

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

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JOB NO. *NI-70-90-1*

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

DATE RECEIVED *3/12/90*

1. FROM (Agency or establishment) *2401 E Street, NW.,
Bureau of Mines, Washington, D.C. 20241*

NOTIFICATION TO AGENCY

2. MAJOR SUBDIVISION
Finance and Management

In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10. If no records are proposed for disposal, the signature of the Archivist is not required.

3. MINOR SUBDIVISION
Division of Organization and Management

4. NAME OF PERSON WITH WHOM TO CONFER
Erma E. Dunnington / Joyce A. Hicks

5. TELEPHONE EXT. **634-1336**

DATE
1/8/91

ARCHIVIST OF THE UNITED STATES
[Signature]

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 9 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, if required under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is attached.

A. GAO concurrence: is attached; or is unnecessary.

B. DATE <i>2/23/90</i>	C. SIGNATURE OF AGENCY REPRESENTATIVE <i>Erma E. Dunnington</i>	D. TITLE <i>Records Officer</i>
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7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARS USE ONLY)
1.	<p>RESEARCH AND DEVELOPMENT (R&D) RECORDS</p> <p>Project Reports Working Papers.</p> <p>a. Project background papers and data on electronic media such as analyses, notes, field notebooks, drafts, and interim reports which would be needed to support the reconstruction of, or serve as the backup to, a final report.</p> <p>(1) For project reports which have been written and the manuscript approved for publication.</p> <p>Dispose of in accordance with the approved disposition instructions for the related project case files (Appendix 13, item 7a).</p> <p>(2) When no final report has been written or, if written, it has not been approved for publication.</p>	NCI-70-80-4, item 226	

Copies sent to agency, NCF, NI-W, NNT, NNX 1-9-90

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	<p>Dispose of in accordance with the approved disposition instructions for the related project case files (Appendix 13, item 7b).</p> <p>b. Project background papers and data on electronic media which are no longer needed to support the reconstruction of, or serve as the backup to, a final report.</p> <p>Destroy/delete when no longer needed for reference purposes.</p>		
2.	<p><u>Research and Development Investigative Files.</u></p> <p>Records pertaining to exploration of the feasibility of unsolicited proposals for projects received from individuals.</p> <p>a. Proposals resulting in authorized projects.</p> <p>Become a part of the project file.</p> <p>b. Rejected proposals.</p> <p>Destroy 5 years after completion of investigation.</p>	NCI-70-80-4, item 223	
3.	<p><u>Research and Development Laboratory Notebooks.</u></p> <p>Notebooks maintained by researchers containing technical and scientific data accumulated from the conduct of research and development. These notebooks with written data and handwritten signatures are a principal tool and legal means for documenting the research projects if needed to substantiate Bureau records of inventions in patent disputes.</p> <p>a. For legal verification in patent disputes.</p>	NCI-70-80-4, item 219	

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7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
4.	<p>May be Destroyed 10 years after completion of the project or when no longer needed.</p> <p>b. For future reference.</p> <p>Notebooks of significant complete and incomplete (e.g., because of lack of funding) investigations which may be important for future research: destroy when 30 years old or when no longer needed, which ever occurs first.</p> <p><u>Research Data Collected and Maintained on Electronic Media.</u></p> <p>Uncalibrated and unvalidated digital or analog data collected by instruments on site during experiments; e.g., mine explosions, rock bursts, rock movements, mine ventilation, etc. Analysis of information is made at site and entered on hard disk. Data analysis is telecommunicated to Bureau Research Center to diskettes, hard disks, and/or mainframe tape.</p> <p>a. Uncalibrated and unvalidated digital or analog data collected by instruments on site.</p> <p>Destroy 5 years after the data have been analyzed, entered on hard disk, and transferred to Research Center.</p> <p>b. Data on hard disk at research site.</p> <p>Delete after the data have been transferred and incorporated into project files on diskettes, hard disks, and/or magnetic tapes.</p> <p>c. Data filed on diskettes, hard disks, etc., at individual work stations, and on local area network.</p>	(new)	<p><i>Concurrence with Records Officer 12-12-90</i></p> <p><i>Concurrence with Records Officer 12-12-90</i></p>

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	<p>Delete with related project report working papers (Appendix 13, item 1) or delete when data is transferred to a master file.</p> <p>d. Master file from when the project/data input from site was started to the day and time of day of completion of project/research.</p> <p>Destroy 5 years after the end of the calendar year in which the research project was completed and published.</p> <p>Bureau copy: Delete the master file of published and/or unpublished research project data in accordance with the approved disposition instructions for the related project case files (Appendix 13, item 7).</p>		
5	<p><u>Research and Development Procurement Files.</u></p> <p>Formal contracts or agreements with universities, commercial concerns, and individuals for research and development work, and related papers, but exclusive of technical or scientific data furnished to the Government pursuant to the term of the contracts or agreements and copies of contractual documents filed in project files defined under item 7, Research and Development Project Case Files.</p> <p>See disposition instructions in Appendix 8, item 16, Routine Procurement Files.</p>	NCI-70-80-4, item 224	

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6.	<p><u>Research and Development Program Files.</u></p> <p>Program documents, schedules, and correspondence maintained by the Office of the Associate Director, Research, or other elements responsible for the creation, execution, review, and analysis of the Bureau research program.</p> <p>Arranged alphabetically by subject.</p> <p>Estimated rate of annual accumulation: .5 cubic feet.</p> <p>PERMANENT. Cut off files annually. May be transferred to the Federal Records Center (FRC) when 3 years old. Offer to the National Archives and Records Administration (NARA) in 10-year blocks when most recent records are 20 years old.</p>	NCI-70-80-4, item 216	
7.	<p><u>Research and Development Project Case Files.</u></p> <p>Records maintained at the laboratory or comparable level, reflecting the history of each project from initiation through research, development, design, and testing to completion. These files may include: copy of project authorization; contract or agreement; photographs; technical and progress reports; and correspondence and related documents. Project data may be on diskettes, hard disks, and/or magnetic tape. Examples of Bureau projects are: critical metals recovery from electronic scrap; resource recovery from municipal refuse; protection against toxic gas and fumes; prevention of mine fires and explosions; improvement of technology of mining oil shale; reduction of respirable coal mine dust.</p> <p>a. For project reports which have been written and the manuscript approved for publication.</p>	NCI-70-80-4, item 218	

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	<p>(1) For routine project reports.</p> <p>Destroy Destroy project case file or when no longer needed, which ever occurs first, 10 years after completion of project. (Upon completion of project, files may be transferred to FRC ^{in 5-year blocks} for storage until disposal date.)</p> <p>(2) For project reports containing data about significant investigations with future reference value.</p> <p>Destroy Destroy project case file or when no longer needed, which ever occurs first, 30 years after completion of project. (Upon completion of project, files may be transferred to FRC ^{in 6-year blocks} for storage until disposal date.)</p> <p>b. For project when no final report has been written or, if written, it has not been approved for publication.</p> <p>(1) For projects with unlikely future reference value, ^{determined at end of year by cognizant supervisor} Destroy project case file 3 years after completion of project.</p> <p>(2) For projects with future reference value, ^{determined at end of year by cognizant supervisor} Destroy Destroy project case file or when no longer needed, which ever occurs first, 30 years after completion of project. (Upon completion of project, files may be transferred to FRC ^{in 6-year blocks} for storage until disposal date.)</p> <p>c. Project electronic media records.</p> <p>Delete at the same time the files are destroyed or after data has been converted to</p>	<p>Concurrence with records officer 12-12-90</p> <p>concurrance with records officer 12-12-90</p>	

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8.	<p>hard copy and placed in project case file or when no longer needed to support the reconstruction of, or serve as a backup to, a final report.</p> <p><u>Research and Development Project Control Files.</u></p> <p>Copies of documents contained in project case files, preliminary sketches, drawings, specifications, photographs, and data on electronic media determined by competent scientific and technical personnel not to be of sufficient value for incorporation into project case files and correspondence concerning such administrative matters as travel, conferences, consultations, and transmittal of documents.</p> <p>Destroy/delete upon completion or cancellation of project or earlier as they serve their purpose.</p>	NCI-70-80-4, item 221	
9.	<p><u>Research and Development Summary Progress Reports Files.</u></p> <p>Reports submitted to Bureau headquarters by laboratories or other project offices to show the initiation and degree of completion of projects and consolidated reports prepared therefrom.</p> <p>a. Copies of reports retained by reporting offices.</p> <p>Destroy 1 year after completion or cancellation of related projects.</p> <p>b. Feeder reports used for compilation of consolidated reports, except as indicated in c below.</p> <p>Destroy upon acceptance of consolidated report.</p>	NCI-70-80-4, item 222	

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10.	<p>c. Consolidated or annual reports, consisting of an official file copy of each consolidated or annual report and any feeder reports used for preparation thereof containing technical or scientific data not fully documented in the consolidated or annual reports.</p> <p>(1) Originating office.</p> <p>(a) Consolidated or annual reports of a routine nature: destroy when 10 years old. Three years after completion, reports may be transferred by the originating office to the FRC for storage.</p> <p>(b) Consolidated or annual reports containing significant information with future reference value: destroy when 30 years old. Three years after completion, reports may be transferred by the originating office to the FRC for storage.</p> <p>(2) Bureau headquarters.</p> <p style="padding-left: 40px;">Destroy when no longer needed for reference purposes.</p> <p><u>Research and Development Technical Committee and Board Files.</u></p> <p>Agendas, directives, minutes of meetings, and reports covering general operations of the committee or board, and papers relating to the establishment, revision, or termination of individual projects.</p> <p>a. Official files of the committee or board maintained when the Bureau is the sponsor of said committee or board.</p> <p style="padding-left: 40px;">Destroy 10 years after termination of committee or board.</p>	NCI-70-80-4, item 217	

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	<p>b. Committee or board files when the Bureau is a member of internal Bureau committees and boards.</p> <p style="text-align: center;">Destroy when superseded or obsolete or upon termination, whichever is sooner.</p>		
11	<p><u>Research and Development Technical Reference Files.</u></p> <p>Copies of technical reports, specifications, drawings, and other technical and scientific data received from Government agencies, commercial concerns, or other sources used as a reference source in the performance of the research and development function, but exclusive of official file copies of these documents.</p> <p style="text-align: center;">Destroy when superseded, obsolete, or no longer needed for reference.</p>	NCI-70-80-4, item 225	
12	<p><u>Research and Development Technical Report Files.</u></p> <p>A technical report is prepared on completion of the research and development project. This final report contains the scientific data necessary to document the findings and final results of the research project.</p> <p>a. Official record copy.</p> <p style="text-align: center;">PERMANENT. (See Appendix 11, item 10, Publications Files.)</p> <p>b. Other copies.</p> <p style="text-align: center;">Destroy when no longer needed for reference.</p>	NCI-70-80-4, item 220	