

REQUEST FOR RECORDS DISPOSITION AUTHORITY		LEAVE BLANK (NARA use only)	
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD, COLLEGE PARK, MD 20740-6001		JOB NUMBER <i>NI-057-08-2</i>	
1. FROM (Agency or establishment)		Date Received <i>10/02/07</i>	
2. MAJOR SUB DIVISION <i>Department of the Interior</i>		NOTIFICATION TO AGENCY In accordance with the provisions of 44 U.S.C 3303a, the disposition request, including amendments is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
3. MINOR SUBDIVISION <i>U.S. Geological Survey</i>			
3. MINOR SUBDIVISION <i>Geospatial Information Office</i>			
4. NAME OF PERSON WITH WHOM TO CONFER <i>Carol Wippich</i>	5. TELEPHONE <i>703-648-7109</i>	DATE <i>01/24/08</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 _____ 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>9/28/07</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>Carol Wippich</i>	TITLE <i>John Faundeen Acting Records Officer</i>	
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	See attached sheets U.S. Geological Survey General Records Disposition Schedule See attached <i>Chapter 500, 600, 700, & 800</i>		

**U.S. Geological Survey
Chapter 500. Information Services Records**

Cross Index

ITEM NUMBER	SUBJECT	SUPERSEDED CITATION
501	E-FOIA, FOIA, and Privacy Act Files	
501-01	E-FOIA and FOIA Request and Appeals Files	
501-01a	E-FOIA and FOIA Requests Case Files	
501-01a(1)	Responses	RCS/Item 501-01a(1) and GRS 14, Item 11a(1) and 11a(2)(a) (Combined 501-01a(1) and 501-01a(2)(a))
501-01a(2)	Responses	RCS/Item 501-01a(2)(b) and GRS 14, Item 12a
501-01a(3)	Denials	
501-01a(3)(a)	Request Not Appealed	RCS/Item 501-01a(3)(a) and GRS 14, Item 11a(3)(a)
501-01a(3)(b)	Request Appealed	RCS/Item 501-01a(3)(b) and GRS 14, Item 12a
501-01b	Official File Copy of Requested Records	RCS/Item 501-01b and GRS 14, Item 11b
501-01c	E-FOIA and FOIA Appeals Files	
501-01c(1)	Correspondence and Supporting Documents	N1-57-02-03, Item 501-01c(1) and GRS 14, Item 12a
501-01c(2)	Official File Copy of Records Under Appeal	N1-57-02-03, Item 501-01c(2) and GRS 14, Item 12b
501-02	E-FOIA and FOIA Control Files	RCS/Item 501-02b and GRS 14, Item 13a and 13b (Combined 501-02a and 501-02b)
501-03	E-FOIA and FOIA Reports and Administrative Files	RCS/Item 501-03a and GRS 14, Item 14 and 15 (Combined 501-03a and 501-03b)

502	Privacy Act Requests	
502-01	Privacy Act Requests Files	
502-01a	Supporting Documents	
502-01a(1)	Responses	RCS/Item 501-04a(1) and GRS 14, Item 21a(1) and 21a(2)(a) (Combined 501-04a(1) and 501-04a(2)(a))
502-01a(2)	Responses to Appeals	RCS/Item 501-04a(2)(b) and GRS 14, Item 22a
502-01a(3)	Denials	
502-01a(3)(a)	Requests Not Appealed	RCS/Item 501-04a(3)(a) and GRS 14, Item 21a(3)(a)
502-01a(3)(b)	Requests Appealed	RCS/Item 501-04a(3)(b) and GRS 14, Item 22c
502-01b	Official File Copy of Requested Records	RCS/Item 501-04b and GRS 14, Item 21b
502-02	Privacy Act Amendment Case Files	RCS/Item 501-05b and GRS 14, Item 22a, 22b, and 22c (Combined 501-05a, 05b, and 05c)
502-03	Privacy Act Accounting of Disclosure Files	RCS/Item 501-06 and GRS 14, Item 23
502-04	Privacy Act Control Files	RCS/Item 501-07b and GRS 14, Item 24a and 24b (Combined 501-07a and 501-07b)
502-05	Privacy Act Reports and Administrative Files	RCS/Item 501-08 and GRS 14, Item 25 and 26 (Combined 501-08 and 501-09)
503	Mandatory Review for Declassification Files	
503-01	Mandatory Review for Declassification Requests Files	
503-01a	Correspondence and Supporting Documents	N1-57-02-03, Item 501-10a(2)(a) and GRS 14, Item 31a(1) and 31a(2)(a) (Combined 501-10a(1) and 501-10a(2)(a))
503-01b	Responses to Appeals	N1-57-02-03, Item 501-10a(2)(b) and GRS 14, Item 32a

503-01c	Denials	
503-01c(1)	Request Not Appealed	N1-57-02-03, Item 501-10a(3)(a) and GRS 14, Item 31a(3)(a)
503-01c(2)	Request Appealed	N1-57-02-03, Item 501-10a(3)(b) and GRS 14, Item 32a
501-01d	Official File Copy of Requested Records	N1-57-02-03, Item 501-10b and GRS 14, Item 31b
501-01e	Sanitizing Instructions	N1-57-02-03, Item 501-10c and GRS 14, Item 31c
503-02	Mandatory Review for Declassification Appeals Files	
503-02a	Correspondence and Supporting Documents	N1-57-02-03, Item 501-11a and GRS 14, Item 32a
503-02b	Official File Copy of Records Under Appeal	N1-57-02-03, Item 501-11b and GRS 14, Item 32b
503-03	Mandatory Review for Declassification Control Files	N1-57-02-03, Item 501-12b and GRS 14, Item 33a and 33b (Combined 501-12a and 501-12b)
503-04	Mandatory Review for Declassification Reports and Administrative Files	N1-57-02-03, Item 501-13 and GRS 14, Item 34 and 35 (Combined 501-13 and 501-14)
503-05	Erroneous Release Files	N1-57-02-03, Item 501-15a and GRS 14, Item 36a and b (Combined 501-15a and 501-15b)
504	Information Quality Records	
504-01	Records Documenting the Development, Procedures, and the General Administration of the Program	New Item
504-02	Information Quality Reports	New Item
504-03	Complaint Files	New Item
505	Communications Files	
505-01	Communications General Correspondence	New Item
505-01a	Official Press Release Files	N1-57-05-03, Item 502-01a

(Estimated volume on hand is 5 cubic feet; estimated volume created yearly is less than 1 cubic foot)

505-01b	Public Information Reference Files	RCS/Item 503-01b and NC1-57-81-2, Item 30b
505-02	Presentations and Official Speeches	
505-02a	Official Record Set (Estimated volume on hand is 3 cubic feet; estimated volume created yearly is less than 1 cubic foot)	RCS/Item 503-02a and NC1-57-81-2, Item 31a
505-02b	Copies of USGS Presentations and Speeches	RCS/Item 503-02b and NC1-57-81-2, Item 31b (Combined 502-02b and 502-02c)
505-03	Communication Administrative Files	RCS/Item 503-03 and GRS 14, Item 1, Item 2, Item 3, and Item 5 (Combined 502-03, 502-04, 502-05, and 502-07) (Changed disposition)
505-04	Communication Project Files	RCS/Item 503-06 and GRS 14, Item 4 (Changed disposition)
505-05	Public Briefings and Community Relations	N1-57-02-03, Item 502-08 (Combined 502-08, 502-09, and 502-10)
505-06	Biographical Records	
505-06a	Top-Level USGS Officials (Estimated volume on hand is less than 1 cubic foot; estimated volume created Yearly is less than 1 cubic foot)	New Item
505-06b	All Other Biographical Records	New Item
505-07	Exhibits	New Item
505-08	Weekly Highlights and Other Bureau Summaries of USGS Activities	New Item
505-09	Bureau Clippings Files	New Item
505-10	Visual Identity System	
505-10a	Visual Identity System Policies and Procedures	New Item

505-10b

Visual Identity System Design
Specifications

New Item

Deleted Items

- 502-01c – All Other Copies
- 503 – Electronic Mail and Word Processing System Copies – Entire section including 503-01, 503-01a, and 503-01b.

CHAPTER 500. INFORMATION SERVICES RECORDS

This section provides for the disposal of records relating to informational services performed by the bureau in our day-to-day affairs and in our relations with the public.

Chapter 500 Topics. This section provides for the disposition of the following:

- 501. Electronic Freedom of Information Act (E-FOIA), Freedom on Information Act (FOIA), and Privacy Act Files
- 502. Privacy Act Requests
- 503. Mandatory Review for Declassification Files
- 504. Information Quality Records
- 505. Communications Files

501. E-FOIA, FOIA, and Privacy Act File include the following records:

- 501-01 E-FOIA and FOIA Request and Appeals Files – Files created in response to requests for information under FOIA or E-FOIA.
- 501-02 E-FOIA and FOIA Control Files – Files maintained for control purposes.
- 501-03 E-FOIA and FOIA Reports and Administrative Files – Reports, correspondence, memoranda, notices, and any related materials showing USGS efforts to be in compliance with E-FOIA and FOIA.

502. Privacy Act Requests include the following records:

- 502-01 Privacy Act Request Files – Files that respond to individual requests to gain access to information in records pertaining to them.
- 502-02 Privacy Act Amendment Case Files – Files relating to an individual's request to amend a record pertaining to that individual.
- 502-03 Privacy Act Accounting of Disclosure Files – Files maintained for an accurate accounting of a disclosure of the record.
- 502-04 Privacy Act Control Files – Files maintained for control purposes in responding to requests.
- 502-05 Privacy Act Reports and Administrative Files – Reports, correspondence, memoranda, and other materials relating to the bureau implementation of the Privacy Act.

503. Mandatory Review for Declassification Files include the following records:

- 503-01 Mandatory Review for Declassification Requests Files – Files created in response to requests for information under the mandatory review provisions of Executive Order 12356.
- 503-02 Mandatory Review for Declassification Appeals Files – Files created in responding to administrative appeals under the mandatory review provisions of Executive Order 12356.
- 503-03 Mandatory Review for Declassification Control Files – Files maintained for control purposes in responding to requests.

- | | |
|--------|--|
| 503-04 | Mandatory Review for Declassification Reports and Administrative Files - General records and reports relating to the bureau implementation of the mandatory review provisions. |
| 503-05 | Erroneous Release Files – Files relating to the inadvertent release of privileged information to unauthorized parties. |

504. Information Quality Records include the following records:

- | | |
|--------|--|
| 504-01 | Records Documenting the Development, Procedures, and the General Administration of the Program – Records include planning and guidance documents, records which document and pertain to the administration of the program. |
| 504-02 | Information Quality Reports – Reports concerning information quality activities. |
| 504-03 | Complaint Files – Records relating to the adjudication of Section 515 complaints received by the bureau. |

505. Communications Files include the following records:

- | | |
|--------|---|
| 505-01 | Communications General Correspondence – Records pertaining to communication topics not otherwise covered in this schedule. |
| 505-02 | Presentations and Official Speeches – Paper copies of bureau presentations. |
| 505-03 | Communication Administrative Files – Requests for information or bureau documents, copies of replies or referrals, copies of press releases, and commendations and complaints correspondence which involve no administrative actions. |
| 505-04 | Communication Project Files – Records and related materials associated with communications projects. |
| 505-05 | Public Briefings and Community Relations – Documents associated with bureau briefings of the mission and functions of the USGS, promotion of good relations, and bureau participation within local communities. |
| 505-06 | Biographical Records – Current biographical information of bureau employees involved in newsworthy activities. |
| 505-07 | Exhibits – Case files and related documentation. |
| 505-08 | Weekly Highlights and Other Bureau Summaries of USGS Activities – Copies of bureau inputs and submissions. |
| 505-09 | Bureau Clippings Files – Files of articles appearing in commercial publications or magazines on the USGS. |
| 505-10 | Visual Identity System – Records relating to USGS visual identity. |

What records in this chapter are important or considered permanent USGS records?

- E-FOIA, FOIA, and Privacy Act records that are appealed should be retained until final adjudication by the courts.
- Official Press Release Files.
- Presentations and speeches by top-level USGS officials relating to bureau and program activities.
- Biographical records of Top-level USGS Officials.

What records in this section are considered temporary USGS records?

- E-FOIA, FOIA, and Privacy request records that have not been appealed or repeals that have received final adjudication by the courts.
- Privacy Act requests, amendments, accountings, control files, reports, and administrative files.
- Mandatory review for declassification requests, appeals, control files, reports, and administrative files.
- Erroneous release files.
- Information Quality files.
- Communications general correspondence, administrative files, and project files.
- Press review files.
- Copies of speeches and presentations.
- Public briefings and community relations files.
- Biographical records.
- Files relating to exhibits.
- Weekly highlights and other bureau summaries of USGS activities.
- Clippings and articles of bureau activities.
- Visual Identify System files.

Questions?

Contact the USGS Records Manager or your discipline or regional Records Liaison Officer – <http://internal.usgs.gov/gio/irm/fmassis2.html>

CHAPTER 500. INFORMATION SERVICES RECORDS

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
501. Electronic Freedom of Information Act (E-FOIA), Freedom of Information Act (FOIA), and Privacy Act Files		
501-01. E-FOIA and FOIA Request and Appeals Files. Files created in response to requests for information under the Freedom of Information Act (FOIA) or under the Electronic Freedom of Information Act (E-FOIA) consisting of the original request, a copy of the reply, paper copies of the electronic replies, and all related supporting files which may include official file copy of requested record.		
501-01a. E-FOIA and FOIA Requests Case Files. Case files, containing the request, reply, other correspondence, and supporting documents, arranged by request number. Exclude the official file copy of the records requested if filed under Item 501-01b below.		
501-01a(1). Responses. Granting access to all the requested records and responding to requests for non-existent records to requestors who provide inadequate descriptions, and to those who fail to pay bureau reproduction fees and the request is not appealed.	Destroy 2 years after date of reply.	RCS/Item 501-01a(1) and GRS 14, Item 11a(1) and 11a(2)(a)
501-01a(2). Responses. Responding to requests for non-existent records, to requestors who provide inadequate descriptions, and to those who fail to pay bureau reproduction fees and the request is appealed.	Destroy 6 years after final determination by bureau or 3 years after final adjudication by courts, whichever is later.	RCS/Item 501-01a(2)(b) and GRS 14, Item 12a
501-01a(3). Denials. Denying access to all or part of the records requested.		
501-01a(3)(a). Request not appealed.	Destroy 6 years after date of reply.	RCS/Item 501-01a(3)(a) and GRS 14, Item 11a(3)(a)
501-01a(3)(b). Request appealed.	Destroy 6 years after final determination by bureau or 3 years after final adjudication by courts, whichever is later.	RCS/Item 501-01a(3)(b) and GRS 14, Item 12a
501-01b. Official File Copy of Requested Records.	Dispose of in accordance with approved bureau	RCS/Item 501-01b and GRS 14,

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
	disposition instructions for the related records, or with the related E-FOIA and FOIA request, whichever is later.	Item 11b
501-01c. E-FOIA and FOIA Appeals Files. Files created in responding to administrative appeals under the E-FOIA and FOIA for release of information denied by the agency, consisting of the appellant's letter, a copy of the reply, and related supporting documents, which may include the official file copy of records under appeal.		
501-01c(1). Correspondence and supporting documents (excluding the file copy of the records under appeal).	Destroy 6 years after final determination by bureau, 6 years after the time at which a requester could file suit, or 3 years after final adjudication by the courts, whichever is later.	N1-57-02-03, Item 501-01c(1) and GRS 14, Item 12a
501-01c(2). Official file copy of records under appeal.	Dispose of in accordance with approved bureau disposition instructions for the related record or with the related E-FOIA and FOIA request, whichever is later.	N1-57-02-03, Item 501-01c(2) and GRS 14, Item 12b
501-02. E-FOIA and FOIA Control Files. Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature, and purpose of request and name and address of requestor.	Destroy 6 years after date of last entry or after final action or final adjudication, whichever is later.	RCS/Item 501-02b and GRS 14, Item 13a and 13b
501-03. E-FOIA and FOIA Reports and Administrative Files. Recurring reports and one-time information requirements relating to the bureau implementation of the E-FOIA and FOIA. Correspondence, memoranda, notices, and any related materials showing USGS efforts to be in compliance with E-FOIA and FOIA.	Cutoff at the end of the fiscal year. Destroy when 2 years old.	RCS/Item 501-03a and GRS 14 Item 14 and 15
502. Privacy Act Requests.		
502-01 Privacy Act Requests Files. Files created in response to requests from individuals to gain access to their records or to any		

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
information in the records pertaining to them, as provided for under 5 U.S.C. 552a(d)(1). Files contain original request, copy of reply, and all related supporting documents, which may include the official file copy of records requested.		
502-01a. Supporting Documents. Correspondence and supporting documents, excluding the official file copy of the records requested if filed here.		
502-01a(1). Responses. Responses for granting access to all the requested records and for requests for non-existent records to requestors who provide inadequate descriptions and to those who fail to pay bureau reproduction fees and request is not appealed.	Destroy 2 years after date of reply	RCS/Item 501-04a(1) and GRS 14, Item 21a(1) and 21a(2)(a)
502-01a(2). Responses to Appeals. Responding to requests for non-existent records; to requestors who provide inadequate descriptions; and to those who fail to pay bureau reproduction fees and the request is appealed.	Destroy as authorized under Item 502-02.	RCS/Item 501-04a(2)(b) and GRS 14, Item 22a
502-01a(3). Denials. Denying access to all or part of the records requested.		
502-01a(3)(a). Requests not appealed.	Destroy 5 years after date of reply.	RCS/Item 501-04a(3)(a) and GRS 14, Item 21a(3)(a)
502-01a(3)(b). Requests appealed.	Destroy as authorized under Item 502-02.	RCS/Item 501-04a(3)(b) and GRS 14, Item 22c
502-01b. Official File Copy of Requested Records.	Dispose of in accordance with approved bureau disposition instructions for the related records, or with the related Privacy Act request, whichever is later.	RCS/Item 501-04b and GRS 14, Item 21b
502-02 Privacy Act Amendment Case Files. Files relating to an individual's request to amend a record pertaining to that individual either agreed to by the bureau or refused by the bureau as provided for under 5 U.S.C. 552a(d)(2) and 5 U.S.C. 552a(d)(3). Includes individual's	Dispose of in accordance with the approved disposition instructions for the related subject individual's record or 4 years after final	RCS/Item 501-05b and GRS 14, Item 22a, 22b, and 22c

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
requests to amend and/or review refusal to amend, justification for refusal to amend a record, appealed requests, and records from any civil action brought by the individual against the bureau as provided under 5 U.S.C. 552a(g).	determination by the bureau, or 3 years after final adjudication by the courts, whichever is later.	
502-03. Privacy Act Accounting of Disclosure Files. Files maintained under the provisions of 5 U.S.C. 552a(c) for an accurate accounting of the date, nature, and purpose of each disclosure of a record to any person or to another agency, including forms for showing the subject individual's name, requestor's name and address, purpose and date of disclosure, and proof of subject individual's consent when applicable.	Dispose of in accordance with the approved disposition instructions for the related subject individual's records or 5 years after the disclosure for which the accountability was made, whichever is later.	RCS/Item 501-06 and GRS 14, Item 23
502-04. Privacy Act Control Files. Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature of request, and name and address of requestor.	Destroy 5 years after date of last entry, after final action by the bureau, or final adjudication by courts, whichever is later.	RCS/Item 501-07b and GRS 14, Item 24a and 24b
502-05. Privacy Act Reports and Administrative Files. Recurring reports and one-time information requirement relating to bureau implementation, including submission to the Department of the Interior for biennial reports to the Office of Management and Budget (OMB) and the Report on New Systems at all levels. Records relating to the general bureau implementation of the Privacy Act, including notices, memoranda, routine correspondence, and any related records.	Cutoff at the end of the fiscal year. Destroy when 2 years old.	RCS/Item 501-08 and GRS 14, Item 25 and 26
503. Mandatory Review for Declassification Files.		
503-01. Mandatory Review for Declassification Requests Files. Files created in response to requests for information under the mandatory review provisions of Executive Order 12356 consisting of the original request, a copy of the reply thereto, and all related supporting files, which may include the official file copy of requested records.		
503-01a. Correspondence and Supporting Documents. Granting access and responses to requests for non-existent records to requestors	Destroy 2 years after date of reply.	N1-57-02-03, Item 501-10a(2)(a) and

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
who provide inadequate descriptions and to those who fail to pay agency reproduction fees and the request is not appealed (excluding the official file copy of the records, and sanitizing instructions, if applicable).		GRS 14, Item 31a(1) and 31a(2)(a)
503-01b. Responses to Appeals. Responding to requests for non-existent records, to requestor's who provide inadequate descriptions, and to those who fail to pay agency reproduction fees and request is appealed.	Destroy as authorized under Item 503-02.	N1-57-02-03, Item 501-10a(2)(b) and GRS 14, Item 32a
503-01c. Denials. Denying access to all or part of the records requested.		
503-01c(1). Request not appealed.	Destroy 5 years after date of reply.	N1-57-02-03, Item 501-10a(3)(a) and GRS 14, Item 31a(3)(a)
503-01c(2). Request appealed.	Destroy as authorized under Item 503-02.	N1-57-02-03, Item 501-10a(3)(b) and GRS 14, Item 32a
503-01d. Official File Copy of Requested Records.	Dispose of in accordance with approved disposition instructions for the related records or with the related mandatory review request, whichever is sooner.	N1-57-02-03, Item 501-10b and GRS 14, Item 31b
503-01e. Sanitizing Instructions.	Destroy when superseded or when requested documents are declassified or destroyed.	N1-57-02-03, Item 501-10c and GRS 14, Item 31c
503-02. Mandatory Review for Declassification Appeals Files. Files created in responding to administrative appeals under the mandatory review provisions of Executive Order 12356 and its predecessors for release of information denied by the agency. Files consist of the appellant's letter, a copy of the reply, and related supporting documents, which may include the official file copy of records under appeal.		
503-02a. Correspondence and supporting	Destroy 4 years after final	N1-57-02-03,

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
documents (excluding the official file copy of the records under appeal).	determination by agency.	Item 501-11a and GRS 14, Item 32a
503-02b. Official File Copy of Records Under Appeal.	Dispose of in accordance with approved disposition instructions for the related records or with the related mandatory review request, whichever is later.	N1-57-02-03, Item 501-11b and GRS 14, Item 32b
503-03. Mandatory Review for Declassification Control Files. Files maintained for control purposes in responding to requests, including registers and similar records listing nature, purpose of request, and name and address of requestor.	Destroy 5 years after date of last entry or after final action by the bureau.	N1-57-02-03, Item 501-12b and GRS 14, Item 33a and 33b
503-04. Mandatory Review for Declassification Reports and Administrative Files. Records, including notices, memoranda, correspondence, and related records and reports relating to bureau implementation of the mandatory review provisions of the current Executive Order on classified national security information, including annual reports submitted to the Information Security Oversight Office.	Cutoff at the end of the fiscal year. Destroy when 2 years old.	N1-57-02-03, Item 501-13 and GRS 14, Item 34 and 35
503-05. Erroneous Release Files. Files relating to the inadvertent release of privileged information to unauthorized parties, containing information whose disclosure would constitute an unwarranted invasion of personal privacy. Files contain requests for information, copies of replies, and all related supporting documents and may include the official copy of records requested.	Follow the disposition instructions approved for the released official file copy or destroy 6 years after the erroneous release, whichever is later.	N1-57-02-03, Item 501-15a and GRS 14, Item 36a and b
504. Information Quality Records. Files maintained under the provisions of Section 515 of the Treasury and General Government Appropriations Act for Fiscal Year 2001, Public Law 106-554, which requires Federal agencies to issue procedures to ensure and maximize the quality, utility, objectivity, and integrity of government information disseminated to the public.		

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
<p>Also, includes records related to the Office of Management and Budget (OMB) Final Information Quality Bulletin for Peer Review which is aimed at enhancing the practice of peer review of Federal Government science documents and requires that Federal agencies publicly post on the Web an agenda of peer review plans for influential scientific information and highly influential scientific assessments.</p>		
<p>504-01. Records Documenting the Development, Procedures, and the General Administration of the Program. Included are program planning records, DOI guidance records, and records which document policy, directives, or instructions which fall outside of the Bureau's official directives. In addition, correspondence, memoranda, and other records pertaining to the general administration of the bureau Information Quality Program.</p>	<p>Cutoff at the end of the fiscal year. Destroy 2 years after cutoff or when superseded, obsolete, or no longer needed, whichever is sooner.</p>	<p>New Item</p>
<p>504-02. Information Quality Reports. Periodic and annual reports concerning information quality activities, including reports on the completed peer review of influential scientific information and highly influential scientific assessments.</p>	<p>Cutoff at the end of the fiscal year. Destroy 5 years after cutoff.</p>	<p>New Item</p>
<p>504-03. Complaint Files. Records relating to the adjudication of Section 515 complaints received by the bureau. Case file records include, but are not limited to: formal communications to and from complainants; communication to and from program office(s) disseminating the information being challenged; documents detailing findings; and any other records pertinent to the appeal and/or resolution of Section 515 complaints.</p>	<p>Cutoff at issuance of final agency letter issued in response to the complaint. Destroy 5 years after cutoff.</p>	<p>New Item</p>
<p>505. Communications Files.</p>		
<p>505-01. Communications General Correspondence. Records pertaining to the Bureau Office of Communications and its regional communications contacts. General correspondence, memoranda, or records</p>	<p>Cutoff at the end of the fiscal year. Destroy 3 years after cutoff.</p>	<p>New Item</p>

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
<p>pertaining to communication topics not otherwise covered in this schedule.</p>		
<p>505-01a. Official Press Release Files. Consists of one original copy of each informational release and publication including press releases, media advisories, letters to the editor, opinion editorials, press conference transcripts, graphic presentations (refer to Chapter 1100, Audiovisual Records), and other similar materials, i.e., statements of high-level USGS officials before Congressional committees. May include chronological list and electronic index to the records and may be maintained in different media and formats. Therefore, this series is written to authorize the disposition of records in any media (media neutral). Records created and maintained electronically, will be transferred to NARA in an approved electronic format.</p> <p>NOTE: For any original record copies that are created outside the Headquarters Office of Communications, when sending record copies to the National Archives, provide the Headquarters, Office of Communications (Mail Stop 119) with a copy of the box inventory listing.</p>	<p>PERMANENT. Cutoff at the end of the calendar year. Transfer textual records to the Federal Records Center 5 years after break or earlier, if volume warrants. Transfer to NARA in 5-year blocks 20 years after break. Transfer electronic data, with related documentation and external finding aids, as applicable, to the National Archives, as specified in 36 CFR 1228.270 or standards applicable at the time, every 5 years.</p>	<p>N1-57-05-03, Item 502-01a</p>
<p>505-01b. Public Information Reference Files. Contains files created in connection with the preparation or review of press releases and may be composed of clearance sheets, photographs (see Chapter 1100, Audiovisual Records), correspondence, memoranda, clippings, backup material collected in the course of preparing the releases, and related papers which are either non-record material or duplicated in files maintained elsewhere.</p>	<p>Destroy 1 year after release of press release.</p>	<p>RCS/Item 503-01b and NC1-57-81-2, Item 30b</p>
<p>505-02. Presentations and Official Speeches.</p>		
<p>505-02a. Official Record Set. Paper copies of presentations made by top-level USGS officials relating to program activities. Arranged chronologically by name of speaker. (See Chapter 1100 for audiovisual presentations).</p>	<p>PERMANENT. Cut-off at the end of the fiscal year. Hold 2 years or until volume warrants and retire to FRC. Transfer to National Archives and</p>	<p>RCS/Item 503-02a and NC1-57-81-2, Item 31a</p>

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
	Records Administration (NARA) in 5 year blocks when 20 years old.	
505-02b. Copies of USGS Presentations and Speeches. Copies of top-level USGS officials and any other bureau-employee presentations and speeches.	Destroy in agency when no longer needed for reference.	RCS/Item 503-02b and NC1-57-81-2, Item 31b
505-03. Communication Administrative Files. Requests for information or bureau documents and copies of replies or referrals. Involves no administrative actions, no policy decisions, and no special compilations. Also, information copies of communication press releases and copies of commendation or complaint correspondence which involves no administrative actions.	Destroy in agency when no longer needed for reference.	RCS/Item 503-03 and GRS 14, Item 1, 2, 3, and 5
505-04. Communication Project Files. Records and any related materials associated with all administrative aspects of communication projects. If any official agreements are in place, refer to Chapter 600, Item 603-03. Examples include such projects as oversight of community science camps held at USGS facilities, teacher workshops, and other educational projects..	Cutoff at project completion. Destroy 6 years after cutoff.	RCS/Item 503-06 and GRS 14, Item 4
505-05. Public Briefings and Community Relations. Documents accumulated in the process of providing briefings of the mission and functions of the USGS and promotion of good relations and bureau participation within local communities. Includes records relating to individual or group tours of bureau facilities or research areas and personal appearances by USGS personnel to community facilities or bureau personnel participating in community functions such as parades or community fairs.	Destroy when no longer needed for current agency business or when 3 years old, whichever is later.	N1-57-02-03, Item 502-08
505-06. Biographical Records. Current biographical information about principal and prominent management and staff officials, program and project managers, scientists, and other selected employees,		
505-06a. Top-Level USGS Officials. Senior agency personnel involved in newsworthy activities, with a recent photograph, when	PERMANENT. Cutoff when person retires or transfers. Transfer to	New Item

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
available. Files are generally required in preparing news or feature stories about the individual and/or the individual's activity at the bureau.	FRC in 5-year blocks 20 years after file break of most recent records in block, or if volume warrants, transfer earlier. (For example, offer files broken into a 1990-94 block in year 2015)	
505-06b. All Other Biographical Records.	Records are maintained as long as there is public interest in them. Destroy when no longer needed for reference.	New Item
505-07. Exhibits. Case files and related documentation and materials including pictures of set-up/design, specification sheets, and any photographs of the exhibit.	Cutoff at exhibit completion. Destroy when no longer needed.	New Item
505-08. Weekly Highlights and Other Bureau Summaries of USGS Activities. Copies of bureau inputs including submissions for Weekly Highlights, USGS reports to DOI, Office of Management and Budget, Congress, and for articles such as found in <i>People Land & Water</i> .	Destroy when no longer needed for reference.	New Item
505-09. Bureau Clippings Files. Files of articles appearing in technical, trade, commercial publications, or magazines on USGS and/or our agency, in general.	Destroy when no longer needed for reference.	New Item
505-10. Visual Identity System. Bureau system required to be used in the planning, design, and production of all USGS science, information, communications, and identification products.		
505-10a. Visual Identity System Policies and Procedures. This file consists of policy and procedures for the bureau Visual Identify System that are not included in the bureau master set of directives.	Place in inactive file when canceled, superseded, or revoked. Destroy when no longer needed for reference purposes.	New Item
505-10b. Visual Identity System Design Specifications. Oversight records relating to the creation and implementation of bureau specifications, templates, fonts, image files, toolkits, and other general records relating to oversight responsibilities.	Cutoff at the end of the fiscal year. Destroy 6 years after cutoff or when no longer needed, whichever is later.	New Item

U.S. Geological Survey

Chapter 600. Legal, Congressional, Inventions, Patents, Technology Transfer Agreements, Cooperative Research and Development Agreements, and Other USGS Agreement Records

Cross Index

ITEM NUMBER	SUBJECT	SUPERSEDED CITATION
601	Law and Litigation Records	
601-01	Law and Litigation General Files	N1-57-02-03, Item 601-01
601-02	Law and Litigation Reports	N1-57-02-03, Item 601-02
601-03	Solicitor's Office Correspondence	N1-57-02-03, Item 601-03
601-04	Law Enforcement Files	N1-57-02-03, Item 601-04
601-05	Litigation and Appeals Files	N1-57-02-03, Item 601-05
601-06	Investigative Case Files	
601-06a	Significant Investigations	New Item
601-06b	Minor Cases	New Item
601-07	Claims	N1-57-02-03, Item 601-06
601-08	Witness Files	N1-57-02-03, Item 601-07
601-09	Compliance Audit and Assessment Records	N1-57-02-03, Item 603-04
602	Congressional Records	
602-01	Congressional Legislative Files	NC1-57-81-2, Item 29, Item 601-01
602-02	Member Files	N1-57-02-03, Item 602-02b
602-03	Legislative Proposal Case Files (Estimated volume – less than 1 cubic foot per year)	N1-57-02-03, Item 602-03
602-04	Congressional and Legislative General Files	N1-57-02-03, Item 602-04

602-05	Congressional Hearing/Briefing Files	New Item
603	Inventions, Patents, and Copyrights	
603-01	Invention Case Files	
603-01a	Successful Patent Files	N1-57-02-03, Item 603-01a
603-01b	Abandoned Patent Files	N1-57-02-03, Item 603-01b
603-01c	Invention Disclosure Files	N1-57-02-03, Item 603-01c
603-02	True Copy Certifications	N1-57-02-03, Item 603-02
604	Technology Transfer Agreements (TTA)	
604-01	Cooperative Research and Development Agreements (CRADAs)	
604-02	Other TTA Agreements	New Item
604-03	Other Records and Documents Associated with Technology Transfer Formats	New Item
604-04	Marketing Research or Promotional Records	New Item
604-05	Other TTAs – Any Executed Record Copies Held in Tech Transfer/OPA Files	New Item
605	Other USGS Agreements	
605-01	Agreements Signed by the USGS to Accept Fiscal Resources (Excludes TTAs) - Record Copy	N1-57-02-03, Item 603-03a
605-02	Reimbursable Service Agreements	New Item
605-03	Memorandum of Understandings/ Memorandum of Agreements – Record Copy	New Item
605-04	Intergovernmental Personnel Act (IPA) Mobility Program – Record Copy	New Item
605-05	Proposals	N1-57-02-03, Item 603-03c
605-06	Other Copies	N1-57-02-03, Item 603-03b

Deleted Items

- 602-02a – Congressional Liaison Team Official Files
- 604 – Electronic Mail and Word Processing System Copies – Entire section including 604-01, 604-01a, and 604-01b.

CHAPTER 600. LEGAL, CONGRESSIONAL, INVENTIONS, PATENTS, TECHNOLOGY TRANSFER AGREEMENTS, COOPERATIVE RESEARCH AND DEVELOPMENT AGREEMENTS, AND OTHER USGS AGREEMENT RECORDS

Records which furnish the information necessary to protect the legal and financial rights of the Government and of persons directly affected by the agency's activities.

Chapter 600 Topics. This section provides for the disposition of the following USGS Legal, Congressional, Inventions, patents, Technology Transfer Agreements, Cooperative Research and Development Agreements, and Other USGS Agreement Records:

- 601. Law and Litigation Records.
- 602. Congressional Records.
- 603. Inventions, Patents, and Copyrights.
- 604. Technology Transfer Agreements (TTA).
- 605. Other USGS Agreements.

601. Law and Litigation files include the following records:

- 601-01 Law and Litigation General Files - General correspondence pertaining to law and litigation topics not otherwise covered in this schedule.
- 601-02 Law and Litigation Reports – Miscellaneous reports.
- 601-03 Solicitor’s Office Correspondence – Correspondence received from the Department of the Interior’s Solicitor’s Office.
- 601-04 Law Enforcement Files -- Correspondence and related material pertaining to the maintenance of law and order.
- 601-05 Litigation and Appeals Files - Correspondence and related documents provided in responses to discovery requests.
- 601-06 Investigative Case Files – Documents used in the inquiry and investigation.
- 601-07 Claims – Case files pertaining to claims.
- 601-08 Witness Files – Material relating to employees testifying as official witnesses in judicial proceedings.
- 601-09 Compliance Audit and Assessment Records – Audit and assessment requests, proposals, and other related records.

602. Congressional Records include the following records:

- 602-01 Congressional Legislative Files – Copies of proposed House and Senate bills and related documentation.
- 602-02 Member Files – Copies of biographical information, correspondence, and related information.
- 602-03 Legislative Proposal Case Files – Legislative proposals drafted by the USGS.

- 602-04 Congressional and Legislative Files – General correspondence pertaining to Congressional and legislative topics not otherwise covered in this schedule.
- 602-05 Congressional Hearing/Briefing Files – All materials from hearings or USGS briefings.

603. Inventions, Patents, and Copyrights files include the following records:

- 603-01 Invention Case Files – Specific case files pertaining to inventions developed by bureau employees.
- 603-02 True Copy Certifications – Certifying or evidencing true copy nature of material submitted for publication in the Federal Register or elsewhere.

604. Technology Transfer Agreements (TTA) files include the following records:

- 604-01 Cooperative Research and Development Agreements (CRADAs) – Written agreements between a private sector organization and the USGS to work together on a project.
- 604-02 Other TTA Agreements – Material Transfers and Non-Disclosure Agreements.
- 604-03 Other Records and Documents Associated with Technology Transfer Formats – Proposals, planning documents, correspondence, budget materials, and other related materials.
- 604-04 Marketing Research or Promotional Records – Newsletters, brochures, and other such promotional items.
- 604-05 Other TTAs – Any Executed Record Copies held in Tech Transfer/OPA Files – Shorter term collaborative research agreements.

605. Other USGS Agreements include the following records:

- 605-01 Agreements signed by the USGS to accept fiscal resources (excludes TTAs) – Case files maintained by the office having signatory authority for the instrument.
- 605-02 Reimbursable Service Agreements – Agreements signed by the USGS, to finance the provision of a service.
- 605-03 Memorandum of Understandings/Memorandum of Agreements – Agreements identifying and defining potential areas of coordination and cooperation.
- 605-04 Intergovernmental Personnel Act (IPA) Mobility Program – Agreements which provide for the temporary assignment of personnel.
- 605-05 Proposals – Any copies of agreements that were unsuccessful joint ventures and never approved
- 605-06 Other Copies – For all other copies of documents listed in the 604 and 605 sections that are maintained for reference purposes

What records in this chapter are important or considered permanent USGS records?

- Investigative Case Files of significant investigations.
- Legislative proposal case files consisting of legislative proposals, review comments, analyses, recommendations, and related documents.
- Congressional hearing/briefing files.

What records in this section are considered temporary USGS records?

- Law and litigation general files and reports.
- Solicitor's Office correspondences.
- Law enforcement files including cases of illegal activity.
- Litigation and appeals.
- Minor agency investigative case files.
- Case files pertaining to claims.
- Witness files.
- Compliance Audit and Assessment Records.
- Congressional files such as proposed Congressional bills, member files, legislative proposals, and general files
- Inventions and patents.
- True copy certifications.
- CRADAs
- Technology Transfer Agreements (TTA).
- Agreements signed by the USGS to accept fiscal resources.
- Other agreements such as reimbursable agreements, service agreements, Memorandum of Understanding, Memorandum of Agreements, and Intergovernmental Personal Act agreements.
- Unsuccessful proposals or joint ventures.

Contact the USGS Records Manager or your discipline or regional Records Liaison Officer - <http://internal.usgs.gov/gio/irm/fmassis2.html>

**CHAPTER 600. LEGAL, CONGRESSIONAL, INVENTIONS, PATENTS,
TECHNOLOGY TRANSFER AGREEMENTS, COOPERATIVE RESEARCH
AND DEVELOPMENT AGREEMENTS, AND OTHER USGS AGREEMENT
RECORDS**

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
601. Law and Litigation Records.		
601-01. Law and Litigation General Files. General correspondence pertaining to law and litigation topics not otherwise covered in this schedule.	Cutoff at the end of the fiscal year. Destroy 3 years after cutoff.	N1-57-02-03, Item 601-01
601-02. Law and Litigation Reports. Miscellaneous reports pertaining to law and litigation.	Cutoff at the end of each fiscal year. Destroy 5 years after cutoff.	N1-57-02-03, Item 601-02
601-03. Solicitor's Office Correspondence. Correspondence received from the Department of the Interior Solicitor's Office either in response to a request by a USGS office for advice or sent to the USGS for informational purposes.	Cutoff at the end of each fiscal year. Destroy 6 years after cutoff.	N1-57-02-03, Item 601-03
601-04. Law Enforcement Files. Correspondence and related material pertaining to the maintenance of law and order. Case files consist of trespass and similar crimes occurring on USGS properties, theft, vandalism, unlawful entry, unauthorized occupation of land, and illegal activities on bureau-owned properties.	Cutoff at the end of each fiscal year. Destroy 5 years after cutoff.	N1-57-02-03, Item 601-04
601-05. Litigation and Appeals Files. Correspondence and related documents, such as discovery requests, listings of bureau contacts, and listings or copies of documents provided in response to discovery requests. Cases pertain to suits filed against the Federal Government, in general, or any of its Departments, agencies, or bureaus and involves searching and producing of USGS records.	Cutoff at the end of the fiscal year. Destroy 10 years after issuance of final decision, or upon final ruling, if appealed, or upon withdrawal of appeal, whichever is later.	N1-57-02-03, Item 601-05
601-06. Investigative Case Files. Located in the USGS Records Management Office or other designated offices. Consists of documents		

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
describing the nature, scope, and purpose of the project; documents used in the inquiry and investigation including significant correspondence (including e-mail), working papers, working drafts, reports, memorandums, copies of records produced, follow-up documents, and any other appropriate records.		
601-06a. Significant Investigations. Where the agency is involved in extensive litigation or received widespread publicity.	Destroy 50 years after final agency action.	New Item
601-06b. Minor Cases.	Destroy 20 years after final agency action.	New Item
601-07. Claims. Case files pertaining to claims. Includes, but not limited to, damage claims as a result of fire or property damage; tort claims; settlement agreements; investigative reports; damage appraisals; legal opinions; correspondence negotiating settlement or denial of claims; copies of summons, subpoenas, complaints, and court rulings; and copies of court proceedings in cases where litigation occurs. (If preferred, see Item 703-11 for filing of claims records in the budget area if preference is to file within that area).	Break file at the end of the fiscal year. Cutoff file after settlement. Destroy 10 years after cutoff.	N1-57-02-03, Item 601-06
601-08. Witness Files. Material relating to employees testifying as official witnesses in judicial proceedings. Includes such items as permission to testify, requests and authorizations, depositions, and statements.	Cutoff at the end of the fiscal year. Destroy 5 years after cutoff.	N1-57-02-03, Item 601-07
601-09. Compliance Audit and Assessment Records. Audit and assessment requests and proposals, work plans, work papers, correspondence, internal and external exhibits, appeals, legal opinions, and reports of findings. Examples include audits and assessments in areas such as	Cutoff at the end of the fiscal year or when audit or assessment is complete, whichever occurs first. Destroy 5 years after cutoff.	N1-57-02-03, Item 603-04

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
safety, security, health, and environmental. NOTE: Use Item 702-08 for audits specific to financial operations and use Item 703-01 for accountable officer's records held for onsite audits by the General Accounting Office.		
602. Congressional Records.		
602-01. Congressional Legislative Files. Copies of proposed House and Senate bills and related documentation regarding USGS operations and related correspondence.	Destroy when legislation is passed or when no longer needed, whichever is later.	NC1-57-81-2, Item 29, Item 601-01
602-02. Member Files. Copies of biographical information, correspondence, and related information.	Cutoff at the end of the fiscal year. Destroy material when no longer needed for reference.	N1-57-02-03, Item 602-02b
602-03. Legislative Proposal Case Files. Maintained by the CLT. Consists of legislative proposals drafted by the USGS. Includes review comments, analyses, recommendations, and related documents.	PERMANENT. Cutoff when legislation is enacted. Hold 10 years or until volume warrants and retire to FRC. Transfer to NARA 30 years after cutoff.	N1-57-02-03, Item 602-03
602-04. Congressional and Legislative General Files. General correspondence pertaining to Congressional and legislative topics not otherwise covered in this schedule.	Cutoff at the end of the fiscal year. Destroy 2 years after cutoff.	N1-57-02-03, Item 602-04
602-05. Congressional Hearing/Briefing Files. All materials from hearings or USGS briefings. Hearings include those in which USGS witnesses are invited to participate and those which the Office of Communications and Outreach choose to cover. Briefings include visits to Congressional offices, committees, or DOI initiated by both the requesting office and the USGS.	PERMANENT. Cutoff at the end of the fiscal year. Transfer to NARA in 5-year blocks. Transfer when most recent record is 10 years old, or if volume warrants, transfer earlier	New Item
603. Inventions, Patents, and Copyrights.		

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
<p>603-01. Invention Case Files. Specific case files pertaining to inventions developed by bureau employees including correspondence and data supporting invention reports on patent applications. Typical case file contains the invention disclosure, the patent application, correspondence between the Patent and Trademarks Office and the USGS, the registered patent if it is issued, or patent abandonment documents if a patent is not issued or the application is withdrawn.</p>		
<p>603-01a. Successful Patent Files.</p>	<p>Cutoff files at the end of the fiscal year after the patent is issued. Transfer to the FRC 15 years after cutoff. FRC destroy 25 years after cutoff.</p>	<p>N1-57-02-03, Item 603-01a</p>
<p>603-01b. Abandoned Patent Files.</p>	<p>Cutoff files at the end of the fiscal year. Transfer to the FRC when volume warrants. Destroy when 20 years old.</p>	<p>N1-57-02-03, Item 603-01b</p>
<p>603-01c. Invention Disclosure Files. Case files created in the bureau prior to filing for a patent, but for which no registration or application process is completed. Invention disclosure files contain a detailed description of the invention, drawings, correspondence, and other similar records.</p> <p>NOTE: A review of files by the USGS Technology Enterprise Office must be conducted prior to destruction to ensure that alleged infringement claim of patent has been resolved.</p>	<p>Cutoff files at the end of the fiscal year. Transfer to the FRC when volume warrants. Destroy when 20 years old.</p>	<p>N1-57-02-03, Item 603-01c</p>
<p>603-02. True Copy Certifications. Certifying or evidencing true copy nature of material submitted for publication in the Federal Register or elsewhere, including copy of material to be published, evidence of certification</p>	<p>Destroy when 1 year old.</p>	<p>N1-57-02-03, Item 603-02</p>

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
of true copy, letter of transmittal, and related correspondence and documents.		
<p>604. Technology Transfer Agreements (TTA). Pursuant to 15 USC 3710(a) a cooperative research and development agreement is any agreement between USGS and public and private parties under which USGS conducts joint or leveraged research with a mission related objective. USGS tech transfer mechanisms include formal Cooperative Research and Development Agreements (CRADAs), Technical Assistance Agreements, Material Transfer Agreements, User Facility Agreements, and Personnel Exchange Agreements. TTAs are joint partnership opportunities established between the USGS and other parties including private entities, State, and local governments, and non-profit entities.</p> <p>All the TTA formats described above are negotiated agreements between USGS and a qualified private or public entity, under which USGS and the partner leverage resources on a research or technical project. All require execution by both parties.</p>		
<p>604-01. Cooperative Research and Development Agreements (CRADAs). A formal CRADA file should contain: the original signed agreement, any incorporated schedules or attachments, signed amendments, the Conflict of Interest Form, the Announcement Notice of Opportunity (Federal Register, Commerce Business Daily, or Federal Biz Ops Notice), and any correspondence between the parties during the course of the research effort related to the agreement or research effort.</p>	<p>Cutoff files at the expiration of the agreement. Destroy 30 years after the agreement expires. If there are any patents or income tied to the CRADA then it should be maintained as part of the licensing agreement file or the patent file (see 603-01a).</p>	<p>N1-57-02-03. Item 603-03a</p>

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
<p>604-02. Other TTA Agreements. Material Transfer Agreements which bring in or send out material for scientific trials; and Non-Disclosure Agreements under which typically limit or restrict USGS use of proprietary information.</p>	<p>Cutoff files at the end of the fiscal year that the agreement expires. Destroy 6 years and 3 months after cutoff.</p>	<p>New Item</p>
<p>604-03. Other Records and Documents Associated with Technology Transfer Formats. These records include, but are not limited to, accepted proposals, project planning documents, start-up reports, correspondence, budgetary documentation, status reports, technical data and study information, partnership meeting notes, clearances obtained for publication, or joint and single press releases, presentation materials, and other related records.</p>	<p>Transfer identified deliverable and a copy of any written reports required under the TTA to the partner.</p> <p>Retain 1 record set for 10 years after project completion or termination, and then destroy.</p>	<p>New Item</p>
<p>604-04. Marketing Research or Promotional Records. Includes, but not limited to, questionnaires, product trend analysis, newsletters, brochures, posters, articles and photos published in national trade journals and magazines, and mailing lists.</p>	<p>Cutoff at the end of the fiscal year. Destroy 5 years after cutoff.</p>	<p>New Item</p>
<p>604-05. Other TTAs – Any Executed Record Copies held in Tech Transfer/OPA Files. Technical Assistance Agreements, Facility Use Agreements, and Personnel Exchange Agreement; are shorter term collaborative research agreements in which the opportunity for creating patented or copyrightable intellectual property is much more limited.</p>	<p>Cutoff files at the expiration of the agreement. Destroy 10 years after the agreement expires.</p>	<p>New Item</p>
<p>605. Other USGS Agreements. A typical file contains the agreement, correspondence, annual and progress reports, agreement amendments and renewals, and similar records.</p>		

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
<p>NOTE; Originals should be filed in this legal and legislation records section. Copies of records may also be cross-filed in the bureau, discipline, regional, or office budget and accounting files if expenditure or receipt of funds is involved within their area.</p>		
<p>605-01. Agreements Signed by the USGS to Accept Fiscal Resources (Excludes TTAs) – Record Copy. Case files maintained by the office having signatory authority for the instrument. Examples include Cooperator (COOP), Joint Funding Agreements (JFAs), Federal Interagency Agreements (FIA), Military Interdepartmental Purchase Requests (MIPRs), collaborative agreements, and reimbursable agreements with State and local agencies.</p>	<p>Cutoff files at the expiration of the agreement and transfer to the FRC when volume warrants. Destroy 30 years after the agreement expires.</p>	<p>N1-57-02-03, Item 603-03a</p>
<p>605-02. Reimbursable Service Agreements. Agreements, signed by the USGS, to finance the provision of a service, such as with the Department of the Interior.</p>	<p>Cut off after final payment is made. Destroy 6 years 3 months after cutoff.</p>	<p>New Item</p>
<p>605-03. Memorandum of Understandings/ Memorandum of Agreements – Record Copy. Agreements identifying and defining potential areas of coordination and cooperation. Outlines basic policies and procedures governing collaboration on matters of mutual concern or interest.</p>	<p>Cutoff at the completion of the agreement. Place in inactive file. Destroy when no longer needed for reference purposes.</p> <p>NOTE: For reference purposes, it is suggested that documents be retained indefinitely.</p>	<p>New Item</p>
<p>605-04 Intergovernmental Personnel Act (IPA) Mobility Program – Record Copies. Agreements which provide for the temporary assignment of personnel between the Federal government and State or local governments, institutions of higher education, Indian Tribal Governments, Federally funded research and development centers; and other</p>	<p>Cutoff at the end of the agreement. Destroy 2 years after cutoff.</p>	<p>New Item</p>

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
<p>eligible organizations. Files include the Assignment Agreement form (OP-69) and any supporting documents.</p> <p>NOTE: For USGS employees ensure that the appropriate records are filed in accordance with the Guide to Personnel Recordkeeping.</p>		
<p>605-05. Proposals. Any copies of agreements (or proposals) that were unsuccessful joint ventures and never approved will be filed in this section.</p>	<p>Destroy when no longer needed.</p>	<p>N1-57-02-03, Item 603-03c</p>
<p>605-06. Other Copies. For all other copies of documents listed in the 604 and 605 sections that are maintained for reference purposes.</p>	<p>Destroy when no longer needed for reference.</p>	<p>N1-57-02-03, Item 603-03b</p>

U.S. Geological Survey
Chapter 700. Budgeting, Financial Management, Accounting,
Disbursement, Assessment, and Other Chief Financial Officer Records

Cross Index

ITEM NUMBER	SUBJECT	SUPERSEDED CITATION
701	Budget and Financial Files	
701-01	Budget and Financial Project Files	RCS/Item 701-01 and NC1-57-82-4, Item 2b (Combined 701-01a and 702-01a)
701-02	General Budget and Financial Management Administrative Files	N1-57-02-03, Item 701-02 (Combined 701-02 and 702-01b) (Changed disposition)
701-03	Budget Estimates, Justifications, and Annual Work Plan Consolidated Files	
701-03a	Budget Estimates and Related Documentation	RCS/Item 702-02a and NC1-57-81-2, Item 13a (Combined 702-02a, 702-02b, 702-02b(1), and 702-02b(2)) (Changed disposition)
701-03b	USGS Budget Office Official Record Set of Budget Justification and Performance Information Books (Green Books) (Estimated volume on hand – 10 cubic feet; estimate less than 1 cubic foot per year)	New Item
701-04	Budget Apportionment Files	RCS/Item 702-03 and GRS 5, Item 4 (Changed disposition)
701-05	Financial Management and Program Coordination Report Files	
701-05a	Budget Reports	RCS/Item 702-05a and GRS 5, Item 3a (Changed disposition)
701-05b	All Other Reports	RCS/Item 702-05b and GRS 5, Item 3b (Changed disposition)
701-06	Miscellaneous Reconciliation Files	New Item

701-07	Financial Management and Program Coordination Background Records	RCS/Item 702-04 and GRS 5, Item 2
701-08	Financial Management and Program Coordination Policy Files	N1-57-02-03, Item 702-06
701-09	Funds and Funding Files	N1-57-02-03, Item 702-07 (Changed disposition)
701-10	Financial Audits and Claim Settlements	N1-57-02-03, Item 702-08
702	Expenditure Accounting Records	
702-01	General Correspondence and Subject Files	N1-57-02-03, Item 705-01 and GRS 7, Item 1
702-02	General Accounting Ledgers	RCS/Item 705-02 and GRS 7, Item 2
702-03	Appropriation Allotment Files	RCS/Item 705-03 and GRS 7, Item 3
702-04	Expenditure Accounting Posting and Control Files	
702-04a	Original Records	RCS/Item 705-04a and GRS 7, Item 4a
702-04b	Copies	RCS/Item 705-04b and GRS 7, Item 4b
702-05	Payments-in-Lieu-of-Taxes (PILT) Files	
702-05a	PILT Files. Headquarters and Bureau Cost Center Finance Copies	N1-57-02-03, Item 705-05a
702-05b	All Other Copies	N1-57-02-03, Item 705-05b
703	Accounting and Disbursement Files	
703-01	Accountable Officers' Files	
703-01a	Original or Official Copy	RCS/Item 703-01a and GRS 6, Item 1a
703-01b	Memorandum or Extra Copies of Accountable Officers' Records	RCS/Item 703-01b and GRS 6, Item 1b
703-01c	Federal Financial System (FFS)	RCS/Item 703-01c and GRS 20, Item 3b
703-02	GAO Exceptions Files	RCS/Item 703-02 and GRS 6, Item 2
703-03	Certificates Settlement Files	
703-03a	Certificates Covering Closed Account, Supplemental, and Final Balance Settlements	RCS/Item 703-03a and GRS 6, Item 3a

703-03b	Certificates Covering Periodic Settlements	RCS/Item 703-03b and GRS 6, Item 3b
703-04	General Fund Files	RCS/Item 703-04 and GRS 6, Item 4
703-05	Accounting Administrative Files	RCS/Item 703-05b and GRS 6, Item 5a and 5b (Combined 703-05a and 703-05b) (Changed disposition)
703-06	Accounting Systems Files	
703-06a	Accounting Systems Files	N1-57-02-03, Item 703-06a (Changed disposition slightly)
703-06b	Accounting Systems Conversion	N1-57-02-03, Item 703-06b
703-06c	Accounting Codes and Symbols	N1-57-02-03, Item 703-06c
703-07	Federal Personnel Surety Bond Files	
703-07a	Official Copies of the Bond and Attached Powers of Attorney	RCS/Item 703-07a and GRS 6, Item 6a(2)
703-07b	Other Bond Files	RCS/Item 703-07b and GRS 6, Item 6b
703-08	Taxation Files	N1-57-02-03, Item 703-08
703-09	Telegrams	RCS/Item 703-09 and GRS 6, Item 9
703-10	Telephone Files	N1-57-02-03, Item 703-10
703-11	Administrative and Tort Claims Files	
703-11a	Records Relating to Claims	RCS/Item 703-11a and GRS 6, Item 10a, 10b(1), and 10b(3) (Combined 703-11a, 703-11b(1), and 703-11b(3))
703-11b	Claims for which Collection Action has been Terminated and the Government's Right to Collect was not Extended	RCS/Item 703-11b(2)(a) and GRS 6, Item 10b(2)(a)
703-11c	Claims for which Collection Action has been Terminated and the Government is Entitled to Additional Time to Initiate Legal Action	RCS/Item 703-11b(2)(b) and GRS 6, Item 10b(2)(b)
703-11d	Claims that are Affected by a Court Order or are Subject to Litigation Proceedings	RCS/Item 703-11c and GRS 6, Item 10c

703-11e	Waiver of Claims Files	
703-11e(1)	Approved Waivers	RCS/Item 703-12a and GRS 6, Item 11a
703-11e(2)	Denied Waivers	RCS/Item 703-12b and GRS 6, Item 11b
703-12	Appropriations	N1-57-02-03, Item 703-13 (Changed disposition)
703-13	Collection Procedures	N1-57-02-03, Item 703-14
703-14	Unpaid Obligations	N1-57-02-03, Item 703-15
703-15	Government Credit Card Files	N1-57-02-03, Item 703-16
703-16	Working Capital Fund	
703-16a	Investment Plans	New Item
703-16b	Fee-for-Service	New Item
703-16c	Routine Administrative Records	New Item
704	Bureau Assessments (Both Reimbursable and Appropriated Funds)	
704-01	Financial Records Relating to the Bureau Assessment Activities	N1-57-02-03, Item 704-01a
704-02	Miscellaneous Records	N1-57-02-03, Item 704-01b
704-03	Bureau Assessment Policies and Procedures	N1-57-02-03, Item 704-01c
705	Chief Financial Officer (CFO) Files	
705-01	Financial Management Planning and Project Records	New Item
705-02	Performance and Accountability Reports	New Item

Deleted Items

- 706 – Electronic Mail and Word Processing System Copies -- Entire section including 706-01, 706-01a, and 706-01b.

CHAPTER 700. BUDGETING, FINANCIAL MANAGEMENT, ACCOUNTING, DISBURSEMENT, ASSESSMENT, AND OTHER CHIEF FINANCIAL OFFICER RECORDS

Records covering bureauwide budgeting, financial management, accounting, disbursement, and administrative support to ensure full compliance with applicable laws and regulations.

Chapter 700 Topics. This section provides for the disposition of the following:

- 701. Budget and Financial Files
- 702. Expenditure Accounting Records
- 703. Accounting and Disbursement Files
- 704. Bureau Assessments (Both Reimbursable and Appropriated Funds)
- 705. Chief Financial Officer (CFO) Files

701. Budget and Financial Files include the following records:

- 701-01 Budget and Financial Project Files - Project files created and maintained in any USGS office that has a primary function involving budget and financial activities.
- 701-02 General Budget and Financial Management Administrative Files – Records relating to the preparation of budget data, disbursement activities, and the maintenance, control, and accountability of allocated funds.
- 701-03 Budget Estimates, Justifications and Annual Work Plan Consolidated Files – Copies of budget estimates and justifications prepared by the bureau and submitted to the Department of the Interior.
- 701-04 Budget Apportionment Files – Apportionment and reapportionment schedules, proposing obligations under each authorized appropriation.
- 701-05 Financial Management and Program Coordination Report Files – Periodic reports on the status of accounts.
- 701-06 Miscellaneous Reconciliation Files – Copies of records/receipts used to reconcile accounts.
- 701-07 Financial Management and Program Coordination Background Records – Working papers, and similar materials accumulated in the preparation of annual budget estimates.
- 701-08 Financial Management and Program Coordination Policy Files – Records that serve to establish policy or precedents.
- 701-09 Funds and Funding Files – Correspondence and records related to special fund accounts.
- 701-10 Financial Audits and Claim Settlements – Records pertaining to USGS accounts, audits of accounts of other entities with which USGS has working agreements, financial reviews, and internal reviews of financial operations.

702. Expenditure Accounting records include the following records:

- 702-01 General Correspondence and Subject Files – Files maintained by operating units responsible for expenditures accounting.

- 702-02 General Accounting Ledgers - General accounting ledgers, showing debit and credit entries and reflecting expenditures in summary.
- 702-03 Appropriation Allotment Files – Allotment records showing status of obligations and allotments under each authorized appropriation.
- 702-04 Expenditure Accounting Posting and Control Files – Records used as posting and control media, subsidiary to the general and allotment ledgers.
- 702-05 Payments-in-Lieu-of-Taxes (PILT) Files – Records documenting payments made to units of local governments in lieu of taxes.

703. Accounting and Disbursement files include the following records:

- 703-01 Accountable Officer's Files – Original or official copy of accountable officer's accounts maintained by USGS for site audit by General Accounting Office (GAO) auditors.
- 703-02 GAO Exceptions Files – GAO notices of exceptions.
- 703-03 Certificates Settlement Files – Copies of certificates and settlement of accounts.
- 703-04 General Fund Files – Records relating to availability, collection, custody and deposit of funds.
- 703-05 Accounting Administrative Files – Correspondence, reports, and data relating to voucher preparation, administrative audit, and other accounting and disbursing operations.
- 703-06 Accounting Systems Files -- Correspondence regarding the administration of accounting systems.
- 703-07 Federal Personnel Surety Bond Files – Official copies of the bond and attached powers of attorney.
- 703-08 Taxation Files – Correspondence and material related to taxation.
- 703-09 Telegrams – Originals and copies of telegrams.
- 703-10 Telephone Files – Telephone statements and toll slips.
- 703-11 Administrative and Tort Claims Files – Includes records relating to claims.
- 703-12 Appropriations – Records pertaining to the scheduling of major programs prior to the actual appropriation.
- 703-13 Collection Procedures – Correspondence pertaining to bureau procedures and methods used for collecting monies due to the United States.
- 703-14 Unpaid Obligations – Correspondence regarding unpaid obligations against the USGS.
- 703-15 Government Credit Card Files- Files containing government credit card approving official and cardholder records.
- 703-16 Working Capital Fund – Records relating to investment in support of USGS programs.

704. Bureau Assessments (Both Reimbursable and Appropriated Funds) include the following records:

- 704-01 Financial Records Relating to the Bureau Assessment Activities – Records relating to the bureau assessment activities.
- 704-02 Miscellaneous Records – Other miscellaneous records related to bureau assessments.

704-03 Bureau Assessment Policies and Procedures – Policies and procedures pertinent to bureau assessment activities.

705. Chief Financial Officer (CFO) Files include the following records:

705-01 Financial Management Planning and Project Records – Records relating to the CFOs direction and management of bureau financial management projects and programs.
705-02 Performance and Accountability Reports- Annual reports consolidating the reporting requirements.

What records in this chapter are important or considered permanent USGS records?

- Due to litigation, account and supporting documents pertaining to American Indians are to be retained indefinitely.
- USGS Budget Office Official Record Set of Budget Justification and Performance Information Books.
- Claims that are affected by a court order or are subject to litigation proceedings.

What records in this section are considered temporary USGS records?

- Budget and financial files.
- Expenditure accounting records including, general correspondence, accounting ledgers, appropriation allotment files, expenditure accounting posting, and control files, and PILT files.
- Accounting and disbursement files including, Accountable Officers' files, FFS, GAO exception files, certificates settlement files, general fund
- Federal Financial System files.
- Certificates settlement files.
- General fund files.
- Accounting administrative and systems files.
- Federal personnel surety bond files
- Taxation files
- Telegram and telephone files.
- Administrative and tort claims.
- Appropriation files.
- Collection procedure files.
- Unpaid obligations.
- Government credit card files.
- Working capital files.
- General bureau assessment files.
- Chief Financial Officer (CFO) Files

Questions?

Contact the USGS Records Manager or your discipline or regional Records Liaison Officer - <http://internal.usgs.gov/gio/irm/fmassis2.html>

**CHAPTER 700. BUDGETING, FINANCIAL MANAGEMENT,
ACCOUNTING, DISBURSEMENT, ASSESSMENT, AND OTHER CHIEF
FINANCIAL OFFICER RECORDS**

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
701. Budget and Financial Files.		
701-01. Budget and Financial Project Files. Project files created and maintained in any USGS office that has a primary function involving budget and financial activities.	Cutoff file at the end of the fiscal year. Destroy 6 years after cutoff.	RCS/Item 701-01 and NC1-57-82-4, Item 2b
701-02. General Budget and Financial Management Administrative Files. General correspondence and other records relating to budget and financial management and program coordination and administration. Includes preparation of budget data, disbursement activities, and the maintenance, control, and accountability of allocated funds.	Cutoff at the end of the fiscal year. Destroy when 3 years old or when purpose has been served, whichever is sooner.	N1-57-02-03, Item 701-02
701-03. Budget Estimates, Justifications, and Annual Work Plan Consolidated Files.		
701-03a. Budget Estimates and Related Documentation. Prepared by the bureau and submitted to the Department of the Interior for consolidation. Consists of appropriation language sheets, narrative statements, annual work plans, and related schedules and data.	Place in inactive file when canceled, superseded, or revoked. Destroy when no longer needed for reference purposes.	RCS/Item 702-02a and NC1-57-81-2, Item 13a
701-03b. USGS Budget Office Official Record Set of Budget Justification and Performance Information Books (Green Books). Agency budget justifications prepared for Congress.	PERMANENT. Cutoff at the publication of the Green Book. Transfer to NARA when no longer needed in agency.	New Item
701-04. Budget Apportionment Files. Apportionment and reapportionment schedules, proposing quarterly obligations under each authorized appropriation.	Destroy 6 years 3 months after the close of the fiscal year.	RCS/Item 702-03 and GRS 5, Item 4
701-05. Financial Management and Program Coordination Report Files. Periodic reports on the status of accounts.		
701-05a. Budget Reports. Includes, but not limited to, bureau level, ad-hoc, status	Cutoff at the end of the fiscal year. Destroy 6 years	RCS/Item 702-05a and GRS 5, Item 3a

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
of funds, Basis+, and annual reports.	3 months after cutoff.	
701-05b. All Other Reports. Includes copies of reports and reports not required to be maintained in financial offices for financial or accounting purposes.	Cutoff at the end of the fiscal year. Destroy when no longer needed for reference.	RCS/Item 702-05b and GRS 5, Item 3b
701-06. Miscellaneous Reconciliation Files. Copies of records/receipts used to reconcile accounts and not required in the Accountable Officer's files. (NOTE: See Item 703-03a for reconciliation files required by the Accountable Officer).	Cutoff at the end of the fiscal year. Destroy 1 year after cutoff.	New Item
701-07. Financial Management and Program Coordination Background Records. Working papers, cost statements, rough data, and similar materials accumulated in the preparation of annual budget estimates, including duplicates of budget estimates and justifications and related appropriation language sheets, narrative statements, and related schedules; and originating offices' copies of reports submitted to budget offices.	Destroy 1 year after the close of the fiscal year covered by the budget.	RCS/Item 702-04 and GRS 5, Item 2
701-08. Financial Management and Program Coordination Policy Files. Records that serve to establish policy or precedents pertinent to future and continuing actions for financial management and program coordination activities. Note: This file consists of policy for financial management and program coordination subjects that may not be included in the master set of bureau directives.	Place in inactive file when canceled, superseded, or revoked. Destroy when no longer needed for reference purposes.	N1-57-02-03, Item 702-06
701-09. Funds and Funding Files. Correspondence and records related to special fund accounts generally financed from sources earmarked by law. Records regarding the use of loans, trust funds, and special funds appropriated for emergencies and disaster relief. Includes, but not limited to, revolving fund, imprest fund, transfer of funds, water user funds, unobligated funds, unexpended funds, prevalidation of funds, appropriations	Cutoff at the end of the fiscal year. Destroy 6 years 3 months after cutoff.	N1-57-02-03, Item 702-07

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
carryovers, lapsed appropriations, unliquidated obligations, unobligated balances, allocations and changes of allocations of appropriated funding, and disaster relief fund.		
701-10. Financial Audits and Claim Settlements. Records pertaining to USGS accounts, audits of accounts of other entities with which USGS has working agreements, financial reviews, and internal review of financial operations. Examples include General Accounting Office (GAO) inquiries, travel audits, and financial audits. Also, includes correspondence regarding the procedures and methods for settling direct settlement claims, dormant claims, and deceased employee estate claims.	Cutoff files at the end of the fiscal year or cutoff when audit is completed. If volume warrants, transfer to FRC 2 years after cutoff. Destroy 7 years after cutoff.	N1-57-02-03, Item 702-08
702. Expenditure Accounting Records.		
702-01. General Correspondence and Subject Files. Correspondence or subject files maintained by operating units responsible for expenditures accounting, pertaining to their internal operations and administration.	Cutoff at the end of the fiscal year. Destroy 2 years after cutoff.	N1-57-02-03, Item 705-01 and GRS 7, Item 1
702-02. General Accounting Ledgers. General accounting ledgers, showing debit and credit entries and reflecting expenditures in summary.	Cutoff at the end of the fiscal year. Destroy 6 years and 3 months after the close of the fiscal year involved.	RCS/Item 705-02 and GRS 7, Item 2
702-03. Appropriation Allotment Files. Allotment records showing status of obligations and allotments under each authorized appropriation.	Destroy 6 years and 3 months after the close of the fiscal year involved.	RCS/Item 705-03 and GRS 7, Item 3
702-04. Expenditure Accounting Posting and Control Files. Records used as posting and control media, subsidiary to the general and allotment ledgers, and not covered elsewhere in this schedule.		
702-04a. Original Records.	Cutoff at the end of the fiscal year. Destroy 6 years 3 months after the close of the fiscal year involved.	RCS/Item 705-04a and GRS 7, Item 4a

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
702-04b. Copies.	Destroy when 2 years old.	RCS/Item 705-04b and GRS 7, Item 4b
702-05. Payments-in-Lieu-of-Taxes (PILT) Files. Records documenting payments made to units of local governments in lieu of taxes to ameliorate the fiscal burden of tax-exempt public land within their boundaries.		
702-05a. PILT Files. Headquarters and Bureau Cost Center Finance Copies.	Cutoff at the end of the fiscal year. If volume warrants, transfer to FRC 5 years after cutoff. Destroy 15 years after cutoff.	N1-57-02-03, Item 705-05a
702-05b. PILT Files – All Other Copies.	Cutoff at the end of the fiscal year. Destroy 5 years after cutoff.	N1-57-02-03, Item 705-05b
703. Accounting and Disbursement Files.		
703-01. Accountable Officers' Files		
<p data-bbox="180 1056 760 1444">703-01a. Original or Official Copy of Accountable Officers' Accounts. Records maintained by the USGS for site audit by General Accounting Office (GAO) auditors. Includes statements of transactions and accountability, collection schedules, collection vouchers, disbursement schedules and vouchers, and all other schedules, vouchers, or documents used as schedules or vouchers, exclusive of freight records and payroll records.</p> <p data-bbox="180 1486 760 1883">Also includes miscellaneous payments, accruals and backup information, working capital fund obligation records, IPACs, obligated IPAs and agreements (if filed outside of Item 603-03b), standard voucher records, obligated and non-obligated payments, statistical sampling records, permanent change of duty station moves, and any other miscellaneous records used for reconciliation purposes that are required by the Accountable Officer.</p>	Cutoff at close of fiscal year in which final payment is made. Destroy 6 years and 3 months after cutoff.	RCS/Item 703-01a and GRS 6, Item 1a

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
<p>NOTE: Any miscellaneous e-mails or spreadsheets should be attached to the related records.</p> <p>Accounts and supporting documents pertaining to American Indians are not authorized for disposal (see Note). Also, exclude accounts and supporting documents pertaining to freight records or payroll records.</p> <p>Since USGS is operating under an integrated accounting system, certain required documents, supporting vouchers and/or schedules are included in the site audit records. Site audit records include, but are not limited to, the Standard Forms (SF) and Optional Forms (OF) listed below. Also included are equivalent agency forms that document the basic financial transaction as described above.</p> <p>SF 215, Deposit Ticket SF 224, Statement of Transactions SF 1012, Travel Voucher SF 1034, Public Voucher for Purchases and Services Other Than Personal SF 1038, Advance of Funds Application and Account SF 1047, Public Voucher for Refunds SF 1069, Voucher for Allowance at Foreign Posts of Duty SF 1080, Voucher for Transfer Between Appropriations and/or Funds SF 1081, Voucher and Schedule of Withdrawals and Credits SF 1096, Schedule of Voucher Deductions SF 1097, Voucher and Schedule to Effect Correction of Errors SF 1098, Schedule of Canceled Checks SF 1113, Public Voucher for Transportation Charges SF 1129, Reimbursement Voucher SF 1145, Voucher for Payment Under</p>		

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
<p>Federal Tort Claims Act SF 1154, Public Voucher for Unpaid Compensation Due a Deceased Civilian Employee SF 1156, Public Voucher for Fees and Mileage SF 1164, Claim for Reimbursement for Expenditures on Official Business SF 1166, Voucher and Schedule of Payments SF 1185, Schedule of Undeliverable Checks for Credit to Government Agencies SF 1218, Statement of Accountability (Foreign Service Account) SF 1219, Statement of Accountability SF 1220, Statement of Transactions According to Appropriation, Funds, and Receipt Accounts SF 1221, Statement of Transactions According to Appropriation, Funds, and Receipt Accounts (Foreign Service account) OF 1114, Bill of Collection OF 1114A, Official Receipt OF 1114B, Collection Voucher</p> <p>(NOTE: Accounts and supporting documents pertaining to American Indians are not authorized for disposal. Such records must be retained indefinitely since they may be needed in litigation involving the Government's role as trustee of property held by the Government and managed for the benefit of Indians.)</p>		
703-01b. Memorandum or Extra Copies of Accountable Officers' Records.	Destroy when 1 year old.	RCS/Item 703-01b and GRS 6, Item 1b
703-01c. Federal Financial System (FFS). This automated, integrated, standardized accounting system contains accounting, financial and management records, which support bureau financial operations. The data contained in the FFS consist only of the same information as is contained in all or portions of the	Delete 6 years and 3 months after period covered by account or when no longer needed, whichever is sooner.	RCS/Item 703-01c and GRS 20, Item 3b

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
disposable paper records in the official file (Item 703-01a), which it duplicates.		
703-02. GAO Exceptions Files. GAO notices of exceptions, such as SF 1100, formal or informal, and related correspondence.	Destroy 1 year after exception has been reported as cleared by GAO.	RCS/Item 703-02 and GRS 6, Item 2
703-03. Certificates Settlement Files. Copies of certificates and settlement of accounts for accountable officers, statements of differences, and related records.		
703-03a. Certificates Covering Closed Account, Supplemental, and Final Balance Settlements.	Destroy 2 years after date of settlement.	RCS/Item 703-03a and GRS 6, Item 3a
703-03b. Certificates Covering Periodic Settlements.	Destroy when subsequent certificate of settlement is received.	RCS/Item 703-03b and GRS 6, Item 3b
703-04. General Fund Files. Records relating to availability, collection, custody, and deposit of funds including appropriation, warrants, and certificates of deposit, other than those records covered by Item 703-01.	Destroy when 3 years old.	RCS/Item 703-04 and GRS 6, Item 4
703-05. Accounting Administrative Files. Correspondence, reports, and data relating to voucher preparation, administrative audit, and other accounting and disbursing operations.	Cutoff at the end of the fiscal year. Destroy when 3 years old or when no longer needed, whichever is sooner.	RCS/Item 703-05b and GRS 6, Item 5a and 5b
703-06. Accounting Systems Files		
703-06a. Accounting Systems Files. Correspondence regarding the administration of accounting systems, including studies for centralization, decentralization, and similar issues. Correspondence regarding the establishment and operation of data processing systems in the broad administrative areas of financial management and program coordination.	Cutoff at the end of the fiscal year or at the end of the project. Destroy 3 years after cutoff.	N1-57-02-03, Item 703-06a
703-06b. Accounting Systems Conversion. Documentation recording the conversions from one accounting system to another.	Cutoff at the end of the fiscal year. Transfer to FRC 10 years after cutoff. Destroy 25 years after cutoff.	N1-57-02-03, Item 703-06b

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
703-06c. Accounting Codes and Symbols. Correspondence requesting establishing fund symbols and title (fiscal) for USGS accounts and finance offices.	Cutoff at the end of the fiscal year. Destroy 6 years after cutoff.	N1-57-02-03, Item 703-06c
703-07. Federal Personnel Surety Bond Files.		
703-07a. Official Copies of the Bond and Attached Powers of Attorney. Bonds purchased after December 31, 1955.	Destroy 15 years after the end of the bond premium period.	RCS/Item 703-07a and GRS 6, Item 6a(2)
703-07b. Other Bond Files. Includes other copies of bonds, designations of accountable officers and agents, and related documents.	Destroy when bond becomes inactive or after the end of the bond premium period.	RCS/Item 703-07b and GRS 6, Item 6b
703-08. Taxation Files. Correspondence and material related to taxation. Includes, but not limited to, payments in lieu of taxes, taxation of USGS owned property, taxation of unpatented entries, sales and use taxes, material regarding tax exemption certificates and tax exemption identification cards, unemployment and social security tax, and income taxes.	Cutoff at the end of the fiscal year. Destroy 3 years after cutoff.	N1-57-02-03, Item 703-08
703-09. Telegrams. Originals and copies of telegrams filed in support of telegraph bills.	Destroy after GAO audit or when 3 years old, whichever is sooner.	RCS/Item 703-09 and GRS 6, Item 9
703-10. Telephone Files. Telephone statements and toll slips.	Destroy 3 years after period covered by related account.	N1-57-02-03, Item 703-10
703-11. Administrative and Tort Claims Files.		
703-11a. <ul style="list-style-type: none"> • Records relating to claims against the United States for monies which have been administratively (1) disallowed in full or (2) allowed in full or in part, and final payment of the amount awarded, excluding claims covered by Item 703-11c below. • Claims by the United States subject to the Federal Claims Collection Standards and 28 U.S.C. 2415 or 31 U.S. C. 3716(c)(1) - Paid in full or by means of a compromise agreement pursuant to 4 CFR Part 103. • Claims which the USGS 	Destroy when 6 years and 3 months old.	RCS/Item 703-11a and GRS 6, Item 10a, 10b(1), and 10b(3)

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
<p>administratively determines are not owed to the United States after collection action was initiated.</p> <p>NOTE: If preferred, see Item 601-07 for filing of claims records in the legal area if preference is to file within that area.</p>		
<p>703-11b Claims by the United States subject to the Federal Claims Collection Standards and 28 U.S.C. 2415 or 31 U.S.C. 3716(c)(1) – for which collection action has been terminated under 4 CFR Part 104 and the Government's right to collect was not extended.</p>	<p>Destroy 10 years and 3 months after the year in which the Government's right to collect first accrued.</p>	<p>RCS/Item 703-11b(2)(a) and GRS 6, Item 10b(2)(a)</p>
<p>703-11c. Claims by the United States subject to the Federal Claims Collection Standards and 28 U.S.C. 2415 or 31 U.S.C. 3716(c)(1) – for which collection action has been terminated under 4 CFR Part 104 and the Government is entitled (per 28 U.S.C. 2415) to additional time to initiate legal action.</p>	<p>Destroy 3 months after the end of the extended period.</p>	<p>RCS/Item 703-11b(2)(b) and GRS 6, Item 10b(2)(b)</p>
<p>703-11d. Claims that are affected by a court order or are subject to litigation proceedings</p>	<p>Destroy when the court order is lifted, litigation is concluded, or when 6 years and 3 months old, whichever is later.</p>	<p>RCS/Item 703-11c and GRS 6, Item 10c</p>
<p>703-11e. Waiver of Claims Files. Records relating to waiver of claims of the United States against a person, arising out of an erroneous payment of pay allowances, travel expenses, or relocation expenses to an employee of the USGS, including bills of collection, requests for waiver of claims, investigative reports, decisions by USGS and/or Office of Hearings and Appeals (OHA) approving or denying the waiver, and related records.</p>		
<p>703-11e(1). Approved Waivers. Agencies may approve amounts not aggregating to more than \$1,500 or OHA may approve any amount.</p>	<p>Destroy 6 years and 3 months after the close of the fiscal year in which the waiver was approved.</p>	<p>RCS/Item 703-12a and GRS 6, Item 11a</p>
<p>703-11e(2). Denied Waivers.</p>	<p>Destroy with related claims filed in accordance with</p>	<p>RCS/Item 703-12b and GRS 6, Item</p>

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
	Items 703-11a, 703-11b, and 703-11c of this schedule.	11b
703-12. Appropriations. Records pertaining to the scheduling of major programs prior to the actual appropriation. Scheduling activity involves budget estimates and justifications for appropriation such as planning, programming, and budgeting; illustrative material and other graphics accompanying USGS's budget presentation to Congress; allocation of appropriations, allotment accounts, appropriation accounting, and reporting; the use and withdrawal of funds; and reprogramming of funds.	Cutoff at the end of the fiscal year. Destroy 6 years 3 months after cutoff.	N1-57-02-03, Item 703-13
703-13. Collection Procedures. Correspondence pertaining to bureau procedures and methods used for collecting monies due to the United States. Include correspondence regarding such things as the preparation, distribution, loss, theft, undelivered, mutilation, and invalid addresses that may be encountered in the processing and mail delivery of official government checks. Include copies of bills for collection, daily abstract of remittance, and late interest charges.	Cutoff at the end of the fiscal year. Destroy 3 years after cutoff.	N1-57-02-03, Item 703-14
703-14. Unpaid Obligations. Correspondence regarding unpaid obligations against the USGS that cannot be filed by a specific purchase order or transaction number. Includes unclaimed monies due individuals whose whereabouts are unknown.	Cutoff at the end of the fiscal year. Destroy 6 years after cutoff.	N1-57-02-03, Item 703-15
703-15. Government Credit Card Files. Files containing government credit card approving official and cardholder records. Documents include account set-up and account maintenance forms, renewal information, delegations of authority, funding authorization memoranda, and other correspondence for each cardholder within an approving official account.	Cutoff at the end of the fiscal year after all accounts on the master account are closed. Destroy 2 years after cutoff.	N1-57-02-03, Item 703-16

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
703-16. Working Capital Fund.		
703-16a. Investment Plans. Management planning tool used to invest funds without fiscal year limitations for material, supplies, equipment, services, facilities, and cost reimbursable work in support of USGS programs. Records include, but not limited to, the Investment Plan, the IP BASIS+ Report CCM 800, approvals, revisions, reviews, and withdrawals.	Cutoff at the end of the fiscal year that the investment plan is closed. Destroy 6 years and 3 months after cutoff.	New Item
703-16b. Fee-for-Service. Works primarily on a reimbursement basis. Records include, but not limited to, interagency agreements, vouchers, documentation, and other related records.	Cutoff at the end of the fiscal year that the fee-for-service is discontinued. Destroy 6 years and 3 months after cutoff	New Item
703-16c. Routine Administrative Records. Includes correspondence, reports, forms, and other related records pertaining to Working Capital Funds.	Cutoff at the end of the fiscal year. Destroy 3 years after cutoff or when no longer needed, whichever is sooner.	New Item
704. Bureau Assessments (Both Reimbursable and Appropriated Funds). Applied at various levels throughout the USGS. Assessments are intended to provide funding needed to pay for overhead costs and non-overhead costs that are appropriately funded by assessments.		
704-01. Financial Records Relating to the Bureau Assessment Activities.	Cutoff at the end of the fiscal year. Destroy 6 years and 3 months after cutoff.	N1-57-02-03, Item 704-01a
704-02. Miscellaneous Records. Includes, but not limited to, reports, memoranda, and e-mails that relate to bureau assessments.	Cutoff at the end of the fiscal year. Destroy 3 years after cutoff or when no longer needed for administrative purposes, whichever is later.	N1-57-02-03, Item 704-01b
704-03. Bureau Assessment Policies and Procedures. Policies and procedures pertinent to bureau assessment activities. NOTE: This file consists of policy for bureau assessments not included in the master set of bureau directives.	Place in inactive file when canceled, superseded, or revoked. Destroy when no longer needed for reference purposes.	N1-57-02-03, Item 704-01c

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
<p>705. Chief Financial Officer (CFO) Files. CFO and program office files that support the mandates of various government policy, laws, and regulations relating to financial management.</p>		
<p>705-01. Financial Management Planning and Project Records. Records relating to the CFOs direction and management of bureau financial management projects and programs. Included are records that document bureauwide financial management goals; specify milestones to be achieved; identify performance measures; and provide procedural guidance to implement OMBs financial management policies; and relate to projects or initiatives that support the financial management program.</p>	<p>Cutoff at the end of the fiscal year. Destroy when 7 years old.</p>	<p>New Item</p>
<p>705-02. Performance and Accountability Reports. Annual reports consolidating the reporting requirements of the CFO Act, Government Performance and Results Act, an other statutes covering public accountability. Includes, but not limited to, working papers, supporting documentation, and bureau submissions to DOI.</p>	<p>Cutoff at the end of the fiscal year in which the report is completed. Destroy 3 years after cutoff.</p>	<p>New Item</p>

**U.S. Geological Survey
Chapter 800. Acquisition, Supply, and Grant Records**

Cross Index

ITEM NUMBER	SUBJECT	SUPERSEDED CITATION
801	Acquisition Files	
801-01	Acquisition Files	
801-01a	Official Contract Files	N1-57-02-04, Item 801-01a
801-01b	Procurement Reference Copies	RCS/Item 801-01b and GRS 3, Item 3c
801-01c	Electronic Data Submitted to the Federal Procurement Data System	RCS/Item 801-01c and GRS 3, Item 3d
801-01d	Procurement Desktop (PD)	N1-57-02-04, Item 801-01d
801-01e	Charge Card Purchase Records	
801-01e(1)	Cardholder/Approving Official Records	N1-57-02-04, Item 801-01e (Changed disposition)
801-01e(2)	Copies for Reconciliation Purposes	New Item
801-02	Contracts Appeals Case Files	N1-57-02-04, Item 801-02 and GRS 3, Item 15b
801-03	Contingent Fee Violations Files	N1-57-02-04, Item 801-03
801-04	Contractor's Payroll Files	N1-57-02-04, Item 801-04 and GRS 3, Item 11
801-05	Performance of Commercial Activities Files	N1-57-02-04, Item 801-05
801-06	Unsolicited Proposals	RCS/Item 802-02b and NC1-57-84-5, Item 02b and GRS 3, Item 5b(1)
802	Supply Management Files	
802-01	Supply Management Files	N1-57-02-04, Item 802-01a and GRS 3, Item 4a
803	Grant Files	

803-01	Grant and Cooperative Agreement Case Files	
803-01a	Grant and Cooperative Agreement Awards Including the Successful Application	RCS/Item 803-01a and NC1-57-81-2, Item 26
803-01b	Unsuccessful Grant Applications	N1-57-02-04, Item 803-01b and GRS 3, Item 13
803-01c	Program Announcement Files	N1-57-02-04, Item 803-01c
803-02	Grant Administrative Files	N1-57-02-04, Item 803-02 and GRS 3, Item 14
804	Acquisition Management and Administration Files	
804-01	General Acquisition Management Files	N1-57-02-04, Item 804-01
804-02	General Acquisition Correspondence Files	N1-57-02-04, Item 804-02
804-03	Contracting Officer Files	RCS/Item 802-08 and N1-57-87-2, Item 802-08
804-04	Small and Disadvantaged Business Utilization Files	RCS/Item 802-09 and GRS 3, Item 17

Deleted Items

- 802-01b – Supply Management file copies.
- 805 – Electronic Mail and Word Processing System Copies – Entire section including 805-01, 805-01a, and 805-01b.

CHAPTER 800. ACQUISITION, SUPPLY, AND GRANT RECORDS

Procurement and contract, acquisition of goods, supply management, grant and cooperative agreement programs, contracting officer, and small and disadvantaged business utilization files are included in this section.

Chapter 800 Topics. This section provides for the disposition of the following:

- 801. Acquisition Files
- 802. Supply Management Files
- 803. Grant Files
- 804. Acquisition Management and Administration Files

801. Acquisition Files include the following records:

- 801-01 Acquisition Files – Contract, purchase order, Blanket Purchase Agreements, task and delivery orders.
- 801-02 Contracts Appeals Case Files – Case files arising under the Contracts Dispute Act.
- 801-03 Contingent Fee Violations Files – Evidence of violation of the Covenant Against Contingent Fees and related documents.
- 801-04 Contractor's Payroll Files – Contractor's payrolls (construction contracts) submitted in accordance with Labor Department regulations.
- 801-05 Performance of Commercial Activities Files – Documentation created in the analysis and evaluation of commercial activities.
- 801-06 Unsolicited Proposals – Records of unsolicited proposals and their disposition and copies of unsuccessful proposals and related correspondence.

802. Supply Management Files include the following records:

- 802-01 Supply Management Files – Files or reports on supply requirements and procurement matters submitted for supply management purposes.

803. Grant Files include the following records:

- 803-01 Grant and Cooperative Agreement Case Files – Proposals or application, requisitions, award documents, project reports, studies, assurances, correspondence, and other records.
- 803-02 Grant Administrative Files – Correspondence relating to routine operations and daily activities in administration of the Grant program.

804. Acquisition Management and Administration Files include the following records:

- 804-01 General Acquisition Management Files – Records of acquisition function management activities.

804-02	General Acquisition Correspondence Files – Files of operating procurement and acquisition units concerning internal operation and administration matters not covered elsewhere in this schedule.
804-03	Contracting Officer Files – Applications for appointment of contracting officer(s), certificates of appointments, renewals, and related correspondence.
804-04	Small and Disadvantaged Business Utilization Files – Correspondence, reports, studies, and other records.

What records in this chapter are important or considered permanent USGS records?

- None of the records listed are permanent records. Official contract files should be maintained in accordance with the retention periods set forth in the FAR, 48 CFR 4.805(b). The documents specified in this chapter may not be destroyed before the times indicated and may be retained longer if the responsible agency official determines that the files have future value to the Government.

What records in this section are considered temporary USGS records?

- All records in this chapter are considered as temporary records.

Questions?

Contact the USGS Records Manager or your discipline or regional Records Liaison Officer - <http://internal.usgs.gov/gio/irm/fmassis2.html>

CHAPTER 800. ACQUISITION, SUPPLY, AND GRANT RECORDS

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
801. Acquisition Files.		
801-01. Acquisition Files. Contract, purchase order, Blanket Purchase Agreements, task and delivery orders, including interagency agreements acquiring goods or services from other Federal agencies. Files include the record (General Accounting Office (GAO) review) copy of the award and requisitions, correspondence, tax exemption certificates and related papers, and papers pertaining to solicitation, offer, award, administration, receipt, inspection and payment, and related records as described in the Federal Acquisition Regulations (FAR) 4.801-4.803. This schedule does not cover interagency agreements under which the USGS receives money to perform services for others. NOTE: Obligation copies of awards are not covered in this section but are covered under Item 703-01, Accountable Officers' Files.		
801-01a. Official Contract Files. Procurement or purchase organization copy of requisitions, solicitations, bids, proposals, quotations, awards, and related papers necessary for GAO or internal audit purposes.	Follow retention periods set forth in the FAR, 48 CFR 4.805(b).	N1-57-02-04, Item 801-01a
801-01b. Procurement Reference Copies. Other copies of records described in this section used for administrative or reference purposes, including copies used by the requiring office (such as Contracting Officer Representative files) but not including obligation and payment records covered in Chapter 700.	Destroy upon termination or completion.	RCS/Item 801-01b and GRS 3, Item 3c
801-01c. Electronic data submitted to the Federal Procurement Data System (FPDS). Refer to FAR 4.805(b)(9).	Destroy or delete when 5 years old.	RCS/Item 801-01c and GRS 3, Item 3d
801-01d. Procurement Desktop (PD). This automated acquisition system contains	Destroy after close of the fiscal year in which final	N1-57-02-04, Item 801-01d

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
<p>acquisition data and document copies which support acquisition operations in larger USGS acquisition offices. Apart from FPDS data (Item 801-01c), the data contained in PD consist only of the same information as is contained in all or portions of the disposable paper records in the official file (Item 801-01a), which it duplicates. This electronic record also serves as the disaster recovery copy.</p>	<p>payment is made or contract file is closed, whichever is later.</p>	
<p>801-01e. Charge Card Purchase Records. Documents supporting purchases made by charge card (including convenience checks). Purchase records include cardholder logs, initiating requests, vendor quotes, order forms (such as fax, e-mail, and e-catalogue order form printouts). NOTE: Related documents that are required to support payment of charge card purchases (including original sales receipts, packing slip, or other records itemizing and describing item purchased, certified monthly statements, convenience check duplicates, and registers) are not covered here but are classed under Item 703-01a. Records associated with payment for passenger or freight transportation are covered under Item 303-01a. If charge card purchase records include or are filed together with payment or transportation records, apply the longest retention period.</p>		
<p>801-01e(1). Cardholder/Approving Official Records.</p>	<p>Destroy 6 years 3 months after close of the fiscal year in which final payment is made.</p>	<p>N1-57-02-04, Item 801-01e</p>
<p>801-01e(2). Copies for Reconciliation Purposes.</p>	<p>Destroy 1 year 3 months after the close of the fiscal year in which final payment is made.</p>	<p>New Item</p>
<p>801-02. Contracts Appeals Case Files. Contract appeals case files arising under the Contracts Dispute Act.</p>	<p>Destroy 1 year after final action or decision.</p>	<p>N1-57-02-04, Item 801-02 and GRS 3, Item 15b</p>
<p>801-03. Contingent Fee Violations Files. Evidence of violation of the Covenant</p>	<p>Destroy when no longer needed for enforcement</p>	<p>N1-57-02-04, Item 801-03</p>

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
Against Contingent Fees and related documents, including the record of actions taken. (See FAR 3.406).	purposes or with the related contract file, whichever is later.	
801-04. Contractor's Payroll Files. Contractor's payrolls (construction contracts) submitted in accordance with Labor Department regulations, with related certifications, anti-kickback affidavits, and other related papers.	Destroy 3 years after date of completion unless contract performance is the subject of enforcement action on such date.	N1-57-02-04, Item 801-04 and GRS 3, Item 11
801-05. Performance of Commercial Activities Files. Documentation created in the analysis and evaluation of commercial activities. Included are cost studies, performance work statements, and related records as required by the Office of Management and Budget Circular A-76.	Cutoff at the end of the fiscal year. Retire to the Federal Records Center (FRC) 5 years after cutoff. Destroy 10 years after cutoff.	N1-57-02-04, Item 801-05
801-06. Unsolicited Proposals. Records of unsolicited proposals and their disposition and copies of unsuccessful proposals and related correspondence. Successful unsolicited proposals are retained with the award file and are covered under Item 801-01a or Item 803-01, as applicable.	Destroy one year from notification of non-acceptance or when no longer of any value to the Government, whichever is later.	RCS/Item 802-02b and NCI-57-84-5, Item 02b and GRS 3, Item 5b(1)
802. Supply Management Files		
802-01. Supply Management Files. Files or reports on supply requirements and procurement matters submitted for supply management purposes (other than those incorporated in case files or other files of a general nature).	Destroy when 2 years old.	N1-57-02-04, Item 802-01a and GRS 3, Item 4a

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
803. Grant Files.		
803-01. Grant and Cooperative Agreement Case Files. Proposals or applications; requisitions; award documents; project reports; studies; assurances; correspondence; other records relating to receipt, review, award, evaluation, status, and monitoring of grants and cooperative agreements; and project budget. Official record copy may be in paper or electronic format (including imaged records). The same retention requirements apply regardless of format.		
803-01a. Grant and Cooperative Agreement Awards including the Successful Application.	Cutoff at the end of the fiscal year when grant or agreement is completed or closed. Destroy 6 years after case is closed.	RCS/Item 803-01a and NC1-57-81-2, Item 26
803-01b. Unsuccessful Grant Applications. Applications, correspondence, and other records relating to unsuccessful (rejected or withdrawn) applications.	Destroy 3 years after rejected or withdrawn.	N1-57-02-04, Item 803-01b and GRS 3, Item 13
803-01c. Program Announcement Files. Program announcement, related notices and clearances, record of applications received, evaluation or peer review process, and funding and declination decision.	Destroy when last funded grant/cooperative agreement is completed or after 5 years, whichever is longer.	N1-57-02-04, Item 803-01c
803-02. Grant Administrative Files. Correspondence and/or subject files, in paper or electronic format, relating to routine operations and daily activities in administration of the grant program. Excludes program announcement and individual award case files.	Destroy when 2 years old.	N1-57-02-04, Item 803-02 and GRS 3, Item 14
804. Acquisition Management and Administration Files.		

RECORD ITEM/DESCRIPTION	DISPOSITION	AUTHORITY
804-01. General Acquisition Management Files. Files containing records of acquisition function management activities, including oversight reviews, initiatives, organization data, and other related general records.	Destroy when 4 years old unless needed for future reference, then destroy when no longer needed.	N1-57-02-04, Item 804-01
804-02. General Acquisition Correspondence Files. Correspondence files of operating procurement and acquisition units concerning internal operation and administration matters not covered elsewhere in this schedule.	Cutoff at the end of the fiscal year. Destroy 2 years after cutoff.	N1-57-02-04, Item 804-02
804-03. Contracting Officer Files. Applications for appointment of contracting officer(s), certificates of appointment as contracting officer(s) (warrants), renewals, and related correspondence.	Destroy all documents relating to an individual employee 1 year after separation or transfer.	RCS/Item 802-08 and N1-57-87-2, Item 802-08
804-04. Small and Disadvantaged Business Utilization Files. Correspondence, reports, studies, goal statements, and other records relating to the small and disadvantaged business utilization program, as required by P.L. 95-507.	Destroy when 3 years old.	RCS/Item 802-09 and GRS 3, Item 17