01c(1) and GRS 1, Item 25c(1)
416-01c(2)	Records Documenting Complaints that do not Develop into Official Discrimination Complaint Cases	Item 416-01c(2) RCS/Item 409-01c(2) and GRS 1, Item 25c(2)
416-01d	Discrimination Complaint Status Reports	Item 416-01d N1-57-02-02, Item 416-01d

416-02	EEO Compliance Records	
416-02a	EEO Compliance Review Files	Item 416-02a RCS/Item 409-01d(1) and GRS 1, Item 25d(1)
416-02b	EEO Compliance Reports	Item 416-02b RCS/Item 409-01d(2) and GRS 1, Item 25d(2)
416-03	EEO Employment Statistics File	Item 416-03 RCS/Item 409-01f and GRS 1, Item 25f
416-04	EEO Affirmative Action Plans (AAPs)	
416-04a	Agency Copy	Item 416-04a RCS/Item 409-01h(1) and GRS 1, Item 25h(1)
416-04b	Agency Feeder Plans	Item 416-04b RCS/Item 409-01h(2) and GRS 1, Item 25h(2)
416-04c	Record Copies of Reports of On-Site Reviews of AAPs	Item 416-04c RCS/Item 409-01h(3) and GRS 1, Item 25h(3)
416-04d	Agency Copy of Annual Reports of Affirmative Action Accomplishments	Item 416-04d RCS/Item 409-01h(4) and GRS 1, Item 25h(4)
416-05	Special Emphasis Programs and Project Records	Item 416-05 N1-57-02-02, Item 416-05
416-06	EEO General Files	Item 416-06 RCS/Item 409-01g and GRS 1, Item 25g
<b>417</b>	<b>Payroll and Time and Attendance Files</b>	
417-01	Individual Employee Pay Records	
417-01a	Pay Record for Each Employee as Maintained in an Electronic Database	Item 417-01a RCS/Item 704-01a and GRS 2, Item 1a
417-01b	Individual Pay Record	Item 417-01b RCS/Item 704-01b and GRS 2, Item 1b
417-02	Non-Current Payroll Files	Item 417-02 RCS/Item 704-02 and GRS 2, Item 2
417-03	Time and Attendance – Leave	



## Application Files

417-03a	If Employee Initials Time Card or Equivalent	Item 417-03a RCS/Item 704-03a and GRS 2, Item 6a
417-03b	If Employee has not Initialed Time Card or Equivalent	Item 417-03b RCS/Item 704-03b and GRS 2, Item 6b
417-04	Time and Attendance Source Records	Item 417-04 RCS/Item 704-04 and GRS 2, Item 7
417-05	Time and Attendance Input Records	Item 417-05 RCS/Item 704-05 and GRS 2, Item 8
417-06	Flexitime Attendance	Item 417-06 N1-57-02-02, Item 417-06 and GRS 2, Item 7
417-07	Leave Record Files	
417-07a	Record of Employee Leave	Item 417-07a RCS/Item 704-06a and GRS 2, Item 9a
417-07b	Creating Agency Copy, When Maintained	Item 417-07b RCS/Item 704-06b and GRS 2, Item 9b
417-08	Tax Files	
417-08a	Employee Withholding Allowance Certificate	Item 417-10a RCS/Item 704-07a and GRS 2, Item 13a
417-08b	Agency copy of Employee Wages and Tax Statements	Item 417-10b RCS/Item 704-07b and GRS 2, Item 13b
417-08c	Agency Copy of Employer Reports of Federal Tax Withheld	Item 417-10c RCS/Item 704-07c and GRS 2, Item 13c
417-09	Savings Bond Purchase Files	
417-09a	Authorization for Purchase and Request for change	Item 417-13a RCS/Item 704-09a and GRS 2, Item 14a
417-09b	Bond Registration Files	Item 417-13b RCS/Item 704-09b and GRS 2, Item 14b
417-09c	Bond Receipt and Transmittal Files	Item 417-13c RCS/Item 704-09c and GRS 2, Item 14c
417-10	Combined Federal Campaign and Other Allotment Authorizations	

417-10a	Authorization for Individual Allotment to the Combined Federal Campaign	Item 417-14a RCS/Item 704-10a and GRS 2, Item 15a
417-10b	Other Authorizations	Item 417-14b RCS/Item 704-10b and GRS 2, Item 15b
417-11	Payroll Levy and Garnishment Files	Item 417-15 RCS/Item 704-13 and GRS 2, Item 18
417-12	Payroll Administration – Payroll System Reports	
417-12a	Error Reports, Ticklers, and System Operation Reports	Item 417-16a RCS/Item 704-14a and GRS 2, Item 22a
417-12b	Reports and Data used for Agency Workload and/or Personnel Management Purposes	Item 417-16b RCS/Item 704-14b and GRS 2, Item 22b
417-12c	Reports Providing Fiscal Information on Agency Payroll	Item 417-16c RCS/Item 704-14c and GRS 2, Item 22c
417-13	Payroll Adjustment and Change Files	
417-13a	Copies Subject to GAO Audit	Item 417-17a RCS/Item 704-15a and GRS 2, Item 23a
417-13b	All Other Copies	Item 417-17b RCS/Item 704-15b and GRS 2, Item 23b
417-14	Payroll Correspondence	Item 417-18 RCS/Item 704-16 and GRS 2, Item 24

\*Changes made in GRS Transmittal #9, April 24, 2003

#### **DELETED ITEMS**

- 403-18 – Federal Employee Express - Entire section including 403-18a and 403-18b (408-05 covers these now)
- 403-19 – Thrift Savings Plan Files - Entire section including 403-19a and 403-19b (408-05 covers these now)
- 407-03e – Retirement “Call-up” Cards
- 407-05 – Personnel Counseling Records – Entire section including 407-05a and 407-05b
- 408-01 – Bright Ideas – Entire section including 408-01a and 408-01b.
- 412-04a, 412-04b, 412-04c, 412-04c(1), 412-04d, and 412-04e – Breakout of Student Recruitment System
- 413-05 – Training Management System – Entire section including 413-05a, 413-05b, 413-05c, 413-05c(1), 413-05c(2), 413-05d, and 413-05e. Replaced by the Learning Management System.
- 413-06 – International Visitor and Training Files.
- 414-04b – Smoking Issues and Policies.
- 415-01e – Adverse Action Files.
- 415-02 – Seniority Rosters – Entire section including 415-02a and 415-02b.

- 418 – Electronic Mail and Word Processing System Copies – Entire section including 418-01, 418-01a, and 418-01b.