

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

## **Schedule Number: N1-470-09-001**

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 12/9/2022

### **ACTIVE ITEMS**

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

All items not listed below remain active.

### **SUPERSEDED AND OBSOLETE ITEMS**

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

Item 3 was superseded by DAA-0470-2019-0005-0001.

Item 4 was superseded by DAA-0470-2019-0004-0013.

Item 5 was superseded by DAA-0470-2019-0006-0001.

Item 9 was superseded by DAA-0470-2019-0004-0014.

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		LEAVE BLANK (NARA use only)	
To NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD, COLLEGE PARK, MD 20740-6001		JOB NUMBER <i>N1-470-09-1</i>	
1 FROM (Agency or establishment) Federal Mine Safety and Health Review Commission		Date Received <i>August 6, 2009</i>	
2 MAJOR SUB DIVISION Office of the Executive Director		NOTIFICATION TO AGENCY	
3 MINOR SUBDIVISION		In accordance with the provisions of 44 U S C 3303a, the disposition request, including amendments is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
4 NAME OF PERSON WITH WHOM TO CONFER Sarah Stewart	5 TELEPHONE 202-434-9957	DATE <i>1 Aug 6</i>	ARCHIVIST OF THE UNITED STATES <i>[Signature]</i>
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 <u>5</u> page(s) are not needed now for the business of this agency or will not be needed after the retention periods specified, and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, <input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached, or <input type="checkbox"/> has been requested			
DATE <i>7/22/09</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>[Signature]</i>		TITLE Executive Director
7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
20, 22, 23, 24, 25, 26	See attached sheets	<i>New authorities noted in parenthesis</i> N1-470-96-2 25 (3-GRS), 23 (3-GRS), 20/22 (13) 24 (22), 26 (28)	
25		N1 - 470- 96 -1 25 (1)	

## OFFICE OF THE EXECUTIVE DIRECTOR

**NOTE: CURRENTLY ALL RECORDS ARE IN HARDCOPY FORMAT. IF RECORDS ARE CONVERTED TO AN ELECTRONIC FORMAT, A MUTUALLY AGREEABLE TRANSFER DATE WILL BE DETERMINED AT THE TIME THE RECORDS ARE CONVERTED TO AN ELECTRONIC FORMAT IN ACCORDANCE TO NARA NOTIFICATION PROCEDURES.**

*NOTE AGENCY AGREES TO TRANSFER ALL PERMANENT ELECTRONIC RECORDS TO NARA IN ACCORDANCE TO 36 CFR 1235 44-50*

### Item 1 Audio recordings of open meetings of the Review Commission

This item covers audio recordings of the Review Commission's open meetings. These open meetings include decisional meetings and other recorded meetings. Open decisional meetings may be attended by Commissioners, Commissioners' counsels, members of the Office of the General Counsel, parties and/or their representatives, and members of the interested public.

a Record copy (digital electronic version)

(1) Disposition TEMPORARY Store on Commission's website until 6 months after the date of issuance of the Review Commission decision, or when no longer needed, whichever is later (Supersedes NARA Job No N1-470-96-1, Item 25)

b All other copies

(2) Disposition TEMPORARY Delete/destroy when no longer needed (Supersedes NARA Job No N1-470-96-1, Item 25)

### Item 2 ~~Accounting Files~~

~~This item covers accounting files, such as correspondence, reports, summaries of management discussion and analysis, and data relating to voucher preparation, administrative audit, and other accounting and disbursing operations.~~

~~Disposition TEMPORARY Destroy when 2 years old, or when no longer needed for reference, whichever is later (GRS 7, items 1 and 2)~~

Item 3 ~~\_\_\_\_\_~~ **Budget Files**

~~This item covers files created in the course of formulating the Commission's budget for submission to the Office of Management and Budget and to Congress, in defending its requests for funds, and, after enactment of an appropriation bill, in ensuring that the funds are used in such a way as to suffice for the appropriate period of time. These files include correspondence, background records (cost statements, formulation spreadsheets, and rough data used in preparation of annual budget estimates), budget reports and budget apportionment files.~~

~~Disposition TEMPORARY Destroy 2 years after the end of the fiscal year, or when no longer needed for reference, whichever is later (GRS 5, items 1, 2, 5) (Supersedes NARA Job No N1 470 96 2, Items 23 and 25)~~

Item 4 **Strategic Plans**

This item covers strategic plans prepared by the Commission that set forth the Commission's key challenges, strategic goals, strategies for achieving its goals and objectives, and program evaluations

(3) Disposition PERMANENT Cut off when superseded Transfer to the National Archives 10 years after cut-off

*NOTE AGENCY AGREES TO TRANSFER ALL PERMANENT ELECTRONIC RECORDS TO NARA IN ACCORDANCE TO 36 CFR 1235 44-50*

Item 5. ~~\_\_\_\_\_~~ **Duplicate OPF Documentation**

~~Copies of documents duplicated in OPFs relating to Commission employees. The original OPF's are maintained by the U.S. Department of Treasury's Bureau of Public Debt. These files also contain duplicates of Thrift Savings Plan election forms, Combined Federal Campaign and other allotment forms, direct deposit forms, and documentation of personnel actions.~~

~~Disposition TEMPORARY Destroy file relating to employee within 1 year after separation or transfer (GRS 1, item 18)~~

Item 6 ~~\_\_\_\_\_~~ **Employee Training Files**

~~Files documenting training awards provided to employees.~~

~~Disposition TEMPORARY Destroy 5 years after approval or disapproval or when no longer needed for reference, whichever is later (GRS 1, item 29)~~

Item 7 ~~-----~~ Employee Awards Files

- ~~-----~~ Files documenting incentive awards provided to employees
- ~~-----~~ Disposition Destroy 2 years after approval or disapproval (GRS 1, item 12)

Item 8 ~~-----~~ Employee Performance File System Records

- ~~-----~~ Files relating to performance ratings and awards relating to SES and within Commission personnel Files also contain individual development plans
- ~~-----~~ Disposition TEMPORARY Destroy when 5 years old or when no longer needed for reference, whichever is later (GRS 1, item 23)

Item 9 ~~-----~~ Employee Position Descriptions

- ~~-----~~ Record copy of position descriptions that include information on title, series, grade, duties and responsibilities and related documents
- ~~-----~~ Disposition TEMPORARY Destroy 2 years after position is abolished or description is superseded, or when no longer needed for reference, whichever is later (GRS 1, item 7b)

Item 10 ~~-----~~ Vacancy Announcements

- ~~-----~~ Files relating to announcements regarding vacant Commission positions and advertisements for applications
- ~~-----~~ Disposition TEMPORARY Cut off after termination of related register or inventory or after final action is taken on the certificate generated by case examining procedures Destroy 2 years after cut off (GRS 1, item 33f)

Item 11 ~~-----~~ Excess Property Files

- ~~-----~~ Files relating to excess personal property of the Commission, including files recording IT equipment donated by Commission
- ~~-----~~ Disposition TEMPORARY Destroy when 2 years old (GRS 4, item 2)

Item 12 ~~-----~~ Inventory Files

- ~~-----~~ Files relating to the Commission's inventory of equipment and other personal property
- ~~-----~~ Disposition TEMPORARY Destroy 2 years from date of list (GRS 3, item 9a)

Item 13 **Biographies of Chairman and Commissioners**

Files relating to biographies of the Commission's Chairman and Commissioners

- (4) Disposition PERMANENT Transfer to NARA in 3 year blocks when the most recent record in the block is 3 years old (Supersedes NARA Job No N1-470-96-2, Items 20 and 22)

*NOTE AGENCY AGREES TO TRANSFER ALL PERMANENT ELECTRONIC RECORDS TO NARA IN ACCORDANCE TO 36 CFR 1235 44-50*

Item 14 ~~————~~ **Payroll Records**

~~SFs 113A (reports of civilian employees) and SFs 113G (FTE Work year civilian employment)~~

~~Disposition TEMPORARY Destroy when 2 years old (GRS 1, item 13)~~

Item 15 **Policies and Procedures Files**

Files containing policies and procedures relating to the administration of the Commission and the Office of the Executive Director

- (5) Disposition PERMANENT Cut off file every 5 years Transfer to NARA 15 years after cut-off

*NOTE AGENCY AGREES TO TRANSFER ALL PERMANENT ELECTRONIC RECORDS TO NARA IN ACCORDANCE TO 36 CFR 1235 44-50*

Item 16 ~~————~~ **Procurement Contract Files**

~~Files documenting contracts entered into by the Commission relating to procurement~~

~~Disposition TEMPORARY Destroy seven years after final payment or when no longer needed for reference, whichever is later (GRS 3, item 3)~~

Item 17 **Inter-Agency Agreements File**

File documenting agreements entered into by the Commission with other agencies relating to procurement

- (6) Disposition TEMPORARY Destroy seven years after expiration, or when no longer needed for reference, whichever is later

Item 18      **Vendor Files**

Files relating to vendors that have submitted bids to the Commission

(7) Disposition   TEMPORARY   Destroy when superseded

Item 19      **CCR Log Records**

Records relating to central contracting registration

(8) Disposition   TEMPORARY   Destroy when superseded

~~Item 20      **Transportation Files**~~

~~Files containing records including transportation requests, transportation vouchers, per diem vouchers, travel authorizations, and all supporting documentation (credit card statements), and delinquency reports-~~

~~Disposition   TEMPORARY   Destroy 6 years after the travel or when no longer needed for reference, whichever is later (GRS 9, Items 1a, 3)~~

~~Item 21      **Federal Employee Transportation Subsidy Records**~~

~~Documents relating to the disbursement of transportation subsidies to employees-~~

~~Disposition   TEMPORARY   Destroy when 3 years old or when no longer needed for reference, whichever is later (GRS 9, Item 7)~~

Item 22      **Annual Reports**

Files relating to annual reports filed by the Executive Director on behalf of the Commission, such as financial statements to the Office of Management and Budget, reports regarding the drug-free workplace and the Buy American Reports

(9) Disposition   PERMANENT   Cut off at end of calendar year   Transfer to the National Archives and Records Administration in 3 year blocks when most recent record in block is 3 years old (Supersedes NARA Job No N1-470-96-2, Item 24)

*NOTE   AGENCY AGREES TO TRANSFER ALL PERMANENT ELECTRONIC RECORDS TO NARA IN ACCORDANCE TO 36 CFR 1235 44-50*

Item 23. **GILS Records**

Records that document the Commission's implementation of the Government Information Locator Service initiated by Office of Management and Budget Bulletin 95-01.

(10) Disposition. TEMPORARY. Destroy when superseded or no longer needed for reference.

**FMSHRC Website**

This item covers the Commission's website content and all related web management and operations records. This item does not include audio recordings of open meetings of the Review Commission that are stored on the Commission's website

Web contents records are covered by the applicable records schedules for the functions they support. If the Web content records are unique and not covered by existing schedules, they must be scheduled separately.

Item 24. **Site Management and Operations Files**

Includes reports, statistics, procedures and approvals

(11) **Disposition:** Temporary. Cutoff inactive records at the end of the calendar year. Destroy 5 years after cutoff.

Item 25. **Log Files**

Includes unprocessed log files, application logs and similar files that are automatically created and maintained by a server to examine traffic patterns by time of day, day of week, referrer, or user agent. These data can be combined into a single file, or separated into distinct logs, such as an access log, error log, or referrer log. The files are not accessible to general internet users, only to the webmaster or other administrative person.

(12) **Disposition:** Temporary. Destroy when 3 months old

Item 26. **Web Content—Not Unique**

Includes markup language, code, textual and audiovisual files, contextual hyperlinks, and content from backend systems used to generate static or dynamic content on the site(s), as well as screen captures and site snapshots when the record copy is captured elsewhere

(13) **Disposition:** Temporary. Destroy when superseded, obsolete, or no longer needed for agency business, whichever is later, but not longer than the retention of the record copy.



Item 27. Web Content – Unique

~~Includes markup language, code, textual and audiovisual files, contextual hyperlinks, and content from backend systems used to generate static or dynamic content on the site(s), as well as screen captures and site snapshots when the record copy is not captured elsewhere~~

~~Contact the FMSHRC Records Management Officer (RMO) to schedule the records~~

~~Note: Web content records documenting FMSHRC's operations, decisions, and actions that are needed to protect the legal and financial rights of the government and the public must be captured in a recordkeeping system and retained in accordance with the applicable records schedules.~~

Item 28 General Correspondence

(14)

**Disposition** TEMPORARY Cut off at end of calendar year Destroy 2 years after cutoff

For disposition instructions for records created/received as a result of FOIA and PA, see General Records Schedule Chapter 14