

Regional Centers

<u>Area Served</u>	<u>Mailing and Shipping Address</u>
<b>Region</b>	
1NC Maine, Vermont, New Hampshire Massachusetts, Connecticut, and Rhode Island	Federal Records Center 380 Trapelo Road Waltham, Massachusetts 02154 FTS: 8-839-7742 (local: (617) 647-8104)
2NC New York, New Jersey, Puerto Rico, Virgin Islands and the Panama Canal Zone	Federal Records Center Building 22, Military Ocean Terminal Bayonne, New Jersey 07002 FTS: 8-339-7161 (local: (201) 823-7161)
3NC Delaware, Pennsylvania, and U. S. Court records for Maryland, Virginia and West Virginia	Federal Records Center 5000 Wissachickon Avenue Philadelphia, Pennsylvania 19144 FTS: 80486-5588 (local: (215) 951-5588)
4NC Kentucky, North Carolina, South Carolina, Tennessee, Mississippi, Alabama, Georgia, and Florida	Federal Records Center 1557 St. Joseph Avenue East Point, Georgia 30344 FTS: 8-246-7476 (local: (404) 763-7476)
SNC-C Illinois, Wisconsin, Minnesota and U. S. Court records for Indiana, Michigan, and Ohio	Federal Records Center 7358 South Pulaski Road Chicago, Illinois 60629 FTS: 8-353-0164 (local: (312) 353-0164)
SNC-D Indiana, Michigan, and Ohio (except U. S. Court records)	Federal Records Center 3150 Springboro Road Dayton, Ohio 45439 FTS: 8-774-2878 (local: (513) 225-2878)

Regional Centers

<u>Area Served</u>	<u>Mailing and Shipping Address</u>
<b>Region</b>	
6NC Kansas, Nebraska, Iowa and Missouri except greater St. Louis area (Missouri only - National Personnel Records Center, Civilian Records)	Federal Records Center 2312 East Bannister Road Kansas City, Missouri 64131 FTS: 8-926-7271 (local: (816) 926-7271)
7NC Texas, Oklahoma, Arkansas, Louisiana, and New Mexico	Federal Records Center P. O. Box 6216 Fort Worth, Texas 76115 FTS: 8-334-5515 (local: (817) 334-5515)
	Shipping address only (do not use for mail): 4900 Hemphill Street Building 1, Dock 1 Fort Worth, Texas
8NC North Dakota, South Dakota, Colorado, Wyoming, Utah, and Montana	Federal Records Center Bldg. 48, Denver Federal Center P. O. Box 25307 Denver, Colorado 80225 FTS: 8-776-0801 (local: (303) 236-0804)
9NC-S Nevada (except Clark County), California (except Southern California), and American Samoa	Federal Records Center 1000 Commodore Drive San Bruno, California 94066 FTS: 8-470-9015 (local: (415) 876-9015)
9NC-L Clark County Nevada, Southern California: (Counties of San Luis Obispo, Kern, San Bernadino, Santa Barbara, Ventura, Los Angeles, Riverside, Orange, Imperial, Inyo and San Diego), and Arizona	Federal Records Center 24000 Avila Road Laguna Niguel, California 92677 FTS: 8-796-4220 (local: (714) 831-4220)
10NC Washington, Oregon, Idaho, Alaska, Hawaii, and Pacific Ocean area (except Samoa)	Federal Records Center 6125 Sand Point Way Seattle, Washington 98115 FTS: 8-392-6501 (local: (206) 442-6501)

[INCH - POUND]

A-A-670B  
December 19, 1991  
SUPERSEDING  
A-A-670A  
December 1, 1982

COMMERCIAL ITEM DESCRIPTION

BOXES, CORRUGATED FIBERBOARD, RECORDS RETIRING

The General Services Administration has authorized the use of this commercial item description in preference to Federal Specification PPP-B-650B, which is canceled.

This description covers fiberboard boxes to be used for shipping and storing Federal records.

1. Salient Characteristics:

A. Styles. The boxes shall be of two styles.

- Style 1 - Regular slotted box of two sizes (see figure 1).
- Style 2 - Lock bottom box of two sizes (see figure 2)

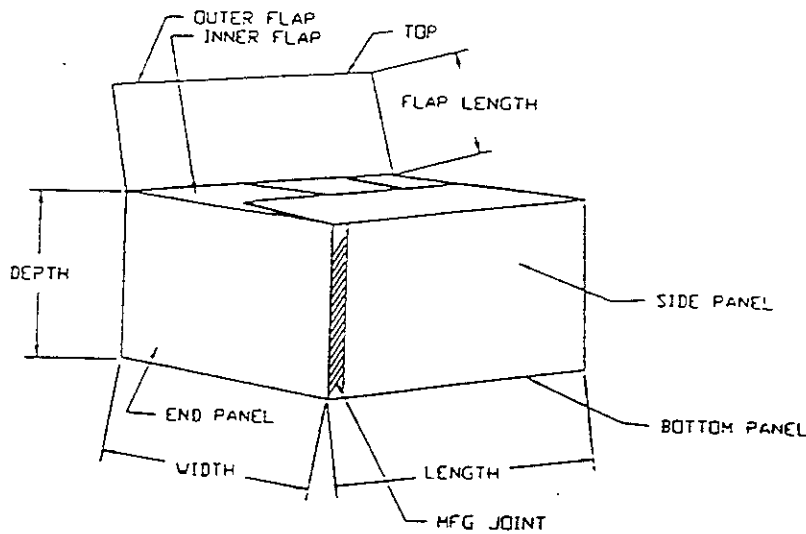


FIGURE 1

Style 1 - Regular slotted box

- Size A - 14 3/4" X 9 1/2" X 4 7/8"
- Size B - 14 3/4" X 6 1/2" X 4 1/2"

TOP LOADING  
OUTER FLAPS MEET;  
INNER & OUTER FLAPS  
ARE OF EQUAL LENGTH

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: DISTRIBUTION STATEMENT A : Approved for :  
: public release; distribution is unlimited. :  
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FSC 8115

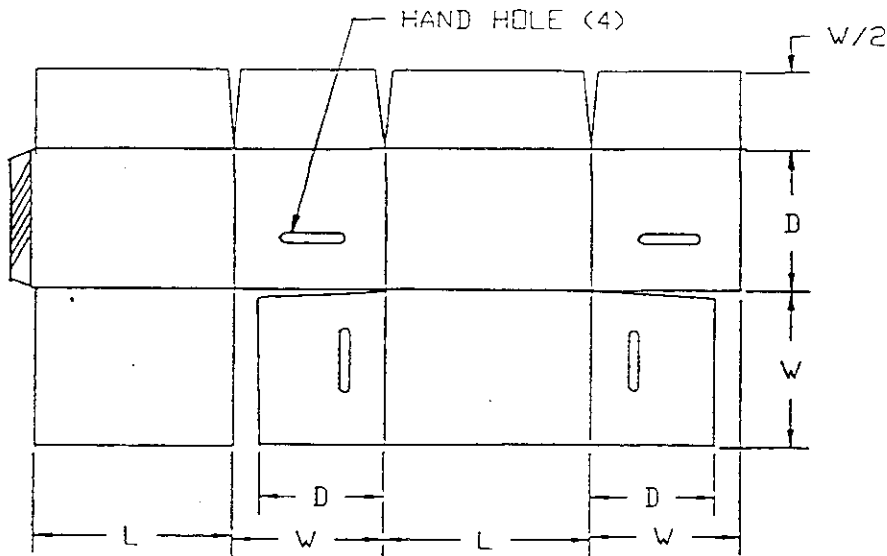


FIGURE 2

TOP LOADING, TOP OUTER FLAPS MEET  
TOP INNER & OUTER FLAPS ARE OF EQUAL LENGTH

L = Length      W = Width      D = Depth

Style 2 - Lock bottom box (See 1.G)

Size C - 14 3/4" X 12" X 9 1/2"

Size D - 14 3/4" X 11 3/4" X 11 3/4"

- B. Dimensions. Dimensions shall be inside measurements given in the sequence of length, width, and depth, with a tolerance of plus or minus 1/8 inch.
- C. Fabrication. Fiberboard used in the fabrication of the boxes shall be in accordance with ASTM D5118 and ASTM D4727, domestic class, single wall, B-flute with a minimum dry bursting strength of 200 p.s.i. for style 1, and 275 p.s.i. for style 2.
- D. Box body. Style 1 shall be constructed from one piece of fiberboard scored to form the box. Direction of the flutes shall be parallel to the manufacturer's joint. Style 2 shall be constructed of one piece of fiberboard as indicated in figure 2.

- E. Joints. The manufacturer's joint for both Style 1 and Style 2 shall be fastened with metal staples or stitches spaced not more than 1 1/2 inches apart. Each box shall bear the box-maker's certification on the bottom panel of the box.
- F. Workmanship. The box shall be free from any defect that may affect its appearance, performance, use or cause injury to the end user.
- G. Additional requirements: Applies only to Style 2, Size C and size D.
- I. The following instructions shall be printed in bold lettering, at least 1/4 inch high on both side panels. (See Figure 4)

## INSTRUCTIONS

1. DO NOT OBSCURE BOX NUMBER OR ACCESSION NUMBER WITH TAPE.
  2. USE BLACK FELT TIP MARKER.
  3. MAKE NUMBERS 1 1/2 INCHES HIGH.
  4. PACK BOXES WITH RECORDS ONLY.
  5. RECORDS MUST BE IN ORDER BY NAME, NUMBER, OR DATE FACING THE LABELED END OF BOX.
- II. On the end panel with the stitched joint, above the hand hole, the following shall be printed in bold letters at least 1/2 inch high.
- DO NOT WRITE ON THIS END
- III. In both end panels; there shall be hand holes through both thicknesses that are oval in shape, 1 inch high and 3 inches in length. The bottom of the hand holes shall be 4 inches +/- 1/4 inch above the bottom of the box.
- IV. Three blocks shall be printed on the end panel (without the stitched joint) at the corners as shown in Figure 3, also see Figure 4.
- V. Entire exterior of box shall have a bleached white appearance.

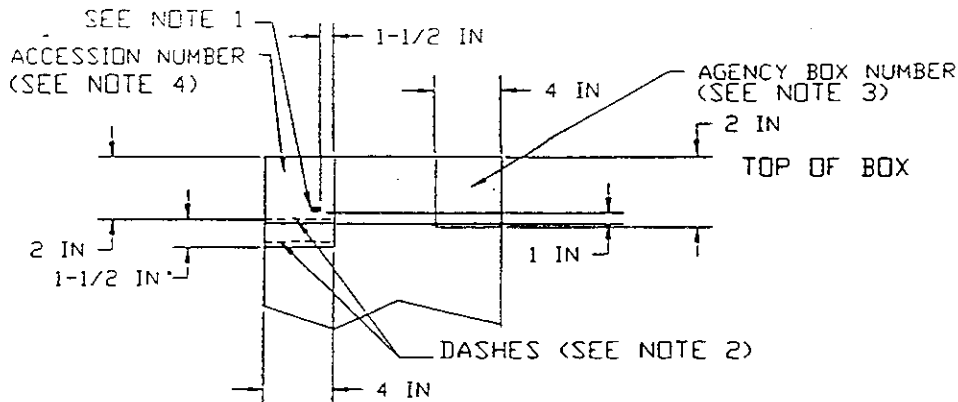


FIGURE 3

NOTE 1: Black square is 1/4" X 1/4"

NOTE 2: Dashes are 1/8" above solid line & 1/2" in length, uniformly spaced.

NOTE 3: The following two lines shall be printed in bold lettering at least 1/4" high. Top of lettering for upper line shall be 1/2" +/- 1/8" from top of box.

AGENCY BOX NUMBER

# OF

NOTE 4: The following line shall be printed in bold lettering at least 1/4 inch high. Top of lettering shall be 1/2" +/- 1/8" from top of box.

ACCESSION NUMBER

2. Recovered Materials:

The contractor must certify that the product offered shall include a minimum of 40 % post-consumer recovered material as defined in 40 CFR, Part 250. The Government reserves the right to require proof of such conformance prior to first delivery and thereafter as may be otherwise provided for under the provisions of the contract.

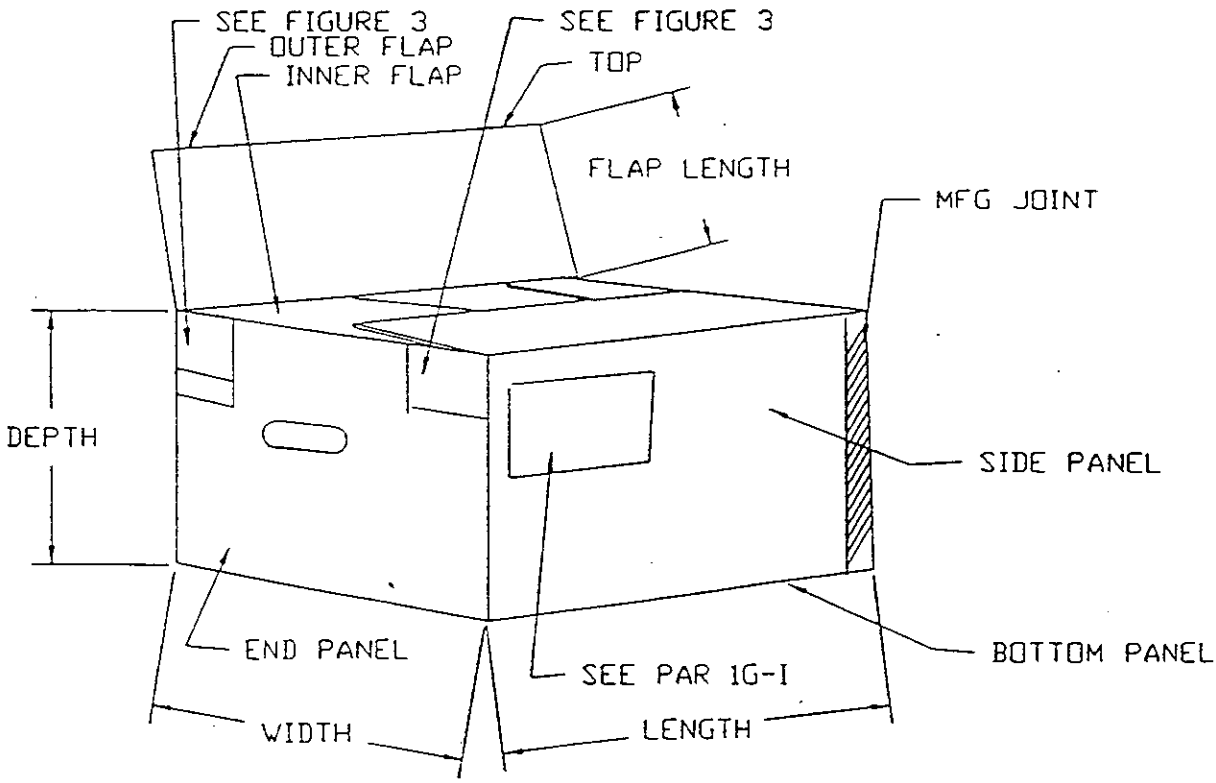


FIGURE 4

3. Quality Assurance:

Responsibility for Inspection - Unless otherwise specified in the contract or purchase order, the supplier is responsible for the performance of all inspection requirements as specified herein. Except as otherwise specified, the supplier may utilize his own facilities or any commercial laboratory acceptable to the Government. The Government reserves the right to perform any of the inspections set forth herein, where such inspections are deemed necessary to assure that supplies and services conform to the prescribed requirements.

Each lot of boxes shall be inspected for conformance to the requirements herein. Inspection shall be in accordance with MIL-STD-105 using the sampling plans specified below.

A. Visual characteristics - Inspection level S-4 with an Acceptable Quality level (AQL) of 4.0 percent defective. The sample unit shall be a single box.

B. Dimensional characteristics - Inspection level S-2 with an Acceptable Quality level (AQL) of 4.0 percent defective. The sample unit shall be one box.

C. Sampling for end item testing - Inspection level S-2 with an AQL of 4.0 percent defective. The sample unit shall be one box.

D. Preservation, Packaging, Packing, Labeling and Marking - Inspection level S-2 with an AQL of 4.0 percent defective. The sample unit shall be one fully prepared shipping container.

4. Application for copies of technical documents referenced herein:

The issue date in effect on date of invitation for bids or request for proposal shall apply.

A. MIL-STD-105 is available from Standardization Documents Order Desk; Building 4D; 700 Robbins Avenue; Philadelphia, PA 19111 - 5094.

B. ASTM D5118 and ASTM D4727 are available from the American Society for Testing and Materials, 1916 Race Street, Philadelphia, Pa 19103.

C. Code of Federal Regulations, Title 40, Part 250 is available through the Superintendent of documents, U.S. Government Printing Office, Washington, DC 20402.



5. Preparation for Delivery:

Preservation, Packaging, Packing, Labeling and Marking shall be as specified in the contract or purchase order.

6. Ordering Data:

Purchasers should select the preferred options permitted herein, and include the following information in procurement documents:

- A. Title, number and date of this commercial item description.
- B. Size of box.

7. Item Identifiers/Reference Part Number System (For Cataloging use only)

Part Reference Numbers:

AA670 - C :This example describes a  
| LOCK BOTTOM BOX, 14 3/4" X 12" X 9 1/2"

|---Size: A - 14 3/4" X 9 1/2" X 4 7/8", REGULAR SLOTTED

B - 14 3/4" X 6 1/2" X 4 1/2", REGULAR SLOTTED

C - 14 3/4" X 12" X 9 1/2", LOCK BOTTOM

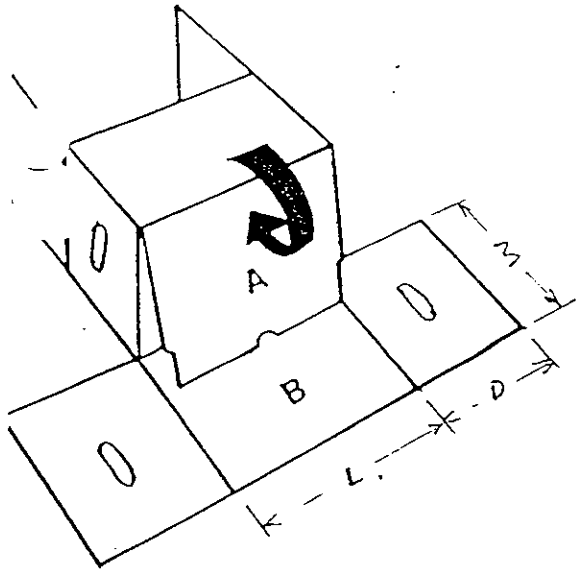
D - 14 3/4" X 11 3/4" X 11 3/4", LOCK BOTTOM

Civil Agency Coordinating Activity:  
National Archives and Records  
Administration

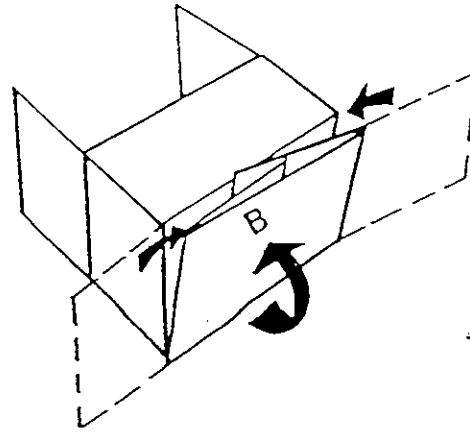
No official DOD interest  
has been registered

Preparing Activity:  
GSA-FSS

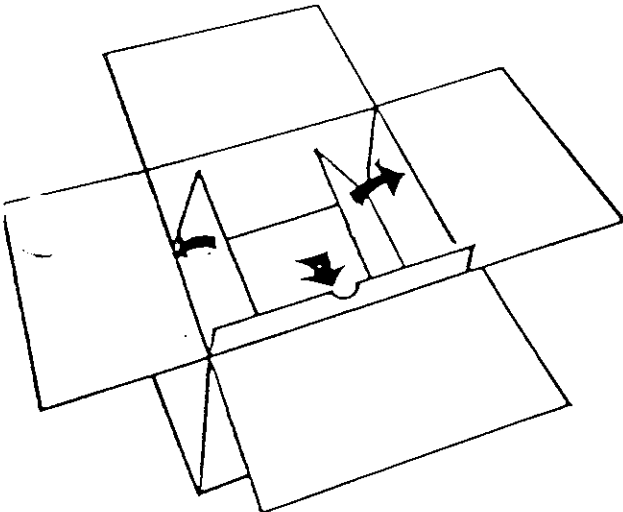
# ASSEMBLY INSTRUCTIONS



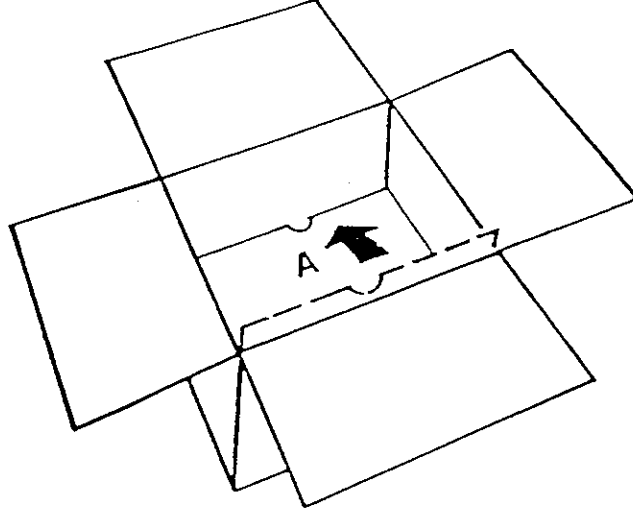
STEP 1. SQUARE UP BOX ON ITS SIDE AND FOLD FLAP A INSIDE.



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

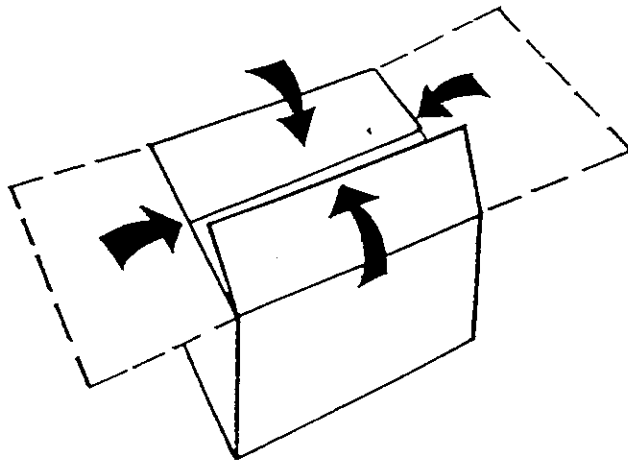


STEP 3. LIFT FLAP A TO VERTICAL POSITION AND THEN LIFT AND FOLD EXTENSIONS OF FLAP B UP AGAINST END WALLS OF BOX.



STEP 4. LOWER FLAP A TO BOTTOM OF BOX.

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



- c. Do not pack the files so tightly in the box that referencing the records is made difficult.
  - d. Pack letter-sized folders the 12-inch way facing the front of the carton. Pack legal-sized folders the 15-inch way facing the left of the carton. The unstitched 12-inch side of the carton is considered the front.
  - e. If the cartons are to be shipped to a center by freight, express, or parcel post, reinforce them either by placing a cardboard liner inside the carton or by taping the corners or edges of the closed carton.
  - f. See exhibits 5 and 6 for additional instructions on packing records.
4. Preparing Finding Aids. Detailed lists of the contents of boxes, indexes to the records and other specialized finding aids normally are retained by the agency so that documents needed for future reference can be identified clearly by requesting officials.
  5. Entering Agency Box Numbers. After the boxes are filled, number the cartons in each shipment consecutively beginning with number 1. Prominently enter in the upper right corner of the front of each box with a black felt-tip marker the number of the box and the number of boxes in the transfer (i.e., 1 of 12, 2 of 12). These are agency box numbers. They are used to show the total number of boxes in the accession.
- F. Preparing Transmittal Forms - SF-135. The retirement of records to an FRC requires the preparation of SF-135 (Rev. 7-85), Records Transmittal and Receipt, and SF-135A, Continuation Sheet (Exhibit 7). More than one series of records may be transferred on the same form. General Accounting Office (GAO) records held by OSM may be transferred on the same form but must be listed as a separate accession and clearly indicated as GAO records in the series description, column f. Recordkeepers making shipments to FRCs will prepare an original SF-135 and three copies. Complete the SF-135 following the instruction as shown on the reverse of the form.
- G. Submission Instructions for SF-135. RLO will submit the original and two copies to the RMO for review, approval, and signature. The recordkeeper for the originating office will keep one copy in suspense until the FRC returns the annotated copy.

NOTE: The SF-135 should be mailed to the FRC at least two weeks before the records are to be shipped to the FRC.

**RECORDS TRANSMITTAL AND RECEIPT** Complete and send original and two copies of this form to the appropriate Federal Records Center for approval prior to shipment of records. See specific instructions on reverse. PAGE 1 OF PAGES

1. TO (Complete the address for the records center serving your area as shown in 3B CFR 1228.150)

Federal Records Center  
**Washington National Records Center**  
 Washington, D. C. 20409

2. AGENCY TRANSFER AUTHORITY: TRANSFERRING AGENCY OFFICIAL (Signature and Title)  
 DATE: XX XX XX  
 Records Officer (Original Signature)

3. AGENCY CONTACT: TRANSFERRING AGENCY LIAISON OFFICIAL (Name, office and telephone No.)  
 Recordkeeper or Liaison Officer (Name and Title)  
 FTS: XXX-XXXX COM: XXX-XXX-XXXX

4. RECORDS CENTER RECEIPT: RECORDS RECEIVED BY (Signature and Title)  
 DATE:

**Office of Surface Mining Reclamation and Enforcement**  
 1951 Constitution Avenue, N.W.  
 Washington, D. C. 20240

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

**RECORDS DATA**

ACCESSION NUMBER	VOLUME (See 4)	AGENCY BOX NUMBERS	SERIES DESCRIPTION (With Inclusive dates of records)	U.S. GOVERNMENT (1)	DISPOSAL AUTHORITY (1a) (1b) (1c) (1d) (1e)	DISPOSAL DATE (1)	LOCATION (1)	COMPLETED BY RECORDS CENTER						
								NO.	DATE	INITIALS	DATE	INITIALS		
433 88 100	2	1 - 2	General (Subject) Correspondence File Program Correspondence Files - FY79 Box #1 AML - REG Box #2 REG - TSR	R	OSHRE 100-01a Permanent (15 years) NCL-433-80-1	P/95 Offer to NARA								
433 88 101	1	1	General (Subject) Correspondence File Administrative Correspondence Files FY-79 ADS - TRV.	R	OSHRE 100-01b (15 Years) NCL-433-80-1	12/95								

# INSTRUCTIONS FOR COMPLETION OF STANDARD FORM 135

## FOR COMPLETION BY THE TRANSFERRING AGENCY

Items 1, 2, 3 and 5 are self-explanatory. Specific instructions for item 6 are as follows:

01.

**Accession Number.** A separate accession number is required for each series of records listed on the form. A series consists of records having the same disposal authority and disposal date that are transferred together to the records center. The accession number is entered in three parts, consisting of:

(a) The NARA record group number assigned to the records of the agency making the transfer;

(b) The last two digits of the current fiscal year; and

(c) A four digit sequential number obtained in advance from the records center. (Arrangements may be made with the center to have these numbers assigned by the agency records officer or other official.)

(d) **Volume.** Enter the volume in cubic feet of each series of records being transferred.

(e) **Agency Box Numbers.** Show the inclusive box numbers for each series of records being transferred. The agency shall number each carton sequentially as follows: 1 of 25, 2 of 25, 3 of 25, etc. (Each new series of records should begin with carton number 1.) To facilitate control of the records and future reference service, the agency also shall mark each container with the assigned accession number prior to shipment.

(f) **Series Description.** Describe the records in sufficient detail to allow the records center to check for proper application of the disposal schedule. Inclusive dates of the records should be indicated. Show the organizational component that created the records when it is other than that shown in item 5.

(g) **Restriction.** Enter one of the following codes to show a restriction on use of the records. Restrictions other than (or in addition to) security classifications, such as limiting access to certain agency officials, are to be specified by a statement in the Series Description column (D).

Code Restrictions

Q	Q security classification
T	Top Secret security classification
S	Secret security classification
C	Confidential security classification
R	Restricted use—witnessed disposal not required (specify in column (H))
W	Restricted use—witnessed disposal required (specify in column (H))
N	No restrictions

(H) **Disposal Authority.** For each series of records, cite the agency authority and specific item number authorizing disposal. Cite the NARA disposal job and item number if it has not been incorporated into an updated agency schedule.

(I) **Disposal Date.** Applying the disposal authority previously cited in column (H), enter the month and year in which the records may be destroyed.

## FOR COMPLETION BY THE RECORDS CENTER

Item 4 is self-explanatory. Specific instructions for item 6 are as follows:  
01.

(J) **Location.** The records center annotates the shelf location of the first carton for each series of records.

(K) **Shelving Pin.** The records center enters the appropriate code from Chap. 7-10e, IIP, Records Center Operations (NAR P 1864.1A), to reflect the shelving system.

(L) **Container Type.** The records center enters the appropriate code from Chap. 7-10h, NAR P 1864.1A, to reflect the type of container in which the records are retired.

(M) **Automatic Disposal.** The records center enters either Y (yes) to indicate automatic disposal applies or N (no) indicating that the agency wishes to receive disposal concurrence notice prior to destruction of the records. Automatic disposal is applied only when previously agreed upon by the agency.

Use Standard Form 135-A, Records Transmittal and Receipt Continuation, when additional space is required for listing records data.

H. Processing the SF-135

1. The FRC will review the SF-135 and annotate the accession number for each series in column 6(c) and in some cases the location number for the first carton in each series in column 6(j). For records being transferred to the Washington National Records Center ONLY, the RMO will assign the accession number. One copy of the completed SF-135 is returned to the agency indicating the Center's approval to ship the material.
2. The RMO will forward the completed SF-135 to the recordkeeper for use in preparing the boxes for shipment.

I. Entering FRC Box Numbers and Accession Number. Prior to shipment, the recordkeeper will use a black felt-tip marker to place the assigned accession number on the SF-135 in the upper left corner of the front of each box.

J. Shipping the Records. The most economical means available should be used to ship files to an FRC. Records may be transferred by United Parcel Service or by regular United States mail for small shipments (less than 24 boxes) or by commercial motor or rail freight for larger shipments with costs to be paid by OSM. To obtain the lowest freight rate for records shipments, enter the following description on bills of lading or other shipping documents:

Records, Office, Old

(The agreed or declared value of this property is hereby stated by the shipper not to exceed 3.5 cents per pound.)

K. Signed SF-135. Upon receipt of the records shipment, the FRC will complete Item 4 of the SF-135 and return one copy to the originating office.

L. Referrals to Stored Records. Even though records are physically stored in FRCs, they are readily accessible to the offices that retired them. The requester may ask for the loan or return of the records themselves or, in the case of a real emergency, for information from the records. Optional Form 11, Reference Request - Federal Records Center (Exhibit ), is available for use in requesting reference service. Use a separate OF-11 for each folder or box requested. Persons requesting reference service should specify:

1. The name and location of the person for whom the request is being made.

2. The accession number of the transfer in which the records were included, as shown on the originating office copies of the SF-135, Records Transmittal and Receipt.
3. The agency container number and FRC location number should be furnished and will be found on the originating office copies of the SF-135.

M. Disposal of Records by FRCs

1. Records stored at FRCs will be destroyed in accordance with the disposition control schedule contained in this manual. The agency will be notified by the FRC 90 days prior to scheduled destruction. If there is no objection from the agency during that period, the records will be destroyed as scheduled.
2. If unusual circumstances require that certain records be retained longer than their scheduled retention, justification for continued retention must be submitted in writing by the RMO and must indicate the specific need (audit, legal, or other pertinent issues) and the estimated duration of continued retention of the records.

**REFERENCE REQUEST—FEDERAL RECORDS CENTERS**

**NOTE: Use a separate form for each request.**

**SECTION I—TO BE COMPLETED BY REQUESTING AGENCY**

RECORD GROUP NO.	ACCESSION NO.	AGENCY BOX NUMBER	RECORDS CENTER LOCATION NUMBER
		OF	

DESCRIPTION OF RECORD(S) OR INFORMATION REQUESTED (Include file number and title.)

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REMARKS

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**NATURE OF SERVICE**

FURNISH COPY OF RECORD(S) ONLY    
  PERMANENT WITHDRAWAL    
  TEMPORARY LOAN OF RECORD(S)    
  REVIEW    
  OTHER (Specify)

NAME OF REQUESTER     TELEPHONE NO.      FTS     DATE

**RECEIPT OF RECORDS**

NAME AND ADDRESS OF AGENCY

Requester please sign, date and return this form, for file item(s) listed above, ONLY if the block to right has been checked by the Records Center.

SIGNATURE     DATE

*(In Washington, D.C. area also include STOP number)*



**SECTION II—FOR USE BY RECORDS CENTER**

- RECORDS NOT IN CENTER CUSTODY      RECORDS DESTROYED
- WRONG BOX NUMBER—PLEASE RECHECK
- ADDITIONAL INFORMATION REQUIRED TO IDENTIFY RECORDS REQUESTED
- MISSING (Neither record(s), information nor charge card found in container(s) specified)
- RECORDS PREVIOUSLY CHARGED OUT TO (Name, agency and date):

REMARKS

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DATE	SERVICE	TIME REQUIRED	SEARCHER'S INITIALS

**SECTION III—TO BE COMPLETED BY REQUESTING AGENCY**

General Services Administration  
Federal Records Center NARS

TO \_\_\_\_\_

\_\_\_\_\_ (City) \_\_\_\_\_ (State) \_\_\_\_\_ (Zip Code)

**NOTE: In Washington, D.C. area send to STOP 386**



APPENDIX I

ALPHABETICAL INDEX

TO

RECORDS DISPOSITION SCHEDULE

## ALPHABETICAL INDEX TO RECORDS DISPOSITION SCHEDULE

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APPENDIX II

RECORDS DISPOSITION CONTROL SCHEDULE



## LIST OF RECORDS DISPOSITION SERIES

100 SERIES - SUBJECT CORRESPONDENCE FILES

100-01 OSM Official Central (Subject) Correspondence Files  
 100-02 Division/Branch Correspondence (Subject) Files  
 100-03 Director's File Relating to Legislation

200 SERIES - PROGRAM CASE FILES

## Abandoned Mine Lands

200-01 State and Tribal Reclamation Plan Files  
 200-02 National Abandoned Mine Lands Inventory  
 200-03 AML Operations Manual  
 200-04 Realty Files  
 200-05 Real Estate Collateral Bonding Files

## Inspection and Enforcement

201-01 Assessment Case Files  
 201-02 Abstract of Remittance Book  
 201-03 Ten-Day Notice  
 201-04 Notice of Violation (NOV) Files  
 201-05 Notice of Violation Journal  
 201-06 Cessation Order (CO) Files  
 201-07 Cessation Order Journal  
 201-08 Citizen Complaint Case Files  
 201-09 Citizen Complaint Journal  
 201-10 Reserved  
 201-11 Mining and Reclamation Plans (PERMIT) Files  
 201-12 Mine Inspection Evaluation Report (MEIR) Files  
 201-13 Blaster Certification Files  
 201-14 Federal Enforcement Files  
 201-15 Mine Inspection Report

## State, Federal and Indian Programs

202-01 State Regulatory Program Files  
 202-02 State Program Evaluation Review Files  
 202-03 Federal Regulatory Program Files  
 202-04 Indian Special Studies Files

## Technical Services and Research

203-01 Title V Research Program Files  
 203-02 Technical Assistance to Indian Tribe Files  
 203-03 Coal Mining Unsuitability Petition Files  
 203-04 Laboratories Case Files  
 203-05 Experimental Practices Review Case Files  
 203-06 Regulatory Analysis (RA) Case Files  
 203-07 Reserved

203-08 OSM Environmental Impact Statement (EIS) Files  
 203-09 Technical Environmental Assistance (TEA) Files  
 203-10 Other Agency EIS Review Files  
 203-11 Historic Preservation Files  
 203-12 Determination of Valid Existing Rights Files  
 203-13 Technical Reference Library Files  
 203-14 Indian Lands Coal  
 203-15 Mine Plan Review

#### Fee Compliance

204-01 OSM-1 Files  
 204-02 Deletions (Abandonments) Files  
 204-03 Computer Printout Files

### 300 SERIES - ADMINISTRATIVE CASE FILES

#### Equal Employment Opportunity

300-01 Official Discrimination Complaint Files  
 300-02 Employment Statistical Files  
 300-03 EEO Affirmative Action Plans (AAP)

#### Personnel

301-01 Official Personnel Folders (OPF)  
 301-02 Employee Record Card Files  
 301-03 Position Classification Files  
 301-04 Employee Awards Files  
 301-05 Incentive Awards Program Report Files  
 301-06 Personnel Operations Statistical Report Files  
 301-07 Duplicate Personnel Files  
 301-08 Individual Health Files  
 301-09 Health Unit Control Files  
 301-10 Performance Rating Files  
 301-11 Personnel Counseling Files  
 301-12 Labor Management Relations Files  
 301-13 Training Files  
 301-14 Grievance, Disciplinary, and Adverse Action Files  
 301-15 Personal Injury Files  
 301-16 Employee Locator Files  
 301-17 Staffing Case Files  
 301-18 Statements of Employment and Financial Interest Files  
 301-19 State Conflict of Interest Case Files  
 301-20 Federal Conflict of Interest Files  
 301-21 OSM Reports relating to Federal Conflict of Interest Files  
 301-22 Listings of Position Titles Files  
 301-23 Public Disclosure Forms Files  
 301-24 Leave Application Files  
 301-25 Time and Attendance Report Files  
 301-26 Payroll Files  
 301-27 Payroll Control Files  
 301-28 Payroll Change Files

301-29 Fiscal Schedule Files  
301-30 Administrative Payroll Report Files  
301-31 Tax Files  
301-32 Retirement Files  
301-33 Credential Files  
301-34 Insurance Deduction Files  
301-35 Levy and Garnishment Files

#### Budget and Finance

302-01 Budget Estimates and Justifications Files  
302-02 DOI Budget Estimates and Justifications Files  
302-03 Budget Reports Files  
302-04 Budget Apportionment Files  
302-05 Budget Authorization Ceiling Files  
302-06 General Accounting Ledger Files  
302-07 Appropriation Allotment Files  
302-08 Expenditure Accounting Posting and Control Files  
302-09 Report on Obligation Files  
302-10 Imprest Fund Files  
302-11 Travel and Reimbursement Files

#### Grants

303-01 Grant Case Files  
303-02 Grant Audit Case Files

#### Information Services

304-01 Freedom of Information Act (FOIA) Request Files  
304-02 FOIA Appeals Files  
304-03 FOIA Reports Files  
304-04 Privacy Act Request Files  
304-05 Privacy Act Amendment Case Files  
304-06 Privacy Act Accounting of Disclosure Files  
304-07 Privacy Act Reports Files

#### Public Affairs

305-01 Speeches of the Director, Deputy Director, Assistant Directors and  
Field Office Directors  
305-02 Other Speeches  
305-03 OSM Newsletter  
305-04 Biographical Files  
305-05 Press Clipping Files  
305-06 OSM Annual Report  
305-07 Audiovisual Records

#### Automated Data Processing

306-01 Withdrawn - Reserved for Future Use  
306-02 Withdrawn - Reserved for Future Use  
306-03 Withdrawn - Reserved for Future Use

## Administrative Services

307-01 Intergovernmental Cooperative Agreement Files  
307-02 General Procurement Files  
307-03 Supply Management Files  
307-04 Bid Files  
307-05 Contractor's Payroll Files  
307-06 Public Printer Files  
307-07 Tax Exemption Files  
307-08 Accountable Officers Files  
307-09 GAO Exceptions Files  
307-10 Certificates Settlement Files  
307-11 General Fund Files  
307-12 Freight Files  
307-13 Lost or Damaged Shipment Files  
307-14 Motor Vehicle Operating and Maintenance Files  
307-15 Motor Vehicle Cost Files  
307-16 Motor Vehicle Report Files  
307-17 Motor Vehicle Accident Files  
307-18 Motor Vehicle Release Files  
307-19 Gasoline Sales Tickets  
307-20 Agency Space Files  
307-21 Building and Equipment Service Files  
307-22 Telecommunications Service Agreement and Reference Voucher Files  
307-23 Telephone Records  
307-24 Telephone Summaries  
307-25 Postal Records  
307-26 Mail and Delivery Services Control Files  
307-27 Secure Access Files  
307-28 Investigative Files  
307-29 Personnel Security Clearance Files  
307-30 Personnel Security Clearance Status Files  
307-31 Property Pass Files  
307-32 Personal Property Accountability Files  
307-33 Excess Personal Property Report Files  
307-34 Surplus Property Files  
307-35 Inventory Requisition Files  
307-36 Property/Inventory Files  
307-37 Key Accountability Files  
307-38 Visitor Control Records  
307-39 Records Disposition Files  
307-40 Forms Files  
307-41 Records Holding Files  
307-42 Reports Control Files  
307-43 Directives Record Set  
307-44 Directives Supporting Case Files  
307-45 Working Papers and Background Material Related to Directive Case Files

Organization, Planning and Management


- 308-01 OSM Management Plan Files
- 308-02 Program Evaluations and Studies Files
- 308-03 Delegations/Re Delegations of Authority Files
- 308-04 Employee Designations Files
- 308-05 Memorandum of Understanding Agreement Files

400 SERIES - ADMINISTRATIVE RECORD

- 400-01 The Administrative Record

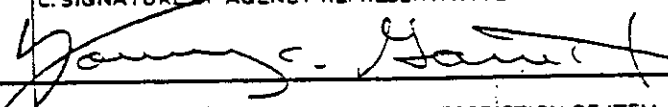
500 SERIES - MATERIAL COMMON TO MOST OFFICES

- 500-01 Reading or Chronological Files
- 500-02 Suspense Files
- 500-03 Transitory Files
- 500-04 Routine Control Files
- 500-05 Reference Copies of Agency Directives and Publications
- 500-06 Publications of Other Government Agencies
- 500-07 Non-Government Publications
- 500-08 Library Material
- 500-09 Technical Reference Material
- 500-10 Reference Files
- 500-11 Administrative Training Aids
- 500-12 Technical Training Aids
- 500-13 File Maintenance and Disposition Plans

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b> (See Instructions on reverse)		LEAVE BLANK	
TO: GENERAL SERVICES ADMINISTRATION NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408		JOB NO.	N1-471-89-1
1. FROM (Agency or establishment) United States Department of the Interior		DATE RECEIVED	11/3/88
2. MAJOR SUBDIVISION Office of Surface Mining Reclamation and Enforcement		NOTIFICATION TO AGENCY	
3. MINOR SUBDIVISION Directorate of Budget and Administration		In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10. If no records are proposed for disposal, the signature of the Archivist is not required.	
4. NAME OF PERSON WITH WHOM TO CONFER Donald L. Hinderliter, Chief Division of Management Services	5. TELEPHONE EXT. 343-7826	DATE 1/17/90	ARCHIVIST OF THE UNITED STATES 
6. CERTIFICATE OF AGENCY REPRESENTATIVE			

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

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

B. DATE	C. SIGNATURE OF AGENCY REPRESENTATIVE	D. TITLE	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARS USE ONLY)
1/2/90		Assistant Director, Budget & Administration	N1-433-80-1	
7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)			
	<p>The Office of Surface Mining Reclamation and Enforcement (OSM) was established in the Department of the Interior by the Surface Mining Control and Reclamation Act of 1977 (P. L. 95-87). The purpose of OSM is to create a nationwide program that protects the environment from the adverse effects of coal mining operations while ensuring an adequate supply of coal to the nation. OSM establishes minimum national standards for regulating the surface effects of coal mining, assists the States in developing and implementing their own regulatory programs, and promotes the reclamation of previously-mined areas. Organizationally, OSM consists of a Headquarters in Washington, D. C., plus two Field Operations (Western and Eastern), thirteen field offices, and eleven area offices.</p> <p>The records disposition schedule is Appendix II to a Files Maintenance and Records Disposition Manual which contains procedures for the management and retirement of OSM records, a Subject File Classification System for OSM general correspondence files, and dispositions for all records series. Individual schedule items describe each series of records which exists. For most existing series, instructions are given for file cutoff, retirement to FRC (if needed), destruction, or permanent retention in NARA. In several instances, the record series exist but disposition has not been determined.</p>			

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

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	<p style="text-align: center;">RECORDS DISPOSITION CONTROL SCHEDULE</p> <p>The Director of the Office of Surface Mining Reclamation and Enforcement (OSM), assisted by the Deputy Director, Assistant Directors, and Field Office Directors, leads OSM in carrying out its responsibilities under the Surface Mining Control and Reclamation Act of 1977 (P.L. 95-87). The Director coordinates various offices in the performance of functions relating to Abandoned Mine Land, Inspection and Enforcement, State and Federal Programs, Technical Services, Management and Budget, and Administrative Services. The Director also has overall responsibilities for cooperation between Headquarters offices and Field Offices and for the coordination of OSM efforts with State and other Federal agencies. The Director's staff offices perform functions relating to liaison with Congress, public affairs, rules, tracking reports, management of correspondence, and equal employment opportunity.</p> <p style="text-align: center;">100 SERIES - SUBJECT CORRESPONDENCE FILES</p>		52 OF
100-01	<p><u>OSM Official Central (Subject) Correspondence Files.</u> Central correspondence files for OSM document the functions and activities for which OSM has primary responsibility. They contain incoming correspondence and the official file copy of outgoing correspondence signed by the Director, Deputy Directors, Assistant Directors, and any other OSM staff members who generate official correspondence. They include correspondence within OSM offices, the Department of the Interior, other Federal agencies, States, and the public. See page 8 of manual for location of official subject files.</p> <p>a. Program correspondence files. Correspondence relating directly to primary functions of OSM. Primary subjects include but are not limited to, Abandoned Mine Land; Regulatory Program Development; Inspection and Enforcement; State, Federal, and Indian Programs; Organization, Planning, and Management; and Technical Services and Research.</p> <p><u>PERMANENT.</u> Cut off file at close of FY. Transfer to FRC 3 years after cutoff. Offer to NARA in 5 year blocks 15 years after cutoff.</p> <p>b. Administrative correspondence files. Correspondence relating to administrative support activities. Subjects include but are not limited to: Automated Data Processing; Administrative Services; Audits and Investigations; Budget and Finance; Committees, Meetings,</p>	433-80-1 700-01 700-02	



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	<p>Briefings, and Conferences; Equal Employment Opportunity; Financial Management; Grants Management; Information Services and Program Promotion; Legislative and Legal Affairs; Personnel; Procurement and Contracting; Records Management; and Travel and Transportation.</p> <p>Cut off file at close of FY. Transfer to FRC 3 years after cutoff. Destroy 15 years after cutoff.</p>		
100-02	<p><u>Division/Branch Correspondence (Subject) Files.</u> General correspondence, reports, forms, and other records relating to OSM activities and functional areas maintained in staff offices, directorates, divisions, and branch levels, arranged according to the Subject File Classification System contained in Appendix IV of this manual.</p> <p>Cut off at end of FY. Destroy when 3 years old or when no longer needed for reference, whichever is sooner.</p>	200-01 300-01 400-01 500-01 600-01	
100-03	<p><u>Director's File Relating to Legislation.</u> Arranged by subject. Correspondence, internal memos, testimony, proposals, and similar records pertaining to Congressional hearings and Federal bills/laws affecting OSM, and OSM efforts to help States enact surface mining and reclamation legislation.</p> <p><u>PERMANENT.</u> Cut off at close of calendar year. Transfer to FRC 4 years after cutoff. Offer to NARA in 5 year blocks 16 years after cutoff.</p>	100-02	

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

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

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

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	<p style="text-align: center;">Inspection and Enforcement</p> <p>These files are established and maintained in conjunction with State and Federal inspection and enforcement of surface coal mining activity.</p>		
201-01	<p><u>Assessment Case Files.</u> Arrange alphabetically by name of coal mine company, thereunder by Cessation Order (CO) or Notice of Violation (NOV) number, vacation form number, modification form number, and termination form number. These records are accumulated in the process of assessing and collecting civil penalties levied by OSM as a result of issuance of CO's and NOV's during a Federal inspection of a mine (30 CFR 723). Records include citation; inspector's statement; inspector's report; assessor's explanation of assessment; assessment worksheet; Notice of Proposed Assessment; assessment cover letter; assessment assignments; application for review docketing; correspondence and other materials received from the coal mining company; affidavits; conference information; supporting documentation; docketing for civil penalty; copy of abstract, check and escrow payment; hearing review; collection letters (if any); certified mail receipts and collection receipts; all fee collection and coordination performed at Headquarters. Closed case contains case history card listing key events and dates in the assessment and collection process and other related material.</p> <p>Transfer to FRC upon making final review decision or upon expiration of opportunity for review. Destroy 5 years later.</p>		
201-02	<p><u>Abstract of Remittances Book.</u> Contains deposit sheets (listing company name, date of payment, amount of deposit, balance owed); escrow account information; and photocopies of checks, certified mail receipts, and other payment documents. These items are retained for office reference only; these are not records maintained by agency accounting offices.</p> <p>Destroy when no longer needed for reference.</p>		
201-03	<p><u>Ten-Day Notice.</u> Notification issued by OSM to the regulatory authority that a permittee is conducting a practice within the permit area inconsistent with approved plans or the regulatory authority has issued a permit containing omissions or other defects.</p>		

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	<p>a. Field or Area office, whichever is applicable (official file).</p> <p>If filed with permit files, inspection files, etc., destroy with related file. If filed separately, destroy 5 years after final action.</p> <p>b. All other offices (reference files). Destroy when no longer needed.</p>		
201-04	<p><u>Notice of Violation (NOV) Files.</u> Arrange as appropriate. Records include NOV; inspector's report, modification, vacation, or payment notice; copies of assessment records; and review and related correspondence.</p> <p>a. Field or area office, whichever is applicable (official file).</p> <p>Destroy 5 years after NOV is vacated or paid and terminated.</p> <p>b. All other offices (reference files).</p> <p>(1) If filed with mine permits, destroy with related permit file.</p> <p>(2) If filed separately, destroy when NOV is vacated or paid.</p>	301-07	
201-05	<p><u>Notice of Violation Journal.</u></p> <p>Destroy when no longer needed for reference.</p>	301-06	
201-06	<p><u>Cessation Order (CO) Files.</u> Arrange as appropriate. File includes CO, inspector's report, copies of assessment, records, and any related correspondence.</p> <p>a. Field or area office, whichever is applicable (official file).</p> <p>Destroy 5 years after CO is vacated or paid.</p> <p>b. All other offices (reference files).</p> <p>(1) If filed with mine permits, destroy with related permit file.</p> <p>(2) If filed separately, destroy when CO is paid or vacated.</p>	301-06	

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

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	<p>Cut off inactive file at close of FY. Transfer file to FRC 1 year after cutoff. Destroy 8 years after cutoff.</p> <p>b. <u>Federal Program Permit Files.</u> Case files include the application, complaint letters, Section 510(c) decision documents, midterm reviews, deficiency letters, renewals, revisions, and, if appropriate, Section 504(d) reviews.</p> <p><u>NOTE:</u> Under a Federal program, certain aspects of the permit are encountered that create working files that are made part of the permit file at the conclusion of the process. For example, inspection activity such as NOV's and CO's are documented in inspection case files that are merged with the permit file at the time the permit file is closed. Other activities under a Federal program that eventually contribute case file documentation to these permit files include assessments, bonding, and alternative enforcement.</p> <p>(1) Record copy only.</p> <p>Place in inactive file upon expiration of related permit, supersession of mine plan, or end of life of mine (after end of reclamation liability period), whichever is appropriate. Cut off inactive file at close of FY. Transfer file to FRC 1 year after cutoff. Destroy 8 years after cutoff.</p> <p>(2) All other copies.</p> <p>Destroy upon expiration of related permit, supersession of mine plan, or end of life of mine (after end of reclamation liability period), whichever is appropriate.</p> <p><u>NOTE:</u> If these files are to be filmed, submit SF-115 to NARA providing for new disposition for paper and disposition of film.</p> <p>c. <u>Indian Lands Permit Files.</u> Case files include copies of application, approval letter, maps, documents related to environmental concerns and reclamation requirements, attachments, and addenda.</p>		



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

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201-15	<p>Mine Inspection Report. Arrange as appropriate. This is the State surface coal mine inspection report.</p> <p>a. Record copy only.</p> <p>Cut off annually. Transfer to FRC 3 years after file break, if volume warrants. Destroy 6 years after file cutoff.</p> <p>b. All other copies.</p> <p>Destroy when 3 years old.</p>		

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

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	<p>- all public comments, complaints, or observations on the evaluation.</p> <p>Cut off at end of evaluation year. Transfer to FRC 3 years after cutoff. Destroy 5 years after cutoff.</p>		
202-03	<p><u>Federal Regulatory Program Files.</u> Program documents prepared by OSM when a State fails to submit a State program covering surface coal mining and reclamation operations, fails to re-submit an acceptable State program after the original State program is disapproved, or fails to implement, enforce, or maintain its approved State program as provided for in P.L. 95-87. File includes the Federal program document, public notice or hearing, records related to the public hearing, OSM review documents, copies of <u>Federal Register</u> notices, and other related materials.</p> <p><u>PERMANENT:</u> Cut off file upon approval of a State Regulatory Program document. Transfer to FRC 1 year after cutoff. Offer to NARA in 5 year blocks 15 years after cutoff.</p>	401-07	
202-04	<p><u>Indian Special Studies Files.</u> Section 710 of P.L. 95-87 directs OSM to prepare studies on the regulation of surface mining on Indian lands. OSM contracts with Tribes or Tribal organizations, such as the Council of Energy Resource Tribes (CERT), to perform such studies, and reviews and monitors the studies. Records include cooperative agreements, contracts, OSM review documentation, the final study report and other products of the study, and related correspondence.</p> <p>Cut off file after final decision to adapt or implement recommendations contained in the study. Transfer to FRC 5 years after closing, if volume warrants. Destroy 5 years after cutoff.</p>	402-01	

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	<p style="text-align: center;">Technical Services and Research</p> <p>These files are established and maintained in conjunction with agency research and development, technical support and training, compliance with national environmental policy, and technology transfer.</p>		
203-01	<p><u>Title IV/V Research Program Files.</u> Files may contain applications, proposals, memoranda, correspondence, and other records relating to the decision to accept or reject proposals. Files consist of proposals, project authorization documents or contracts, progress reports, the final product, and related correspondence. For example, they may include:</p> <p>a. Unsuccessful (rejected or withdrawn) applications.  Destroy 3 years after rejection or withdrawal.</p> <p>b. Accepted applications.  Destroy with related contract/grant case file.</p>		
203-02	<p><u>Technical Assistance to Indian Tribe Files</u></p> <p>File contains request for assistance from Indian Tribes including formal request, decision paper, etc.</p> <p>Cut off file at close of FY if assistance is completed. Destroy 3 years after cutoff.</p>	402-03	
203-03	<p><u>Coal Mining Unsuitability Petition Files.</u> P.L. 95-87 Title V authorizes OSM to establish a process for the public to petition to have an area on Federal lands designated unsuitable for all or certain types of surface coal mining operations. Records in this file may include the petition, OSM internal review documents, review documents by Bureau of Land Management (BLM) or other interested agencies, transcripts and other material from public hearings, maps of the area, notice of acceptance or rejection of the petition, <u>Federal Register</u> notices, statements concerning the abundance of coal resources and the impact of the designation, and the final decision on the petition.</p> <p>Cut off file at end of FY after final decision is rendered. Transfer to FRC 3 years after cutoff. Destroy 10 years after cutoff.</p>	402-04	

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

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

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



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

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