

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		JOB NUMBER <i>71-048-06-6</i>	
TO: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date Received <i>5-8-2006</i>	
FROM: (Agency or establishment) Department of the Interior		NOTIFICATION TO AGENCY	
2. MAJOR SUBDIVISION Office of the Secretary		In accordance with the provisions of 44 U.S.C., 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved or "withdrawn" in column 10	
3. MINOR SUBDIVISION National Business Center			
4. NAME OF PERSON WITH WHOM TO CONFER Pamala R. Quallich	4. TELEPHONE NUMBER 202-208-3909	DATE <i>9/2/06</i>	ARCHIVIST OF THE UNITED STATES <i>Allen Weinstein</i>
5. AGENCY INFORMATION I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached <u>3</u> page(s) are not needed now for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies.  <input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE April 10, 2006	SIGNATURE OF AGENCY REPRESENTATIVE <i>Pamala R. Quallich</i>		TITLE Office of the Secretary Records Officer
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
1.	5301. Office of Indirect Cost Services (ICS) Files.  See Attached List of Record Descriptions and Requested Disposition Authorities.	N/A	
<i>cc: Agency nwm nwm</i>			

# SF 115 Supplementary Cover Sheet

## **Summary:**

This action establishes one new Office of the Secretary series entitled: "Office of the Indirect Cost Services (ICS) Files."

## **Reason for submission:**

- (1) This action provides for the disposition of records relating to the negotiation of indirect cost rates on proposals submitted by contractors and grant recipients on behalf of non-Federal entities for which the Department of the Interior is their cognizant agency.
- (2) This action also *incorporates this new series into the numbering pattern of the Office of the Secretary's new records schedule*. See attachment.

## **5301 OFFICE OF INDIRECT COST SERVICES (ICS) FILES**

The Indirect Cost Services (ICS) office of the National Business Center, within the Office of the Secretary, negotiates indirect cost rates and provides guidance on indirect cost proposals submitted by contractors and grant recipients on behalf of non-Federal entities (such as Native American tribal governments, state and local governments, territorial governments, and non-profit organizations) for which the Department of the Interior (DOI) is their cognizant agency, i.e., entities that receive the majority of their funding through the DOI. The indirect cost rate is the percentage of indirect costs (overhead/administrative costs) that a contractor or grantee can recover for administering programs that are mandated or authorized by the federal government.

**5301.1 ICS Customer Guidance Files.** These files contain documents providing technical guidance to non-Federal entities submitting indirect cost proposals. These documents include, but are not limited to: outlines of applicable regulations, explanations of technical terms and procedures, and checklists, templates and other tools for preparing, submitting and processing indirect cost proposals.

**5301.1a Final ICS Guidance Documents File.** This file contains the record copy of technical guidance documents.

Disposition: TEMPORARY. Cut off at date of issue. Retain for three (3) fiscal years, or until substantially superceded, whichever is longer.

**5301.1b Draft ICS Guidance Documents File.** This file contains drafts and surname copies of technical guidance documents developed by the ICS, along with materials collected in the development of these documents.

Disposition: TEMPORARY. Cut off when final documents are issued. Delete/destroy one (1) year after cut-off.

5301.2 Negotiated Agreement Files. Submissions and original copies of the signed Indirect Cost Agreement negotiated by the ICS, including applicable exhibits, schedules and certificates, along with other supporting documentation such as financial data, negotiated allocations, and other records relating to the negotiations or the final agreement. Identified by name of organization, assignment number, and year or years rates were negotiated.

5301.2a Signed Agreements Files. Original copies of the signed Indirect Cost Agreement negotiated in a given fiscal year by the ICS along with applicable exhibits and schedules.

5301.2a(1) Most Recent Agreements File.

Disposition: TEMPORARY. Cut off on date of signing. Retain for 3 fiscal years or until superseded by new agreement, whichever is longer, provided that no litigation, claim or audit is initiated. In the event of litigation, claims or audits, retain for 3 fiscal years after final settlement of legal or investigative action, or until superseded by new agreement, whichever is longer.

5301.2a(2) Superseded Agreements File.

Disposition: TEMPORARY. Delete/destroy when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

5301.2b Supporting Documentation File (Inactive Files). Paper documents submitted to the ICS to support the Indirect Cost Agreement including, but not limited to, audited financial statements, accounting schedules, and applicable certificates.

Disposition: TEMPORARY. Cut off on date of (or yearly anniversary of date of) signing of agreement to which documents are applicable. Retain for 3 fiscal years or until superseded by new agreement, whichever is longer, provided that no litigation, claim or audit is

initiated. In the event of litigation, claims or audits, retain for 3 fiscal years after final settlement of legal or investigative action, or until superseded by new agreement, whichever is longer.

5301.3 ICS Internet Website Files. These files contain information on how to prepare and submit Indirect Cost Proposals, tools and check lists for processing cost proposals, contact data, and other materials relating to the preparation and submission of the ICS web page of the National Business Center website at [www.nbc.gov/icshome.html](http://www.nbc.gov/icshome.html).

Disposition: TEMPORARY. Delete or update information within 60 days after it has become obsolete or out of date, as appropriate.

5301.4 Electronic Mail and Word Processing System Copies of Received and Generated by the ICS OFFICE. Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by this schedule, and electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

Disposition: TEMPORARY. Destroy or delete within 180 days after the recordkeeping copy has been produced, or when dissemination, revision or updating is completed, as appropriate.

# Crosswalk

## New OS Records Schedule

## Old OS Records Schedule

---

<b>1000 Administration, Planning and Performance</b>	<b>A. Office Administration (100)</b>
<b>1200 Strategic Planning &amp; Performance Assessment Files</b>	<b>B. Management and Planning (200)</b>
<b>1300 Management Improvement Files</b>	
<b>2000 Budget and Financial Management</b>	<b>C. Budget and Finance (300)</b>
<b>3000 Human Resources Management</b>	<b>D. Personnel (400)</b>
<b>4000 Information Management</b>	<b>I. Public Relations (900)</b>
<b>5000 Procurement and Property Management</b>	<b>E. Procurement and Property (500)</b>
<b>5301 Office of Indirect Cost Services (ICS) Files</b>	
<b>5301.1 ICS Customer Guidance Files</b>	
<b>5301.1a Final ICS Guidance Documents File</b>	
<b>5301.1b Draft ICS Guidance Documents File</b>	
<b>5301.2 Negotiated Agreement Files</b>	
<b>5301.2a 2710a. Signed Agreements Files</b>	
<b>5301.2a(1) Most Recent Agreements Files</b>	
<b>5301.2a(2) Superseded Agreements Files</b>	
<b>5301.2b Supporting Documentation File (Inactive Files)</b>	
<b>5301.3 ICS Internet Website Files</b>	
<b>501.4 Electronic Mail Processing System Copies Received and Generated by the ICS Office</b>	

**Not covered by old schedule.**

**6000 Law Enforcement and Security**

**F. Security and Law Enforcement  
(600)**

**7000 Legal and Legislative**

**H. Legal and Legislative (800)**

**8000 Audit and Investigation**

**G. Audit and Investigation (700)**

**9000 Office of the Secretary Programs**

**J. Research and Development  
(1000)**

**K. Program/Projects (1100)**