

REQUEST FOR RECORD DISPOSITION AUTHORITY
(See Instructions on reverse)

Wilson

LEAVE BLANK

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

1 FROM (AGENCY OR ESTABLISHMENT)
Department of the Interior

2 MAJOR SUBDIVISION
U.S. Geological Survey

3 MINOR SUBDIVISION

4 NAME OF PERSON WITH WHOM TO CONFER
Geraldine A. Wilson

5. TEL EXT
860-7211

JOB NO
NC1-57-81-2

DATE RECEIVED
June 1, 1981

NOTIFICATION TO AGENCY

In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10

6-19-81 *[Signature]*
Date Archivist of the United States

6 CERTIFICATE OF AGENCY REPRESENTATIVE

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of 11 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

A Request for immediate disposal.

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

C DATE
5/26/81

D SIGNATURE OF AGENCY REPRESENTATIVE
Geraldine A. Wilson

E. TITLE
Paperwork Management Officer

7 ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
	<p>The Geological Survey (USGS) is a Bureau of the Department of the Interior engaged in (1) fundamental research in geology, topography, geochemistry, hydrology, geophysics and related sciences; (2) inventorying national mineral and water resources; (3) classification of Federal lands for mineral and waterpower potential; (4) supervision of mining and oil and gas development on Federal and Indian lands and on the outer continental shelf, and (5) surveying and mapping; publication of maps and reports setting out the results of these activities. The USGS is administered by the following organizational entities:</p> <p>Office of the Director, Administrative Division, Computer Center Division, Conservation Division, Geologic Division, Office of Earth Sciences Applications, National Mapping Division, and Water Resources Division.</p> <p>This schedule covers series of records that are either administrative in nature or are USGS mission-oriented records common to more than one Division/Office. Any records series created subsequent to and not disposable by this schedule, the individual Division/Office schedules or the General Records Schedules 1-22 (prepared by the National Archives and Records Service (NARS)) will</p>		62 items

copy to agency by RTB, 6/23/81; to NNF, NNB, NNH, & all Centers, 7/8/81
Closed Out: 7-13-81-K.T.S.

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7 ITEM NO	8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
	<p>be covered by supplementary records disposition authority to be obtained from NARS.</p> <p style="text-align: center;"><u>GENERAL RECORDS</u></p> <p>Certain types of records are maintained in components of more than one USGS Division or Office. The files in these general records series are fairly uniform and can be described in a general manner with the disposition of the records being governed by the following instructions (unless a specific file series is listed under the records schedule of a Division or Office, in which case, the Division or Office disposition will apply).</p>		
1	<p><u>ADMINISTRATIVE OFFICE FILES.</u> Files relating to the internal administration or housekeeping activities of the office rather than the functions for which the office exists. In general, these records include copies of documents relating to office organization, staffing, and communications; the expenditure of funds; day-to-day administration of office personnel, including travel and training; supplies and office equipment requests, and receipts and the use of office space and utilities. They may include internal work progress reports, suspense control documents, and similar material that do not serve an official documentation of functional programs.</p> <p>Destroy in agency when 2 years old or earlier if purpose has been served.</p>		
2	<p>MANAGEMENT <u>MISSION</u> <u>MANAGEMENT CORRESPONDENCE FILES.</u> Files contain correspondence, letters and memoranda, directives, reports, and related documents created or received during the performance of management functions, except material specifically filed as part of the program/project case files. These records are generated primarily from the Reston offices. Office of the Director, Associate Director, Assistant Directors, and Division Chiefs, and Branch Files where no Division files exist.</p> <p>Substantive correspondence concerning policy-making, executive direction, staff assistance, program management, and relationships with the Interior Department and other higher authority, other Bureaus, industry and the public (Approximately 50 cu. ft. annually. Arranged subject-numeric).</p> <p>a. Record Copy - PERMANENT. Break file annually. Transfer to FARC when 5 years old. Offer to NARS in annual segments 20 years after file break.</p>	<p>II-NNA-1078, 1 II-NNA-1077, 1</p>	

Request for Records Disposition Authority - Continuation

JOB NO

PAGE OF 11
3

7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
	b. All other copies - Destroy in agency when no longer needed for current reference.		
3	<u>DIRECTIVES CASE FILES (BUREAU)</u> . Internal directives, including Survey Manual, issued at the Bureau and Division levels; with supporting documents, if any, documenting important aspects of development. (Arranged by number. ca. 2 cu. ft. / yr.)		
RTB 6/5/81	a. Record copy of directive - PERMANENT. Break file annually. Transfer to ERC when 5 years old. Offer to NARS ^{in 5 year blocks} when 20 years old.	II-NNA-1077, 7, GRS 16/1a	(same)
	b. All other copies - Destroy in agency when superseded.		
	c. Supporting documentation - Destroy in agency 5 years after issuance of directive.	II-NNA-1077, 24; GRS 16/1b	(submit 115-01)
4	<u>ADMINISTRATIVE ANNOUNCEMENTS</u> . Includes guidance letters, publications such as the <u>Administrative Digest</u> , <u>National Center News</u> , and similar material produced by Divisions in headquarters or in the Regions. These are issuances used for short-term guidance and information on policy or changes concerning operating procedures.	GRS 16/1c	(same)
RTB 6/5/81	a. Office of origin - Destroy in agency when ^{superseded or} 5 years _{old, obsolete,}		
	b. All other offices - Destroy in agency when no longer needed for reference.		
5	<u>ORGANIZATIONAL RECORDS (BUREAU DIRECTOR'S LEVEL)</u> . Official organization charts, narrative histories, and related records which document the internal organization and functions of the Bureau.		
	a. Documents relating to the establishment of and changes in organization, functions and relationships of USGS activities. Included are, official organization charts, narrative histories and related records which document the internal organization and functions of the Bureau.		
(4)	Record Copy - PERMANENT. Break file annually. Offer to NARS in 5-yr. blocks when 20 years old.	GRS 16/ 13a	

115-203

Four copies, including original, to be submitted to the National Archives

STANDARD FORM 115-A
Revised July 1974
Prescribed by General Services
Administration
FPMR (41 CFR) 101-11.4

Request for Records Disposition Authority - Continuation

JOB NO

PAGE OF 11
4

7. ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
	(B) All other copies - Destroy in agency when superseded or obsolete.		
6	<p><u>COMMITTEE AND CONFERENCE RECORDS.</u> Bureau and Division level files containing directives, correspondence, and reports relating to the establishment, organization, membership, policy, and termination of individual committees, conferences, and meetings reflecting the official position of the Bureau or Division on problems discussed. Arrange alphabetically by subject. Ca. 10 cu. ft./yr., maximum.</p> <p>a. Interagency, International, Advisory and high-level Intra-agency bodies.</p> <p>1) Record copy, minutes and final reports-- PERMANENT. Transfer to FRC 5 years after termination. Offer to NARS 20 years after termination.</p> <p>2) All other copies, minutes and final reports-- Destroy when 3 years old or when no longer needed for reference.</p> <p>3) All other records--Destroy when 3 years old or no longer needed for reference.</p> <p>b. Internal bodies of an ad hoc, informal, nature-- Destroy 2 years after termination of committee.</p>	<p>GRS 16/ 12a (1) (submit 115)-ok</p> <p>GRS 12b (1)(b)-ok</p> <p>GRS 12b(2)-ok</p> <p>GRS 16/ 12a(2) same</p>	
7	<p><u>MANAGEMENT SURVEY RECORDS.</u> Staff studies, analyses, and reports on projects, policies, and/or procedures, manpower, organization, and similar studies.</p> <p>Destroy in agency 10 years after completion of the study, survey, or project.</p>		
8	<p><u>COOPERATIVE AGREEMENTS AND MEMORANDA OF UNDERSTANDING FILES.</u> Records documenting joint ventures resulting from agreements and memoranda of understanding between USGS components and other organizations (Federal, State and local or private). Subjects include relationships, procedures, studies, exchange of technical data, use and management of the public domain.</p> <p>Transfer to a Federal Records Center one year after agreement of understanding terminated. Destroy 10 years later.</p>	<p>II-NNA 1077, 15</p>	

Request for Records Disposition Authority - Continuation

JOB NO

PAGE OF
4a of 11

7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
9	<p><u>RECORDS DISPOSITION FILES</u>. Descriptive inventories, disposal authorizations, schedules for retirement of records, and correspondence or memoranda relating to revisions.</p> <p>Destroy when files listed thereon have been destroyed or when no longer needed for administrative purposes.</p>	GRS 16/ 3a	
10	<p><u>FORMS CASE FILES</u>. One record copy of each form created and approved for use by USGS with related instructions and documentation concerning origin, purpose, scope, and justification of form.</p> <p>a. Forms Management Official -- Destroy 5 years after discontinuation, supersession, or obsolescence of related form.</p> <p>b. Forms control; requisitions and processing data.-- Destroy when related form is superseded or cancelled.</p>	GRS 16/4a GRS 16/4b	
11	<p><u>PUBLICATIONS AND ISSUANCES</u>. (Arranged by subject). USGS-produced and -published books, pamphlets, reports, booklets, leaflets, and similar material resulting from scientific and technical research studies, surveys, reports, analyses, evaluations and appraisals involving the broad field of earth science. (These publications do NOT include maps or directives.) Copies of all USGS published issuances are sent to USGS depositories and reference libraries where they are made available to the public and other Federal agencies, as required or needed. One copy is on automatic distribution to the National Center Library in Reston.</p> <p>a. <u>Record copy</u></p> <p>(1) Publications printed by GPO--Destroy in agency when superseded, obsolete, or no longer needed.</p> <p>(2) Publications NOT printed by GPO--PERMANENT. Offer to NARS when 5 years old or when no longer needed, whichever is sooner. ca.lcu.ft./yr; arr. by title.</p> <p>b. <u>All other copies, All publications</u>-- Destroy in agency when no longer needed for reference.</p>	II-NNA- 1077,3 GRS 16/2a (submit 115) <i>oh</i>	

7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
	<p>c. <u>Publication Control Records</u>--Destroy in agency 1 year after publication.</p> <p>d. <u>Open File Reports</u>--Reports and manuscripts covering scientific files, include 1-time requests for current information collected thru USGS research but not formally published. This information is available on request.-- Destroy in agency when 20 years old or when no longer needed for reference, whichever is sooner. Break file every 5 years.</p>	<p>II-NNA-1077, 5</p> <p>II-NNA 1077, 6</p>	
12	<p><u>BUDGET AND FINANCE CORRESPONDENCE</u>. Correspondence or subject files in the Branch of Budget Management documenting bureau policy and procedure governing budget administration.</p> <p>Break file each Fiscal Year. Destroy when 5 years old or when purpose has been served, whichever is sooner.</p>	GRS 5/1 (submit (115)	
13	<p><u>BUDGET ESTIMATES AND JUSTIFICATION</u>. Copies of budget estimates and justifications prepared by the Bureau and submitted to the Department for consolidation.</p> <p>a. Branch of Budget - Destroy when 5 years old.</p> <p>b. All other copies - Destroy when 2 years old or when purpose has been served, whichever is sooner.</p>	GRS 5/2a (submit (115)-ok	
14	<p><u>PERSONNEL OFFICE CORRESPONDENCE</u>. Records not in official personnel folder relating to individual employees.</p> <p>Use GRS 1/17a, b & c.</p>	GRS 1/17a, ok b & c	
15	<p><u>EMPLOYEE RELATIONS CASE FILES</u>. 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.</p> <p>a. Disciplinary and adverse actions Destroy 4 yrs. after case is closed.</p> <p>b. Performance-based actions (including denial of within-grade increases) Destroy 4 years after case is closed.</p>	GRS 1/31b ok GRS 1/31b ok	

Request for Records Disposition Authority - Continuation		JOB NO	PAGE OF 6 11
7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
	<p>c. Appeals of disciplinary/adverse actions and performance-based actions.</p> <p>Destroy 4 yrs. after case is closed</p>	GRS 1/31b	ok
	<p>d. Grievances -</p> <p>Destroy 3 yrs. after case is closed.</p>	GRS 1/31a	ok
	<p>e. Separation of probationary employees -</p> <p>Destroy 1 year after separation.</p>		
	<p>f. Cases in which no action was taken -</p> <p>Destroy 1 year after date of last contact or 6 months after employee's separation, whichever is earlier.</p>		
16	<p><u>MERIT PROMOTION PLAN RECORDS.</u> Lists of applicants, Vacancy Announcements, and lists of best qualified candidates.</p> <p>Destroy when 3 years old.</p>	GRS 1/3a	ok
17	<p><u>EMPLOYEE INVESTIGATIVE FILES.</u> Records of investigations conducted by and for the personnel office pertaining to allegations of violations and misconduct of employees.</p> <p>Destroy 1 year after case is closed.</p>		
18	<p><u>EMPLOYEE AWARDS FILES.</u> Records relating to awards made at the Departmental level or higher.</p> <p>Destroy 2 years after final action taken.</p>	GRS 1/12c	ok
19	<p><u>EMERGENCY LOAN FUND FILES.</u> Records relating to the administration of the Emergency Loan Fund.</p> <p>a. Policy -</p> <p>Destroy ^{in agency} when superseded.</p> <p>b. Transactions -</p> <p>Destroy ^{in agency} 1 year after audit.</p> <p>c. Financial Records -</p> <p>Destroy ^{in agency} 2 years after audit.</p>		

Request for Records Disposition Authority - Continuation		JOB NO	PAGE OF 11 7
7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
	<p>c. Correspondence - Destroy ^{in agency} 1 year after audit.</p>		
20	<p><u>EMPLOYEE BENEFITS FILES.</u> Records relating to the employee retirement, life insurance, health benefits and death benefits programs.</p> <p>a. 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.</p> <p>b. Estimated annuity computations - Destroy upon retirement.</p> <p>c. Death case files. Duplicate copies of claim forms forwarded to OPM and OFEGLI for adjudication of survivor benefits. Destroy 2 years after date of death.</p> <p>d. Retirement "call-up" cards. 3" x 5" cards summarizing information of employees who have retired or died. Destroy 10 years after date of retirement or death.</p>	<p>GRS 2/ 21b (deviation)</p> <p>GRS 2/ 21b (deviation)</p>	
21	<p><u>PROCUREMENT ACTIONS.</u> Procurement files use GRS 3/4 for all procurement files.</p>	GRS 3/4	
22	<p><u>SALE OF SURPLUS PROPERTY.</u> Case files on sales of surplus property.</p> <p>Use GRS 4/6 for all files relating to sale of surplus property.</p>	GRS 4/6	
23	<p><u>DISPOSAL OF SURPLUS PROPERTY.</u> Case files on disposal of surplus real and related personal property.</p> <p>Destroy 7 years after disposal of property</p>	GRS 4/2 (submit 115) ok	withdrawn, 6/5/81 RTB CW
24	<p><u>EXCESS REAL PROPERTY.</u> Reports of excess real property.</p> <p>Destroy when 3 years old.</p>	GRS 4/3 (submit 115) ok	withdrawn, 6/5/81 RTB CW

7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
25	<p><u>UNIQUE PROCUREMENT FILES.</u> Files documenting the initiation and development of transactions that deviate from established procedures, other than those covered under Tax Exemption files (GRS 3, Item 13).</p> <p style="text-align: center;">Destroy 6 years after final action.</p>	GRS 4/1	<i>Withdrawn, 6/5/81 RTB CW</i>
26	<p><u>GRANT CASE FILES.</u> Proposals or applications, contracts, project reports, studies, certificates, agreements, memoranda, correspondence, and other records relating to receipt, review, award, evaluation, status and monitoring of grants; allocation of funds, and project budget. (Does not include copies filed in the project case file):</p> <p style="text-align: center;">Destroy 6 years after case is closed.</p>	GRS 3/15 <i>(submit 115) ch</i>	
27	<p><u>GRANT PROPOSALS.</u> Records pertaining to exploration and investigations of the feasibility of implementing unsolicited proposals.</p> <p>a. Proposals that result in authorized projects - file with project case file and dispose accordingly.</p> <p>b. Proposals rejected -</p> <p style="text-align: center;">Destroy ³/5 years after investigation is completed.</p>	GRS 3/146 GRS 3/14a <i>ch</i>	
28	<p><u>CONGRESSIONAL CORRESPONDENCE AND LEGISLATIVE REFERENCE FILES.</u> Correspondence with members of Congress, Congressional committees, House and Senate bills, testimony before Congress and legislative material pertinent to programs of the USGS.</p> <p style="text-align: center;">Cut-off files each Congress. Destroy 8 years after cut-off.</p>		
29	<p><u>LEGISLATIVE REFERENCE FILES.</u> Consists of House & Senate bills and regulations, Executive Orders, Proclamations and similar authoritative issuances, either pending or passed, with related opinions and briefs.</p> <p style="text-align: center;">Destroy ^{in agency} when no longer needed for reference.</p>	II-NNA-1077, 23	
30	<p><u>INFORMATION OFFICE RECORDS.</u> These record series consists of files pertaining to the Survey Information Office. The General Records Schedule 14 will apply to these records,</p>		

Request for Records Disposition Authority—Continuation		JOB NO	PAGE OF 11 9
7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
	<p>except for the following records series: (Does not include files of the National Cartographic Information Center, the EROS Data Center or its Applications Assistance Facilities).</p> <p>a. Press Release Files. Consists of one copy of each informational release and publication including press releases, press conference transcripts, official speeches and graphic presentations.--</p> <p style="text-align: center;"><i>Transfer to FARC 5 years later. Destroy when 20 years old.</i></p> <p>Break file annually. Transfer to FARC 5 years later. Destroy when 20 years old.</p> <p>b. Public Information Reference File. Contains files created in connection with the preparation or review of press releases and composed of photographs, correspondence, memoranda, clippings and related papers which are either non-record material or duplicated in files maintained elsewhere.--</p> <p style="text-align: center;">Destroy 1 year after release of press release.</p>	<p>II-NNA-1077, 8 <i>GRS 14/16 (deviation)</i></p> <p>II-NNA-1077, 9</p>	
31	<p><u>SPEECH FILE.</u></p> <p>a) Copies of speeches made by top level bureau officials relating to program activities.--PERMANENT. Cut off at close of FY. Hold 2 yrs. or until volume warrants and retire to FARC. Offer to NARS 10 yrs. after cut off. <i>Offer to NARS in 5 year blocks when 20 years old.</i></p> <p>b) All other speeches--Destroy in agency when no longer needed for reference. Arrange by name of speaker thereunder chronologically. Ca. 5"/yr.</p>	<p><i>GRS 14/1a (same)</i></p>	
32	<p><u>PROJECT CASE FILES.</u> Files reflect complete history of each project and may include copies of contracts or agreements for research services, with modifications, changes, or addenda; project authorization documents; project cards; technical characteristics, test and trial results; drawings, specifications and photographs of designed items; technical and progress reports; notices of completion or cancellation and any correspondence, planning, reporting or other action or discussion affecting the development of the project. Subjects include surveys, investigations, and research covering the geological structure, mineral resources, and products of the public domain. Use this disposition unless file is covered more specifically in schedules relating to records of individual Divisions.</p>	<p>II-NNA-1077, 14A</p>	

Request for Records Disposition Authority - Continuation

JOB NO

PAGE OF 11
10

7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
	Transfer to FRC 2 years after completion of project. Destroy 30 years later.		
33	<u>PROJECT INVENTORY FILES.</u> Consists of lists, card indices or other media which comprehensively reflect the individual projects administered by USGS, including Management-By-Objective (MBO) files of the Divisions and the Office of the Director. Documents relate to the process of establishing and reporting on the goals of the USGS and its components, including project and programs planning, scheduling, major problems accomplishments and related documents and correspondence. Destroy when 5 years old.		
34	<u>PROJECT CONTROL FILES.</u> Files containing copies of documents also found in project case files, preliminary sketches, drawings, specifications, or photographs which are not of sufficient value for incorporation into project case files. Also included would be correspondence concerning such administrative matters as travel, conferences, consultations, and transmittal of documents. Destroy 6 months after project completed or cancelled, or when no longer needed for reference, whichever is sooner.	II-NNA-1077, 14a & b 14B	
35	<u>PROJECT SUMMARY PROGRESS REPORTS.</u> Reports submitted by project offices to show the status and degree of completion of projects. a. Copies of reports retained by the submitting office. Destroy after submission of the consolidated report. b. "Feeder" reports used in the compilation of consolidated reports where all significant information has been extracted into the consolidated report. Destroy 1 year after project completed or cancelled. c. "Feeder" reports used in the preparation of a consolidated report but which contain significant or technical data not fully documented in the consolidated report. Destroy 1 year after project completed or cancelled.	II-NNA-1077, 16a & b	

115-203

Four copies, including original, to be submitted to the National Archives

STANDARD FORM 115-A
Revised July 1974
Prescribed by General Services
Administration
FPMR (41 CFR) 101-11.4

Request for Records Disposition Authority - Continuation		JOB NO	PAGE OF 11
7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
36	<p><u>PROJECT SOURCE DATA FILES.</u> Records to collect and assemble project data of a preliminary or intermediate character. Usually generated from experiments or observations of a routine, repetitive nature, and used for reference during the conduct of research projects. For machine-readable data: See GRS 20 or schedules related to individual Divisions:</p> <ul style="list-style-type: none"> a. Data that cannot be used in other projects and has served its usefulness. Destroy when project final results are published. b. Data that can be used for revisions, trending, projecting or collaborative uses for other projects. Review at 5 year intervals. Destroy in agency when no longer needed for administrative purposes. 		
37	<p><u>LABORATORY PROJECT NOTEBOOKS.</u> Notebooks or similar records containing technical and scientific data accumulated from conduct of research and development activities, excluding notebooks described elsewhere in this schedule.</p> <ul style="list-style-type: none"> a. Information that is duplicated in technical reports or project case files, is routine or is so fragmentary in nature that retention would not add significantly to the project file. Destroy in agency 6 months after completion of project. b. Information that adds significantly to project case files. Include with project file and dispose of in accordance with instructions for the project case file. 		