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NC1-433-80-1

FILES MAINTENANCE

AND

RECORDS DISPOSITION

MANUAL

The Office of Surface Mining, U.S. Department of the Interior

NOVEMBER 1979

APPENDIX III. RECORDS DISPOSITION SCHEDULE

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REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

LEAVE BLANK
JOB NO. NC1-433-80-1
DATE RECEIVED 11-14-79
NOTIFICATION TO AGENCY
In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10.
11-21-79 Date — James E. O'Neill, Archivist of the United States (acting)

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

1. FROM (AGENCY OR ESTABLISHMENT)
U.S. Department of the Interior

2. MAJOR SUBDIVISION
Office of Surface Mining

3. MINOR SUBDIVISION
Office of Management and Budget

4. NAME OF PERSON WITH WHOM TO CONFER
Joel Anderson

5. TEL. EXT.
343-5447

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 _____ page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

☐ **A** Request for immediate disposal.

☒ **B** Request for disposal after a specified period of time or request for permanent retention.

C. DATE	D. SIGNATURE OF AGENCY REPRESENTATIVE	E. TITLE
7-11-79	Tony Dunn	Assistant Director, Management and Budget

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	The Office of Surface Mining (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, assiststhe 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 five regional offices with district and field offices for each region. The records disposition schedule is Appendix III 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/subject files, and dispositions for all record series. Individual schedule items describe each series of records which exists and several which will be created. For existing series, instructions are given for file cutoff, retirement to FRC (if needed), destruction, or permanent retention in NARS.		

115-107

STANDARD FORM 115
Revised April, 1975
Prescribed by General Services Administration
FPMR (41 CFR) 101-11.4

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN

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 regions (regional, district, and field offices).

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 Service (NARS), through submission of additional SF-115's.

Records covered by the General Records Schedules (GRS) issued by NARS are disposable (in accordance with the disposition instructions given in the GRS) without further authorization. A copy of the GRS is appended to the records disposition schedule.

"GRS" citations IN COLUMN 9 of the SF 115A's mean the following:

1. Example 1. "GRS 14/5 (3 months)"--in this case, the retention period of 3 months cited in GRS 14/5 has been waived at OSM request, and another retention is substituted.

2. Example 2. "GRS 14/2 (115)"--in this case, GRS 14/2 required the submission of a SF 115 requesting a disposition for the given records. The records disposition schedule item constitutes the required SF 115.

3. Example 3. "GRS 3/2b (same)"--in this case, the disposition given in GRS 3/2b is repeated on the SF 115A.

NOTE: If the disposition instruction to be followed is found in the GRS, the statement "SEE GRS [item number]" is written below the series description.

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	Chapter 1. Records of the Director, Deputy Director, Regional Directors, and Staff Offices (Congressional Liaison, Public Affairs, and Equal Employment Opportunity) NOTE: See Chapters 2 through 7 for record series not listed in this chapter. The Director of OSM, assisted by the Deputy Director and the Regional Directors and the Assistant Directors, leads OSM in carrying out its responsibilities under the Surface Mining Control and Reclamation Act of 1977 (PL 95-87). The Director coordinates the various Headquarters offices in the performance of their functions relating to abandoned mined lands, inspection and enforcement, State and Federal programs, technical services and research, and management, budget, and administrative services. The Director also has overall responsibility for cooperation between Headquarters offices and regional offices, and for the coordination of OSM efforts with State and other Federal authorities. The Director's staff offices perform functions relating to liaison with Congress, public affairs, and equal employment opportunity.		
100-01	Subject Correspondence File of the Director and Deputy Director. Arranged by the Subject File Classification System outlined in Appendix II of this manual. Incoming and outgoing correspondence, reports, internal memoranda, and similar material, of the Director and Deputy Director, relating to OSM programs and activities. Includes correspondence with OSM units, the Department of the Interior, other Federal agencies, States, and the public. a. Program correspondence. Correspondence relating directly to primary functions of OSM and including (but not limited to) such subjects as Abandoned Mined Lands; Inspection and Enforcement; Organization, Planning, and Management; Regulatory Program Development; State and Federal Programs; Legislative and Legal Affairs; Technical Services and Research; National Cataloging Center for Mining Research; and National Information and Data Center on Surface Coal Mining, Reclamation, and Surface Impacts of Underground Mining. PERMANENT. Cut off at close of FY. Transfer to		

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7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	FRC 3 years after cutoff. Offer to NARS 15 years after cutoff. b. Administrative correspondence. Correspondence relating to administrative support activities. Subjects include but are not limited to Automated Data Processing; Administrative Services; Budget; EEO; Environmental Protection; Financial Management; Information Services and Program Promotion; Personnel; Procurement and Contracting; Records Management; and Travel and Transportation. Cut off at close of FY. Transfer to FRC 3 years after cutoff. Destroy 15 years after cutoff.		
100-02	Director's File Relating to Legislation. 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. PERMANENT. Cut off at close of FY. Transfer to FRC 3 years after cutoff. Offer to NARS 15 years after cutoff.		
101-01	Regional Directors' Subject Correspondence Files. May be maintained in each Region in lieu of the Regional Central (Subject) Correspondence File, Item 700-02 of this schedule. Arranged by the Subject File Classification System outlined in Appendix II of this manual. Correspondence relating to major programs of OSM and the region. Includes correspondence with OSM units, OSM Director, district and field offices, the Department of the Interior, other Federal agencies, States, and the public. a. Program correspondence. (See description of subjects to be included, in Item 100-01a.) PERMANENT. Cut off at close of FY. Transfer to FRC 3 years after cutoff. Offer to NARS 15 years after cutoff. b. Administrative correspondence. (See description of subjects to be included, in Item 100-01b.) Cut off at close of FY. Transfer to FRC 3 years after cutoff. Destroy 15 years after cutoff.		

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7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	CONGRESSIONAL LIAISON OFFICE		
102-01	Subject Correspondence File. Arranged by Subject File Classification System outlined in Appendix II of this manual. Correspondence and other records relating to program responsibilities of the Congressional Liaison Staff. Cut off at close of FY. Transfer to FRC 2 years after cutoff. Destroy 5 years after cutoff.		
	PUBLIC AFFAIRS OFFICE		
103-01	Speeches of the Director, Deputy Director, and Regional Directors. Covering topics related to functions and programs of OSM. a. Record copy. PERMANENT. Break file annually. Tranfer to FARC 4 years after cutoff or when volume warrants. Offer to NARS 10 years after cutoff. b. All other copies. Destroy in agency when no longer needed for reference.		
103-02	Other Speeches. Speeches other than those described in 104-01 above; that is, speeches by Secretary of the Interior and other non-OSM officials, speeches by OSM representatives other than Director, Deputy Director, Regional Directors. Destroy in agency when 4 years old or when no longer needed for reference, whichever is sooner.		
103-03	Press Releases/News Releases. (The Office of the Secretary of the Interior is originating office for all press releases about DOI agencies.) Destroy in agency when no longer needed for reference.		
103-04	OSM Newsletter. Currently entitled "Office of Surface Mining News." a. Record copy. PERMANENT. Cut off file at close of FY. Transfer to FARC 4 years after cutoff or sooner if volume warrants. Offer to NARS 10 years after cutoff.		

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	b. All other copies. Destroy in agency when superseded, obsolete, or no longer needed for reference.		
103-05	Biographical Files. Biographical sketches, sheets, photographs, and other similar materials pertaining to the OSM Director and Deputy Director. Arranged by name. a. Record copy. PERMANENT. Cut off at close of year in which individual leaves position. Transfer to FRC 4 years after cutoff. Offer to NARS 10 years after cutoff. b. All other copies, all other files. Destroy in agency when no longer needed for reference.		
103-06	Press Clippings Files. Press clippings, teletype news, and similar materials. a. Public Affairs office copy. Destroy in agency when 1 year old. b. All other copies. Destroy in agency when 3 months old, or when no longer needed for reference, whichever is sooner.	GRS 14/5 (3 mos.)	
103-07	Public Affairs Administrative files. Memoranda and letters to and from OSM regarding such topics as arrangements for conferences and meetings, visits to OSM facilities, reference services; lost and found assistance. Destroy in agency when 2 years old.		
103-08	Information Requests Files. Requests for information and copies of replies thereto, involving no administrative actions, no policy decisions, and no special compilations or research and involving requests for publications, photographs, and informational literature. Destroy in agency 1 year after transmittal or reply.	GRS 14/3 (3 mos)	

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
103-09	Acknowledgement Files. Acknowledgements and transmittals of inquiries and requests that have been referred elsewhere for reply. SEE GRS 14/4.		
103-10	Information Project Files. Informational services project case files maintained in formally designated informational offices. SEE GRS 14/6.		
103-11	Commendation/Complaint Correspondence. Anonymous letters, letters of commendation, complaint, criticism and suggestion, and replies thereto, excluding those on the basis of which investigations were made or administrative action taken, and those incorporated into individual personnel records. SEE GRS 14/7.		
103-12	Public Affairs Correspondence File. General subject correspondence of the Public Affairs Office. Arranged by Subject File Classification System outlined in Appendix II of this manual, and containing records not described elsewhere in this section. (Copies are maintained in the OSM Official Central Subject Correspondence File, Item 700-01.) Cut off at close of FY. Destroy in agency 3 years after cutoff.	GRS 14/2 (115)	
103-13	OSM Annual Report. Annual report of OSM to the Secretary of the Interior, Congress, and the President. a. Record copy. PERMANENT. Offer to NARS when 5 years old. b. All other copies. Destroy in agency when superseded or obsolete. NOTE: For dispositions for other OSM-created publications not listed elsewhere in this schedule, see GRS 13/1a. Dispositions for non-OSM publications and duplicate copies of OSM publications are in Items 701-06 through 701-08 of this schedule.		
103-14	Audiovisual Records. See GRS 21 for general instructions. When specific series of such records are created in OSM, contact NARS for further instructions.		

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7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	EQUAL EMPLOYMENT OPPORTUNITY STAFF		
104-01	a. Official Discrimination Complaint Case Files. 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. 1) Cases resolved within the agency-- SEE GRS 1/26a(1). 2) Cases resolved by the EEOC or a U.S. Court-- SEE GRS 1/26a(2) b. Copies of Complaint Case Files. SEE GRS 1/26b. c. Background Files. SEE GRS 1/26c. d. Compliance Records. SEE GRS 1/26d(1) and 1/26d(2).		
104-02	Employee Housing Requests. Forms requesting agency assistance in housing matters, such as rental or purchase. FOR DISPOSITION, SEE GRS 1/26e.		
104-03	Employment Statistics file. Employment statistics relating to race and sex.		
104-04	EEO General Correspondence File. Arranged according to Subject File Classification System outlined in Appendix II of this manual. General correspondence and copies of regulations with related records pertaining to the Civil Rights Act of 1964, the EEO Act of 1972, and any pertinent future legislation; and agency EEO Committee meeting records including minutes and reports. FOR DISPOSITION, SEE GRS 1/26g.		
104-05	EEO Affirmative Action Plans (AAP). a. Agency copy of consolidated AAP(s). FOR DISPOSITION, SEE GRS 1/26h(1). b. Agency feeder plan to consolidated AAP(s). FOR DISPOSITION, SEE GRS 1/26h(2).		

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
104-06	Recruiting Files. Records of community and school contacts, interviews, and statements of interest in employment. Destroy in agency when 2 years old or when no longer of administrative value, whichever occurs first.		
104-07	Catalogs, listings, and contact information for Minority Business Enterprises. Destroy in agency when 3 years old.		

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7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	Chapter 2. Records Relating to Abandoned Mined Lands. NOTE: See Chapter 7 (Materials Common to Most Offices) for record series not listed in this chapter. Abandoned Mined Lands formulates policies, procedures, and regulations to conduct reclamation programs, reclamation fee collection, and allocation activities under Title IV of PL 95-87. It provides guidance and assistance to States and Indian tribes relative to their reclamation programs under this title. It coordinates reclamation activities, including the Rural Abandoned Mines Program (RAMP) under the Soil Conservation Service, to meet reclamation and budgeting objectives of OSM. Abandoned Mined Lands also conducts reclamation projects using the Secretary of the Interior's portion of the reclamation fees. It develops programs and proposes allocations for the Reclamation fund, and presents these recommendations to the Department of the Interior, OMB, and Congress. It conducts Federal reclamation projects, and coordinates reclamation efforts with State and Federal authorities.		
200-01	Official Correspondence (Subject) Files. Arranged according to the Subject File Classification System outlined in Appendix II of this manual. Records include correspondence, reports, forms, drafts, for-information copies of agency directives and other agencies' memoranda, internal review correspondence, budget materials, personnel-related correspondence, organizational materials, correspondence related to general project policy, and material of an administrative or reference nature. Excludes files described elsewhere in this manual. a. Headquarters. Cut off file at close of FY. Destroy in agency when 6 years old or when no longer needed for reference, whichever is sooner. b. Regions. Cut off file at close of FY. Destroy in agency when 6 years old or when no longer needed for reference, whichever is sooner.		

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
200-02	Regional File. A reference file, arranged by State, containing a weekly summary report of actions taken in the State on abandoned mined lands operations under RAMP projects, Federal projects, or State projects; OSM personnel actions in the State; reports of potential emergency situations on abandoned mined lands, and actions taken on the current status; bi-monthly reports relating to program staffing; memoranda of meetings held or notice of meetings to be held; and similar material. Cut off files annually. Destroy in agency when 6 years old or when no longer needed for reference, whichever is sooner.		
201-01	Reclamation Plans Files. Arranged alphabetically by State. Records relating to development by States and OSM of reclamation plans for States. Includes plan, copy of cooperative agreement between State and OSM, review documents, and technical assistance records. No plans have yet (June, 1979) been prepared. Plans must be approved by the Director of OSM. Disposal not authorized at this time. Submit SF 115 to NARS when plans are submitted to OSM.		
202-01	State Reclamation Project Files. Arranged alphabetically by State. Records relate to the development by States and OSM of reclamation projects for the State. File includes project briefing papers, funding account number, project evaluation and selection sheets and data, original or duplicate copy of cooperative agreements, reports on situations of extreme danger, project design criteria, memoranda and correspondence concerning the project, land acquisition or lien documents, progress and final reports, if any. Each project must be approved by OSM Regional Director. Disposal not authorized. Submit SF 115 to NARS when program is operative.		
202-02	Federal Program Reclamation Project Files. Arranged as appropriate to office. Records related to emergency 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 agreements, reports on situations of extreme danger, project design criteria, memoranda and correspondence concerning the project, land		

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	acquisition and lien documents, progress and final reports, if any. A list of projects completed and funds allocated is provided in the OSM annual report to Congress. a. Headquarters (maintains duplicate copies of selected originals that are filed in Regional Offices) Transfer to FRC 6 years after completion of project. Destroy 15 years after completion of project. b. Regions (maintains original copy of all documents) Transfer to FRC 6 years after completion of project. Destroy 25 years after completion of project.		
203-01	Abandoned Mined Lands Regulations Files. Abandoned Mined Lands creates and maintains records related to preparation of regulations of 30 CFR Parts 872, 874, 877, 879, 882, 884, 886, and 888, which incorporate Title IV of PL 95-87. These records are not duplicated in the "Administrative Record" files described in Chapter 6 of this manual. Files include proposed rules, drafts, internal OSM comments, notes for preamble, verbatim proceedings of public hearings on proposed rules, final rules, comments from other agencies and the public, submissions to the Federal Register and copies of the Federal Register, and technical literature used as background to the rules and regulations. a. Technical Literature Destroy in agency when no longer needed for reference. Not authorized for transfer to Federal Records Center. b. All other records Transfer to FRC 10 years after publication of final rule. Destroy 25 years after publication of final rule.		
203-02	OSM 837-1 Files. Arranged as appropriate. OSM 837-1, the "Coal Production and Reclamation Report," is submitted quarterly to OSM regional 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		

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	OSM with the quarterly reclamation fee, which becomes part of the Abandoned Mined Land Reclamation Fund. OSM audits the 837-1 file to determine the accuracy of the information submitted by the operator. Files include the form itself, bills of collection, and related correspondence. Paper records are maintained in the regions by the Fee Compliance Branch; film records are maintained in Denver. a. Film records. Destroy in agency when no longer needed for reference. b. Paper records. Break file on September 30 of each year. Transfer to FRC 3 years after file break, if volume warrants. Destroy 6 years after file break, except for records related to current or pending litigation; such records should be destroyed upon resolution of the litigation. c. Machine-readable records related to 837-1 files. Submit SF 115 to NARS when records are created. Disposal not authorized at this time.		
203-03	Deletions (Abandonments) File. Arranged 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, mine operator no longer submits 837-1's. Maintained in the Regions. Destroy in agency 6 years after abandonment. NOTE: Data is also on tape in Bureau of Mines, Denver. If OSM begins generating these records, submit SF 115.		
203-04	Computer printouts, generated from data maintained by the Bureau of Mines, Denver, containing list of mine operators (respondents) paying fee, respondents not paying fee, and non-respondents. Printouts are generated monthly. Destroy in agency when superseded or obsolete.		

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7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
203-05	National Abandoned Mined Lands Inventory. These will consist of machine-readable records and probably some cartographic materials (annotated US Geological Survey quadrangle maps). Inventory is still in the planning stages, and may not be operative for from 1 to 5 years. Submit SF 115 to NARS when program is operative.		
203-06	State Abandoned Mined Lands Inventory. Submit SF 115 to NARS when program is operative.		
203-07	AML Operations Manual. Disposal not authorized at this time. Submit SF 115 to NARS when first issue is finalized.		
203-08	Monthly Report of AML Activities to Senate Subcommittee of Interior Committee on Appropriations. Report submitted by AML since early 1979, at the request of Senator Robert Byrd. Contains information concerning the fee collection program, disbursements, OSM staffing, and current status of the program activities of AML. (NOTE: This information is summarized in the OSM annual report. A copy of this monthly report is retained in the Office of the Secretary of the Interior.) Destroy in agency when 3 years old.		
203-09	Solicitor's File. A reference file of Department of the Interior Office of the Solicitor's opinions concerning AML and Title IV of PL 95-87. Arranged by section of Title IV. Destroy in agency when no longer needed for reference.		
203-10	Records relating to entry upon lands or property for conducting reclamation activities. Records include property information, report on nature of work to be performed, landowners' consent forms, negotiator's report, legal description of land, copy of power of attorney, public notice of forced entry, lien or waiver of lien, land appraisal report, feasibility studies, and other similar materials. a. Headquarters (maintains duplicates of originals of selected documents) Destroy 3 years after completion of related reclamation project.		

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7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	b. Regions (maintains originals of all documents in the file) Transfer to FRC 1 year after completion of project, if volume warrants. Destroy 6 years after completion of related project.		
203-11	Land Acquisition Project Files. (Maintained in regions by Realty Branch). Arranged as appropriate to office. Lands adversely affected by past coal mining practices may be acquired by OSM if Regional Director finds 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. a. Regions (maintains official file). 1) Records other than abstract or certificate of title. Transfer to FRC 6 years after completion of acquisition, if volume warrants. Destroy 10 years after unconditional sale or release by the Government of conditions, restrictions, mortgages, or other liens.	GRS 3/2b (same)	
	2) Abstract or certificate of title. Transfer to purchaser after unconditional sale or release by the Government of conditions, restrictions, mortgages, or other liens.	GRS 3/2c (same)	
	b. Headquarters (may maintain copies of originals of selected documents). Destroy all records in agency 3 years after completion of acquisition.		

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7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	Chapter 3. Records Relating to Inspection and Enforcement NOTE: See Chapter 7 (Materials Common to Most Offices) for record series not listed in this chapter. The divisions under the Assistant Director for Inspection and Enforcement carry out the following functions: maintain civil penalty assessment records; develop procedures for restitution or forfeiture of bond to achieve reclamation; determine penalty assessment for violations and monitor field conference officers' activities; formulate policy, develop regulations, and evaluate State and Federal enforcement and penalty assessment programs and the Mine Operator Employee Protection Program; formulate policy and procedures, and evaluate the Federal inspection program; develop procedures in monitoring and supporting State inspection programs; assist in preparation and revision of regulations concerning the inspection program; monitor the effectiveness of the CSM inspection force.		
300-01	Correspondence (Subject) Files. Arranged according to the Subject File Classification System outlined in Appendix II of this manual. General correspondence, reports, completed forms, and other records pertaining to the administration and operation of OSM and Inspection and Enforcement activities but excluding files described elsewhere in this schedule. a. Headquarters. Cut off file at close of FY. Destroy in agency when 3 years old or when no longer needed for reference, whichever is sooner. b. Regions. Cut off file at close of FY. Destroy in agency when 3 years old or when no longer needed for reference, whichever is sooner.		
301-01	Assessment Case Files. Arranged alphabetically by name of coal mine company, thereunder by Cessation Order (CO) or Notice of Violation (NOV) number. These records are accumulated in the process of assessing and collecting civil penalties levied by OSM as result of issuance of CO's and NOV's during a Federal		

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7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	inspection of a mine (see 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, affadavits, conference information (termination form, vacation form, modification form, conference results), docketing for civil penalty; copy of abstract, check and escrow payment; hearing review; collection letters (if any), certified mail receipt and collection receipt, 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. a. Headquarters. Transfer CO or NOV case file to FRC upon making of final review decision, or upon expiration of opportunity for review. Destroy 5 years later. b. Regions. Transfer CO or NOV case file to FRC upon making of final review decision, or upon expiration of opportunity for review. Destroy 5 years later. NOTE: When program to computerize the information contained in these case files is in operation, OSM should submit a SF 115 to re-schedule the paper records and to schedule the machine-readable records that will be created.		
301-02	"Alpha-Numeric" Card Index File. Arranged alphabetically by name of coal company. A finding aid to the Assessment Case File. Information includes NOV number, region, date of issuance. Destroy in agency with related records.		
301-03	"Permit Numbers" Card File. Arranged alphabetically by name of State, thereunder numerically by permit number. A finding aid to the Assessment Case File. Information includes permit number, State where issued, company name, and NOV number.		

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7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	Destroy in agency with related records.		
301-04	"NOV" Card File. Arranged by year, thereunder numerically by region number, thereunder by NOV number. A finding aid to the Assessment Case File. Information includes date of issuance and name of company receiving NOV. Destroy in agency with related records.		
301-05	Cessation Order (CO) Index. Arranged by year, thereunder numerically by region, thereunder by CO number. A finding aid to the Assessment Case File. Information includes CO number, date of issuance, inspector number, name of coal company or individual cited. Destroy in agency with related records.		
301-06	Abstract of Remittances Book. Contains deposit sheets (listing company name, date of payment, amount of deposit, balance owed), escrow account information; and xerox copies 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. Destroy in agency when no longer needed for reference.		
301-07	Notice of Violation (NOV) Files. Arranged as appropriate. Records include NOV; inspector's report; modification, vacation, or payment notice; copies of assessment records (received from Assessment Branch, HQ); review and related correspondence. a. Regional or District Office, whichever is applicable (official file). Destroy 5 years after NOV is vacated or paid. b. All other offices (reference files). 1) If filed with mine permits--Destroy with related permit file. 2) If filed separately--Destroy when NOV is vacated or paid.		
301-08	Notice of Violation Journal. Destroy in agency when no longer needed for reference.		

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7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
301-09	Cessation Order (CO) Files. Arranged as appropriate. File includes Cessation Order, inspector's report, copies of assessment records (received from Assessment Branch, HQ), and any related correspondence. a. Regional or District Office, whichever is applicable (official file). Destroy 5 years after CO is vacated or paid. b. All other offices (reference files). 1) If filed with mine permits--Destroy with related permit file. 2) If filed separately--Destroy when CO is paid or vacated.		
301-10	Cessation Order Journal. Destroy in agency when no longer needed for reference.		
301-11	Citizen Complaint Case Files. Arranged as appropriate. Records include original complaint (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 Regional Director's review (if any), and other related correspondence. Maintained in regions. Destroy in agency 5 years after resolution of complaint.		
301-12	Citizen Complaints Journal. Destroy in agency when no longer needed for reference.		
301-13	Small Operator Exemption Case Files. Records relate to the process described in Section 502c of PL 95-87 and 30 CFR 710.12. Applications were submitted to OSM by February 3, 1978. Exemptions, if approved, were effective on the date approved; and were to remain in effect until expiration or renewal of the State permit to which the exemption applied, December 31, 1978, or until revoked, whichever was earlier. Records in the file include application for exemption, notice of exemption, notice that application was incomplete, notice of rejection or approval, letters from coal company attorneys, documentation from the DOI Office of Hearings and Appeals (for example, dismissal of appeal, or memorandum opinion and order if decision was reached). All accepted applications expired January 1, 1979. Arranged alphabetically by name of		

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	coal company, A through Y. These files are no longer created. a. Accepted Application Case Files. Destroy in agency 3 years after expiration. b. Rejected Application Case Files. Destroy in agency 2 years after rejection. c. Case files for applications that were submitted, then returned as incomplete, and never re-submitted. Destroy in agency when 2 years old.		
301-14	Mine Operator Employee Protection Program Records. Regulations have been written for this program; however, no actions have yet (June, 1979) been initiated and no records exist. Submit SF 115 upon completion of case file for first action.		
301-15	Letters of Complaint and Inquiry from Citizens. Arranged by state, county and then alphabetically by name of addressee. Inquiries about obtaining surface mining permit applications, requests for general information about OSM, inquiries about obtaining small operator exemptions, general inquiries about PL 95-87, complaints about OSM, and copies of citizens' complaints resulting in NOV's and CO's. Destroy in agency when 3 years old.		
301-16	Coal Company Correspondence Files. Arranged alphabetically by name of coal company. Correspondence relating to a coal company, including letters announcing company's intent to sue, requests for hearings, announcement of issuance of NOV or CO, and similar matters. Destroy in agency when 3 years old.		
302-01	Weekly Inspection Activity Reports. Arranged chronologically. Reports prepared in the Division of Inspection, HQ, and sent to regional offices and other interested parties. Information in these reports is summarized in the OSM annual report to Congress. The reports contain inspector's name, region, date of inspection,		

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	type of mine, name of mine or mining company, permit #, NOV or CO, State, and inspector's abbreviated comments about the inspection. Data will eventually be computerized. a. Record copy. Destroy in agency when 3 years old. b. All other copies. Destroy in agency when 1 year old.		
302-02	Weekly Inspection Summary Reports. Arranged chronologically. Statistical summaries for each region, prepared by Division of Inspection, HQ, and distributed to regional offices and other interested parties. Information contained includes number of inspections per State, number of NOV's per State, number of CO's per State, and number of citizen complaints per State, for a bi-weekly period. a. Record copy. Destroy in agency when 3 years old. b. All other copies. Destroy in agency when 1 year old.		
302-03	Inspector's Training Manual Submit SF 115 to NARS when manual is completed.		
302-04	Inspector's Guide Book. Submit SF 115 to NARS when guide book is completed.		
302-05	Mine Inspection Reports. Arranged as appropriate to office. There are at this time 2 inspection reports per month per mine. The surface coal mine inspection report contains name and address of permittee, MSHA #, date of last inspection, permit information, and grade (satisfactory or unsatisfactory) on backfilling, spoil and waste disposal, hydrologic system, blasting, revegetation procedures, and other specifics; inspector's comments; number of CO or NOV issued, if any.		

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	a. Record copy (generally field offices). Break file annually. Transfer to FRC 3 years after file break if volume warrants. Destroy 6 years after file break. b. All other copies. Destroy in agency when 3 years old.		
302-06	Mining and Reclamation Plans. Maintained in regional, district, or field offices as appropriate. PL 95-87 requires applicants for surface mining and reclamation permits to submit to OSM an application including a description of the type and method of coal mining operation proposed, the engineering techniques proposed, and the equipment proposed; a map or plan, showing the land to be affected by the proposed mining; the name of the watershed and location of the surface stream into which drainage will be discharged; a determination of the probable hydrologic consequences of the mining and reclamation operations; climatological factors of the land; maps (US Geological Survey topographic quadrangles) annotated to show the boundaries of land to be mined; man-made features; cross-section maps or plans of the land to be affected; statement of the result of test borings or core samplings; soil survey for those lands which may be prime farm lands; a reclamation plan; certification that the applicant has a public liability insurance policy; a blasting plan; copy of permit; and other related materials. File is arranged as appropriate to office. a. Official copy. Place in inactive file upon expiration of related permit, supersession of mine plan, or end of life of mine, whichever is appropriate. Cut off inactive file at close of FY. Transfer inactive file to FRC 1 year after cutoff. Destroy 8 years after cutoff. b. All other copies. Destroy in agency upon expiration of related permit, supersession of mine plan, or end of life of mine, whichever is appropriate. NOTE: If these files are to be filmed, submit SF 115 to NARS providing for new disposition for paper and disposition for film.		

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7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	Chapter 4. Records Relating to State and Federal Programs and Small Operator Assistance Program. NOTE: See Chapter 7 (Materials Common to Most Offices) for record series not listed in this chapter. The several divisions under the Assistant Director for State and Federal Programs carry out the following functions: formulate policy, regulations, and procedures, and provide guidance for establishing State programs and Federal programs; establish Federal lands and Indian lands programs; conduct Indian lands studies; establish policy for review, and review State program applications; provide technical assistance and grants-in-aid to States for development of State programs; develop guidelines on review of permit applications; provide policy and procedure for designation of lands unsuitable for mining; prepare regulations concerning the conflict-of-interest provisions for State personnel affected by PL 95-87; and establish policy and procedure, as well as designate and qualify laboratories, for the small operator assistance program.		
400-01	Correspondence (Subject) Files. Arranged according to Subject File Classification System outlined in Appendix II. General correspondence, reports, forms, and other records pertaining to the administration and operation of OSM activities and the State and Federal Programs, but excluding files described elsewhere in this disposition schedule. a. Headquarters. Cut off file at close of FY. Destroy in agency when 3 years old or when no longer needed for reference, whichever is sooner. b. Regions. Cut off file at close of FY. Destroy in agency when 3 years old or when no longer needed for reference, whichever is sooner.		

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7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
401-01	Grant Application Files. States' applications, memoranda, correspondence, and other records relating to the decision to accept or reject grant applications.		
	a. Rejected applications, with related records.	GRS 3/14 a, b (same)	
	Destroy in agency 5 years after rejection.		
	b. Accepted applications.		
	Transfer to Grant Case Files, Item 401-02 of this schedule.		
401-02	Grant Case Files. Arranged as appropriate to office. File includes but is not limited to accepted State 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 State financial records; financial reports; financial status reports (SF 269); narrative performance reports; requests from OSM to State for information, and related replies; press releases; memoranda to the Solicitor; Congressional inquiries about specific grants.		
	a. Headquarters (file is maintained for reference use).	GRS 3/15 (115)	
	Place in inactive file when grant is withdrawn, completed, or terminated. Cut off inactive file at close of FY. Transfer to FRC 3 years after cutoff. Destroy 10 years after cutoff.		
	b. Regions (official files).		
	Place in inactive file when grant is withdrawn, completed, or terminated. Cut off inactive file at close of FY. Transfer to FRC 5 years after cutoff. Destroy 20 years after cutoff.		
	NOTE: If paper records are filmed, submit new SF 115 to NARS for paper and film records.		
	When Indian Tribal Grant Case Files are created, submit SF 115 to NARS.		
401-03	Grant Control Card File. Cards used to control the assignment of numbers to or identifying of grants.		
	Destroy in agency when superseded or obsolete.		

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
401-04	State Program Review File. OSM reviews of State regulatory program as a whole. Arranged by State. Submit SF 115 to NARS when this file is created.		
401-05	State Legislative History File. A reference file containing copies of State laws and regulations pertaining to all aspects of coal mining and the reclamation of mined lands. Destroy in agency when no longer needed for reference, obsolete, or superseded.		
401-06	State Program File. PL 95-87 requires each State (in which there are or may be conducted surface coal mining operations on non-Federal lands, and which wishes to assume exclusive jurisdiction over the regulation of surface coal mining and reclamation operations) to submit to OSM a State program document which demonstrates that the State can carry out the provisions of PL 95-87 and meet its purposes. Records include the State program document, OSM guidance and review documentation, notice of OSM approval or disapproval, copies of Federal Register notices, and any other related records. Disposal not authorized. Submit SF 115 to NARS when State programs are submitted.		
401-07	Federal Program File. Program documents prepared by OSM when a State fails to submit a State program covering surface coal mining and reclamation operations, or 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 PL 95-87. File includes the Federal program document, public notice of hearing, records related to the public hearing, OSM review documents, copies of Federal Register notices, and other related materials. Disposal not authorized. Submit SF 115 to NARS when Federal programs are created.		
401-08	Public Review File. Duplicate copy of State grant application and duplicate copy of State program document, maintained in regional offices solely for review by the public. Destroy in agency when no longer needed for reference by the public.		

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
401-09	Statements of Employment and Financial Interests. OSM Form 705-1, submitted to OSM by State employees in accordance with PL 95-87, Section 517g. 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. Destroy in agency 2 years after employee leaves the position for which the statement is required.		
401-10	Conflict of Interest Case Files. Arranged as appropriate. Records include a checklist of OSM responsibilities, copy of conflict-of-interest regulations, letter from State Governor designating 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 PL 95-87. Destroy in agency 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.		
402-01	Special Indian Studies File. Section 710 of PL 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 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. Submit SF 115 to NARS when first final study report is prepared.		
402-02	Indian Lands' Coal Mining Plans Review File. Submit SF 115 to NARS when review program begins to create records.		
402-03	Records Relating to Technical Assistance to Indian Tribes. Submit SF 115 when records are created.		
402-04	Petitions for Designation of Lands Unsuitable for Surface Mining.		

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	PL 95-87 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 petition, OSM internal review documents, review documents by BLM or other interested agency, transcripts and other materials from public hearings, maps of the area, notice of acceptance or rejection of the petition, Federal Register notices; statements concerning the abundance of coal resources and the impact of the designation; and final decision on the petition. Submit SF 115 to NARS when these case files are created. FOR DISPOSITION of Federal-State Cooperative Agreement File/Memoranda of Understanding Files, SEE Item 606-01 of this schedule.		
403-01	Handbook for Small Operators: Reclamation Techniques Which Preserve and Enhance Water Quality and Quantity in the East. Submit SF 115 to NARS when this handbook is issued.		
403-02	Program Guidance Primer on Assistance for the Small Operator Under the Surface Mining Control and Reclamation Act of 1977. Submit SF 115 to NARS when this primer is issued.		
403-03	Laboratories Case Files. According to PL 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 labs, OSM review documentation, records of on-site inspection of the labs, 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 Regional Offices. [A list of qualified labs will be published in the Federal Register or similar publication.] A. Case files for approved labs.		

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7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	Transfer to FRC upon termination of qualification, if volume warrants. Destroy 3 years after termination of qualification.		
	b. Case files for labs not approved.		
	Destroy in agency 3 years after determination is made.		
	NOTE: If OSM decides to film these case files, submit new SF 115 for disposition of paper and film.		

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7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	Chapter 5. Records Relating to Technical Services and Research Technical Services and Research establishes policy and procedure and provides technical requirements for permits, reclamation plans, and performance standards. It furnishes guidance with regard to technical standards, special field services, environmental analysis, research, and training and handles the program of grants to institutions. Its functional areas consist of technical services, applied research, technical training, and mineral institutes. NOTE: See Chapter 7 (Materials Common to Most Offices) for record series not listed in this chapter.		
500-01	Subject Correspondence File. Arranged according to the Subject File Classification System contained in Appendix II of this manual. Consists of correspondence, reports, forms, and other records pertaining to the administration and operation of OSM activities but excluding files described elsewhere in this chapter. a. Headquarters. Cut off file at close of FY. Destroy in agency 3 years after cutoff or when no longer needed for reference, whichever is sooner. b. Regions. Cut off file at close of FY. Destroy in agency 3 years after cutoff or when no longer needed for reference, whichever is sooner.		
501-01	Mine Plan Review File. Includes mine plan, notice of availability, technical analysis of the plan, copy of NEPA analysis, letters of recommendation, notice of pending Federal decision, copy of approval documents, and related records. a. Record copy--Cut off file at close of FY in which permit expires, and transfer file to FRC. Destroy 15 years after cutoff.		

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	b. All other copies--Destroy in agency upon expiration of permit.		
502-01	Research Proposal File. Applications, proposals, memoranda, correspondence, and other records relating to the decision to accept or reject grant proposals.		
	a. Unsuccessful (rejected or withdrawn) applications--SEE GRS 3/14a.		
	b. Accepted applications--Place in Research Case File (item 502-02).	GRS 3/14b (same)	
	NOTE: For Mineral Institutes Research Grant Application Files, see item 504-06.		
502-02	Research Case File. Consists of proposal, project authorization documents or contract, progress reports, the final product, and related correspondence.		
	Submit SF 115 when file is created. Disposal not authorized at this time.	GRS 3/15 (115)	
	NOTE: For Mineral Institutes Research Case Files, see item 504-05.		
502-03	Experimental Practices Review Case File. Consists of request for review of proposed experimental practice along with OSM review documents. (PL 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.)		
	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 in agency 2 years after cutoff.		
	b. If request is disapproved, cut off at close of FY and destroy in agency 1 year after cutoff.		
502-04	Research and Development Technical Reference Files. Copies of technical reports, specifications, drawings, and other technical and scientific data received from Government agencies, commercial concerns, or other sources, used as a reference source in the performance		

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7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	of the research and development function, but exclusive of official file copies of these documents. SEE GRS 19/14.		
503-01	Training Aids. a. One copy of each manual, syllabus, textbook, and other training aid developed by the agency. For example, a model outline of the training of blasters. Submit SF 115 when training aid is created. Disposal not authorized at this time. b. Training aids from other agencies or private institutions. SEE GRS 1/30a(2).	GRS 1/30a(1) (115)	
504-01	Records of the Advisory Committee on Mining and Mineral Research. PL 95-87 requires the establishment of this Committee for the purpose of consulting with, and making recommendations to, the Secretary of the Interior on all matters relating to mining and mineral resources research and involving determinations provided for by Title III of the Act. Membership consists of one representative each from the Bureau of Mines, National Science Foundation, National Academy of Sciences, National Academy of Engineering, and United States Geological Survey as well as not more than four other members appointed by the Secretary of DOI. OSM provides this Committee with administrative support. a. Records relating to the Committee's establishment, organization, membership, and policy. Submit SF 115 to cover record copy. Disposal not authorized at this time. b. Records created by the Committee. (1) Agenda, minutes, final reports, and related records documenting the accomplishments of the Committee. (a) Record copy--PERMANENT. Cut off at close of FY. Transfer to FRC 3 years after cutoff. Offer to NARS 10 years after cutoff.	GRS 16/12a(1) (115) GRS 16/12b(1)(a) (115)	

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7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	(b) All other copies--SEE GRS 16/12b(1)(b). (2) All other Committee records--SEE GRS 16/12b(2).		
504-02	Mineral Institutes Reports Files. a. Annual reports. PL 95-87 requires each Mineral Institute to make an annual report on work accomplished and the status of projects underway along with a detailed statement of funds received and disbursed under the Mineral Institutes Program. Submit SF 115 when first annual report is received. Disposal not authorized at this time. b. Quarterly reports. File in item 504-03. c. Other reports (special, nonperiodic, etc.). Submit SF 115 when such reports are created and received. Disposal not authorized at this time.		
504-03	Designated Mineral Institutes Case Files. PL 95-87 requires each Mineral Institute to plan and conduct research, investigations, and experiments relating to mining and mineral resources and to provide for the training of mineral engineers and scientists. Files consist of records related to each formally designated Mineral Institute. Records include but are not limited to initial applications, approval letters, applications for annual allotment grants, designation letters, records of telephone conversations, M.I. quarterly reports, site visit reports, scholarship/fellowship records, and related correspondence. a. Headquarters. Cut off at close of FY in which funding of M.I. ceases. Transfer to FRC 2 years after cutoff. Destroy 6 years after cutoff. b. Regions. Destroy when funding of M.I. ceases.		

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7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
504-04	Eligible Mineral Institutes Case Files. Records relating to those institutions that have applied for eligibility as Mineral Institutes. a. Rejected applications. Cut off at close of FY in which application is rejected. Transfer to FRC 3 years after cutoff if volume warrants. Destroy 7 years after cutoff. b. Accepted applications. (1) Applications of institutions designated as Mineral Institutes--Place in Designated Mineral Institutes Case Files (item 504-03). (2) Applications of institutions not designated as Mineral Institutes--Destroy in agency at close of FY in which possibility of designation ceases.		
504-05	Research Grant Case Files. Case files of grants to individual Mineral Institutes for the funding of research related to mining and mineral resources. Include but are not limited to pre-proposals, proposals or applications, patent information, project reports, studies, certificates, agreements, memoranda, correspondence, and other records relating to the receipt, review, award, evaluation, status, and monitoring of grants; allocation of funds, and project budgets. a. Headquarters. Cut off at close of FY in which grant is terminated. Transfer to FRC 3 years after cutoff if volume warrants. Destroy 7 years after cutoff. b. Regions. Destroy in agency at close of FY in which grant is terminated.	GRS 3/15 (115) GRS 3/15 (115)	
504-06	Research Grant Application Files. Applications, memoranda, correspondence, and other records relating to the decision to accept or reject Mineral Institutes research grant applications or proposals. a. Unsuccessful (rejected or withdrawn) applications--SEE GRS 3/14a.		

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7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	b. Accepted applications--Place in Research Grant Case Files (itme 504-05).	GRS 3/14b (same)	
504-07	Research Grant Control Files. Indexes, registers, logs, or other records relating to the control of assigning numbers or identifying projects, applications, and grants. SEE GRS 3/16.		
504-08	Final Research Grant Product Files. Published reports, books, studies, audiovisual materials, or any other final research grant product and related records in textual or machine-readable form. Include final project reports and final project technical reports. Submit SF 115 when created or received. Disposal not authorized.	GRS 3/18 (115)	
505-01	Regulatory Analysis File. a. Draft working papers and extra copies of comments and of related items--Destroy in agency immediately. b. Final working papers including comments by Assistant Secretary for Energy and Minerals and by the Solicitor. Transfer to FRC 10 years after RA is issued. Destroy 25 years after RA is issued. c. Regulatory Analysis Administrative Record. File includes original comments received and technical reference literature. See item 603-21b of this schedule. d. OSM record copy of published RA. Destroy in agency 10 years after issuance of RA. (GPO maintains its own record copy of OSM's RA.) e. Extra copies of published RA--Destroy in agency when no longer needed for reference.		

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7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
505-02	Records Relating to OSM Environmental Impact Statement. a. Draft working papers and extra copies of comments and of related items--Destroy in agency immediately. b. Final working papers including comments by Assistant Secretary for Energy and Minerals. Transfer to FRC 10 years after EIS is issued. Destroy 25 years after issuance of EIS. c. OSM Environmental Impact Statement Administrative Record. File includes comments received. See item 603-21d of this schedule. d. OSM record copy of published EIS. Destroy in agency 10 years after issuance. (NOTE: EPA is the Federal office of record for all agency EIS's.) e. Extra copies of published EIS--Destroy in agency when no longer needed for reference.		
505-03	Environmental Effects of Mine Plans File. a. EIS relating to individual mine plans--Place in Mine Plan Review Case File (item 501-01). b. Environmental assessment of individual mine plans--Place in Mine Plan Review Case File (item 501-01).		
505-04	Other Agency EIS Review File. Comments by OSM on draft EIS's submitted by other Federal agencies and by other elements of DOI. Destroy in agency when 2 years old or when no longer needed for reference, whichever is sooner.		

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	Chapter 6. Records Relating to Personnel, Budget and Financial Management, Information and Records Management, Automated Data Processing, Administrative Services, and Planning.		
	NOTE: See Chapter 7 (Materials Common to Most Offices) for record series not listed in this chapter.		
600-01	Correspondence (Subject) Files. Arranged according to the Subject File Classification System contained in Appendix II of this manual. General correspondence, reports, forms, and other records relating to OSM activities and the functional areas of personnel, budget and financial management, information and records management, automated data processing, administrative services, and planning.		
	a. Headquarters--Cut off file at close of FY. Destroy in agency when 3 years old or when no longer needed for reference, whichever is sooner.		
	b. Regions--Cut off file at close of FY. Destroy in agency when 3 years old or when no longer needed for reference, whichever is sooner.		
	PERSONNEL RECORDS		
601-01	Official Personnel Folders.		
	SEE GRS 1/1b(1) and GRS 1/1b(2).		
601-02	Temporary Individual Employee Records.		
	SEE GRS 1/10.		
601-03	Service Record Cards. Service Record Card (Standard Form 7 or its equivalent). Cards for employees separated or transferred on or after January 1, 1948.		
	SEE GRS 1/2b.		
601-04	Offers of Employment Files.		
	SEE GRS 1/4a,b.		
601-05	Certificates of Eligibles Files.		
	SEE GRS 1/5.		
601-06	Employee Record Cards. Employee record cards used for		

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7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	informational purposes outside personnel offices (such as SF 7-b). SEE GRS 1/6.		
601-07	Position Classification Files. SEE GRS 1/7a, b, c, d.		
601-08	Interview Records. Correspondence, reports, and other records relating to interviews with employees. SEE GRS 1/8.		
601-09	Performance Rating Board Case Files. Copies of case files forwarded to OPM relating to performance rating board reviews. SEE GRS 1/9.		
601-10	Position Identification Strips. Strips such as Standard Form 7D, used to provide summary data on each position occupied. SEE GRS 1/11.		
601-11	Employee Awards Files. SEE GRS 1/12a, b, c, d.		
601-12	Incentive Awards Program Reports. Reports pertaining to the operation of the Incentive Awards Program. SEE GRS 1/13.		
601-13	Notifications of Personnel Action. Standard Form 50 documenting initial employment, promotions, transfers in or out, separation, and all other individual personnel actions, exclusive of those in Official Personnel Folders. SEE GRS 1/14 a, b.		
601-14	Employment Applications. Applications (SF 171) and related records, EXCLUDING records relating to appointments requiring Senatorial confirmation and applications resulting in appointment which are filed in the OPF. SEE GRS 1/15.		

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7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
601-15	Personnel Operations Statistical Reports. Statistical reports in the operating personnel office and subordinate units relating to personnel. SEE GRS 1/16.		
601-16	Correspondence and Forms Files. Operating personnel office records relating to individual employees not maintained in Official Personnel Folders and not provided for elsewhere in this schedule. SEE GRS 1/17 a, b, c.		
601-17	Duplicate Documentation and Personnel Files Maintained Outside Personnel Offices. SEE GRS 1/18 a, b.		
601-18	Individual Health Record Files. Cards which contain such information as date of employee's visit, diagnosis and treatment. GRS 1/19.		
601-19	Health Unit Control Files. SEE GRS 1/20.		
601-20	Individual Employee Health Case File. SEE GRS 1/21		
601-21	Statistical Summaries. Copies of statistical summaries and reports with related papers pertaining to employee health, retained by the reporting unit. SEE GRS 1/22.		
601-22	Performance Rating Records. SEE GRS 1/23.		
601-23	Personnel Counseling Records. SEE GRS 1/27.		
601-24	Labor-Management Relations Records. SEE GRS 1/29a, b.		

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
601-25	Training Records.	GRS 1/30 a(1) (115)	
	a. Training Aids.		
	1) One copy of each manual, syllabus, textbook, and other training aid developed by OSM, such as the "Co-op Program Student Manual," "Cooperative Education Program," "Cooperative Education Program Regional Coordinator's Handbook," and similar publications developed by the Office of Personnel, OSM.		
	a) Record copy Destroy in agency when superseded or obsolete.		
	b) All other copies. Destroy in agency when no longer needed for reference.		
	2) Training aids from other agencies and private institutions. SEE GRS 1/30a(2).		
	b. General file of agency-sponsored training. SEE GRS 1/30b(1) and 1/30 b(2).		
	c. Employee Training. SEE GRS 1/30c.		
	d. Course announcement files. SEE GRS 1/30d.		
601-26	Grievance, Disciplinary and Adverse Action Files. SEE GRS 1/31 a, b.		
601-27	Wage Survey Files. Wage survey reports and data, working papers and related correspondence pertaining to area wages paid for each employee class; background papers establishing need, authorization, direction, and analysis of wage surveys; development and implementation of wage schedules; and request for and authorization of specific rates (excluding authorized wage schedules and wage survey recapitulation sheets).		

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7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	SEE GRS 2/24.		
601-28	Personal Injury Files. Forms, reports, correspondence and related medical and investigatory records related to on-the-job injuries, whether or not a claim for compensation was made, EXCLUDING copies filed in the Official Personnel Folder and copies submitted to the Department of Labor. SEE GRS 1/32.		
601-29	Employee Locator Files. Consists of information such as name, social security number, submission date, current address, emergency locator information and office address, telephone numbers. Destroy in agency when superseded or obsolete.		
601-30	Merit Case Files. Arranged by vacancy announcement number. Copies of vacancy announcements, listing of offices contacted relative to the vacancy, their comments, justification for filling the position, SF-171's of applicants, supervisory assessments, certificates of eligibles, certificates of best qualified applicants, panel ratings and other panel records, lists of selectees, copies of letters to unselected applicants, and other similar materials. Cut off at close of CY in which announcement closes. Destroy in agency 2 years after cutoff or upon review of files by OPM, whichever is sooner.		
601-31	Employee Examination Records. a. Completed test materials. Test booklets in which answers have been recorded and results recorded on test or qualification records. Follow appropriate Office of Personnel Management regulations. b. Test records of individual employees. Records showing all test scores attained by an employee. Is maintained on the right side of his/her official personnel folder. Follow instructions in the Federal Personnel Manual.		
601-32	Health Insurance Files.		

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7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	a. Health benefits registration and notices of change in enrollment status form, signed originals. Cut off at close of FY in which employee is separated. Destroy 4 years after cutoff. b. Transmittal and Summary Report to Carrier, showing number of employees covered, added, dropped, etc. Cut off at close of FY. Destroy 4 years after cutoff.		
601-33	Individual Employee Training Files. Case files containing applications for training, authorizations, schedules, reports of progress or attendance, and related documents reflecting the training of individual employees. Cut of at close of FY in which training is completed. Destroy 5 years after cutoff.		
601-34	Training Report Card Files. Training achievement records and cards showing history of individual employees. Destroy individual's card upon separation of employee.		
601-35	Training Report Files. Documents reflecting actual training progress and accomplishments. File includes quarterly, semi-annual, or annual reports of training accomplishments, summary reports, special training reports, ADP listings and reports of employee training, study reports, coordinating actions, and related correspondence. Destroy when 5 years old or 5 years after completion of a specific training program.		
601-36	Tuition Assistance Files. Documents reflecting individual employee participation in tuition assistance programs. Included are requests for and approvals or disapprovals of requests, college transcripts, grade reports, and related papers. Cut off at close of FY in which course is completed or 2 years after date of last action if completion date is unknown. Destroy 3 years later.		
601-37	Career Development Files. Documents maintained on individual employees to record planned career progression and training courses.		

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	Destroy 6 months after employee transfers or terminates.		
601-38	Employment Inquiries File. Correspondence to OSM, and replies thereto, inquiring about availability of jobs; letters from Congressmen and other influential individuals (and replies thereto) recommending individuals for jobs or inquiring about progress of an individual's application; letters from individuals (and replies thereto) inquiring about progress of their job applications; and other correspondence of a similar nature. May also include records of telephone inquiries. Cut off files annually. Destroy in agency when 3 years old.		
601-39	Regional Information Reference File Arranged by region. Copies of temporary directives, for-info memos sent from regions, and other materials about personnel actions in regional offices, maintained by HQ personnel office. Cut off file annually. Destroy when 2 years old.		
601-40	Vacancy Announcement Files. a. Record copy. Cut off at close of FY in which announcement closes. Destroy in agency 2 years after cutoff. b. All other offices. Destroy in agency upon close of announcement. NOTE: For Equal Employment Opportunity Records, SEE Items 104-01, 104-02, 104-03, 104-04, 104-05, 104-06, and 104-07 of this schedule.		

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	BUDGET AND FINANCIAL MANAGEMENT RECORDS		
602-01	Budget Estimates and Justification Files.		
	a. Copies of budget estimates and justifications prepared or consolidated in the OSM Division of Budget and Financial Management. Included are 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, including records of Congressional hearings, budget reports to Congress, and responses to questions from Congress.	GRS 5/2a (115)	
	Cut off file at close of FY. Transfer to FRC 3 years after cutoff. Destroy 8 years after cutoff.		
	b. One set of formal budget estimates and justifications.		
	Maintain in agency. Destroy when 10 years old.		
	c. Working papers and background materials--SEE GRS 5/2b.		
602-02	Department of Interior Budget Estimates and Budget Justifications. Duplicate copies of budget estimates, justifications, Departmental budget, and other similar materials the record copy of which is maintained on the Departmental level.		
	Destroy in OSM when no longer needed for reference, or 1 year after close of the FY covered by the budget, whichever is sooner.		
602-03	Imprest Fund Records. Include requests for imprest funds and increases.		
	Destroy in agency when 3 years old.		
602-04	Budget Background Records. Working papers, cost statements, and rough data accumulated in the preparation of annual budget estimates, including duplicates of papers described in item 602-01c above.		
	SEE GRS 5/4.		
602-05	Budget Reports Files. Periodic reports on the status of appropriation accounts and apportionment.		
	a. Annual report (end of FY)--SEE GRS 5/5a.		

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7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	b. All other reports--SEE GRS 5/5b.		
602-06	Budget Apportionment Files. Apportionment and reapportionment schedules, proposing quarterly obligations under each authorized appropriation. SEE GRS 5/6.		
602-07	Report on Obligation Files. Documents such as SF 225 that report total transactions and also transactions within the Federal Government by object class; a summary of advances, reimbursements, and income; net obligations incurred; expired accounts (adjustments); and net unpaid obligations for each appropriation. a. Annual report (end of FY)--SEE GRS 5/5a. b. All other reports--SEE GRS 5/5b.		
602-08	Passenger Transportation Files. Memorandum copies of vouchers (SF 1113A), memorandum copies of transportation requests (SF 1169), travel authorizations, transportation request registers, and all supporting papers. a. Issuing office memorandum copy--SEE GRS 9/3a. b. Obligation copy--SEE GRS 9/3b. c. Unused ticket redemption forms, such as SF 1170--SEE GRS 9/3c.		
602-09	Passenger Reimbursement Files. Records relating to reimbursing individuals, such as travel orders, per diem vouchers, transportation requests, hotel reservations, and all supporting papers documenting official travel by officers, employees, dependents, or others authorized by law to travel. a. Travel administrative office files--SEE GRS 9/4a. b. Obligation copies--SEE GRS 9/4b.		
602-10	Individual Accounts Files. Individual earning and service cards, such as Standard Form 1127 or equivalent. SEE GRS 2/1.		

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7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
602-11	Time and Attendance Report Files. Forms such as Standard Form 1130 or equivalent.		
	a. Payroll preparation and processing copies--SEE GRS 2/3a.		
	b. All other copies--SEE GRS 2/3b.		
602-12	Individual Authorized Allotments Files.		
	a. U.S. Savings Bond Authorization, Standard Form 1192 or equivalent, and authorization for individual allotment to the Combined Federal Campaigns.		
	(1) If record is maintained on earning record card--SEE GRS 2/4a(1).		
	(2) If record is not maintained elsewhere--SEE GRS 2/4a(2).		
	b. All other authorizations including union dues and savings.		
	(1) If record is maintained on earning record card--SEE GRS 2/4b(1).		
	(2) If record is not maintained elsewhere--SEE GRS 2/4b(2).		
602-13	Bond Registration Files. Issuing agent's copies of bond registration stubs--SEE GRS 2/5.		
602-14	Bond Receipt and Transmittal Files. Receipts for and transmittals of U.S. Savings Bonds and checks.		
	SEE GRS 2/6.		
602-15	Bond Purchase Files. Forms and reports with related papers pertaining to deposits and purchases of bonds.		
	SEE GRS 2/7.		
602-16	Leave Application Files. Applications for Leave, SF 71 or equivalent, and supporting papers relating to requests for and approval of taking leave.		
	a. If the time card has been initialed by the employee--SEE GRS 2/8a.		
	b. If the time card has not been initialled by the employee — SEE GRS 2/8b		

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7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
602-17	Leave Record Files. Leave record cards maintained separately from pay and earnings records, including SF 1130 when used as a leave record. a. Pay or fiscal copies--SEE GRS 2/9a. b. Other copies--SEE GRS 2/9b.		
602-18	Leave Data Files. Records of leave data, such as SF 1150, prepared except as noted in the Federal Personnel Manual, 293-A-3. a. Original copy of SF 1150--SEE GRS 2/10a. b. Agency copy--SEE GRS 2/10b.		
602-19	Notification of Personnel Action Files. Copies of SF 50 or equivalent, not filed in the Official Personnel Folder. a. Pay or fiscal copy--SEE GRS 2/11a. b. All other copies--SEE GRS 2/11b.		
602-20	Budget Authorization Reference Files. Copies of budget authorizations in operating payroll units used to control personnel ceilings and personnel actions. SEE GRS 2/12.		
602-21	Payroll Files. Memorandum copies of payrolls, check lists, and related certification sheets, such as SF 1013, SF 1128A, or equivalents. a. Security copies of documents prepared or used for disbursement by Treasury disbursing offices, with relating papers. SEE GRS 2/13a. b. All other copies. (1) If earning record card is maintained--SEE GRS 2/13b(1) (2) If earning record card is not maintained--SEE GRS 2/13b(2)		
602-22	Payroll Control Files. Payroll control registers such as SF 1125A--SEE GRS 2/14.		

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7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
602-23	Payroll Change Files. Payroll change slips, exclusive of those of the OPF, such as SF 1126. a. Copy used in GAO audit--SEE GRS 2/15a. b. Disbursing officer copy used in preparing checks--SEE GRS 2/15b. c. All other copies--SEE GRS 2/15c.		
602-24	Fiscal Schedule Files. Memorandum copies of fiscal schedules used in the payroll process. a. Copy used in GAO audit--SEE GRS 2/16a. b. All other copies--SEE GRS 2/16b.		
602-25	Administrative Payroll Report Files. Reports, statistics, with supporting and related records pertaining to payroll operations and pay administration. a. Reports and data used for workload and personnel management purposes--SEE GRS 2/17a. b. All other reports and data--SEE GRS 2/17b.		
602-26	Tax Files. a. Withholding tax exemption certificates, such as IRS Form W-4, and similar state tax exemption forms--SEE GRS 2/18a. b. Returns on income taxes such as IRS Form W-2--SEE GRS 2/18b. c. Reports of withheld Federal taxes, such as IRS Form W-3, with related papers, including reports relating to income and social security taxes--SEE GRS 2/18c.		
602-27	Income Tax Return Files. SEE GRS 2/19.		
602-28	Tax Report Files. SEE GRS 2/20.		