**REQUEST FOR RECORDS DISPOSITION AUTHORITY**  
*(See Instructions on reverse)*

| TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) |  
| WASHINGTON, DC 20408 |  

1. FROM (Agency or establishment)  
Department of the Interior

2. MAJOR SUBDIVISION  
U.S. Geological Survey

3. MINOR SUBDIVISION  
Office of Administrative Policy and Services

4. NAME OF PERSON WITH WHOM TO CONFER  
Carol Wippich

5. TELEPHONE  
(703) 648 - 7109

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

DATE  
JAN 25 2002

SIGNATURE OF AGENCY REPRESENTATIVE  
[Signature]

TITLE  
Records Management Officer

7. ITEM NO.  
See Attached.

8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION  
USGS General Records Disposition Schedule revision:  
Chapters 200, 300, & 400

9. GRS OR SUPERSEDED JOB CITATION  
See Attached.

10. ACTION TAKEN (NARA USE ONLY)  

The USGS representative has agreed to the withdrawal of the following from this job: items having existing disposition authorities, items covered by valid GRS authorities, or nonrecord items as defined in 36 CFR 1220.14. See the attached email dated 2/22/02.

201. Information Resources Management (IRM).

201-01. General IRM and Records Management Files.
General correspondence and other records relating to IRM and records management topics not otherwise covered in this schedule.
➢ Cut-off at the end of the fiscal year. Destroy 3 years after cut-off.

Policies and procedures pertinent to future and continuing actions for IRM and record management activities.
➢ Cut-off at the end of the fiscal year. Place in inactive file when canceled, superseded, or revoked. Destroy when no longer needed for reference purposes.

201-03. IRM and Records Management Reports.

201-03a. Miscellaneous reports pertaining to IRM and records management.
➢ Cut-off at the end of the fiscal year. Destroy 3 years after cut-off.

201-03b. Information Collection Budget Files.
Reports required by Office of Management and Budget (OMB) under the Paperwork Reduction Act regarding the number of hours the public spends fulfilling agency reporting requirements. Included are associated feeder reports, report exhibits, correspondence, directives, and statistical compilations.
➢ Cut-off at the end of the fiscal year. Destroy 7 years after cut-off.
Authority: GRS 16, Item 12

201-04. IRM and Records Management Feasibility Studies.
Studies conducted before the installation of any technology or equipment associated with information management systems, such as word processing, copiers, micrographics, and communications. Studies and systems analysis for the initial establishment and major changes of these systems. These studies typically include a consideration of the alternatives of the proposed system and cost benefit analysis of the improved efficiency and effectiveness to be expected from the proposed system.
➢ Destroy 5 years after completion or cancellation of the study.
Authority: GRS 16, Item 9

201-05. IRM and Records Management Program Files.
201-05a. Overall Records. Correspondence and related material pertaining to overall records and information management promotion and improvement programs.

- Cut-off at the end of the project. Destroy 6 years after cut-off.

201-05b. Records Management Filing Systems. Correspondence, handbooks, index or guides, and other material related to systems developed and prescribed by the USGS for the numbering and filing of correspondence, reports, publications, and other formats such as drawings, maps, field books, audio visual, electronic files, microfilm and directives.

- Permanent. Place in inactive file when superseded, canceled, or revoked. Cut-off inactive file at the end of the fiscal year. Transfer to the Federal Records Center (FRC) 10 years after cut-off. Transfers to the National Archives and Records Administration (NARA) 30 years after cut-off.

201-06. IRM and Records Management Oversight Files.

Correspondence and related materials pertaining to IRM and records management oversight. Includes, but not limited to, internal and/or external correspondence; records on areas of oversight (organized by subject); and general records relating to oversight responsibilities.

- Cut-off at the end of the fiscal year. Destroy when 5 years old or when no longer needed, whichever is later.

201-07. Computer Files.

201-07a. Bureau-level Software. Correspondence and related material pertaining to bureau-level software development, maintenance, and documentation. Includes, but is not limited to, software systems, software applications, and graphics software.

201-07a(1). Key Maintenance Information.

- Cut-off at the end of the fiscal year. Retain key maintenance information for the life of the system.

201-07a(2). Key System Documentation.

- Cut-off at the end of the fiscal year. Retain key system documentation for 5 years after the system is replaced.

201-07b. Hardware. Correspondence and related material pertaining to the physical equipment and components in a computer system. Includes, but is not limited to, mainframes, minicomputers, bureau backbone wide area networks (WAN), and local area networks (LAN)/WAN interface equipment at WAN sites.

201-07b(1). Key Maintenance Information.

- Cut-off at the end of the fiscal year. Retain key maintenance information for the life of the system.
201-07b(2). Key System Documentation.
➢ Cut-off at the end of the fiscal year. Retain key system documentation for 5 years after the system is replaced.

201-08. Computer and Network Operations and Maintenance Files.
Correspondence and related material pertaining to USGS office computer systems, technical operations, and maintenance. Includes, but is not limited to, system upgrade data and operational procedures.

201-08a. Key Maintenance Information.
➢ Cut-off at the end of the fiscal year. Retain key maintenance information for the life of the system.

201-08b. Key System Documentation.
➢ Cut-off at the end of the fiscal year. Retain key system documentation for 5 years after the system is replaced.

201-09. User Support and Liaison Files.
Correspondence and related material pertaining to user support and liaison. Includes computer user technical assistance, help files, establishing user support groups, articles for newsletters, user meetings data and notes, and technical notes.
➢ Cut-off at the end of the fiscal year. Destroy 3 years after cut-off.

201-10. Information Technology (IT) Security Data Files.
Security program assures that adequate security is provided for all bureauwide information collected, processed, transmitted, stored, or disseminated in general support systems, sensitive systems, and major application systems.

201-10a. Statements of Responsibility. Signed original to be filed on left side of the Official Personnel Folder.
➢ Destroy 1 year after separation or transfer of employee.

201-10b. Statements of Responsibility Reference Copies. Copies maintained by the local IT Security Officer.
➢ Destroy 1 year after separation or transfer of employee.

201-10c. Computer Security Incident Reports. Used to document and report all IT security incidents. Incidents involving physical and personnel complaints and violations are reported to the local IT Security Officer. Incidents involving IT resources that result in the loss of technology, fraud, compromise, or disclosure of sensitive material are reported to the Bureau IT Security Manager.
➢ Cut-off at the end of the fiscal year in which the incident occurs. Destroy 5 years after cut-off.
201-10d. Access to IT Systems. Documentation of requests for access, changes to access, deletions of users, and revocations.
   ➢ Destroy 1 year after separation or transfer of employee.

201-10e. Firewall Access Requests. Forms and supporting documentation for access through USGS firewalls to the USGS internal networks and systems.
   ➢ Cut-off at the end of the fiscal year upon termination of access. Destroy 1 year after cut-off.

201-10f. Secure Room Sign-in Sheets. Documentation showing authorized entry to a computer installation by individuals who are not directly involved in managing or operating the facility.
   ➢ Destroy 6 months after last entry on sign-in sheet.

201-10g. IT Security Plans. Plans providing an overview of the security and privacy requirements of a sensitive system or major application. The plans are designed to reduce the risk and magnitude of harm that could result from the loss, misuse, or unauthorized access to or modification of information to the system.
   ➢ Destroy when replaced by an updated plan.

201-10h. IT Contingency Plans. Site specific plans which document actions following a major disaster to ensure that all the IT resources needed for mission and business critical functions will be available.
   ➢ Destroy when replaced by an updated plan.

201-10i. Risk Assessments. Evaluation of the IT assets and vulnerabilities of a system, identification of potential threats to the system, and proposed safeguards for the systems.
   ➢ Destroy when replaced by an updated plan.

201-10j. Electronic Versions of IT Security Records Created by Electronic Mail and Word Processing Applications.
   ➢ Delete when file copy is generated and added to a recordkeeping system or when no longer needed for reference or updating.

202. Electronic Records

Covered are disposable electronic records created or received by the bureau, including those managed by contractors. It includes records created by computer operators, programmers, analysts, and systems administrators and all personnel with access to a computer. It covers certain master files, including some tables that are components of the database management systems, and certain files created from master files for specific purposes. It covers certain disposable electronic records produced by end users in office
automation applications. It does not cover any bureau major electronic records system.

202-01a. Electronic files or records created solely to test system performance, as well as hard-copy printouts and related documentation for the electronic files or records.

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

Authority: GRS 20, Item 1a

202-01b. Electronic files or records used to create or update a master file, including, but not limited to, work files, valid transaction files, and intermediate input/output records.

➤ Delete after information has been transferred to the master file and verified.

Authority: GRS 20, Item 1b

202-01c. Electronic files and hard-copy printouts created to monitor system usage, including, but not limited to, log-in files, password files, audit trail files, system usage files, and cost-back files used to assess charges for system use.

➤ Delete or destroy when no longer needed for administrative, legal, audit, or other operational purposes.

Authority: GRS 20, Item 1c


202-02a. Non-electronic documents or forms designed and used solely to create, update, or modify the records in an electronic medium and not required for audit or legal purposes, such as need for signatures, and not previously scheduled for permanent retention.

➤ Destroy after the information has been converted to an electronic medium and verified, or when no longer needed to support the reconstruction of, or serve as the backup to, the master file, whichever is later.

Authority: GRS 20, Item 2a

202-02b. Electronic records, except as noted in Item 202-02c, entered into the system during an update process and not required for audit or legal purposes.

➤ Delete when data have been entered into the master file or database and verified, or when no longer required to support reconstruction of, or serve as backup to, a master file or database, whichever is later.

Authority: GRS 20, Item 2b

202-02c. Electronic records received from another agency and used as input/source records by the bureau, excluding records produced by another agency under the terms of an interagency agreement, or records created by another agency in response to the specific information needs of the bureau.
Delete when data have been entered into the master file or database and verified, or when no longer needed to support reconstruction of, or serve as backup to, the master file or database, whichever is later.

Authority: GRS 20, Item 2c

202-02d. Computer files or records containing uncalibrated and unvalidated digital or analog data collected during observation or measurement activities or research and development programs and used as input for a digital master file or database.

Delete after the necessary data have been incorporated into a master file.

Authority: GRS 20, Item 2d

202-03. **Electronic Versions of Records Scheduled for Disposal.**

202-03a. Electronic versions of records scheduled for disposal in this schedule excluding those that replace or duplicate such items as the Employee Medical Folder.

Delete after the expiration of the retention period authorized for the disposable hard-copy file or when no longer needed, whichever is later.

Authority: GRS 20, Item 3a

202-03b. Electronic records that support administrative housekeeping functions when the records are derived from or replace hard-copy records authorized for destruction.

202-03b(1). When hard-copy records are retained to meet recordkeeping requirements.

Delete electronic version when no longer needed for administrative, legal, audit, or other operational purposes.

Authority: GRS 20, Item 3b(1)

202-03b(2). When the electronic record replaces hard-copy records that support administrative housekeeping functions.

Delete after the expiration of the retention period authorized for the hard-copy file, or when no longer needed, whichever is later.

Authority: GRS 20, Item 3b(2)

202-03b(3). Hard-copy printouts created for short-term administrative purposes.

Destroy when no longer needed for administrative, legal, audit, or other operational purposes.

Authority: GRS 20, Item 3b(3)

202-04. **Data Files Consisting of Summarized Information.**

Records that contain summarized or aggregated information created by combining data elements or individual observations from a single master file or database
that is disposable under this schedule, excluding data files that are created as
disclosure-free files to allow public access to the data which may not be
destroyed before securing NARA approval.

Delete when no longer needed for administrative, legal, audit, or other
operational purposes.

Authority: GRS 20, Item 4

NOTE: Data files consisting of summarized information which were created from a
master file or database that is unscheduled, or that was scheduled as permanent but no
longer exists or can no longer be accessed, may not be destroyed before securing NARA
approval.

202-05. Records Consisting of Extracted Information.
Electronic files consisting solely of records extracted from a single master file or
database that is disposable under Items 202-01 through 202-12. However,
extracts that are produced as disclosure-free files to allow public access to the
data or are produced from an extraction process which changes the
informational content of the source master file or database may not be
destroyed before securing NARA approval.

Delete when no longer needed for administrative, legal, audit, or other
operational purposes.

Authority: GRS 20, Item 5

NOTES: (1) Records consisting of extracted information that was created from a master
file or database that is unscheduled, or that was scheduled as permanent but no
longer exists or can no longer be accessed, may not be destroyed before securing NARA
approval. (2) See Item 202-12 of this schedule for other extracted data.

202-06. Electronic Print File.
Electronic file extracted from a master file or database without changing it and
used solely to produce hard-copy publications and/or printouts of tabulations,
ledgers, registers, and statistical reports.

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

Authority: GRS 20, Item 6

Electronic file consisting of data copied from a complete or master file or
database made for the specific purpose of information interchange and written
with varying technical specifications, excluding files created for transfer to the
NARA.

Delete when no longer needed for administrative, legal, audit, or other
operational purposes.

Authority: GRS 20, Item 7
202-08. **Electronic Security Backups of Files.**
Electronic copy, considered by the agency to be a Federal record, of the master copy of an electronic record or file and retained in case the master file or database is damaged or inadvertently erased.

202-08a. File identical to records scheduled for transfer to the NARA.
➤ Delete when the identical records have been captured in a subsequent backup file or when the identical records have been transferred to NARA and successfully copied.
Authority: GRS 20, Item 8a

202-08b. File identical to records authorized for disposal by NARA and included in this records schedule.
➤ Delete when the identical records have been deleted or when replaced by a subsequent backup file.
Authority: GRS 20, Item 8b

202-09. **Electronic Finding Aids or Indexes.**
Electronic indexes, lists, registers, and other finding aids used only to provide access to records authorized for destruction in this records schedule, excluding records containing abstracts or other information that can be used as an information source apart from the related records.
➤ Delete with related records or when no longer needed for administrative, legal, audit, or other operational purposes, whichever is later.
Authority: GRS 20, Item 9

202-10. **Electronic Special-Purpose Programs (Software) Necessary to Maintain Temporary Files.**
Application software necessary solely to use or maintain a master file or database authorized for disposal in this records schedule, excluding special-purpose software necessary to use or maintain any unscheduled master file or database or any master file or database scheduled for transfer to NARA.
➤ Delete when related master file or database has been deleted.
Authority: GRS 20, Item 10

202-11. **Electronic System Documentation.**

202-11a. Data systems specifications, file specifications, codebooks, record layouts, user guides, output specifications, and final reports, regardless of medium, relating to a master file or database that has been authorized for destruction by NARA.
➤ Destroy or delete when superseded or obsolete, upon authorized deletion of the related master file or database, or upon the destruction of the output of the system if the output is needed to protect legal rights, whichever is latest.
Authority: GRS 20, Item 11a
202-11b. Copies of records relating to system security, including records documenting periodic audits or review and recertification of sensitive applications, disaster and continuity plans, and risk analysis, as described in OMB Circular Number A-130.

➤ Destroy or delete when superseded or obsolete.

Authority: GRS 20, Item 11b

NOTES: (1) Documentation that relates to permanent or unscheduled master files and databases is not authorized for destruction. (2) See Item 202-01a of this schedule for documentation relating to system testing.

202-12. **Downloaded and Copied Data.**

Derived data and data files which are copied, extracted, merged and/or calculated from other data generated within the bureau when the original data are retained.

202-12a. Derived data used for ad hoc or one-time inspection, analysis, or review, if the derived data are not needed to support the results of the inspection, analysis, or review.

➤ Delete when no longer needed for administrative, legal, audit, or other operational purposes.

Authority: GRS 20, Item 12a

202-12b. Derived data which provide user access in lieu of hard-copy reports which are authorized for disposal.

➤ Delete when no longer needed for administrative, legal, audit, or other operational purposes.

Authority: GRS 20, Item 12b

202-12c. Metadata or reference data, such as format, range or domain specifications, which are transferred from a host computer or server to another computer for input, updating, or transaction processing operations.

➤ Delete from the receiving system or device when no longer needed for processing.

Authority: GRS 20, Item 12c

NOTE: See Item 202-05 for other extracted data.

202-13. **Word Processing Files.**

Documents such as letters, memoranda, reports, handbooks, directives, and manuals recorded on electronic media such as hard disks or floppy diskettes after they have been copied to an electronic recordkeeping system, paper, or microform for recordkeeping purposes.

➤ Delete from the word processing system when no longer needed for updating or revision.
Authority: GRS 20, Item 13

202-14. **Electronic Mail Records.**
Senders' and recipients' versions of electronic mail messages that meet the definition of Federal records and any attachments to the record messages after they have been copied to an electronic recordkeeping system, paper, or microform for recordkeeping purposes.
> Delete from the e-mail system after copying to a recordkeeping system.
Authority: GRS 20, Item 14

**NOTE:** Along with the message text, the recordkeeping system must capture the names of the sender and recipients and date (transmission data for recordkeeping purposes) and, when required, any receipt data.

202-15. **Tracking and Control Records.**
Logs, registers, and other records used to control or document the status of correspondence, reports, or other records that are authorized for destruction.
> Destroy or delete when no longer needed.
Authority: GRS 23, Item 8

202-16. **Data Verification and Quality Control Files not Described Elsewhere.**
Data verification documents the accuracy or factuality of data through a comparison process to the source data. Data sampling is a means of checking selected portions of data in a database to determine its quality level. Error detection involves comparing the data against the source documentation and comparing it with established data standards to determine if the data is in conformance with the standards. Documentation of the sampling and error detection activities consists of the date of action, steps taken, name of parties involved, summary of errors detected with an analysis of the errors, and the date corrective actions are taken.
> Destroy when no longer needed for audit or legal purposes, such as pending litigation.

203. **Telecommunications Files.**

203-01. **General Telecommunications Management Files.**
General correspondence and other records relating to communications management topics not otherwise covered in this schedule.
> Cut-off at the end of the fiscal year. Destroy 2 years after cut-off.

203-02. **Telecommunications Management Polices and Procedures Files.**
Policies and procedures pertinent to future and continuing actions for telecommunications management activities.
➤ Cut-off at the end of the fiscal year. Place in inactive file when canceled, superseded, or revoked. Destroy when no longer needed for reference purposes.

203-03. Telecommunications Management Reports.

203-03a. Miscellaneous reports pertaining to telecommunications management.
➤ Cut-off at the end of the fiscal year. Destroy 3 years after cut-off.

203-03b. Telecommunications statistical reports including cost and volume data.
➤ Destroy when 1 year old.

203-04. Telecommunications Voucher Files.

203-04a. Reference copies of telecommunications vouchers, bills, invoices, and related records (official budget copies are filed in Item 703-01).
➤ Destroy when 1 fiscal year old.
   Authority: GRS 12, Item 2d(1)

203-04b. Records relating to installation, change, removal, and servicing of equipment.
➤ Destroy 1 year after audit or when 3 years old, whichever is sooner.
   Authority: GRS 12, Item 2d(2)

203-04c. Copies of agreements with background data and other records relating to agreements for telecommunications services.
➤ Destroy 2 years after expiration or cancellation of agreement.
   Authority: GRS 12, Item 2e

203-05. Telecommunications Equipment Management Files.
Correspondence and related materials pertaining to the installation, operation, maintenance, and management of telecommunications equipment used for the transmission of voice and data signals over hard wire or via satellite. Includes such records as requirements for acquisition, usage, consolidation, disposition of equipment; leased facilities, equipment, or lines; frequency materials, line changes, traffic, and service reports; inventories; recurring charges; work orders; plans, and studies.
➤ Cut-off at the end of the fiscal year. Destroy 10 years after cut-off or if replaced before then, destroy 2 years after replacement.

203-06. Telecommunications Operational Files.

203-06a. Telecommunications message registers, logs, performance reports, daily load reports, and related or similar records.
203-06b.  Copies of telecommunications incoming and original copies of outgoing messages maintained by communications offices. Exclude copies maintained by the originating program office.
  ➢ Cut-off at the end of the fiscal year. Destroy when 2 years old.
  Authority: GRS 12, Item 3b

203-07.  Telephone Use (Call Detail) Records.
Telephone detail call records and facsimile transmissions.

203-07a.  Telephone listings of called telephone numbers, dates, and specifics of calls.

203-07a(1).  Computer-generated listings. Telephone call accounting data generated by the telephone system, automatically collected, and maintained on a standalone computer.
  ➢ Records maintained electronically are the official record. Delete when 3 years old.

203-07a(2).  Paper copies.
  ➢ Destroy when no longer needed.

203-07b.  Records relating to the location of telephones and records indicating assignment of employee telephone numbers. Included is Directory Service (includes telephone directories) that are maintained in electronic form. Include any records relating to the compilation of the directory service listings.
  ➢ The designated official electronic record copy of these records should be maintained for 1 year with accessibility to a back-up copy.

203-08.  Telephone Calling Card Records.

203-08a.  General records relating to the allocation, use, and distribution of agency telephone calling cards.
  ➢ Cut-off at the end of the fiscal year. Destroy 3 years after cut-off.

203-08b.  Lists or rosters showing the current allocation of agency telephone calling cards issued.
  ➢ Cut-off at the end of the fiscal year. Destroy 3 years after cut-off.

203-08c.  Case files relating to investigations of alleged lost, stolen, or misused telephone calling cards.
  ➢ Cut-off at the end of the fiscal year. Destroy 3 years after the close of the investigation.
203-09. Radio Communications Systems.

203-09a. Correspondence and related materials pertaining to the installation, operation, maintenance, and management of equipment used for direct communication, automation, or remote control of either voice or data transmissions. Includes, but not limited to, microwave, satellite systems, 2-way fixed or mobile radios, leased services, and cellular telephones.

➤ Cut-off at the end of the fiscal year. Destroy 2 years after cut-off.

203-09b. Lists or rosters showing the current allocation of agency radios.

➤ Cut-off at the end of the fiscal year. Destroy when 3 years old.

203-09c. Case files relating to investigations of alleged lost, stolen, or misused agency radios.

➤ Destroy 3 years after the close of investigation.

203-10. Radio Communications Files.

203-10a. Radio Frequency Authorization Files. Includes radio frequency authorizations and frequency use agreements. Authorizations and use agreements are reviewed every 5 years.

➤ Destroy when replaced by a new authorization/agreement.

203-10b. Radio Logs.

➤ Cut-off at the end of each month. Destroy 3 years after cut-off.

203-11. Supervisory Control and Data Acquisition Systems.
Correspondence and related materials pertaining to the installation, operation, and maintenance of equipment used in the supervision and control of USGS systems by either direct communication, automation, or remote control. Including, but not limited to, power line carrier current systems, supervisory control data acquisition systems, load frequency controls, water systems automation, fiber optics systems, and transfer trip systems.

203-11a. Key Maintenance Information.

➤ Cut-off at the end of the fiscal year. Retain key maintenance information for the life of the system.


➤ Cut-off at the end of the fiscal year. Retain key system documentation for 5 years after the system is replaced.

204. Year 2000 (Y2K) Files.
204-01. Y2K Policy and Planning Records.
Records created or approved by the agency head or by the heads of program offices that document efforts taken to identify potential problems, assess risks, and implement strategies for agency Y2K compliance and contingency. Records may include reports outlining overall strategies, project plans, risk assessments, system identification criteria, and summary progress reports.

204-01a. Recordkeeping copy maintained by USGS Headquarters Y2K Project Officer.
- Cut-off files at project completion. Transfer to FRC 2 years after cut-off.
  Destroy 10 years after cut-off.
  Authority: N1-57-02-01, Item 204-01a

204-01b. Site Y2K Project Office copy maintained for administrative purposes.
- Cut-off files at project completion. Destroy 3 years after cut-off.
  Authority: N1-57-02-01, Item 204-01b

204-01c. All other copies.
- Cut-off files at project completion. Destroy 3 years after cut-off.
  Authority: N1-57-02-01, Item 204-01c

204-02. Y2K Administrative Records.
Records associated with all administrative aspects of Y2K projects, including budgeting, resource allocation, logistics, unit level project management, feeder status and progress reports, status tracking documentation, system inventories, and related materials.
- Cut-off at the completion of the project. Destroy 3 years after cut-off.
  Authority: N1-57-02-01, Item 204-02

204-03. Implementation Records.
Records that document analyzing, modifying, testing, and verifying systems for Y2K compliance.

204-03a. Summary records of the analysis of actions taken for specific systems. These records may include configuration and design analyses, application of selection criteria, changes made to system, revisions or additions to systems documentation, and final reports or audits of system status. Typically document justifications to repair, retire, or replace system in relation to Y2K concerns.
- Cut-off files at the completion of the project. Destroy 10 years after cut-off.
  Authority: N1-57-02-01, Item 204-03a
204.03b. Detailed records of the revision, testing, and validation of a specific system or group of systems. May include listings of potential problems, test plans, test data, test procedures and results, final validation results, and quality assurance reviews.

➤ Cut-off files at the completion of the project. Destroy when 3 years old. Authority: N1-57-02-01, Item 204-03b

205. Paperwork Management Files.

205-01. Bureau Directives Files.

The USGS directives system is comprised of both temporary and permanent directives. Temporary directives are in effect for a short period of time. The USGS manual system is a permanent record of written policy and procedural instructions consisting of directives indexes, manual sections, manual supplements, handbooks, and handbook supplements. All Survey Manual (SM) issuances at the bureau, discipline, and regional level, with supporting documents, if any, document important aspects of development. These directives announce major changes in bureau policies and procedures. Also, included are all Departmental Manual issuances, developed by the bureau, that document the organizational structure of the USGS.

205-01a. Bureau Internal Directives Case Files. Record copy and supporting documentation of directive related to bureau program functions, organizations, etc., issued through the SM or discipline Operating Manuals, or organizational issuances published in the Departmental Manual. Maintained by the individual or staff responsible for directives control and distribution in the originating office.

☆ Permanent. Cut-off at the end of the fiscal year. Retire to FRC when volume exceeds at least 1 cubic foot. Transfer to NARA in 5-year blocks when 20 years old.

Authority: N1-57-89-1, Item 203-01a

205-01b. All other copies and issuances related to routine administrative functions (e.g., payroll, procurement, personnel, property, vehicles, budget, forms, reports, mail, and printing). Maintained by the originating office.

➤ Destroy when issuance is superseded, canceled, or no longer needed for reference. Destroy any supporting documentation when issuance is destroyed.

205-02. Bureau External Directives Case Files.

205-02a. Regulations Case Files.

Record copy of all regulations/notices published by the bureau to provide policy and procedural instructions relative to bureau programs. Includes supporting material documenting important aspects of developments as well as any external comments received. Internal comments are segregated from public comments.
Permament. Cut-off at the end of the fiscal year. Transfer to NARA in 5-year blocks when 20 years old.

205-02b. Federal Register Documents. Material that documents the development, clearance, and processing of proposed and final rulemaking for publication in the Federal Register as related to USGS activities. NOTE: Files on investigations which require extensive research projects or special geologic, geophysical, and engineering studies, etc., must be filed and disposed of in accordance with specific disposal instructions provided in this schedule for each feature, structure, etc. Subject-related correspondence, reports, and other material accumulated in the course of preparing input for replies to Congressional inquiries should be filed in the general of the functional series applicable to the subject of the inquiry and disposed per that classification.

➤ Cut-off at the end of the fiscal year. Destroy 5 years after rule was published.

205-02c. Federal Register Notices. Material documenting the processing of notices announcing committee meetings, including meetings open to the public under the Government in Sunshine Act (5 U.S.C. 552b(c)(3)); hearing and investigations; filing of petitions and applications; issuance or revocation of a license; grant application deadlines, the availability of certain environmental impact statements; delegations of authority; and other matters that are not codified in the Code of Federal Regulation. (See note below).

➤ Destroy when 1 year old.
  Authority: GRS 16, Item 13a

(Note: Agency files documenting the development, clearance, and processing of proposed and final rules for publication in the Federal Register are not covered by the General Records Schedules. These records may be, but are not necessarily, permanent. They must be scheduled individually by each agency so NARA can conduct an analysis and appraisal to determine their appropriate disposition.)


➤ Destroy when reference need expires.
  Authority: N1-57-89-1, Item 203-08c

205-02e. Semiannual Agenda.

205-02e(1). Information on rules scheduled for review or development during the subsequent 6-month period and on the status of those rules previously scheduled. This information is forwarded to the Office of Management and Budget for publication in the Federal Register.

➤ Destroy when no longer needed for reference.
  Authority: N1-57-87-2, Item 203-08d
205-03. Bureau Directives Management Program Files.
Correspondence and material accumulated as a result of managing the directives program established to develop internal policy and procedural instructions. Includes preparation, format, revision, clearance, publication, distribution, and sales of instructions and releases.
➤ Cut-off at the end of the fiscal year. Destroy when 2 years old.
Authority: GRS 16, Item 13b

205-04. Bureau Directives Index Database Files.
A database that provides an index to USGS temporary directives and used to locate sources of the USGS policy and information issued via the formal directive system.
➤ Delete after the expiration date of the temporary directive or when no longer needed, whichever is later.

205-05. Forms Case Files.
One record copy of each form created and approved for use by the bureau with related instructions and documentation concerning origin, purpose, scope, and justification of form. Maintained by the office issuing the form.

205-05a. One record Forms Master copy of each form created by the bureau with related instructions and documentation showing the inception, scope, and purpose of the form.
➤ Destroy 5 years after related form is discontinued, superseded, or canceled.
Authority: GRS 16, Item 3a

205-05b. Forms background materials, requisitions, specifications, processing data, and control records.
➤ Destroy when related forms are discontinued, superseded, or canceled.
Authority: GRS 16, Item 3b

205-05c. Bureau internal non-official forms, such as routing slips.
➤ Destroy when forms are discontinued, superseded, or canceled.

205-06. Records Disposition Files.
Descriptive inventories, disposal authorizations, schedules, and reports.

NOTE: Although this item has a temporary retention, it is suggested all documents under item 205-06a below be kept indefinitely for reference purposes.
205-06a. Documentation. Basic documentation of records description and disposition programs, including SF-115, Request for Records Disposition Authority; SF-135 and SF-135a, Records Transmittal and Receipt; SF-258, Agreement to Transfer Records to the National Archives of the United States; and related documentation.

205-06a(1). SF-115s that have been approved by NARA.
➢ Destroy 2 years after supersession. (See Note in Item 205-06 above.)
   Authority: GRS 16, Item 2a(1)

205-06a(2). Other records.
➢ Destroy 6 years after the related records are destroyed or transferred to NARA, whichever is applicable. (See Note in Item 205-06 above.)
   Authority: GRS 16, Item 2a(2)

205-06b. Extra copies and routine correspondence and memoranda.
➢ Destroy when no longer needed for reference.
   Authority: GRS 16, Item 2b

205-07. Records Holding Files.
Statistical reports of agency holdings, including feeder reports from all offices and data on the volume of records disposed of by destruction and transfer.

205-07a. Records held by offices that prepare reports on agencywide records holdings.
➢ Cut-off at the end of the fiscal year. Destroy when 3 years old.
   Authority: GRS 16, Item 4a

205-07b. Records held by other offices.
➢ Destroy when 1 year old.
   Authority: GRS 16, Item 4b

205-08. Reports Control Files.
Case files maintained for each bureau report created or proposed, including public-use reports. Included are clearance forms, including SF-83; copies of pertinent forms or descriptions of format; copies of authorizing directives; preparation instructions; and documents relating to the evaluation, continuation, revision, and discontinuance of reporting requirements.
➢ Destroy 2 years after the report is discontinued.
   Authority: GRS 16, Item 6

205-09. Microform Inspection Records.

205-09a. Bureau copy of inventories, logs, and reports documenting the inspection of permanent microform records, as required by 36 CFR Part 1230.
Destroy 1 year after the records are transferred to NARA.
Authority: GRS 16, Item 10a

205-09b. Bureau copy of inventories, logs, and reports documenting the
inspection of temporary microform records, as recommended by 36 CFR Part
1230.
➢ Destroy when 2 years old or when superseded, whichever is later.
Authority: GRS 16, Item 10b

Inventories of vital records data, relating to the identification and protection of
records vital to the operation of USGS during emergencies or which protect
the legal or financial rights of individuals or the Federal Government.
Inventories cite the cycle during which the vital records data will be refreshed.
Updates to the inventory should occur as necessary to keep the inventory
current. The entire inventory should be reviewed and revised at least once
every six years.
➢ Destroy and replace with current inventories as superseded, or when 6
years old, whichever is sooner.


Electronic copies of records that are created on electronic mail, spreadsheet, and
word processing systems and used solely to generate a recordkeeping copy of
the records covered by the other items in this chapter. Also includes
electronic copies of records created on electronic mail, spreadsheet, and word
processing systems that are maintained for updating, revision, or
dissemination.

206-01a. Copies that have no further administrative value after the
recordkeeping copy is made. Includes copies maintained by individuals in
personal files, personal electronic mail directories, or other personal directories on
hard disk or network drives and copies on shared network drives that are used
only to produce the recordkeeping copy.
➢ Destroy/delete within 180 days after the recordkeeping copy has been
produced.

206-01b. Copies used for dissemination, revision, or updating that are
maintained in addition to the recordkeeping copy.
➢ Destroy/delete when dissemination, revision, or updating is completed.
300. Administrative Support Records.

301. Management Control Records.

301-01. Management Control Records.
Records created in accordance with procedures mandated by the Office of Management and Budget (OMB) Circular A-123, Internal Control Systems, and Public Law 97-255, the Federal Managers' Financial Integrity Act. Under these authorities, agencies are required to perform evaluations of their accounting and administrative controls to prevent waste, fraud, and mismanagement.

301-01a. Policy, procedure, and guidance files. Copies of internal directives maintained by the agency's internal control staff (but not those copies maintained in the agency's official file of internal directives); external directives such as OMB Circular A-123; and correspondence outlining policy and procedure for performing management reviews.

➢ Destroy when superseded, obsolete, or no longer needed.
   Authority: GRS 16, Item 14a

301-01b. Management control plans. Comprehensive plans documenting the agency's efforts to ensure compliance with OMB Circular A-123.

➢ Destroy when superseded
   Authority: GRS 16, Item 14b

301-01c. Risk analyses. Reports and supporting materials used to document review of program areas for susceptibility to loss or unauthorized use of resources, errors in reports and information, and illegal and unethical actions.

➢ Cut-off closed files at the end of the fiscal year. Destroy after next review cycle.
   Authority: GRS 16, Item 14c

301-01d. Annual reports and assurance statements created by USGS organizational components and compiled by the USGS into a single unified report for direct submission to the President and Congress.

➢ Cut-off closed files at the end of the fiscal year. Destroy after next reporting cycle.
   Authority: GRS 16, Item 14d

301-01e. Tracking files. Files used to ensure the completion and timeliness of submission of feeder reports, including schedules of evaluations, interim reporting, lists of units required to report, and correspondence relating to the performance of the reviews.

➢ Destroy 1 year after report is completed.
   Authority: GRS 16, Item 14e
301-01f. Review files. Correspondence, reports, action copies of audit findings, and other records that identify program internal control weaknesses, and corrective actions taken to resolve such problems. Since OMB Circular A-123 provides for alternative internal control reviews under OMB Circulars A-76, A-127, or A-130, this item also applies to copies of these reviews, provided they are identified as alternative reviews in the management control plan.

301-01f(1). Review files maintained by office with responsibility for coordinating internal control functions.
- Cut-off when no further corrective action is necessary. Destroy 5 years after cut-off.

Authority: GRS 16, Item 14f(1)

301-01f(2). Copies maintained by other offices as internal reviews.
- Cut-off when no further corrective action is necessary. Destroy 1 year after cut-off.

Authority: GRS 16, Item 14f(2)

NOTE: Alternative reviews such as computer security reviews and management and consultant studies should be cut-off when no further corrective action is necessary. They should be destroyed when no longer needed. This applies only to copies maintained as internal reviews.

302. USGS.GOV Web Site.
The USGS website is a highly complex site with many sub-sites and sub-sub-sites emerging. It contains ephemeral bulletin board postings, official agency publications, original materials not captured elsewhere in the recordkeeping systems, and other USGS business created interactively in real time.

302-01. USGS.GOV Web Content.

302-01a. Records that contain web site change requests from the USGS webmasters and USGS leadership, and all clearances.
- Cut-off at the end of the fiscal year. Destroy when 2 years old or when no longer needed, whichever is later.

302-01b. Electronic records that contain USGS.GOV web site migration documentation, i.e., date and time of migration, list of change items, and steps for conducting the migration from the proof server to the production server.
- Cut-off at the end of the fiscal year. Destroy when 2 years old or when no longer needed, whichever is later.
302-01c. Electronic records that contain all comments and feedback from web site users. There is also another set of reports that contains utilization statistics on the web site, and other reports on the Internet at USGS.

➤ Cut-off at the end of the fiscal year. Destroy when 2 years old or when no longer needed, whichever is later.

302-01d. USGS.GOV Web Site Electronic Code. Electronic code (HTML, etc.) that contains the information to produce the USGS.GOV website at any given point in time.

➤ Current code is superseded on an ongoing basis as new information is put on the website. The code will be deleted when no longer needed for agency business.

302-02. USGS.GOV Servers.

302-02a. Correspondence, records, and related materials pertaining to information on the location of servers, technical operation, maintenance, system upgrade data, and operational procedures for USGS.GOV web servers located throughout the USGS.

➤ Cut-off at the end of the fiscal year. Destroy when superseded, obsolete, or no longer needed.

302-02b. Software. Correspondence and any related material pertaining to such things as the software programs, systems, and applications used in support of the USGS.GOV websites.

➤ Cut-off at the end of the fiscal year. Destroy 1 year after software is no longer being used in support of the USGS.GOV websites.

302-02c. Accessibility Issues. Correspondence and any related material pertaining to compliance to rules and regulations such as the Assistive Technology Act of 1998 and the Web Accessibility Initiative of the World Wide Web Consortium (W3C) to ensure that the USGS.GOV website is accessible by all users, including disabled and handicapped users.

➤ Cut-off at the end of the fiscal year. Destroy when superseded, obsolete, or no longer needed.

302-02d. Correspondence and related materials pertaining to the physical equipment and components in the computer system housing USGS.GOV websites or used in its daily activities.

➤ Cut-off at the end of the fiscal year. Retain for the life of the system.

302-03. USGS.GOV Security.

302-03a. Correspondence and related materials showing requests for access, changes to access, deletion of users, and revocations of users to the USGS.GOV web sites.

➤ Destroy 1 year after separation or transfer of employee or when superseded or obsolete.

302-03b. Correspondence, announcements, flyers, warnings, and related materials
pertaining to potential or ongoing security incident reports. Examples include incidents involving hacking, virus attacks, and security violations that threaten the USGS.GOV website.

- Cut-off at the end of the fiscal year. Destroy 3 years after cut-off.

302-03c. USGS.GOV Security Plans. Plans providing an overview of the security and privacy requirements of the USGS.GOV website. The plans are designed to reduce the risk and magnitude of harm that could result from the loss, misuse, or unauthorized access to or modification of information to the site. Forms and supporting documentation showing use of firewalls to protect the data and information on the USGS.GOV website.

- Destroy when replaced by an updated plan.

302-03d. USGS.GOV Contingency Plans. Specific plans which document actions following a major disaster to the USGS.GOV website to ensure that resources needed for mission and business critical functions will be available.

- Destroy when replaced by an updated plan.

302-03e. Firewall Actions. Also, if applicable, any forms and supporting documentation for access through the USGS firewalls to the USGS.GOV website.

- Cut-off at the end of the fiscal year. Destroy 1 year after cut-off or when superseded, obsolete, or no longer needed.

302-03f. Risk Assessments. Evaluation of the USGS.GOV assets and vulnerabilities and identification of potential threats to the web site; and proposed safeguards for the site.

- Destroy when replaced by an updated assessment.

302-03g. Online Ordering of USGS products. Records relating to the security of e-commerce sites on the USGS.GOV website. Includes standards information on security, bureau guidelines, and any other pertinent information related to the site.

- Cut-off at the end of the fiscal year. Destroy when superseded, obsolete, or no longer needed.

302-04. USGS.GOV Policies and Reports.

302-04a. Management reports, performance reports, logs, registers, daily load reports, and related or similar reports pertaining to the USGS.GOV web sites.

- Cut-off at the end of the fiscal year. Destroy when 3 years old or when no longer needed, whichever is later.

302-04b. User Support and Liaison. Correspondence and related material pertaining to user support and liaison. Included are web site user technical assistance, help files, and technical notes.

- Cut-off at the end of the fiscal year. Destroy when superseded, obsolete, or no longer needed.
302-04c. USGS.GOY Policy and Planning Records. Records created or approved by the USGS leadership or designated officials that document efforts taken to identify strategies, plans, criteria, etc. for improvements or upgrades of the USGS.GOY web site. Examples are search engine planning and USGS.GOY design planning.
   ➢ Cut-off at the end of the fiscal year. Place in inactive file when canceled, superseded, or revoked. Destroy when no longer needed for reference purposes.

302-05. USGS.GOY Files.

302-05a. Correspondence, handbooks, guidelines, and other instructional material related to the publication of USGS information on the USGS.GOY websites. Included are such things as visual identity instructions and guidelines, bureau guidelines for presenting USGS data, guidelines for serving information from web servers, web accessibility, and privacy and disclaimer statements.
   ➢ Cut-off at the end of the fiscal year. Destroy when superseded, obsolete, or replaced by an update.

302-05b. USGS.GOY General Files. Correspondence of a general nature pertaining to the USGS.GOY website (internal or external web sites), bureau web use and etiquette, and other related items not found anywhere else in this schedule.
   ➢ Cut-off at the end of the fiscal year. Destroy when 2 years old or when no longer needed, whichever is later.

303. Mail, Messenger, and Distribution Files.

303-01. Messenger Service Files.
   Daily logs, assignment records and instructions, dispatch records, delivery receipts, route schedules, and related records.
   ➢ Destroy when 2 months old.
   Authority: GRS 12, Item 1

   Post Office and private mail company forms and supporting papers, exclusive of records held by the United States Postal Service.

   303-02a. Records relating to incoming or outgoing registered mail pouches, registered, certified, insured, overnight, express, and special delivery mail including receipts and return receipts.
   ➢ Destroy when 1 year old.
   Authority: GRS 12, Item 5a

   303-02b. Application for registration and certification of declared value mail.
   ➢ Destroy when 1 year old.
   Authority: GRS 12, Item 5b
303-02c. Reports of loss, rifling, delayed, wrong delivery, or other improper treatment of mail.
   ➢ Destroy when 1 year old.
   Authority: GRS 12, Item 5c

303-03. Mail and Delivery Service Control Files.

303-03a. Records of receipt and routing of incoming and outgoing mail and items handled by private delivery companies such as the United Parcel Service, excluding both those covered by Item 303-02 and those used as indexes to correspondence files.
   ➢ Destroy when 1 year old.
   Authority: GRS 12, Item 6a

303-03b. Statistical reports of postage used on outgoing mail and fees paid for private deliveries (special delivery, foreign, registered, certified, and parcel post or packages over 4 pounds).
   ➢ Destroy when 6 months old.
   Authority: GRS 12, Item 6b

303-03c. Requisitions for stamps (exclusive of copies used as supporting documents to payment vouchers).
   ➢ Destroy when 6 months old.
   Authority: GRS 12, Item 6c

303-03d. Statistical reports and data relating to handling of mail and volume of work performed.
   ➢ Destroy when 1 year old.
   Authority: GRS 12, Item 6d

303-03e. Records relating to checks, cash, stamps, money orders, or any other valuables remitted to the USGS by mail.
   ➢ Destroy when 1 year old.
   Authority: GRS 12, Item 6e

303-03f. Records of and receipts for mail and packages received through the official mail and messenger service.
   ➢ Destroy when 6 months old.
   Authority: GRS 12, Item 6f

303-03g. General files including correspondence, memoranda, directives, and guides relating to the administration of mail room operations.
   ➢ Destroy when 1 year old or when superseded or obsolete, whichever is applicable.
   Authority: GRS 12, Item 6g
303-03h. Locator cards, directories, indexes, and other records relating to mail delivery to individuals.
   ➢ Destroy 5 months after separation or transfer of individual or when obsolete, whichever is applicable.
   Authority: GRS 12, Item 6h

303-04. Metered Mail Files.
   Official metered mail reports and all related papers.
   ➢ Destroy when 6 years old.
   Authority: GRS 12, Item 7

303-05. Postal Irregularities Files.
   Memoranda, correspondence, reports, and other records relating to irregularities in the handling of mail, such as loss or shortage of postage stamps or money orders, loss or destruction of mail, or evidence of tampering.
   ➢ Destroy 3 years after completion of investigation.
   Authority: GRS 12, Item 8

304. Travel and Transportation Files.
   Originals should be filed in the office responsible for paying the voucher. Copies of records may also be cross-filed in the bureau, discipline, division, or office budget and accounting files if expenditure or receipt of funds is involved within their area.

304-01. Commercial Freight and Passenger Transportation Files.

   304-01a. Original vouchers and supporting documents covering commercial freight and passenger transportation charges of settled fiscal accounts, including registers and other control documents (except for those in 304-01b).
   ➢ Destroy 6 years after the period of the account.
   Authority: GRS 9, Item 1a

   304-01b. Records covering payments for commercial freight and passenger transportation charges for services for which (1) notice of overcharge has been or is expected to be issued, or if a rail freight overpayment is involved, (2) deduction or collection action has been taken, (3) voucher contains inbound transit shipment(s), (4) parent voucher has print of paid supplemental bill associated, (5) the voucher has become involved in litigation, or (6) any other condition arises that prevents the settling of the account, requiring the voucher to be retained beyond the 6-year retention period, such as detection of overcharge.
   ➢ Destroy when 10 years old.
   Authority: GRS 9, Item 1b
304-01c. Issuing office copies of government or commercial bills of lading, commercial passenger transportation vouchers, and transportation requests, travel authorizations, and supporting documents.
   ➢ Destroy 6 years after period of the account.
      Authority: GRS 9, Item 1c

304-01d. Obligation copy of commercial passenger transportation vouchers.
   ➢ Destroy when funds are obligated.
      Authority: GRS 9, Item 1d

304-01e. Unused ticket redemption forms.
   ➢ Destroy 3 years after the year in which the transaction is completed.
      Authority: GRS 9, Item 1e

304-02. Lost or Damaged Shipments Files.
Schedules of valuables shipped, correspondence, memoranda, reports, and other records relating to the administration of the Government Losses in Shipment Act.
   ➢ Destroy when 6 years old.
      Authority: GRS 9, Item 2

304-03. Foreign Travel Records.
Forms, reports, briefing statements, correspondence, and other records created for programmatic, national security, or personal reasons.

304-03a. Records related to travel to foreign countries for programmatic reasons.
   ➢ Cut-off at the end of the fiscal year. Destroy 7 years after cut-off.

304-03b. Routine administrative records relating to foreign travel, including notices, memorandums, reports, and informational memorandums, not covered elsewhere in this schedule.
   ➢ Cut-off at the end of the fiscal year. Destroy when 2 years old.

304-04. Non-Commercial, Reimbursable Travel Files.
Copies of records relating to reimbursing individuals, such as travel orders, per diem vouchers, and all other supporting documents relating to official travel by employees, dependents, or others authorized by law to travel.

304-04a. Travel administrative office files.
   ➢ Destroy when 6 years old.
      Authority: GRS 9, Item 3a

304-04b. Obligation copies.
   ➢ Destroy when funds are obligated.
      Authority: GRS 9, Item 3b
304-05. General Travel and Transportation Files.

304-05a. Routine administrative records including correspondence, forms, and related records pertaining to commercial and non-commercial agency travel and transportation and freight functions not covered elsewhere in this schedule.
   ➢ Destroy when 2 years old.
   Authority: GRS 9, Item 4a

304-05b. Accountability records including individual employee travel case files, containing copies of per diem vouchers and related receipts, maintained by other offices such as field offices, for accountability purposes.
   ➢ Destroy 1 year after all entries are cleared.
   Authority: GRS 9, Item 4b

304-06. Non-Federally Funded Travel Files.

304-06a. Agency copies of Semiannual Expense Reports for Non-Federally Funded Travel submitted by all Executive Branch agencies to the Office of Government Ethics. Reports summarize payments made to the agency from non-Federal sources for travel, subsistence, and related expenses for an employee who attends a meeting or similar function relating to official duties.
   ➢ Destroy when 4 years old.
   Authority: GRS 9, Item 6a

304-06b. Statements, forms, and other records used to compile Semiannual Expense Reports for Non-Federally Funded Travel.
   ➢ Destroy 1 year after submission of report to the Office of Government Ethics.
   Authority: GRS 9, Item 6b

Documents in either paper or electronic form relating to the disbursement of transportation subsidies to employees, including applications of employees no longer in the program, superseded applications, certification logs, vouchers, spreadsheets, and other forms used to document the disbursement of subsidies.
   ➢ Destroy when 3 years old.
   Authority: GRS 9, Item 7

304-08. Records Relating to Official Passports.

304-08a. Application Files. Documents relating to the issuance of official passports, including requests for passports and transmittal letters.
   ➢ Destroy when 3 years old or upon separation of the bearer, whichever is sooner.
   Authority: GRS 9, Item 5a
NOTE: Official passports should be returned to the Department of State upon expiration or upon the separation of the employee.

304-08b. Annual reports, to the Department of State, concerning the number of official passports issued and related matters.
- Destroy when 1 year old.
  Authority: GRS 9, Item 5b

304-08c. Passport registers. Registers and lists of agency personnel who have official passports.
- Destroy when superseded or obsolete.
  Authority: GRS 9, Item 5c

305. Self-Service Store Operations Files.

305-01. Plant, Cost, and Stores General Correspondence Files.
Correspondence files of units responsible for plant, cost, and stores accounting operations.
- Destroy when 3 years old.
  Authority: GRS 8, Item 1

305-02. Stores Invoice Files.
Invoices or equivalent papers used for stores accounting, including receiving reports.
- Destroy when 3 years old.
  Authority: GRS 8, Item 2

305-03. Inventory Requisition Files.
Requisitions for supplies and equipment for current inventory.

305-03a. Stockroom copy.
- Destroy 2 years after completion or cancellation of requisition.
  Authority: GRS 3, Item 8a

305-03b. All other copies.
- Destroy when 6 months old.
  Authority: GRS 3, Item 8b

305-04. Inventory Files.

305-04a. Inventory Lists.
- Destroy 2 years from date of list.
  Authority: GRS 3, Item 9a

305-04b. Inventory Cards.
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.

Authority: GRS 3, Item 9b

305-04c. Report of survey files and other papers used as evidence for adjustment of inventory records, not otherwise covered in this schedule.

- Destroy 2 years after date of survey action or date of posting medium.

Authority: GRS 3, Item 9c

305-05. Stores Accounting Files.
Stores accounting returns and reports.

- Destroy when 3 years old.

Authority: GRS 8, Item 3

305-06. Stores Accounting Background Files.
Working files used in accumulating stores accounting data.

- Destroy when 2 years old.

Authority: GRS 8, Item 4

305-07. Cost Accounting Reports.

305-07a. Copies in units receiving reports.

- Destroy when 3 years old.

Authority: GRS 8, Item 6a

305-07b. Copies in reporting units, and related work papers.

- Destroy when 3 years old.

Authority: GRS 8, Item 6b

305-08. Cost Report Data Files.
Ledgers, forms, and electronic records used to accumulate data for use in cost reports.

305-08a. Ledgers and forms.

- Destroy when 3 years old.

Authority: GRS 7, Item 7a

305-08b. Automated records.

305-08b(1). Detail cards.

- Destroy when 6 months old.

Authority: GRS 7, Item 7b(1)

305-08b(2). Summary cards.

- Destroy when 6 months old.
305. Tabulations.

305-08b(3). Destroy when 1 year old.

Authority: GRS 7, Item 7b(3)

305-09. Stores Control Files.
Forms and work papers documenting loans and returns.

Destroy when property is returned to stock.

305-10. Self-Service Store Operations General Files.
Routine administrative records including any correspondence or announcements relating to bureau self-service store stock, operations, or other areas not covered elsewhere in this schedule.

Cut-off at the end of the fiscal year. Destroy when 2 years old or when no longer needed, whichever is later.

306. Internal and External Audits.

306-01. Audit Files.

306-01a. Audit Case Files.
Case files of internal audits of agency programs, operations, administrative and technical procedures reviews, and other reviews of USGS programs and of external audits of contractors and grantees. Consists of the official audit reports, correspondence, memoranda, and supporting working papers maintained by the office conducting the audit, review, or evaluation. Also, includes records created by streamlining and other teams established to evaluate processes and procedures.

Cut-off at the end of the fiscal year in which case is closed. Destroy 8 years after cut-off.

306-01b. All other copies.
Cut-off at the end of the fiscal year. Destroy when no longer needed for reference value.

Employee reports of contacts or meetings with Inspector General personnel, including contact report forms or memorandums, and related correspondence.

Cut-off at the end of the fiscal year. Destroy 3 years after cut-off.

306-03. General Audit Files.
Routine administrative records including correspondence and related records pertaining to bureau internal or external audits or inspector general information, not covered elsewhere in this schedule.
Cut-off at the end of the fiscal year. Destroy when 2 years old or when no longer needed, whichever is later.


Paper and/or electronic copies of calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities by Federal employees while serving in the positions of bureau Director, Deputy Director, Regional Directors, Associate Directors, and may include other high-level bureau personnel who report to the Director or Deputy Director. Files should not include materials determined to be personal or non-record.

307-01a. Records containing substantive information relating to official activities, the substance of which has not been incorporated into official files, excluding records relating to the official activities of high government officials (see 307-01c below).
➢ Destroy or delete when 2 years old.
  Authority: GRS 23, Item 5a

307-01b. Records documenting routine activities containing no substantive information and records containing substantive information, the substance of which has been incorporated into organized files.
➢ Destroy or delete when no longer needed.
  Authority: GRS 23, Item 5b

307-01c. Records containing substantive information relating to the official activities of high-level officials, the substance of which has not been incorporated in the official files. High-level bureau officials include the Director, Deputy Director, and other high-level USGS officials who report to the Director or Deputy Director.
.icons
Permanen. Cut-off at the end of the calendar year. Offer to NARA 4 years after cut-off or immediately upon leaving position.
  Authority: NC1-57-89-1, Item 102-04c

308. Administrative Databases and Electronic Spreadsheets.

308-01. Administrative Databases.
Databases that support administrative or housekeeping functions, containing information derived from hard-copy records authorized for destruction herein.

308-01a. When hard-copy records are retained in order to meet recordkeeping requirements.
➢ Delete information from the database when no longer needed.
308-01b. When the database takes the place of hard-copy records.
   ➢ Delete after the expiration of the retention period authorized for the hard-copy
      file, or when no longer needed, whichever is later.

308-01c. Hard-copy printouts created for short-term administrative purposes.
   ➢ Destroy when no longer needed.

308-02. Electronic Spreadsheets.
   Electronic spreadsheets generated to support administrative functions or generated by an
   individual as background materials or feeder reports.

308-02a. When used to produce hard-copy that is maintained in organized files.
   ➢ Delete when no longer needed to update or produce hard-copy.

   Authority: GRS 20, Item 15a

308-02b. When maintained only in electronic form.
   ➢ Delete after the expiration of the retention period authorized for the hard-copy.
   If the electronic version replaces hard-copy records with differing retention periods and
   agency software does not readily permit selective deletion, delete after the longest
   retention period has expired.

   Authority: GRS 20, Item 15b

309. Records Common to Most Offices.

309-01. Files Maintenance and Disposition Plans.
   Documents that reflect file categories, disposal instructions, and other information about
   the files accumulated at an individual file station.
   ➢ Destroy upon receipt of a revised plan or discontinuance of the plan.

309-02. Reading or Chronological Files.
   Extra copies of correspondence prepared and maintained by the originating office used
   solely as a reading or reference file for the convenience of personnel.
   ➢ Cut-off at the end of the fiscal year. Destroy 1 year after cut-off or after
      reference value has been exhausted, whichever is sooner.

309-03. Policy and Precedent Reference Files.
   Copies of documents, establishing policy or precedents pertinent to future and continuing
   actions, are filed here. Normally, policy and precedent files are maintained at
   operating levels and consist of extra copies of operating procedures, statements of
   policy or procedure, examples of typical cases, and other documents duplicated in
   official files. Original or official record copies will not be placed in this file. This
   file consists of non-official copies maintained only for convenience of reference such
   as USGS policy memorandums or a copy of the USGS Strategic Plan.
   ➢ Destroy when organizational unit is discontinued or when documents become
      obsolete or are no longer needed for operating or reference purposes.

   (NONRECORD)
309-04. **Temporary Files.**

Papers, transmittal letters, and quasi-official notices of short-term interest that have no documentary or evidential value and normally need not be kept more than 90 days.

- Cut-off monthly. Destroy 3 months after cut-off.

309-05. **Routine Tracking and Control Files.**

Hard copy or electronic copy of records and/or papers used to facilitate or control work in progress, such as job control records, status cards, routing slips, work processing sheets, and records that control work flow and record action taken or serve as receipts for records charged out.

- Destroy or delete when 2 years old, or 2 years after the date of the latest entry, whichever is applicable.

Authority: GRS 23, Item 8

309-06. **Agency Directives and Publications – Reference and/or Circulating Copies.**

Extra copies, either received electronically or on paper, of local internal and external regulations, directives, and publications; bureau and Department of the Interior manual releases, bulletins, circulars, pamphlets, and public relations material, are filed here. Examples to include, but not limited to, USGS Survey Manual Chapters, the USGS Yearbook, or a copy of the USGS Customer Service Plan.

- Keep copies at minimum necessary for official reference use. Destroy when 2 years old, or when superseded, obsolete, or no longer needed for reference.

(NONRECORD)

309-07. **Administrative Announcements.**

Includes bureau, regional, and discipline all employee memorandums and similar announcements. These are issuances used for short-term guidance and information on policy or changes concerning operating procedures.


- Destroy in agency when superseded or obsolete.

Authority: NC1-57-81-2, Item 4a

309-07b. All other offices.

- Destroy in agency when no longer needed for reference.

Authority: NC1-57-81-2, Item 4b

309-08. **Directives and Publications of Other Government Agencies.**


- Destroy when superseded, obsolete, or, when in the case of bound volumes, when not needed for library purposes. (NONRECORD)
309-04. Temporary Files.
Papers, transmittal letters, and quasi-official notices of short-term interest that have no
documentary or evidential value and normally need not be kept more than 90 days.
➢ Cut-off monthly. Destroy 3 months after cut-off.

309-05. Routine Tracking and Control Files.
Hard copy or electronic copy of records and/or papers used to facilitate or control work in
progress, such as job control records, status cards, routing slips, work processing
sheets, and records that control work flow and record action taken or serve as receipts
for records charged out.
➢ Destroy or delete when 2 years old, or 2 years after the date of the latest entry,
whichever is applicable.
Authority: GRS 23, Item 8

Extra copies, either received electronically or on paper, of local internal and external
regulations, directives, and publications; bureau and Department of the Interior
manual releases, bulletins, circulars, pamphlets, and public relations material, are
filed here. Examples to include, but not limited to, USGS Survey Manual Chapters,
the USGS Yearbook, or a copy of the USGS Customer Service Plan.
➢ Keep copies at minimum necessary for official reference use. Destroy when 2 years
old, or when superseded, obsolete, or no longer needed for reference.
(NONRECORD)

309-07. Administrative Announcements.
Includes bureau, regional, and discipline all employee memorandums and similar
announcements. These are issuances used for short-term guidance and information on
policy or changes concerning operating procedures.

➢ Destroy in agency when superseded or obsolete.
Authority: NC1-57-81-2, Item 4a

309-07b. All other offices.
➢ Destroy in agency when no longer needed for reference.
Authority: NC1-57-81-2, Item 4b

Copies of such things as Congressional documents, Office of Management and Budget
Circulars, Code of Federal Regulations, Federal Register notices, General Services
and Administration publications.
➢ Destroy when superseded, obsolete, or, when in the case of bound volumes,
when not needed for library purposes. (NONRECORD)
Publications of commercial firms, private institutions, and vendors, including catalogs, brochures, price lists, and similar publications. Arrangement as appropriate. This material should not be kept in the office files.
➤ Destroy when superseded or obsolete. (NONRECORD)

Correspondence and material related to the collection, indexing, cataloging, filing, retrieving, and disseminating of library reference material.
➤ Cut-off at the end of the fiscal year. Destroy 3 years after cut-off.

Reference circulating copies of books, pamphlets, journals, catalogues, and similar materials. Arrangement as appropriate. This material should not be kept in the office files.
➤ Destroy when superseded, obsolete, or no longer needed for reference. Refer items of potential value to librarian for disposition. (NONRECORD)

309-12. Office Administrative Files.
Only for records not covered elsewhere in this schedule. Consists of correspondence, reports, forms, and other materials of a general nature on a wide variety of subjects.
➤ Cut-off at the end of the fiscal year. Destroy when 2 years old or earlier if purpose has been served.
Authority: NC1-57-81-2, Item 1


➤ Destroy 6 years after expiration of delegation.
Authority: NC1-57-84-4, Item 03a

309-13b. All other offices.
➤ Destroy upon expiration.
Authority: NC1-57-84-4, Item 03b


Electronic copies of records that are created on electronic mail, spreadsheet, and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this chapter. Also includes electronic copies of records created on electronic mail, spreadsheet, and word processing systems that are maintained for updating, revision, or dissemination.
310-01a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives and copies on shared network drives that are used only to produce the recordkeeping copy.

➢ Destroy/delete within 180 days after the recordkeeping copy has been produced.

310-01b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

➢ Destroy/delete when dissemination, revision, or updating is completed.

401. Personnel Program Files.

401-01. General Federal Personnel Correspondence Files.
Correspondence, memoranda, and other records relating to the general administration and operation of personnel functions, but excluding records specifically described elsewhere in this schedule and records maintained at agency staff planning levels.
➢ Cut-off at the end of the fiscal year. Destroy 3 years after cut-off.
   Authority: GRS 1, Item 3

401-02. Personnel Operations Statistical Reports.
Miscellaneous statistical reports in the operating personnel office and subordinate units relating to personnel management activities.
➢ Cut-off at the end of the fiscal year. Destroy 2 years after cut-off.
   Authority: GRS 1, Item 16


402-01. OPF of Federal Employees.
Records filed on the right side of the OPF. (See Item 402-01c below for temporary papers on the left side of the OPF). Folders covering employment terminated after December 31, 1920, excluding those selected by the National Archives and Records Administration (NARA) for permanent retention.

402-01a. Transferred employees.
➢ See Chapter 7 of The Guide to Personnel Recordkeeping for instructions relating to folders of employees transferred to another agency.
   Authority: GRS 1, Item 1a

402-01b. Separated employees.
➢ Transfer folder to the National Personnel Records Center (NPRC), St. Louis, Missouri, 30 days after latest separation. NPRC will destroy 65 years after separation from Federal service.
   Authority: GRS 1, Item 1b

402-01c. OPF Temporary Individual Employee Records. All copies of correspondence and forms maintained on the left side of the OPF in accordance with Chapter 3 of The Guide to Personnel Recordkeeping, excluding the Immigration and Naturalization Service Form I-9 and performance-related records.
➢ Destroy when superseded or obsolete, or upon separation or transfer of employee, unless specifically required to be transferred with the OPF. See Item
402-01d for disposition of I-9 forms and Item 405-04 for disposition of temporary performance-related records.

Authority: GRS 1, Item 10a

402-01d. Immigration and Naturalization Service Form I-9.
➢ Destroy 3 years after employee separates from service or transfers to another agency.

Authority: GRS 1, Item 10b

402-02. Supervisor’s Personnel Files and Duplicate OPF Documentation.

402-02a. Supervisor’s Personnel 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. Also, include any electronic copies of correspondence, memoranda, forms, and such that are created on electronic mail and word processing systems and printed solely for recordkeeping copies.
➢ Review annually and destroy superseded or obsolete documents; or destroy file relating to an employee within 1 year after separation or transfer.

Authority: GRS 1, Item 18a

402-02b. Duplicate Documentation. Other copies of documents duplicated in OPFs not provided for elsewhere in this schedule.
➢ Destroy when 6 months old.

Authority: GRS 1, Item 18b

402-02c. Non-supervisory Desk Copy Files. Duplicate copies of files found in Item 402-02a above and maintained, for convenience, by supervisor’s office human resource personnel, with supervisor’s knowledge.
➢ Review annually and destroy superseded or obsolete documents; or destroy file relating to an employee within 1 year after separation or transfer.

403. Employment Files.

403-01. Appointment Information Files.
Material pertaining to the appointment and tenure or career, career-conditional, temporary, and indefinite employees. Include information on such related considerations as the employment of relatives (nepotism), conversion of career and career-conditional employment from other types of employment, probationary periods, employment restatement, term of employment and duration authority, appointments and separations of summer and part-time employees, appointments to unclassified or ungraded positions, appointments through special means such as political endorsements and presidential appointments, and selective placement program.
Cut-off at the end of the fiscal year. Destroy 3 years after cut-off.

403-02. Employment Staffing and Analyses.
Material pertaining to employment staffing methods, procedures, and practices: reviews and determinations of ceilings and limitations; loans of positions under ceilings; staffing adjustments; work staff analyses; review, establishment, or abolishment of positions; clearances required to fill key positions outside register of eligible and key positions; employment forecasts; furloughs or agency freezes; employment in the excepted service, competitive service, and executive assignment system; overseas employment; employment of experts and consultants; and other related topics.
Cut-off at the end of the fiscal year. Destroy 3 years after cut-off.

403-03. Offers of Employment Files.
Correspondence, including letters and telegrams, offering appointments to potential employees.

403-03a. Accepted offers.
Cut-off at the end of the fiscal year. Destroy 3 years after cut-off.
Authority: GRS 1, Item 4a

403-03b. Declined offers for Federal employment:

403-03b(1). When name is received from certificate of eligibles.
Cut-off at the end of the fiscal year. Destroy 3 years after cut-off.
Authority: GRS 1, Item 4b(1)

403-03b(2). Temporary or excepted appointment.
Cut-off at the end of the fiscal year. Destroy 3 years after cut-off.
Authority: GRS 1, Item 4b(2)

403-03b(3). All others.
Cut-off at the end of the fiscal year. Destroy immediately.
Authority: GRS 1, Item 4b(3)

403-04. Certificates of Eligibles Files.
Copies obtained from OPM of certificates of eligibles with related requests, forms, correspondence, and statement of reasons for passing over a preference eligible and selecting a non-preference eligible.
Cut-off at the end of the fiscal year. Destroy 2 years after cut-off.
Authority: GRS 1, Item 5

403-05. Employee Merit Promotion Case Files.
Records relating to the promotion of an individual that document qualification standards, evaluation methods, selection procedures, and evaluations of candidates.

- Destroy after OPM audit or 2 years after the personnel action is completed, whichever is sooner.

Authority: GRS 1, Item 32

403-06. Personnel Interview Records.

Correspondence, reports, and other records relating to interviews with employees.

- Destroy 6 months after transfer or separation of employee.

Authority: GRS 1, Item 8


Federal SF-50, documenting all individual personnel actions such as employment, promotions, transfers, and separation, exclusive of the copy in the OPF.

403-07a. Chronological file copies, including fact sheets, maintained in personnel offices.

- Cut-off at the end of the fiscal year. Destroy when 2 years old.

Authority: GRS 1, Item 14a

403-07b. All other copies maintained outside of the headquarters Personnel Office. Copies maintained only for the convenience of the office where the employee works.

- Destroy when 1 year old.

Authority: GRS 1, Item 14b

403-08. Employment Applications.

Applications, including OF-612, resumes, and any other application that an agency may develop for unique jobs with specialized requirements, and related records, excluding records relating to appointments requiring Senatorial confirmation and applications resulting in appointment which are filed in the OPF.

- Destroy upon receipt of OPM Inspection report or when 2 years old, whichever is earlier.

Authority: GRS 1, Item 15

403-09. E-mail Vacancy Notification System.

USGS system by which notifications are automatically sent out by e-mail whenever the kind of job a person desires opens in the USGS.

403-09a. Inputs. Electronic inputs consisting of personnel e-mail addresses and their preferences for any vacancies that meet their criteria.

- Delete or destroy after input and verification of data into master file or when no longer needed to support the reconstruction of the master file, whichever is later.
403-09b. Master File. Consists of a database that contains all users current preferences and the OPM’s USAJobs control numbers of the vacancies that they have already been notified about. Users update elements and/or entire record as required, and delete their own records from the master file when they no longer require the service. The system automatically deletes a file when the user’s e-mail address is unusable or becomes invalid.

➢ Delete record at the request of the user, or when the user’s e-mail address is no longer valid, whichever is sooner.

403-09c. Outputs. E-mail notifications are received by USGS employees who have registered with the system. E-mail notifications are a consolidated listing of each new vacancy at the USGS, found in the OPM’s USAJobs that meets the criteria provided by the employee.

➢ Destroy when superseded, obsolete, or no longer needed.

403-09d. System Documentation. All material relating to the system resides on the web site.

➢ Cut-off when system is replaced. Destroy any printed documentation 6 years after cut-off.

403-09e. All other copies. Informational copies of employee e-mails, announcements, memoranda, and such relating to implementation and use of the E-mail Vacancy Notification System.

➢ Cut-off at the end of the fiscal year. Destroy 2 years after cut-off or when superseded, obsolete, no longer needed, whichever is later.

403-10. Vacancy Announcements (as created and maintained in personnel offices).

Information used to notify employee population of the availability of a particular job opening. Postings contain general description of duties, requirements, salary range, and cut-off date for accepting employment applications.

➢ Cut-off at the end of the fiscal year. Destroy 3 years after cut-off.


Packets containing original promotional material, blank forms giving investigative authorization, and general philosophy, benefits, and other incentives.

➢ Cut-off at the end of the fiscal year. Destroy when superseded, obsolete, or no longer needed.

403-12. Prehire Test Files.

Prehire test files consist of, but are not limited to, written and practical job-skill/proficiency pass/fail tests administered by labor management personnel to measure suitability for hire. Includes pre-placement physical examination.
403-12a. Successful prehire applicant test files, where an offer of employment was made.
   ➢ Transfer to OPF after date of hire.

403-12b. Successful prehire applicant test files, where no employment offer was made.
   ➢ Destroy 2 years after date of test.

403-12c. Unsuccessful prehire applicant test.
   ➢ Destroy 1 year after date of test.

Delegated agreements and related records created under the authority of 5 U.S.C. 1104 between the OPM and agencies, allowing for the examination and certification of applicants for employment.

403-13a. Delegated agreements.
   ➢ Destroy 3 years after termination of agreement.
   Authority: GRS 1, Item 33a

403-13b. Correspondence concerning applications, eligibles certification, and all other examining and recruiting operations including, but not limited to, correspondence from the Congress, White House, and general public, and correspondence regarding accommodations for holding examinations and shipment of test materials.
   ➢ Cut-off at the end of the fiscal year. Destroy 1 year after cut-off.
   Authority: GRS 1, Item 33b

403-13c. Test material stock control. Stock control records of examination test material including running inventory of test material in stock.
   ➢ Destroy when test is superseded or obsolete.
   Authority: GRS 1, Item 33c

403-13d. Application Record Card (OPM Form 5000A, or equivalent).
   ➢ Cut-off after examination. Destroy no later than 90 days after cut-off.
   Authority: GRS 1, Item 33d

403-13e. Examination Announcement Case Files. Correspondence regarding examination requirements, original drafts of examination, and announcements issued excluding records concerning qualification standards, job specifications, and their development.
   ➢ Destroy 5 years after termination of related register.
   Authority: GRS 1, Item 33e

403-13f. Register of eligibles (OPM Form 5001-C or equivalent, documenting eligibility of an individual for Federal jobs).
• Cut-off records at the end of the fiscal year on individuals with terminated eligibility. Destroy 5 years after cut-off.
  Authority: GRS 1, Item 33f

403-13g. Letters to applicants denying transfer of eligibility (OPM Form 4896 or equivalent).
  • Cut-off at the end of the fiscal year. Destroy 1 year after cut-off.
  Authority: GRS 1, Item 33g

403-13h. Canceled and ineligible applications, supplemental forms, and attachments.
  • Ineligible applications may be returned to the applicant with the notice of ineligibility, unless otherwise directed by the local OPM area office. Destroy ineligible applications not returned and canceled applications 90 days after date of action or when register is terminated, whichever is sooner.
  Authority: GRS 1, Item 33h

403-13i. Test Answer Sheets. Written test answer sheets for both eligibles and ineligibles. Filed by date of processing.
  • Destroy when 6 months old.
  Authority: GRS 1, Item 33i

403-13j. Lost or Exposed Test Material Case Files. Records showing the circumstances of loss, nature of the recovery action, and corrective action required.
  • Cut-off at the end of the fiscal year. Destroy 5 years after cut-off.
  Authority: GRS 1, Item 33j

403-13k. Eligible applications.
  403-13k(1). On active register.
  • Destroy upon termination of the register (except applications that may be brought forward to new register, if any).
  Authority: GRS 1, Item 33k(1)

  403-13k(2). On inactive register.
  • Destroy 1-12 months after eligibles are placed on inactive register, depending on space availability and difficulty of replacing the application for restoration.
  Authority: GRS 1, Item 33k(2)

403-13l. Request for prior approval of personnel actions taken by agencies on such matters as promotion, transfer, reinstatement, or change in status, submitted by SF-59, OPM 648, or equivalent form.
  • Cut-off at the end of the fiscal year. Destroy 1 year after cut-off.
  Authority: GRS 1, Item 33l
403-13m. Certificate Files. SF-39, SF-39A, or equivalent, and all papers upon which the certification was based: detailed rating schedule, record of selective and quality ranking factors used, list of eligibles screened for the vacancies, rating assigned, availability statements, and other documentation material designated by the examiner of retention. It is recommended that both the file copy and the audited report copy of the certificate be kept in this file. Files should be arranged to permit reconstruction or validation of actions taken in the event of appeal or legal action.

- Cut-off at the end of the fiscal year. Destroy 5 years after cut-off.
  Authority: GRS 1, Item 33m

403-13n. Certification request control index.

- Cut-off at the end of the fiscal year. Destroy 1 year after cut-off.
  Authority: GRS 1, Item 33n

403-13o. Special Selection Program (SSP) application, registration sheets, letters, and other documentation.

- Destroy upon expiration of employee's SSP eligibility.
  Authority: GRS 1, Item 33o

Records documenting all aspects of the unemployment process from notification of termination and administrative review to any dispute hearings that may occur prior to or immediately following the termination process. These records include correspondence, compensation enrollment forms, employment verification, employee depositions, computation of benefit amounts, and related working papers between the compensating state and the personnel office.

- If filed separately, cut-off at termination and maintain for 3 years. Link file to its related OPF and follow the disposition in Item 402-01.

403-15. Reductions-in-Force Files

403-15a. Correspondence and related materials. Correspondence and related material pertaining to reductions-in-force (RIF) and separation procedures, exit interviewing, and resignation processes. Includes such things as appeal procedures and actions, assignment rights, scope of competition, competitive levels involuntary separations and furloughs other than military, surplus employee lists, and reemployment rights.

- Cut-off at the end of the fiscal year. Destroy 3 years after cut-off.

403-15b. Retention Registers.

403-15b(1). Registers of eligibles and related records used to effect RIF actions.


403-15b(2). Registers from which no RIF actions have been taken and related records.
➤ Destroy when superseded or obsolete.
Authority: GRS 1, Item 17b(2)

403-16. Online Automated Recruitment System (OARS).
A computerized employment application processing system, which electronically prescreens candidates and ranks them according to specified criteria.

403-16a. Inputs. Electronic inputs consisting of registrant, vacancy announcement, and applicant information (answers to vacancy questions).
➤ Delete or destroy after input and verification of data into master file or when no longer needed to support the reconstruction of the master file, whichever is later.

403-16b. Master File. Consists of a database that retains registrant, vacancy and applicant information, and does not interface with any other database.
➤ Delete vacancy records that are over 3 years old and registrant records that have been inactive over 3 years.

403-16c. Outputs. Provides management with lists of vacancy questions and candidates eligible to be considered for selection.

403-16c(1). Electronic Copy.
➤ Delete after recordkeeping copy is produced or no longer needed for operational purposes, whichever is later.

403-16c(2). Recordkeeping Copy (paper).
➤ Cut-off at the end of the fiscal year. Destroy 3 years after cut-off.

➤ Cut-off when system is replaced. Destroy 6 years after cut-off.

403-16e. All other copies. Informational copies of employee e-mails, announcements, memoranda, and such relating to implementation and use of the OARS and related website.
➤ Cut-off at the end of the fiscal year. Destroy 2 years after cut-off or when superseded, obsolete, or no longer needed, whichever is later.

403-17. Exit Interviews.
USGS web-based tool to conduct exit interviews and gather statistical information from departing USGS employees.
403-17a. Inputs. Electronic inputs consisting of survey information and answers to survey questions that exiting employees fill out before they leave the USGS.

- Delete or destroy after input and verification of data into master file or when no longer needed to support the reconstruction of the master file, whichever is later.

403-17b. Master File. Consists of a database that houses the survey results and does not interface with any other database.

- Delete records only when data is no longer statistically significant for doing trend analysis.

403-17c. Outputs. Provides management with a copy of the survey provided by employees that are leaving the USGS.

403-17c(1). Electronic Copy.

- Delete after recordkeeping copy is produced or no longer needed for operational purposes, whichever is later.

403-17c(2). Recordkeeping Copy (paper).

- Cut-off at the end of the fiscal year. Retire records to storage facility 2 years after cut-off. Destroy 6 years after cut-off.


- Cut-off when system is replaced. Destroy 6 years after cut-off.

403-17e. All other copies. Informational copies of employee e-mails, announcements, memoranda, and such relating to implementation and use of the Exit Interview System and related website.

- Cut-off at the end of the fiscal year. Destroy 2 years after cut-off or when superseded, obsolete, or no longer needed, whichever is later.


An automated website connection where USGS and other participating Federal employees can make certain changes to personnel/payroll information 24 hours a day, seven days a week. Change types including, but not limited to, changes to Federal or State taxes, changes to direct deposits, address changes, Thrift Savings Plan changes, and health benefit changes.

403-18a. Information guides, booklets, publications, and such, maintained by USGS personnel offices for reference by USGS employees interested in how the Employee Express is used.

- Cut-off at the end of the fiscal year. Destroy material of no further reference value.
from managers

- Delete or destroy after input and verification of data into master file or when no longer needed to support the reconstruction of the master file, whichever is later.

404-02b. Master File. Consists of a database that contains volunteer applications.
- Delete records after 1 year.

404-02c. Outputs. Provides management with volunteer application forms for consideration.

- Electronic Copy.
  - Delete after recordkeeping copy is produced or no longer needed for operational purposes, whichever is later.

- Recordkeeping Copy (paper).
  - Cut-off at the end of the fiscal year. Destroy 1 year after cut-off.

404-02d. System Documentation. Volunteer Handbook is available for managers. Applications are available online. Volunteer agreements and emergency care for minor forms are available for managers.
- Cut-off when system is replaced. Destroy 6 years after cut-off.

404-02e. All other copies. Informational copies of employee e-mails, announcements, memoranda, and such relating to implementation and use of the Volunteer for Science Program website.
- Cut-off at the end of the fiscal year. Destroy 2 years after cut-off or when superseded, obsolete, or no longer needed, whichever is later.

405. Employee Performance and Utilization Files.

405-01. Employee Awards Files.

405-01a. General awards correspondence.

- Case files including recommendations, approved nominations, memoranda, correspondence, reports, and related handbooks pertaining to agency-sponsored cash and non-cash awards such as incentive awards, within-grade merit increases, suggestions, and outstanding performance. Examples include, but are not limited to, Safety and Health Awards, Going the Extra Mile Award, and the Unsung Hero Award.
  - Destroy 2 years after approval or disapproval.

Authority: GRS 1, Item 12a(1)
403-18b. Employee informational e-mails, announcements, memoranda, and such, which provide information on the Employee Express including what it can be used for and how to obtain pin numbers.

➤ Cut-off at the end of the fiscal year. Destroy material of no further reference value.


403-19a. Information guides, booklets, publications, and such, maintained by USGS personnel offices for reference by USGS employees interested about the TSP.

➤ Cut-off at the end of the fiscal year. Destroy material of no further reference value.

403-19b. Employee informational e-mails, announcements, memoranda, and such, which provide information on the TSP such as open season information, changing the amount or reallocating TSP contributions, investment guidelines, eligibility information, and items of interest.

➤ Cut-off at the end of the fiscal year. Destroy material of no further reference value.

404. Volunteer Personnel Files.

404-01. Volunteer Personnel Files.

Documenting the administration and operation of the volunteer program and the activities of individuals or organized groups who voluntarily and without compensation or reimbursement provide services to USGS.

404-01a. Volunteer Files. Personnel files as described in FPM 308.7-6d containing volunteer application, service agreement, performance evaluation, certificate of appreciation, correspondence, and related materials.

➤ Cut-off at the end of the fiscal year in which services are terminated. Destroy 3 years after cut-off.

404-01b. Volunteer Program Administrative Files. General correspondence, annual reports, and other material documenting the routine administration, internal procedures, and general activities of the volunteer program.

➤ Cut-off at the end of the fiscal year. Destroy 2 years after cut-off.


USGS system with information on the USGS Volunteer for Science Program.

404-02a. Inputs. Electronic inputs consisting of applications from perspective volunteers to apply for volunteer opportunities at the USGS and opportunities
405-01a(2). Correspondence or memoranda pertaining to awards from other Federal agencies or non-Federal organizations.
- Cut-off at the end of the fiscal year. Destroy 2 years after cut-off.
  Authority: GRS 1, Item 12a(2)

405-01a(3). Miscellaneous Employee Awards Correspondence. Copies of e-mails, memoranda, and other correspondence relating to employee awards.
- Cut-off at the end of the fiscal year. Destroy 2 years after cut-off.

405-01b. Length of Service Awards Files. Records including correspondence, reports, computations of service, and lists of Length of Service awardees.
- Destroy when 1 year old.
  Authority: GRS 1, Item 12b

405-01c. Letters of Commendation and Appreciation. Copies of letters recognizing such things as employee retirement, letters of appreciation and commendation for performance, and thank you letters for services or assistance. Excludes copies filed in the OPF.
- Cut-off at the end of the fiscal year. Destroy 2 years after cut-off.
  Authority: GRS 1, Item 12c

405-01d. Lists of, or indexes to, agency award nominations. Lists of nominees and winners and indexes of nominations.
- Destroy when superseded, obsolete, or no longer needed.
  Authority: GRS 1, Item 12d

405-02. Employee Incentive Awards Program Reports.
Miscellaneous reports pertaining to the operation of the bureau Incentive Awards Program.
- Cut-off at the end of the fiscal year. Destroy 3 years after cut-off.
  Authority: GRS 1, Item 13

405-03. Human Resources Initiatives (HRI) Proposal Awards.
Project funds available for the support of education and training by USGS employees.

405-03a. Files and records related to the USGS process for HRI Proposal Awards. These include, but are not limited to, records such as criteria to be used for selections, announcements to call for proposals, selection of a panel to review the proposals submitted, and determination of level at which approved proposals are funded.
- Cut-off at the end of the fiscal year. Destroy 5 years after cut-off.

405-03b. HRI proposals received for consideration from bureauwide call.
405-03b(1). Approved proposals.
- Destroy 3 years after proposal is approved and funds have been distributed.

405-03b(2). Unapproved proposals.
- Destroy 1 year after proposal is rejected.

405-03c. Forms and other records generated by the agency to track and evaluate the process and review the results from the proposals chosen for conformance to criteria.
- Destroy when 1 year old or when no longer needed, whichever is later.

405-04. Employee Performance File System Records.

405-04a. Non-SES appointees (as defined in 5 U.S.C. 4301(2)).

405-04a(1). Appraisals of unacceptable performance, where a notice of proposed demotion or removal is issued but not effected, and all related documents.
- Destroy after the employee completes 1 year of acceptable performance from the date of the written advance notice of proposed removal or reduction-in-grade notice.
  Authority: GRS 1, Item 23a(1)

405-04a(2). Performance records superseded through an administrative, judicial, or quasi-judicial procedure.
- Destroy when superseded.
  Authority: GRS 1, Item 23a(2)

405-04a(3). Performance-related records pertaining to a former employee.

405-04a(3)(a). Latest rating of record 3 years old or less and performance plan upon which it is based, and any summary rating.
- Place records on left side of the OPF and forward the OPF to gaining Federal agency upon transfer or to NPRC if employee separates. An agency retrieving an OPF from NPRC will dispose of these documents in accordance with Item 405-04a(3)(b) below.
  Authority: GRS 1, Item 23a(3)(a)

405-04a(3)(b). All other performance plans and ratings.
- Destroy when 4 years old or no longer needed, whichever is sooner.
  Authority: GRS 1, Item 23a(3)(b)

405-04a(4). All other summary performance appraisal records, including performance appraisals and job elements and standards upon which
they are based.

405-04a(5). Supporting documents.

➤ Destroy 4 years after date of appraisal or when no longer needed, whichever is sooner.

Authority: GRS 1, Item 23a(5)

405-04b. SES appointees (as defined in 5 U.S.C. 3132a(2)).

405-04b(1). Performance records superseded through an administrative, judicial, or quasi-judicial procedure.

➤ Destroy when superseded.

Authority: GRS 1, Item 23b(1)

405-04b(2). Performance-related records pertaining to a former SES appointee.

405-04b(2)(a). Latest rating of record that is less than 5 years old and performance plan upon which it is based and any summary rating.

➤ Place records on the left side of the OPF and forward the OPF to the gaining Federal agency upon transfer or to NPRC if employee leaves Federal service. An agency retrieving an OPF from NPRC will dispose of those documents in accordance with Item 405-04b(2)(b) below.

Authority: GRS 1, Item 23b(2)(a)

405-04b(2)(b). All other performance ratings and plans.

➤ Destroy when 5 years old or when no longer needed, whichever is sooner.

Authority: GRS 1, Item 23b(2)(b)

405-04b(3). All other performance appraisals, along with job elements and standards (job expectations) upon which they are based, EXCLUDING those for SES appointees serving on a Presidential appointment (3 CFR 214).

➤ Destroy 5 years after date of appraisal.

Authority: GRS 1, Item 23b(3)

405-04b(4). Supporting documents.

➤ Destroy 5 years after date of appraisal or when no longer needed, whichever is sooner.

Authority: GRS 1, Item 23b(4)

406. Position Classification and Job Evaluation Files.
406-01. Classification Files.

406-01a. Position Classification Standards Files. Standards and guidelines issued or reviewed by OPM and used to classify and evaluate positions (including GS/GM and wage grade employees) within the agency.

- Destroy when superseded or obsolete.
  Authority: GRS 1, Item 7a(1)

406-01b. Position Descriptions. Record copies of position descriptions that include information on title, series, grade, duties and responsibilities, and related documents.

- Destroy 2 years after position is abolished or description is superseded.
  Authority: GRS 1, Item 7b

406-01c. Survey Files.

406-01c(1). Classification survey reports on various positions prepared by classification specialists, including periodic reports.

- Destroy when 3 years old or 2 years after regular inspection, whichever is sooner.
  Authority: GRS 1, Item 7c(1)

406-01c(2). Inspection, audit, and survey files including correspondence, memoranda, reports and other records relating to inspections, surveys, desk audits, and evaluations.

- Destroy when superseded or obsolete.
  Authority: GRS 1, Item 7c(2)

406-01d. Appeals Files.

406-01d(1). Case files relating to classification appeals, excluding OPM classification certificate.

- Destroy 3 years after case is closed.
  Authority: GRS 1, Item 7d(1)

406-01d(2). Certificates of classification issued by OPM.

- Destroy after the affected position is abolished or superseded.
  Authority: GRS 1, Item 7d(2)

406-02. FastClass.
USGS web-based classification system that will automate the process of developing and classifying position descriptions.
406-02a. Inputs. Electronic inputs consisting of duty and factor statements that are used to create position related documentation.
  ➢ Delete or destroy after input and verification of data into master file or when no longer needed to support the reconstruction of the master file, whichever is later.

406-02b. Master File. Consists of a database that contains position descriptions of record and standardized position descriptions. This system interfaces with the task statements housed in the OARS database.
  ➢ Delete position descriptions of record 2 years after the position is abolished or the description is superseded. Standard position descriptions may be deleted when no longer needed.

406-02c. Outputs. Provides management with position related documentation such as position descriptions and position description coversheets.
  
  406-02c(1). Electronic Copy.
  ➢ Delete after recordkeeping copy is produced or no longer needed for operational purposes, whichever is later.
  
  406-02c(2). Recordkeeping Copy (paper).
  ➢ Destroy record 2 years after the position is abolished or description is superseded.

406-02d. System Documentation. Consists of a user manual and developmental documentation such as specifications and requirements.
  ➢ Cut-off when system is replaced. Transfer to records storage facility 1 year after cut-off. Destroy 6 years after cut-off.

406-02e. All other copies. Informational copies of employee e-mails, announcements, memoranda, and such relating to implementation and use of the FastClass System and related website.
  ➢ Cut-off at the end of the fiscal year. Destroy 2 years after cut-off or when superseded, obsolete, or no longer needed, whichever is later.

407. Employee Relations and Service Files.

407-01. Employee Relations Case Files.
Records relating to disciplinary and adverse actions, performance-based actions, appeals, grievances, denials of within-grade increases, and cases in which discussions were held but no action was taken.

407-01a. Disciplinary and adverse actions.
  ➢ Destroy 5 years after case is closed.
  Authority: NC1-57-81-2, Item 15a
407-01b. Performance-based actions (including denial of within-grade increases).
   ➢ Destroy 5 years after case is closed.
   Authority: NC1-57-81-2, Item 15b

   ➢ Destroy 5 years after case is closed.
   Authority: NC1-57-81-2, Item 15c

407-01d. Grievances.
   ➢ Destroy 5 years after case is closed.
   Authority: NC1-57-81-2, Item 15d

407-01e. Separation of probationary employees.
   ➢ Destroy 5 years after separation.
   Authority: NC1-57-81-2, Item 15e

407-01f. Cases in which no action was taken.
   ➢ Destroy 1 year after date of last contact or 6 months after employee’s separation, whichever is earlier.
   Authority: NC1-57-81-2, Item 15f

407-02. Employee Investigative Files.
Records of investigations conducted by and for the personnel office pertaining to allegations of violations and misconduct of employees (exclusive of Equal Employment Opportunity (EEO) case files).
   ➢ Destroy 1 year after case is closed.
   Authority: NC1-57-81-2, Item 17

407-03. Employee Benefits Files.
Records relating to employee retirement, life insurance, health benefits, and death benefits programs.

   407-03a. Retirement Case Files. Duplicate copies of retirement applications and all other forms forwarded to OPM for adjudication of employee’s retirement.
     ➢ Destroy 2 years after effective date of retirement.
     Authority: NC1-57-81-2, Item 20a

   407-03b. Estimated annuity computations.
     ➢ Destroy upon retirement.
     Authority: NC1-57-81-2, Item 20b
407-03c. Retirement Assistance Files. Correspondence, memoranda, and other records used to assist retiring employees or survivors claim insurance or retirement benefits.

- Cut-off files at the end of the fiscal year. Destroy when superseded, obsolete, or no longer needed.
  Authority: GRS 1, Item 39


- Destroy 2 years after date of death.
  Authority: NC1-57-81-2, Item 20c

407-03e. Retirement "call-up" cards. Summarized information on 3" x 5" cards about employees who have retired or died.

- Retain cards indefinitely for reference purposes. Destroy when no longer needed for reference purposes.
  Authority: NC1-57-81-2, Item 20d

Wage survey reports and data, background documents, and related correspondence pertaining to area wages paid for each employee class; background papers establishing need, authorization, direction, and analysis of wage surveys; development and implementation of wage schedules; and request for an authorization of specific rates, excluding authorized wage schedules and wage survey recapitulation sheets.

- Destroy after completion of second succeeding wage survey.
  Authority: GRS 1, Item 38


- Destroy 3 years after termination of counseling.
  Authority: GRS 1, Item 26a

407-05b. Alcohol and Drug Abuse Program Files. Records created in planning, coordinating, and directing an alcohol and drug abuse program.

- Destroy when 3 years old.
  Authority: GRS 1, Item 26b

407-06. Employee Concerns Program.
Employee Concerns Program Case Files, which serve to document employee allegations of impropriety or inadequacy of USGS and/or contractor-managed activities. Subjects include, but not strictly limited to, environmental, safety, and health-related issues; fraud; waste; and abuse; personnel and management
matters; quality; security conditions; or incidents of retaliation. Supporting documents include employee statements or declarations, witness testimonials, investigation reports, and corrective actions to mitigate potential risks to the public, the environment, employees of the USGS, or relevant contractor entities.


407-06a(1). Concerns relating to security, environmental, safety, and health-related issues.
➢ Cut-off at the close of the fiscal year in which the case was closed. Destroy 10 years after cut-off.

407-06a(2). All other concerns.
➢ Cut-off at the close of the fiscal year in which the case was closed. Destroy 4 years after cut-off.

407-06b. Records documenting concerns that do not develop into official cases.

➢ Cut-off at the end of the fiscal year. Destroy 4 years after cut-off.

407-06b(2). All other concerns.
➢ Cut-off at the end of the fiscal year. Destroy 2 years after cut-off.

407-07. Conflict Resolution (CORE) Program.
CORE Program offers an ideal forum of opportunity for early resolution of workplace conflicts.

407-07a. Mediation Files. Mediator retains the following records: intake form, agreement to mediate, notice of results and options, participant evaluation form, and original copy of written agreements.
➢ Destroy 5 years after termination of mediation.

407-07b. All other records, notes, work products, or the like developed during the mediation process.
➢ Destroy after the completion of the mediation process.

407-07c. Other records. General administrative records, memoranda, e-mails, and such that pertain to the CORE Program and its benefits to USGS employees.
➢ Cut-off at the end of the fiscal year. Destroy 2 years after cut-off or when superseded, obsolete, or no longer needed, whichever is later.
408. **Workplace Enhancement Programs.**
USGS programs designed to improve work environment and to help provide employees with the tools they need to meet the USGS mission goals.

408-01. **Bright Ideas.**
USGS Quality of Worklife initiative to help find ways to improve the USGS work environment to make the USGS environment as comfortable, pleasant, and employee-oriented as possible.

408-01a. Record copies of employee suggestions, replies to the suggestions, and results of any actions taken in response to the suggestions.
➢ Cut-off at the end of the fiscal year. Destroy 5 years after cut-off.

408-01b. Copies of employee e-mails and other materials relating to Bright Ideas, including, but not limited to, updates on the initiative, updates on suggestions received, and actions taken. Copies of suggestions and responses thereto retained by employees.
➢ Cut-off at the end of the fiscal year. Destroy 2 years after cut-off or when no longer needed, whichever is later.

408-02. **Alternate Worksite/Flexiplace/Telecommuting Program.**

408-02a. Approved requests or applications to participate in an alternate worksite/flexiplace program; agreements between the agency and the employee and/or telecommuting center; and records relating to the safety of the worksite, the installation and use of equipment, hardware, and software, and if required, the use of secure, classified information, or data subject to the Privacy Act.
➢ Destroy 1 year after the end of the employee’s participation in the program.

   Authority: GRS 1, Item 42a

408-02b. Unapproved requests.
➢ Destroy 1 year after request is rejected.

   Authority: GRS 1, Item 42b

408-02c. Miscellaneous forms, reports, and such generated by the agency or the participating employee evaluating the alternate worksite/flexiplace/telecommuting program.
➢ Destroy when 1 year old, or when no longer needed, whichever is later.

   Authority: GRS 1, Item 42c

408-03. **Transportation Fringe Benefit Program.**
For USGS employees who use public transportation for commuting to and from work, or who commute in a commuter highway vehicle on a regular, ongoing basis and are eligible to receive tax benefits for qualifying transportation expenditures.
408-03a. Approved requests or applications to participate in the Transportation Fringe Benefit Program.

- Destroy 1 year after the end of the employee's participation in the program.

408-03b. Unapproved requests.

- Destroy 1 year after request is rejected.

408-03c. Forms and other records generated by the agency and the participating employee in evaluating the program.

- Destroy when 1 year old, or when no longer needed, whichever is later.

408-04. Federally Run Day Care Centers.

Correspondence, reports, and any other records pertaining to the general administration, operation, financing, budgeting, personnel, hiring, and such associated with USGS oversight or association with a Federally run day care center.

- Cut-off at the end of the fiscal year. Destroy 6 years after cut-off or when superseded, obsolete, or no longer needed, whichever is later.

408-05. General Workplace Enhancement Program Files.

Miscellaneous correspondence, reports, and other records relating to bureau general announcements, memoranda, e-mails, updates, and such on Workplace Enhancement Programs for employees at the USGS.

- Cut-off at the end of the fiscal year. Destroy 2 years after cut-off or when superseded, obsolete, or no longer needed, whichever is later.

409. Employee Standards of Conduct and Codes of Ethics Files.

409-01. Employee Standards of Conduct and Codes of Ethics Files.

Correspondence, memoranda, advisories, and other records relating to general standards of conduct and ethics topics other than those referenced in Item 409-02 through Item 409-06 below. Topics include, but not limited to, gambling, political activities, dual compensation, expert witness, lobbying, nepotism, misuse of Government property, and misuse of position, fund raising, post employment, representational activities, and gift acceptance.

- Cut-off at the end of the fiscal year. Destroy 6 years after cut-off or when superseded, obsolete, or no longer needed.

Authority: GRS 1, Item 27

409-02. Financial Disclosure Reports.

409-02a(1). Records, including SF-278A, for individuals filing according to Section 201b of the Act, and not subsequently confirmed by the U.S. Senate:

- Destroy 1 year after nominee ceases to be under consideration for appointment, except those documents needed in an ongoing investigation will be retained until no longer needed in the investigation.

Authority: GRS 1, Item 24a(1)

409-02a(2). All other records, including SF-278:

- Destroy when 6 years old, except those documents needed in an ongoing investigation will be retained until no longer needed in the investigation.

Authority: GRS 1, Item 24a(2)

409-02b. All other statements of employment and financial interest and related records, including confidential statements filed under Executive Order 11222:

- Destroy when 6 years old, except those documents needed in an ongoing investigation will be retained until no longer needed in the investigation.

Authority: GRS 1, Item 24b

409-03. Stock Holding Conflicts and Advisories.

The USGS Organic Act prohibits USGS employees from owning some stock in the areas of oil, gas, or mining activities in the United States and other stocks are subject to dollar limitations on the value of shares that may be held. Through guidance issued in the USGS Financial Guide, employees are responsible to ensure they are in compliance by periodically reviewing their holdings or when changes occur through inheritance or gifts. When conflicts arise, case files are created containing information appropriate to the case. Depending on the aspects of the case, files could contain such things as written waivers, recusals, divestiture orders and certificates of divestitures, appeals, and remediation information.

- Cut-off at the end of the fiscal year in which the case was closed.

Destroy 5 years after cut-off.

409-04. Conflict-of-Interest Files.

These files contain outside work requests (USGS Form 9-1510); Reports of Payments from Non-Federal sources (DI-2000); gift acceptance documentation; and conflict-of-interest determinations/opinions for specific employee situations. All of these forms and records are reviewed and analyzed to make conflict-of-interest determinations in accordance with Code of Federal Regulations (CFR) and Department of the Interior requirements.

- Cut-off at the end of the fiscal year. Destroy 6 years after cut-off.

409-05. Serving as Officers in Outside Organizations.
Department of the Interior policy requires that employees who serve as officers or
Board of Directors members of outside organizations, and who represent these
organizations in their official USGS capacities, complete Memorandums of
Understanding (MOUs) between the USGS and the outside organizations.
The policy also requires that 18 USC 208(b)(1) waivers be completed for
these same individuals.
➢ Cut-off at the end of the fiscal year. Destroy 6 years after cut-off.

409-06. Ethics Training Records.
CFR requirements mandate that all individuals filing financial disclosure reports
complete a minimum of 1 hour of ethics training per year. New employees
are also expected to complete a minimum of 1 hour of ethics training.
➢ Cut-off at the end of the fiscal year. Destroy 6 years after cut-off.


Drug testing program records created under Executive Order 12564 and Public
Law 100-71, Section 503 (101 Stat. 468), including annual reports to
Congress, as required by Public Law 100-71, § 503(f). Excluded are
consolidated statistical and narrative reports concerning the operation of
bureau programs.

410-01a. Drug test plans and procedures, excluding documents that are filed in
record sets of formal issuances (directives, procedures handbooks, operating
manuals, and the like). Bureau copies of plans and procedures, with related
drafts, correspondence, memoranda, and other records pertaining to the
development of procedures for drug testing programs, including the determination
of testing incumbents in designated positions.
➢ Destroy when 3 years old or when superseded, obsolete, or no longer
needed, whichever is later. (See note.)
Authority: GRS 1, Item 36a

410-01b. Employee acknowledgment of notice forms. Forms completed by
employees whose positions are designated sensitive for drug testing purposes
acknowledging that they have received notice that they may be tested.
➢ Destroy when employee separates from testing-designated position. (See
NOTE below).
Authority: GRS 1, Item 36b

410-01c. Drug Test Selection/scheduling records. Records relating to the
selection of specific employees/applicants for testing and the scheduling of tests.
Included are lists of selectees, notification letters, and testing schedules.
➢ Destroy when 3 years old. (See NOTE below).
Authority: GRS 1, Item 36c
410-01d. Records relating to the collection and handling of specimens.

410-01d(1). “Permanent” Record Books. Bound books containing identifying data on each specimen, recorded at each collection site in the order in which the specimens were collected.
- Destroy 3 years after date of last entry.
  Authority: GRS 1, Item 36d(1)

410-01d(2). Chain of custody records. Forms and other records used to maintain control and accountability of specimens from the point of collection to the final disposition of the specimen.
- Destroy when 3 years old.
  Authority: GRS 1, Item 36d(2)

410-01e. Test results. Records documenting individual test results, including reports of testing, notifications of employees/applicants and employing offices, and documents relating to follow-up testing.

410-01e(1). Positive results.

410-01e(1)(a). Employees.
- Destroy when employee leaves the agency or when 3 years old, whichever is later.
  Authority: GRS 1, Item 36e(1)(a)

410-01e(1)(b). Applicants not accepted for employment.
- Destroy when 3 years old.
  Authority: GRS 1, Item 36e(1)(b)

410-01e(2). Negative results.
- Destroy when 3 years old.
  Authority: GRS 1, Item 36d(2)

NOTE: Any records covered by Item 410-01a. through Item 410-01e., that are relevant to litigation or disciplinary actions should be disposed of no earlier than the related litigation or adverse action case file(s).

Materials pertaining to the administration of drug awareness and control programs. Includes such things as notices of bureau or departmental drug awareness training programs, all employee notifications regarding drug awareness at the USGS, and procedures for drug incident reporting.
- Cut-off at the end of the fiscal year. Destroy 3 years after cut-off or when superseded, obsolete, or no longer needed, whichever is later.
411. Special Appointment Files.

411-01. Americans with Disabilities Act Files.
Files that describe and document work environment issues related to employees with disabilities.

411-01a. Routine files containing employee requests for reasonable accommodations, including related working files, reports, exhibits and corrective actions, in accordance with the American with Disabilities Act.
➢ Cut-off at case closure. Destroy 3 years after cut-off.

411-01b. Originating agency’s file containing complaints with related correspondence, reports, exhibits, withdrawal notices, copies of decisions, records of hearing and meetings, and other records as described in 29 CFR 1613.222, in accordance with the Americans with Disabilities Act.
➢ Cut-off at case closure. Destroy 4 years after cut-off.

412. Educational and Student Program Files.

412-01. Academic and Outreach Programs.
Records created to document educational outreach program transactions between the USGS and its contractors and schools, colleges, universities, community groups, and various State and Federal agencies for the purpose of generating and tracking interest in careers with the USGS and its contractors.

412-01a. Records kept for tracking the impact of these educational programs on the people involved and for measuring the success rate of each program.
➢ Cut-off at the end of the fiscal year. Destroy 6 years after cut-off.

412-01b. Contract or funding information based on the following: Memorandums of Understanding with schools and colleges and grants, scholarships, and budget information.
➢ Cut-off at the end of the fiscal year. Destroy 6 years after cut-off or project completion, whichever is later.

412-01c. Records containing contact information with schools and community groups, regarding internship programs, tutoring programs, talent searches, scholastic tournaments, teacher development, computer loan and/or buy-out programs, science camps, and other educational programs.
➢ Cut-off at the end of the fiscal year. Destroy 6 years after cut-off or project completion, whichever is later.

412-01d. Informational guides, training aids, USGS Recruitment Team memoranda, instructions, and other related documents used by USGS employees
to help them focus on recruitment efforts.

- Cut-off at the end of the fiscal year. Destroy 5 years after cut-off or when superseded, obsolete, or no longer needed, whichever is later.

412-01e. General administrative records that document teacher and student development, progress reports, and correspondence between USGS and contractor and outside academic organizations.

- Cut-off at the end of the fiscal year. Destroy 2 years after cut-off or when no longer needed, whichever is later.

412-01f. Employee informational e-mails, announcements, memoranda, and such, which provide information to all USGS employees on the Bureau Outreach Recruitment Initiative and other bureau programs involved in educational outreach activities.

- Cut-off at the end of the fiscal year. Destroy 3 years after cut-off or when superseded, obsolete, or no longer needed, whichever is later.

412-02. Apprenticeship Program Files.
Apprentice program files consist of external training classroom and practical instruction records and reports of progress such as correspondence, testing, evaluations, and other pertinent information developed during the apprenticeship term.

412-02a. Files of employees who successfully complete all aspects of apprenticeship program.
- Cut-off at separation or transfer of employee. Destroy 4 years after cut-off.

412-02b. Files of employees who terminate or are terminated from the program prior to completion.
- Cut-off at termination. Destroy 10 years after cut-off.

412-03. Tuition Reimbursement Records.
Records relating to tuition reimbursement for employees taking part in a tuition assistance program offered by the employers. The tuition reimbursement is provided for work related undergraduate certificate, and graduate level courses taken at an accredited college, university, or vocational school. The records consist of original, signed tuition request forms, notification of grades, proofs of payments, and related correspondence.

- Cut-off at the end of the fiscal year. Destroy 6 years and 3 months after cut-off.

412-04. Student Recruitment System (SRS).
USGS system that allows students using the Internet to learn about the USGS, explore the benefits of working for the USGS and the Federal Government, view student vacancies, and apply for positions online.
412-04a. Inputs. Electronic inputs consisting of applications from students applying for student positions at the USGS.
   ➢ Delete or destroy after input and verification of data into master file or when no longer needed to support the reconstruction of the master file, whichever is later.

412-04b. Master File. Consists of a single database that contains vacancy and applicant information. This database interfaces with our Lotus Notes mail program to distribute notification to supervisors of qualified applicants and to applicants about the status of their application.
   ➢ Delete records 3 years after applicant last applied to a vacancy.

412-04c. Outputs. Provides management with student application forms for consideration for employment and notifies applicants about the status of their application.
   
   412-04c(1). Electronic Copy.
   ➢ Delete records 3 years after applicant last applied to a vacancy.

412-04d. System Documentation. Step-by-step information is available electronically on the website. Documentation used in the development of the system as well as paper copy user guides are available.
   ➢ Cut-off when system is replaced. Transfer to records storage facility 1 year after cut-off. Destroy 6 years after cut-off.

412-04e. All other copies. Informational copies of employee e-mails, announcements, memoranda, and such relating to implementation and use of the Student Recruitment System website.
   ➢ Cut-off at the end of the fiscal year. Destroy 2 years after cut-off or when superseded, obsolete, or no longer needed, whichever is later.

412-05. Student Placement Assistance (SPA) System.
Interactive website designed to assist current USGS student employees in locating alternate positions in the event the students are no longer available for their location, are switching career fields, or when their current appointment is scheduled to expire within the next 120 days.

   ➢ Delete or destroy after input and verification of data into master file or when no longer needed to support the reconstruction of the master file, whichever is later.

412-05b. Master File. Consists of a database that tracks students through their
resignation or conversion to permanent appointment.

- Delete records 5 years after student is converted to a permanent appointment or separated from the USGS, whichever is earlier.

412-05c. Outputs. Provides management with electronic copies of student resumes for consideration for employment.
- Delete after no longer needed by management for employment consideration.

412-05d. System Documentation. Step-by-step information is available electronically directly on the website. Documentation used in the development of the system as well as paper copy user guides are available.
- Cut-off when system is replaced. Destroy 6 years after cut-off.

412-05e. All other copies. Informational copies of employee e-mails, announcements, memoranda, and such relating to implementation and use of the Student Placement Assistant System Website.
- Cut-off at the end of the fiscal year. Destroy 2 years after cut-off or when superseded, obsolete, or no longer needed, whichever is later.

413. **Employee Training Files.**

413-01. **Training Records.**

(Excluding records of formally established schools that train agency employees in specialized program areas, such as law enforcement and national defense. Records excluded from this item must be scheduled by submission of an SF-115 to the NARA).

413-01a. General files of agency-sponsored training, excluding record copy of manuals, syllabuses, textbooks, and other training aids developed by the bureau.

413-01a(1). Correspondence, memoranda, agreements, authorizations, reports, requirement reviews, plans, and objectives relating to the establishment and operation of training courses and conferences. Examples include, but not limited to, New Leaders Program and the Executive Leadership Program for Mid-Level Employees.
- Destroy when 5 years old or 5 years after completion of a specific training program, whichever is later.
  
  Authority: GRS 1, Item 29a(1)

413-01a(2). Background and working files.
- Destroy when 3 years old.
  
  Authority: GRS 1, Item 29a(2)
413-01b. Employee training other than USGS. Correspondence, memoranda, reports, and other records relating to the availability of training and employee participation in training programs sponsored by other Federal agencies or non-Federal institutions.

- Destroy when 5 years old or when superseded or obsolete, whichever is later.

Authority: GRS 1, Item 29b

413-02. Orientation Program.
USGS Program designed to orient newly hired employees on what the USGS is and the science that is done throughout the bureau.

413-02a. Presentations, either in electronic or paper form, correspondence, memoranda, plans, and objectives relating to the establishment and goals of the USGS Orientation Program.

- Cut-off at the end of the fiscal year. Destroy 5 years after cut-off or when superseded, obsolete, or no longer needed, whichever is later.

413-02b. Background and working files.

- Cut-off at the end of the fiscal year. Destroy 3 years after cut-off.

413-03. Mentoring Program.
A program to help integrate new employees into the USGS workforce, provide career guidance, and role models for employees.

413-03a. Correspondence, handbooks, training materials, guidelines, instructions, and other material related to the implementation and running of the program.

- Cut-off at the end of the fiscal year. Destroy 5 years after cut-off or when superseded, obsolete, or no longer needed, whichever is later.

413-03b. All other copies. Informational copies of employee e-mails, announcements, memoranda, and such relating to the implementation and use of the Mentoring Program at the USGS.

- Cut-off at the end of the fiscal year. Destroy 2 years after cut-off or when superseded, obsolete, or no longer needed, whichever is later.

413-04. Individual Development Plans (IDPs).
Documentation of individuals’ goals, objectives, and strategy for enhancing skills. Plans are updated annually.

- Cut-off at the end of the fiscal year. Destroy when superseded or when an employee departs, whichever is later.

413-05. Training Management System (TMS).
USGS system to track all training courses and other training and developmental experiences for USGS employees. It can be used to obtain approval for
training, register students for training with the vendor, obligate funds, track training experiences, report training information to management, and obtain training costs at various organizational levels.

413-05a. Inputs. Electronic inputs consisting of training information that is on the SF-182.
- Delete or destroy after input and verification of data into master file or when no longer needed to support the reconstruction of the master file, whichever is later.

413-05b. Master File. Consists of a database of basic employee records that are uploaded from FPPS every two weeks. Upload allows identification of new USGS employees and flags employees who have left USGS in order to inactivate records.
- Electronic records of individual employees are inactivated as employees are separated from the agency. Records are deleted 6 years after inactivation, or when no longer needed for data analysis, whichever is later.

413-05c. Outputs. Provides management with all training requests for approval and reports on what types of training is taken and how much is spent on training at the USGS.

413-05c(1). Electronic Copy.
- Delete after recordkeeping copy is produced or no longer needed for operational purposes, whichever is later.

413-05c(2). Recordkeeping Copy (paper).
- Cut-off at the end of the fiscal year. Retire records to storage facility 2 years after cut-off. Destroy 6 years after cut-off.

413-05d. System Documentation. Consists of system requirements analysis and design documents.
- Cut-off when system is replaced. Destroy 6 years after cut-off.

413-05e. All other copies. Informational copies of employee e-mails, announcements, memoranda, and such relating to implementation and use of the automated Training Management System website.
- Cut-off at the end of the fiscal year. Destroy 2 years after cut-off or when superseded, obsolete, or no longer needed, whichever is later.

413-06. **International Visitor and Training Files.**
Materials relating to official visitors and trainees from countries outside of the United States.
- Cut-off files at the end of the fiscal year. Destroy 10 years after cut-off.
414. **Employee Health Files.**

414-01. **Individual Non-Occupational Health Record Files.**
Forms, correspondence, and other records, including summary records, documenting an individual employee's medical history, physical condition, and visits to Government health facilities, for non-work related purposes, excluding records covered by Item 414-03 of this schedule.

- Destroy 6 years after date of last entry.
  
  Authority: GRS 1, Item 19

414-02. **Health Unit Control Files.**
Logs or registers reflecting daily number of visits to dispensaries, first aid rooms, and health units.

414-02a. If information is summarized on statistical report.

- Destroy 3 months after last entry.
  
  Authority: GRS 1, Item 20a

414-02b. If information is not summarized.

- Destroy 2 years after last entry.
  
  Authority: GRS 1, Item 20b

414-03. **Employee Medical Folders (EMF).**

414-03a. Long-term medical records as defined in 5 CFR, Part 293, Subpart E.

414-03a(1). Transferred employees.

- See 5 CFR, Part 293, Subpart E for instructions.
  
  Authority: GRS 1, Item 21a(1)

414-03a(2). Separated employees.

- Transfer to NPRC, St. Louis, Missouri, 30 days after separation. NPRC will destroy 75 years after birth date of employee, 60 years after date of the earliest document in the folder if the date of birth cannot be ascertained, or 30 years after latest separation, whichever is later.
  
  Authority: GRS 1, Item 21a(2)


- Destroy 1 year after separation or transfer of employee.
  
  Authority: GRS 1, Item 21b

414-03c. Individual Employee Health Case Files created prior to the establishment of the EMF System that have been retired to a FRC.

- Destroy 60 years after retirement to FRC.
414-04. **General Health and Wellness Correspondence Files.**

414-04a. Correspondence, memorandums, and other records relating to general health and wellness topics such as sent out by USGS employee health units, but excluding records specifically described elsewhere in this schedule. Examples include, but not limited to, notices of flu shots, announcements of health-related topics and visits, and health insurance information and visits.  
- Cut-off at the end of the fiscal year. Destroy 2 years after cut-off or when superseded, obsolete, or no longer needed, whichever is later.

414-04b. Smoking Issues and Policies. Correspondence, memorandums, and other records relating to USGS smoking issues and policies.  
- Cut-off at the end of the fiscal year. Destroy 5 years after cut-off or when superseded, obsolete, or no longer needed, whichever is later.

414-05. **Employee Health Statistical Summaries.**  
Miscellaneous statistical summaries and reports with related papers pertaining to employee health and retained by the reporting unit.  
- Destroy 2 years after date of summary or report.  
Authority: GRS 1, Item 22

414-06. **Personal Injury (Accident) Case Files.**  
Forms, reports, correspondence, and related medical and investigatory records relating to on-the-job injuries, including volunteer-related incidents, whether or not a claim for compensation was made, excluding copies filed in the EMF and copies submitted to the Department of Labor.  
- Cut-off on termination of compensation or when deadline for filing a claim has passed. Destroy 5 years after cut-off.  
Authority: GRS 1, Item 31

414-07. **Occupational Injury and Illness Files.**  
Reports and logs (including volunteer occupational injury and illness reports, Occupational Safety and Health Administration (OSHA) Forms 100, 101, 102, and 200, or equivalents) maintained as prescribed in 29 CFR 1960 and OSHA Pamphlet 2014 to document all recordable occupational injuries and illnesses for each establishment.  
- Cut-off at the end of the fiscal year. Destroy 5 years after cut-off.  
Authority: GRS 1, Item 34

414-08. **Denied Health Benefits Requests Under Spouse Equity.**  
Denied eligibility files consisting of applications, court orders, denial letters, appeal letters, and related papers.

414-08a. Health benefits denied, not appealed.
Destroy 3 years after denial.
Authority: GRS 1, Item 35a

414-08b. Health benefits denied, appealed to OPM for reconsideration.

414-08b(1). Appeal successful - benefits granted.
➢ Create enrollment file in accordance with Section 11 of the Federal Employee Health Benefits (FEHB) Handbook.
Authority: GRS 1, Item 35b(1)

414-08b(2). Appeal unsuccessful - benefits denied.
➢ Destroy 3 years after denial.
Authority: GRS 1, Item 35b(2)

NOTE: Pursuant to Section 11 of the FEHB Handbook, enrollment files of spouses eligible for benefits are transferred to OPM when former spouse cancels the enrollment, when enrollment is terminated by the employing office, or when former spouse begins receiving an annuity payment.

415. Labor Relations Files.

415-01. Labor Management Relations.
Correspondence, memoranda, reports, case files, and other records relating to the relationship between management and employee unions or other groups.

415-01a. General correspondence.
➢ Cut-off at the end of the fiscal year. Destroy 5 years after cut-off.
Authority: NI-57-87-2, Item 408-01a

415-01b. Office negotiating agreement.
➢ Destroy 5 years after expiration of agreement.
Authority: NI-57-87-2, Item 408-01b

415-01c. Other offices.
➢ Destroy when superseded or obsolete.

415-01d. Administrative Grievance Files (5 CFR 771). Records relating to grievances 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.
➢ Destroy 5 years after date of last entry.
Authority: GRS 1, Item 30a
415-01e. Adverse Action Files (5 CFR 752) and Performance-Based Actions (5 CFR 432). Case files and records related to adverse actions and performance-based actions (removal, suspension, reduction-in-grade, furlough) against employees. The file includes a copy of the proposed adverse action with supporting documents; statements of witnesses; employee's reply; hearing notices, reports and decisions, reversal of action; and appeal records, excluding letters of reprimand which are filed in the Official Personnel Folder.

➤ Destroy 5 years after date of last entry.
Authority: GR 5-1, Item 30b

415-01f. Labor Management Relations reports required by OPM, the Department of the Interior, or the bureau for management of the program.

415-01f(1). Bargaining unit status reports.
➤ Destroy when obsolete or superseded.
Authority: N1-57-87-2, Item 408-01d(1)

415-01f(2). Labor Agreement Information Retrieval System and official time reports.
➤ Destroy when 5 years old.
Authority: N1-57-87-2, Item 408-01d(2)

415-02. Seniority Rosters.
Seniority rosters that document and establish effective service dates for union employees and are used to determine seniority for the annual job bidding process.

415-02a. Labor Relations Office File.
➤ Destroy 10 years after expiration of labor agreement.

415-02b. Other offices.
➤ Cut-off at the end of the fiscal year. Destroy 2 years after cut-off or when no longer needed, whichever is later.

415-03. Certification/Decertification Files.
These files document meeting minutes, correspondence, and other records documenting management's actions relating to the response to union membership organizing drives.
➤ Destroy 10 years after decertification of the union.

416. EEO Files.

416-01a. Official Discrimination Complaint Case Files. Originating agency’s file containing complaints with related correspondence, reports, exhibits, withdrawal notices, copies of decisions, records of hearings and meetings, and other records as described in 29 CFR 1613.222. Cases resolved within the agency, by the Department of the Interior, by the Equal Employment Opportunity Commission, or by a U.S. Court.

- Destroy 4 years after resolution of case.
  Authority: GRS 1, Item 25a

416-01b. Copies of EEO Complaint Case Files. Duplicate case files or documents pertaining to case files retained in official Discrimination Complaint Case files.

- Destroy 1 year after resolution of case.
  Authority: GRS 1, Item 25b

416-01c. EEO Preliminary and Background Records.

416-01c(1). Background records not filed in the official Discrimination Complaint Case files.

- Destroy 2 years after final resolution of case.
  Authority: GRS 1, Item 25c(1)

416-01c(2). Records documenting complaints that do not develop into official Discrimination Complaint Cases.

- Destroy when 2 years old.
  Authority: GRS 1, Item 25c(2)

416-01d. Discrimination complaint status reports. Documents created in reporting data on the number of discrimination complaints on hand, received during the reporting period, closed during the reporting period, and number of cases in progress.

- Cut-off at the end of the fiscal year. Destroy 5 years after cut-off.

416-02. EEO Compliance Records.

416-02a. EEO Compliance Review Files. Reviews, background documents, and correspondence relating to contractor employment practices.

- Cut-off at the end of the fiscal year. Destroy 7 years after cut-off.
  Authority: GRS 1, Item 25d(1)

416-02b. EEO Compliance Reports.

- Cut-off at the end of the fiscal year. Destroy 3 years after cut-off.
  Authority: GRS 1, Item 25d(2)

416-03. EEO Employment Statistics Files.
Record copies of statistics relating to race and sex. (See NOTE below).
Cut-off at the end of the fiscal year. Destroy 5 years after cut-off.
Authority: GRS 1, Item 25f

NOTE: Electronic master files and databases created to supplement or replace the records covered by this sub-item are not authorized for disposal under the General Records Schedule. Such files must be scheduled on an SF-115.

416-04. EEO Affirmative Action Plans (AAPs).

416-04a. Agency copy of consolidated AAPs.
➢ Destroy 5 years from date of plan.
   Authority: GRS 1, Item 25h(1)

416-04b. Agency feeder plans to consolidated AAPs.
➢ Destroy 5 years from date of feeder plan or when administrative purposes have been served, whichever is sooner.
   Authority: GRS 1, Item 25h(2)

416-04c. Record copies of reports of on-site reviews of AAPs.
➢ Destroy 5 years from date of report.
   Authority: GRS 1, Item 25h(3)

➢ Destroy 5 years from date of report.
   Authority: GRS 1, Item 25h(4)

416-05. Special Emphasis Programs and Project Records.
Documents accumulated in planning, administering, conducting, and assisting in special emphasis programs and projects nationwide that are not identified with other projects, and programs listed elsewhere in this schedule. Included are projects or programs that may be requested by managers or employees as a means of keeping informed of local, regional, and national minority, women's, or disability services programs.
➢ Cut-off at the end of the fiscal year. Destroy when no longer needed for administrative purposes.

416-06. EEO General Files.
General correspondence and copies of regulations with related records pertaining to the Civil Rights Act of 1964, the EEO Act of 1972, any pertinent later legislation, and agency EEO Committee meeting records including minutes and reports.
➢ Destroy when 3 years old, or when superseded or obsolete, whichever is applicable.
   Authority: GRS 1, Item 25g
417. Payroll and Time and Attendance Files.

417-01. Individual Employee Pay Records.

417-01a. Pay record for each employee as maintained in an electronic database. This database may be a standalone payroll system or part of a combined personnel/payroll system.
- Update elements and/or entire record as required.
  Authority: GRS 2, Item 1a

417-01b. Individual Pay Record, containing pay data on each employee within an agency. This record may be in paper or microform but not in machine-readable form.
- Transfer to the NPRC. Destroy when 56 years old.
  Authority: GRS 2, Item 1b

417-02. Non-current Payroll Files.
Copy of non-current payroll data as maintained by payroll service bureaus in either microform or machine-readable form.
- Destroy 15 years after close of pay year in which generated.
  Authority: GRS 2, Item 2

417-03. Time and Attendance - Leave Application Files.
SF-71, e-mails with approval by supervisor for requested leave, or any other equivalent plus any supporting documentation for requests and approvals of leave.

417-03a. If employee initials time card or equivalent.
- Destroy at end of following pay period.
  Authority: GRS 2, Item 6a

417-03b. If employee has not initialed time card or equivalent.
- Destroy after General Accounting Office (GAO) audit or when 3 years old, whichever is sooner.
  Authority: GRS 2, Item 6b

417-04. Time and Attendance Source Records.
All time and attendance records upon which leave input data are based, such as time or sign-in sheets; time cards (such as OF-1130); flexitime records; leave applications for jury and military duty; and authorized premium pay or overtime, maintained at duty post, upon which leave input data are based. Records may be in either machine-readable or paper form.
- Destroy after GAO audit or when 6 years old, whichever is sooner.
  Authority: GRS 2, Item 7
417-05. **Time and Attendance Input Records.**
Records in either paper or machine-readable form used to input time and attendance data into a payroll system, maintained either by agency or payroll processor.

- Destroy after GAO audit or when 6 years old, whichever is sooner.
  
  Authority: GRS 2, Item 8

417-06. **Flexitime Attendance.**
Supplemental time and attendance records and any other background materials used for time accounting under flexitime systems.

- Destroy after GAO audit or when 6 years old, whichever is sooner.

417-07. **Leave Record Files.**

417-07a. Record of employee leave, such as SF-1150, prepared upon transfer or separation.

- File on right side of the OPF. See Item 402-01 for disposition.
  
  Authority: GRS 2, Item 9a

417-07b. Creating agency copy, when maintained.

- Destroy when 3 years old.
  
  Authority: GRS 2, Item 9b

417-08. **Donated Leave Program Case Files.**
Case files documenting the receipt and donation of leave for medical emergencies, including recipient applications, agency approvals or denials, medical or physician certifications, leave donation records or Optional Form 630-A, supervisor and timekeeper approvals, leave transfer records, payroll notification records, and leave program termination records.

- Destroy 6 years after the end of the year in which the file is closed.
  
  Authority: GRS 1, Item 37

417-09. **Other Leave Program Files.**
Includes, but not limited to, Family Friendly leave, restored leave, jury duty, leave without pay, military leave, and blood leave.

417-09a. General Administrative Records. Correspondence or subject files in the office responsible for overseeing employee leave programs. Files should include such items as bureau policy, procedures for governing, and correspondence to employees. Files should be separated by program and filed alphabetically.

- Cut-off at the end of the fiscal year. Destroy 5 years after cut-off or when superseded, obsolete, or no longer needed, whichever is later.
417-09b. Correspondence or subject files for all other offices that receive e-mails, correspondence, pamphlets, or information on these other leave programs. Files should be separated by program and filed alphabetically.

- Cut-off at the end of the fiscal year. Destroy 2 years after cut-off or when superseded, obsolete, or no longer needed, whichever is later.

417-10. Tax Files.

417-10a. Employee withholding allowance certificate such as Internal Revenue Service (IRS) Form W-4 and state equivalents.

- Destroy 4 years after superseded or obsolete or upon separation of employee.
  Authority: GRS 2, Item 13a

417-10b. Agency copy of employee wages and tax statements, such as IRS Form W-2 and state equivalents, maintained by agency or payroll processor.

- Destroy when 4 years old.
  Authority: GRS 2, Item 13b

417-10c. Agency copy of employer reports of Federal tax withheld, such as IRS Form W-3, with related papers including reports relating to income and social security tax, and state equivalents, maintained by agency or payroll processor.

- Destroy when 4 years old.
  Authority: GRS 2, Item 13c


Written narratives and computerized transaction registers documenting use of retention, relocation and recruitment bonuses, allowances, and supervisory differentials under Federal Employees Pay Comparability Act.

- Destroy after 3 subsequent reports have been filed.
  Authority: GRS 1, Item 41

417-12. Classification Appraisals (Pay) Files.

Files, which document the comparison of salaries, paid locally and nationally to established salary percentage increase, comparative grade studies, guidelines, and justification base for employee performance assessments.

- Cut-off at the end of the fiscal year. Destroy 3 years after cut-off or when superseded, obsolete, or no longer needed, whichever is later.


417-13a. Authorization for Purchase and Request for Change - U.S. Savings Bonds, SB 2152, or equivalent.

- Destroy when superseded or after separation of employee.
  Authority: GRS 2, Item 14a
417-13b. Bond registration files: issuing agent's copies of bond registration stubs.
  ➢ Destroy 4 months after date of issuance of bond.
  Authority: GRS 2, Item 14b

  ➢ Destroy 4 months after date of issuance of bond.
  Authority: GRS 2, Item 14c

417-14. **Combined Federal Campaign and Other Allotment Authorizations.**

  ➢ Destroy after GAO audit or when 3 years old, whichever is sooner.
  Authority: GRS 2, Item 15a

417-14b. Other authorizations, such as union dues and savings.
  ➢ Destroy after GAO audit or when 3 years old, whichever is sooner.
  Authority: GRS 2, Item 15b

417-15. **Payroll Levy and Garnishment Files.**
Official Notice of Levy or Garnishment (IRS Form 668A or equivalent), change slip, work papers, correspondence, release and other forms, and other records relating to charge against retirement funds or attachment of salary for payment of back taxes or other debts of Federal employees.
  ➢ Destroy 3 years after garnishment is terminated.
  Authority: GRS 2, Item 18

417-16. **Payroll Administration - Payroll System Reports.**

417-16a. Error reports, ticklers, and system operation reports.
  ➢ Destroy when related actions are completed or when no longer needed, not to exceed 2 years.
  Authority: GRS 2, Item 22a

417-16b. Reports and data used for agency workload and/or personnel management purposes.
  ➢ Cut-off at the end of the fiscal year. Destroy when 2 years old.
  Authority: GRS 2, Item 22b

417-16c. Reports providing fiscal information on agency payroll.
  ➢ Destroy after GAO audit or when 3 years old, whichever is sooner.
  Authority: GRS 2, Item 22c

417-17. **Payroll Adjustment and Change Files.**
Records forwarded to payroll operations to direct a change or correction of an individual pay transaction whether created and maintained by paying agency or payroll processor.

417-17a. Copies subject to GAO audit.
➤ Destroy after GAO audit or when 3 years old, whichever is sooner.
   Authority: GRS 2, Item 23a

417-17b. All other copies.
➤ Destroy 1 month after end of related pay period.
   Authority: GRS 2, Item 23b

417-18. Payroll Correspondence.
Correspondence between agency and payroll processor regarding general routine administrative issues that do not relate to individual payments.
➤ Cut-off at the end of the fiscal year. Destroy when 2 years old.
   Authority: GRS 2, Item 24


418-01. Electronic copies of records.
Electronic copies of records that are created on electronic mail, spreadsheet, and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this chapter. Also includes electronic copies of records created on electronic mail, spreadsheet, and word processing systems that are maintained for updating, revision, or dissemination.

418-01a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives and copies on shared network drives that are used only to produce the recordkeeping copy.
➤ Destroy/delete within 180 days after the recordkeeping copy has been produced.

418-01b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.
Destroy/delete when dissemination, revision, or updating is completed.