

REQUEST FOR RECORDS DISPOSITION AUTHORITY – CONTINUATION

JOB NO.

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7. ITEM NO.	8. DESCRIPTION OF ITEM <i>(With Inclusive Dates or Retention Periods)</i>	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN <i>(NARS USE ONLY)</i>
204-04	<p>Working Papers and Background Material Related to Fee Compliance Audit Case Files. Includes copies of OSM-1's, preaudit workpapers, auditor notes, Denver ML System printouts, correspondence to and from operator and coal purchasers, inspection information, and comparative data schedules.</p> <p>Destroy when no longer needed.</p>		

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

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	Personnel		
301-01	<p><u>Official Personnel Folders (OPF).</u></p> <p>a. Current employees.</p> <p>OPF's of current employees are active files maintained in a secure location by the servicing personnel office.</p> <p>b. Transferred employees.</p> <p>See Federal Personnel Manual (FPM) for instructions relating to folders of employees transferred to another agency.</p> <p>c. Separated employees.</p> <p>Transfer to National Personnel Records Center (NPRC), St. Louis, Missouri, 30 days after separation. NPRC will destroy 75 years after birth date of employee (60 years after the date of the earliest document in the folder if the date of birth cannot be ascertained) or 5 years after latest separation, whichever is later.</p>	GRS 1/1	
301-02	<p><u>Employee Record Card Files.</u> Employee record cards used for informational purposes outside the personnel offices (such as SF-7b).</p> <p>Destroy on separation or transfer of employee.</p>	GRS 1/6	
301-03	<p><u>Position Classification Files.</u></p> <p>a. Position Classification Standards Files.</p> <p>(1) Standards and guidelines issued or reviewed by the Office of Personnel Management (OPM) used to classify and evaluate positions within the agency.</p> <p>Destroy when superseded or obsolete.</p> <p>(2) Memoranda, correspondence, and other records relating to the development of standards for classification of positions peculiar to the agency and OPM approval or disapproval.</p>	GRS 1/7a (1)	

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	<p>(a) Case file.</p> <p>Destroy 5 years after position is abolished or description is superseded.</p> <p>(b) Review file.</p> <p>Destroy when 2 years old.</p>	<p>GRS 1/7a (2)(a)</p> <p>GRS 1/7a (2)(b)</p>	
	<p>b. Position Description Files. These consist of files describing established positions, including information on title, series, grade, duties, and responsibilities.</p> <p>(1) Record copy only.</p> <p>Destroy 2 years after position is abolished or description is superseded.</p> <p>(2) All other copies.</p> <p>Destroy when no longer needed for reference.</p>	<p>GRS 1/7b</p>	
	<p>c. Survey Files.</p> <p>(1) Classification Survey Reports. Survey reports on various positions prepared by classification specialists, including periodic reports.</p> <p>Destroy when 3 years old or 2 years after regular inspection, whichever is sooner.</p> <p>(2) Inspection, Audit, and Survey Files. Correspondence, memoranda, reports, and other records relating to inspections, surveys, desk audits, and evaluations.</p> <p>Destroy when obsolete or superseded.</p>	<p>GRS 1/7c (1)</p> <p>GRS 1/7c (2)</p>	
	<p>d. Appeals Files. Case files relating to position classification appeals.</p> <p>Destroy 3 years after case is closed.</p>	<p>GRS 1/7d</p>	

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

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

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

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

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

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

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301-17	<p><u>Staffing Case Files.</u></p> <p>a. Vacancy Announcement Files. Arrange by vacancy announcement number. Consists of listing of offices contacted relative to the vacancy, their comments, justifications for filling the positions, SF-171's of applicants, supervisory assessments, certificates of eligibles, certificates of best qualified applicants, panel ratings and other panel records, lists of selectees, copies of letters to unselected applicants, and other similar materials.</p> <p>Cut off file at close of FY in which announcement closes. Destroy 2 years after cutoff or upon review of files by OPM, whichever is sooner.</p> <p>b. OPM Certification of Eligibles Files. OPM certificates of eligibles with related requests, forms, correspondence, and statement of reasons for passing over a preference eligible and selecting a nonpreference eligible.</p> <p>Destroy when 2 years old.</p> <p>c. Intergovernmental Personnel Act (IPA) Agreement Files. Record copy of IPA agreement, application/resume information, and justification.</p> <p>Destroy 2 years after expiration of agreement.</p> <p>d. Examination and Certification Records. Records created under delegated agreements under the authority of 5 U.S.C. 1104 between OPM and OSN allowing for the examination and certification of eligible applicants for Surface Mining Reclamation Specialist positions.</p> <p>(1) Applications on active register.</p> <p>Destroy upon termination of the register (except applications that may be brought forward to new register if any).</p> <p>(2) Applications on inactive register.</p> <p>Destroy 1-12 months after eligibles are placed on inactive register, depending on space availability and difficulty of replacing the application for restoration.</p>	<p>GRS 1/33k (1)</p> <p>GRS 1/33k (2)</p>	

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

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	(this information is later included in the OSM Annual Report to Congress); and other similar reports. Cut off file annually. Destroy in agency 5 years after cutoff.		
301-22	<u>Listings of Position Titles Files.</u> Copies of listings of position titles sent to the <u>Federal Register.</u> Destroy when 2 years old.	603-12	
301-23	<u>Public Disclosure Forms Files.</u> Copies of public disclosure forms. Originals are sent to DOI where they are available for public perusal. Destroy when no longer needed for reference.	603-13	
301-24	<u>Leave Application Files.</u> Application for Leave, SF-71 or equivalent and supporting papers relating to requests for and approval of taking leave. a. If the timecard has been initialed by the employee. Destroy at the end of the applicable pay period. [GRS 2/8a]	GRS 2/8a	
	b. If the timecard has not been initialed by the employee. Destroy after GAO audit or when 3 years old, whichever is sooner. [GRS 2/8b]	GRS 2/8b	
301-25	<u>Time and Attendance Report Files.</u> SF-1130 or equivalent. a. Payroll preparation and processing copies. Destroy after GAO audit or when 2 years old, whichever is sooner. [GRS 2/3a]	GRS 2/3a	
	b. All other copies. Destroy 6 months after the end of the pay period. [GRS 2/3a(2)]	GRS 2/3a (2)	
	c. Flexitime Attendance Records. Supplemental time and attendance records, such as sign-in/sign-out sheets and work reports, used for time accounting under Flexitime systems.	GRS2/3b	

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

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

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	<p>Destroy when 3 years old.</p> <p>b. Assistance Files. Correspondence, memoranda, annuity estimates, and other records used to assist retiring employees or survivors in claiming insurance or retirement benefits.</p> <p>Destroy when 1 year old.</p> <p>c. Deduction Files. SF-2806 or equivalent and other records used to document retirement deductions on individual employees.</p> <p>Destroy when 3 years old.</p>	GRS 2/19b	
301-33	<p><u>Credential Files.</u></p> <p>a. Identification credentials including cards, badges, parking permits, photographs, visitor passes, and other identification credentials.</p> <p>Destroy credentials 3 months after return to issuing office.</p> <p>b. Receipts, indexes, listings, and accountable records.</p> <p>Destroy after all listed credentials are accounted for.</p>	GRS 11/4a	
301-34	<p><u>Insurance Deduction Files.</u> Reports and related papers including copies of vouchers and schedules of payments pertaining to insurance deductions.</p> <p>Destroy when 3 years old.</p>	GRS 2/20	
301-35	<p><u>Levy and Garnishment Files.</u> Official Notice of Levy or Garnishment (IRS-608A or equivalent), change slip, workpapers, correspondence, release and other forms, and other records relating to charges against retirement funds or attachment of salary for payment of back income taxes or other debts of Federal employees.</p> <p>Destroy when 3 years old.</p>	GRS 2/21	
301-36	<p><u>Uniform Authorization and Allowance File.</u></p> <p>Arrange as appropriate to office.</p> <p>Destroy 1 year after termination of authorization or employment.</p>		

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	Budget and Finance		
302-01	<p><u>Budget Estimates and Justifications Files.</u></p> <p>a. Budget Estimates and Justifications. Consists of appropriation language sheets, narrative statements, related schedules and data, estimates and justifications, budget digests, budget briefing books, budget allowances and appeals and other similar materials, records of Congressional hearings, budget reports to Congress, and responses to questions from Congress.</p> <p>Cut off file at close of FY. Transfer to FRC 3 years after cutoff. Offer to NARA in 5-year blocks 8 years after cutoff.</p> <p>b. One set of formal budget estimates and justifications.</p> <p>Destroy when 10 years old.</p> <p>c. Working papers, cost statements, and data accumulated in the preparation of annual budget estimates and justifications.</p> <p>Destroy 1 year after the close of the FY covered by the budget.</p>	602-01	
302-02	<p><u>DOI Budget Estimates and Justification Files.</u> Duplicate copies of budget estimates, justifications, Departmental budget, and other similar materials, the record copy of which is maintained in DOI.</p> <p>Destroy when no longer needed for reference or 1 year after close of the FY covered by the budget, whichever is sooner.</p>	602-02	
302-03	<p><u>Budget Reports Files.</u> Periodic reports on the status of appropriation accounts and apportionments.</p> <p>a. Annual report (end of FY).</p> <p>Destroy when 5 years old.</p>	GRS 5/3a	

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

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

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

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

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

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304-05	<p>(1) Requests not appealed. Destroy 5 years after date of reply.</p> <p>(2) Requests appealed. See Privacy Act Amendment Files below.</p> <p>c. Record copy only.</p> <p>Dispose of in accordance with the approved disposition instructions for the related records or with the related Privacy Act request, whichever is later.</p> <p><u>Privacy Act Amendment Case Files.</u></p> <p>a. Requests to amend agreed to by the agency. Includes individual's requests to amend and/or review refusal to amend, copies of the agency's replies thereto, and related material.</p> <p>Dispose of in accordance with the approved disposition instructions for the related subject individual's record or 4 years after the agency's agreement to amend, whichever is later.</p> <p>b. Requests to amend refused by the agency. Includes individual's requests to amend and to review refusal to amend copies of the agency's replies thereto, statement of disagreement, agency justification for refusal to amend a record, and related material.</p> <p>Dispose of in accordance with the approved disposition instructions for the related subject individual's record, 4 years after final determination by agency, or 3 years after final adjudication by the courts, whichever is later.</p> <p>c. Appealed requests to amend. Includes all files created in responding to appeals under the Privacy Act for refusal by any agency to amend a record.</p> <p>Dispose of in accordance with the approved disposition instructions for related subject individual's record or 3 years after final adjudication by the court's, whichever is later.</p>	<p>GRS 14/21a (3)(a)</p> <p>GRS 14/21b</p> <p>GRS 14/22a</p> <p>GRS 14/22b</p> <p>GRS 14/22c</p>	

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304-06	<p><u>Privacy Act Accounting of Disclosure Files.</u> Files maintained under the provisions of 5 U.S.C. 552a(c) for an accurate accounting of the date, nature, and purpose of each disclosure of a record to any person, to another agency, including forms for showing the subject individual's name, requestor's name and address, purpose and date of disclosure, and proof of subject individual's consent when applicable.</p> <p>Dispose of in accordance with the approved disposition instructions for the related subject individual's records or 5 years after the disclosure for which the accountability was made, whichever is later.</p>	GRS 14/23	
304-07	<p><u>Privacy Act Reports Files.</u></p> <p>a. Annual reports to the Congress, the Office of Management and Budget, and th Reports on New Systems at the agency level.</p> <p><u>PERMANENT.</u> Offer to NARA when 15 years old.</p> <p>b. Recurring reports and one-time information requirements relating to agency implementation.</p> <p>Destroy when 2 years old.</p>	GRS 14/25b	

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	Public Affairs		
305-01	<p><u>Speeches of the Director, Deputy Director, Assistant Directors and Field Office Directors.</u> Speech topics relate to functions and programs of OSM.</p> <p>Record copy only.</p> <p><u>PERMANENT.</u> Cut off file at close of FY. Transfer to FRC 4 years after cutoff or when volume warrants. Offer to NARA in 5-year blocks 20 years after cutoff.</p>	103-01	
305-02	<p><u>Other Speeches.</u> Speeches other than those described in 305-01 above; i.e., speeches by Secretary of the Interior and other non-OSM officials and OSM representatives other than the Director, Deputy Director, Assistant Directors, or Field Office Directors.</p> <p>Destroy when 4 years old or when no longer needed for reference, whichever is sooner.</p>	103-02	
305-03	<p><u>OSM Newsletter.</u> Currently entitled "Grassroots".</p> <p>Record copy only.</p> <p><u>PERMANENT.</u> Cut off file at close of FY. Transfer to FRC 4 years after cutoff or sooner if volume warrants. Offer to NARA in 5-year blocks 20 years after cutoff.</p>		
305-04	<p><u>Biographical Files.</u> Arrange by name. Biographical sketches, sheets, photographs, and other similar materials pertaining to the Director and Deputy Directors.</p> <p>Record copy only.</p> <p><u>PERMANENT.</u> Cut off file at close of year in which individual leaves position. Transfer to FRC 4 years after cutoff. Offer to NARA in 5-year blocks 20 years after cutoff.</p>		
305-05	<p><u>Press Clippings Files.</u> Press clippings, teletype news, and similar materials.</p> <p>Record copy only.</p> <p>Destroy when 3 months old.</p>	GRS 14/3	

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

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	Automated Data Processing		
306-01	Withdrawn - Reserved for Future Use.		
306-02	Withdrawn - Reserved for Future Use.		
306-03	Withdrawn - Reserved for Future Use.		

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

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

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

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

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

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

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

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

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	<p>Destroy when 6 months old.</p> <p>c. Statistical reports and data related to handling of mail and volume of work performed.</p> <p>Destroy when 1 year old.</p> <p>d. Records related to checks, cash, stamps, money orders, or any other valuables remitted to the agency by mail.</p> <p>Destroy when 1 year old.</p> <p>e. Records of and receipts for mail and packages received through the Official Mail and Messenger Service.</p> <p>Destroy when 6 months old.</p> <p>f. Locator cards, directories, indexes, and other records related to mail delivery to individuals.</p> <p>Destroy 5 months after separation or transfer of individual or when obsolete, whichever is applicable.</p>	<p>GRS 12/6d</p> <p>GRS 12/6e</p> <p>GRS 12/6f</p> <p>GRS 12/6h</p>	
307-27	<p><u>Secure Access Files.</u> Forms or lists used to record safe and padlock combinations, names of individuals knowing combinations, and comparable data used to control access into secure files. See Part I, Chapter I, on Filing Confidential Records.</p> <p>Destroy when superseded by a new form or list.</p>	GRS 18/7	
307-28	<p><u>Investigative Files.</u> Investigative files accumulating from investigations of fires, explosions, aircraft accidents, and other accidents.</p> <p>Destroy when 2 years old.</p>	GRS 18/1f	
307-29	<p><u>Personnel Security Clearance Files.</u> Personnel security clearance files and related indexes maintained by the personnel security office.</p> <p>a. Files documenting the processing of investigations on Federal employment, whether or not a security clearance is granted; and other persons, such as those performing work for a Federal agency under contract, who require an approval before having access to Government facilities or to sensitive data.</p>	GRS 18/22a	

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

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

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	Destroy 2 years after final entry or 2 years after date of document.		110F
307-39	<p><u>Records Disposition Files.</u> Descriptive inventories disposal authorizations, schedules, and reports.</p> <p>a. Basic documentation of records description and disposition programs, including SF-115, Request for Records Disposition Authority; SF-135, Records Transmittal and Receipt; and related documentation.</p> <p>Destroy when related records are destroyed or transferred to the National Archives or when no longer needed for administrative or reference purposes.</p> <p>b. Working papers and background material.</p> <p>Destroy 6 months after final action on project report or 3 years after completion of report if no final action is taken.</p>	GRS 16/2a	
307-40	<p><u>Forms Files.</u></p> <p>a. One record copy of each form created by the agency with related instructions and documentation showing inception, scope, and purpose of form.</p> <p>Destroy 5 years after related form is discontinued, superseded, or canceled.</p> <p>b. Working papers, background material, requisitions, specifications, processing data, and control records.</p> <p>Destroy when related form is discontinued, superseded, or canceled.</p>	GRS 16/3a	
307-41	<p><u>Records Holding Files.</u> Statistical reports of agency records holdings, including Federal reports from all offices and data on the volume of records disposed of by destruction or transfer.</p> <p>a. Record held by offices which prepare reports on an agency-wide records holding for submission to GSA.</p> <p>Destroy when 3 years old.</p>	GRS 16/3B	
		GRS 16/4a	

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

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

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

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

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

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	<p>(2) Internal drafts, progress reports, and working papers not contributing substantively to the history of the regulations.</p> <p>Destroy upon publication of the regulations.</p> <p>(3) Official record copy.</p> <p>Transfer to FRC 10 years after publication of permanent regulations. Destroy 25 years after publication.</p> <p>c. State Programs and Amendment Regulations. Arrange by section of the regulations (30 CFR 901 through 950). Records include State regulations, State statutes, official State program submissions, amendments and modifications to State submissions, executive recommendations and/or written notifications of official submissions, written public comments, transcripts of public hearings, records of public meetings and telephone conversations, summary records of all discussions and meetings about a State program, comments from other agencies and the public, <u>Federal Register</u> notices, official correspondence, and relevant technical literature. Internal memoranda should not, as a matter of course, be included in the Administrative Record. There may be occasions, however, when it may be useful to include a Solicitor's opinion or explanatory internal memorandum. Decisions on the inclusion of internal memoranda should be made on a case-by-case basis.</p> <p>(1) Technical literature and related bibliography.</p> <p>Destroy when no longer needed for reference or donate to Departmental Library. (NOTE: Technical literature and related bibliography must be maintained as long as the rule to which it pertains is in effect.)</p> <p>(2) Internal drafts, progress reports, and other working papers not contributing substantively to the history of the regulations.</p> <p>Destroy upon publication of the regulations.</p>		

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	<p>(3) Official record copy.</p> <p>Transfer to FRC 10 years after publication of the final regulations. Destroy 25 years after publication.</p> <p>d. Abandoned Mine Land Regulations. Arrange by the regulations. Records include those related to preparation of regulations of 30 CFR Parts 872, 874, 875, 877, 879, 880, 881, 882, 884, 886, 887, and 888, which incorporate Title IV of P.L. 95-87. Records include proposed regulations, drafts, internal comments, notes for preambles, verbatim proceedings of public hearings on proposed rules, final rules, comments from other agencies and the public, submissions to the <u>Federal Register</u> and copies of the <u>Federal Register</u>, and technical literature and bibliography used as background to the rules and regulations.</p> <p>(1) Technical literature and related bibliography.</p> <p>Destroy when no longer needed for reference. Not authorized for transfer to FRC. (NOTE: Technical literature and related bibliography must be maintained as long as the rule to which it pertains is in effect.)</p> <p>(2) Official record copy.</p> <p>Transfer files to FRC 10 years after publication of the final regulations. Destroy 25 years after publication.</p>		
	<p>e. Regulatory Analysis (RA) Administrative Record. Records include original comments received and technical reference literature.</p> <p>(1) Official record copy.</p> <p>Transfer to FRC 10 years after issuance of final RA. Destroy 25 years after issuance.</p>	603-21c	
	<p>f. OSM Environmental Impact Statement (EIS) Administrative Record. Records include original comments received.</p> <p>Transfer to FRC 10 years after issuance of final EIS. Destroy 25 years after issuance.</p>	603-21D	

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	<p>g. Extra copies of <u>Federal Register</u>, EIS, and RA. Destroy when no longer needed for reference.</p>	603-21F	

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

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