

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: NC1-057-84-07

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 1/26/2022

ACTIVE ITEMS

These items, unless subsequently superseded, may be used by the agency to disposition records.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

SUPERSEDED AND OBSOLETE ITEMS

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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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

Items 102-01a and b are superseded by N1-473-12-001 Item 1G(1) and N1-589-12-001 Item 1G(1)

Item 102-01c is superseded by N1-473-12-001 Item 1G(1), N1-473-12-001 Item 1G(2), and N1-589-12-001 Item 1G(2)

Item 102-01d is superseded by N1-473-12-001 Item 1G(1) and N1-589-12-001 Item 1G(1)

Item 102-02 is superseded by N1-473-12-001 Item 1G(1)

Item 201-01a is superseded by N1-473-12-002 Item 2A(2) and N1-589-12-002 Item 2A(2)

Item 201-02a is superseded by N1-589-12-002 Item 2A(1)

Item 201-03 is superseded by N1-473-12-001 Item 1G(1) and N1-589-12-001 Item 1G(1)

Item 201-04 is superseded by N1-473-12-001 Item 1A and N1-589-12-001 Item 1A

Items 201-05a and b are superseded by N1-473-12-001 Item 1G(1) and N1-589-12-001 Item 1G(1)

Items 201-06a and b are superseded by N1-589-12-002 Item 2A(1)

Items 201-07a and b are superseded by N1-473-12-001 Item 1G(2) and N1-589-12-001 Item 1G(2)

Item 201-07c is superseded by N1-473-12-001 Item 1G(1)

Item 202-02 is superseded by N1-473-12-002 Item 2A(1) and N1-589-12-002 Item 2A(1)

Items 202-03a and b are superseded by N1-473-12-002 Item 2A(1) and N1-589-12-002 Item 2A(1)

Items 202-03c, d and e are superseded by N1-473-12-002 Item 2A(2) and N1-589-12-002 Item 2A(2)

Items 202-04 and 202-05 are superseded by N1-473-12-001 Item 1G(1)

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Item 202-08 is superseded by N1-473-12-001 Item F

Item 202-09a is superseded by N1-473-12-002 Item 2A(1) and N1-589-12-002 Item 2A(1)

Item 202-09b is superseded by N1-473-12-002 Item 2A(2), N1-589-12-002 Item 2A(1), and N1-589-12-002 Item 2A(2)

Item 202-10 is superseded by N1-473-12-001 Item 1G(1)

Item 202-11 is superseded by N1-473-12-001 Item 1F

Items 301-01 and 301-02 are superseded by N1-473-12-001 Item 1A and N1-589-12-001 Item 1A

Item 301-05 is superseded by N1-473-12-001 Item 1A

Items 301-06a and b are superseded by N1-589-12-001 Item 1A

Items 302-01a and b are superseded by N1-473-12-001 Item 1C

Items 302-02, 302-03, and 302-04 are superseded by N1-473-12-001 Item 1C

Items 303-01, 303-02, and 303-03 are superseded by N1-473-12-001 Item 1C

Item 303-04a is superseded by N1-473-12-001 Item 1C

Item 303-04b is superseded by N1-473-12-001 Item 1C and N1-589-12-001 Item 1C

Items 401-01 and 401-02 are superseded by N1-473-12-001 Item 1E

Items 401-03a, b, c, d, and e are superseded by N1-473-12-001 Item 1Q

Items 401-04a and b are superseded by N1-473-12-001 Item 1Q

Items 401-06a and b are superseded by N1-473-12-001 Item 1E

Items 402-01 and 402-02 are superseded by N1-473-12-001 Item 1E

Item 402-04 is superseded by N1-589-12-001 Item 1E

Items 403-01 and 403-02 are superseded by N1-473-12-001 Item 1E

Items 404-01, 404-02, 404-03, 404-04, 404-05, 404-06, 404-07, and 404-08 are superseded by N1-473-12-001 Item 1E

Items 404-09a, b, and c are superseded by N1-473-12-001 Item 1E

Item 404-10 is superseded by N1-473-12-001 Item 1E

Items 404-11a and b are superseded by N1-473-12-001 Item 1E

Item 404-12 is superseded by N1-473-12-001 Item 1H

Items 404-13a and b are superseded by N1-473-12-001 Item 1E

Item 404-14 is superseded by N1-473-12-001 Item 1E

Items 404-15a and b are superseded by N1-473-12-001 Item 1E

Item 405-02a is superseded by N1-473-12-001 Item 1E

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Item 405-02b is superseded by N1-473-12-001 Item 1E and N1-589-12-001 Item 1E

Item 405-03 is superseded by N1-473-12-001 Item 1E

Items 406-01a and b are superseded by N1-589-12-001 Item 1E

Item 406-03 is superseded by N1-473-12-001 Item 1E

Items 407-01, 407-02, 407-03, 407-04, and 407-05 are superseded by N1-473-12-001 Item 1E

Items 501-01 and 501-02 are superseded by N1-473-12-001 Item 1D and N1-589-12-001 Item 1D

Items 502-01 and 502-02 are superseded by N1-473-12-001 Item 1D

Item 502-06a is superseded by N1-473-12-001 Item 1D

Item 502-06b is superseded by N1-473-12-001 Item 1D and N1-589-12-001 Item 1D

Items 502-07 and 502-08 are superseded by N1-473-12-001 Item 1D

Items 503-01a(1) and 503-01a(2) are superseded by N1-589-12-001 Item 1C

Item 503-01b is superseded by N1-473-12-001 Item 1D

Item 503-02e is superseded by N1-473-12-001 Item 1D(1)

Item 504-01 is superseded by N1-589-12-001 Item 1C

Items 504-02, 504-03, 504-04, and 504-05 are superseded by N1-473-12-001 Item 1D

Item 504-10 is superseded by N1-589-12-001 Item 1C

Items 504-11, 504-12, 504-13, and 504-14 are superseded by N1-473-12-001 Item 1D

Item 504-15 is superseded by N1-473-12-001 Item 1B

Item 601-01a(1) is superseded by N1-589-12-001 Item 1B(1)(b)

Item 601-01a(2) is superseded by N1-589-12-001 Item 1B(1)(a)

Item 601-01b is superseded by N1-473-12-001 Item 1B

Item 601-01c is superseded by N1-473-12-001 Item 1B and N1-589-12-001 Item 1B

Items 601-02, 601-03, and 601-04 are superseded by N1-473-12-001 Item 1B

Item 602-01 is superseded by N1-473-12-001 Item 1B

Item 602-02a is superseded by N1-589-12-001 Item 1B1(a)

Item 602-02b is superseded by N1-473-12-001 Item 1B

Item 602-04 is superseded by N1-473-12-001 Item 1B

Items 602-05a, b, and c are superseded by N1-473-12-001 Item 1B

Items 602-07 and 602-08 are superseded by N1-473-12-001 Item 1B

Items 603-01, 603-02, and 603-03 are superseded by N1-473-12-001 Item 1B

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Items 604-01a(1) and 604-01a(2) are superseded by N1-473-12-001 Item 1M

Item 605-01 is superseded by N1-473-12-001 Item 1B

Items 605-02a, b, and c are superseded by N1-473-12-001 Item 1B

Items 605-03a, b, and c are superseded by N1-473-12-001 Item 1N

Items 605-03d(1) and 605-03d(2) are superseded by N1-473-12-001 Item 1N

Item 605-03e is superseded by N1-473-12-001 Item 1N

Items 605-03f(1) and 6605-03f(2) are superseded by N1-473-12-001 Item 1N

Item 605-04 is superseded by N1-473-12-001 Item 1M

Items 605-06a and b are superseded by N1-473-12-001 Item 1N

Item 605-07 is superseded by N1-473-12-001 Item 1B and N1-473-12-001 Item 1M

Item 605-08 is superseded by N1-473-12-001 Item 1B

Item 701-01 is superseded by N1-473-12-001 Item 1G(1) and N1-589-12-001 Item 1G(1)

Items 701-02a and b are superseded by N1-473-12-001 Item 1G(1) and N1-589-12-001 Item 1G(1)

Item 702-02 is superseded by N1-473-12-001 Item 1G(2) and N1-589-12-001 Item 1G(2)

Item 702-03a is superseded by N1-473-12-001 Item 1G(2) and N1-473-12-002 Item 2D(1)

Item 702-03b is superseded by N1-473-12-001 Item 1G(2), N1-473-12-002 Item 2D(1), and N1-589-12-002 Item 2D(1)

Item 703-01 is superseded by N1-589-12-001 Item 1G(1)

Item 703-02a is superseded by N1-473-12-001 Item 1G(2) and N1-589-12-001 Item 1G(2)

Item 703-02b is superseded by N1-473-12-001 Item 1G(2), N1-589-12-001 Item 1G(1), and N1-589-12-001 Item 1G(2)

Item 703-02d is superseded by N1-473-12-001 Item 1G(2)

Item 703-03a is superseded by N1-473-12-001 Item 1G(2) and N1-589-12-001 Item 1G(2)

Item 703-03b is superseded by N1-589-12-001 Item 1F and N1-589-12-002 Item 2D(1)

Item 704-01 is superseded by N1-473-12-001 Item 1G(1)

Item 705-02 is superseded by N1-473-12-001 Item 1F

Item 705-16a(1) is superseded by N1-473-12-001 Item 1F

Items 705-16a(2)a and b are superseded by N1-473-12-001 Item 1F

Items 705-16a(3)a and b are superseded by N1-473-12-001 Item 1F

Item 705-16b is superseded by N1-473-12-001 Item 1F

Items 705-17a and b are superseded by N1-473-12-001 Item 1F

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Items 705-18 and 705-19 are superseded by N1-473-12-001 Item 1F

Item 705-20a(1) is superseded by N1-473-12-001 Item 1F

Items 705-20a(2)a and b are superseded by N1-473-12-001 Item 1F

Items 705-20a(3)a and b are superseded by N1-473-12-001 Item 1F

Item 705-20b is superseded by N1-473-12-001 Item 1F

Items 705-21a, b, and c are superseded by N1-473-12-001 Item 1F

Item 705-22 is superseded by N1-473-12-001 Item 1F

Items 705-23a and b are superseded by N1-473-12-001 Item 1F

Items 705-24 and 705-25 are superseded by N1-473-12-001 Item 1F

Items 706-01 and 706-02 are superseded by N1-473-12-001 Item 1F and N1-589-12-001 Item 1F

Items 707-01 and 707-02 are superseded by N1-473-12-001 Item 1L and N1-589-12-001 Item 1L

Item 707-03 is superseded by N1-473-05-002, N1-473-12-001 Item 1L, and N1-589-12-001 Item 1L

Item 707-04 is superseded by N1-473-12-001 Item 1J, N1-473-12-001 Item 1L(2), N1-589-12-001 Item 1J, and N1-589-12-001 Item 1L(2)

Item 707-05 is superseded by N1-473-12-001 Item 1L and N1-589-12-001 Item 1L

Items 800-01a and b are superseded by N1-473-12-001 Item 1S and N1-589-12-001 Item 1S

Item 800-02 is superseded by N1-473-12-001 Item 1Q

Items 800-04a and b are superseded by N1-473-12-001 Item 1Q and N1-589-12-001 Item 1Q

Item 800-05 is superseded by N1-473-12-001 Item 1Q and N1-589-12-001 Item 1Q

Item 800-06b is superseded by N1-473-12-001 Item 1Q and N1-589-12-001 Item 1Q

Items 800-08 and 800-09 are superseded by N1-473-12-001 Item 1Q and N1-589-12-001 Item 1Q

Item 800-11 is superseded by N1-473-12-001 Item 1Q and N1-589-12-001 Item 1Q

Item 901-01 is superseded by N1-589-12-003 Item 3D(1)

Item 901-02 is superseded by N1-589-12-003 Item 3D(2)

Item 902-01b is superseded by N1-589-12-003 Item 3B

Item 902-02 is superseded by N1-589-12-003 Item 3A(1)

Items 902-03b(1) and 902-03b(2) are superseded by N1-589-12-003 Item 3A(1)

Item 902-04a is superseded by N1-589-12-003 Item 3A(1)

Item 902-05 is superseded by N1-589-12-003 Item 3A(1) and N1-589-12-003 Item 3A(2)

Items 902-06a, b, and c are superseded by N1-473-12-003 Item 3B and N1-589-12-003 Item 3D(3)

Items 902-06d(1) and 902-06d(2) are superseded by N1-473-12-003 Item 3B and N1-589-12-003 Item

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3D(3)

Item 902-07a is superseded by N1-589-12-003 Item 3A(2)

Item 902-07b(1) is superseded by N1-589-12-003 Item 3A(1)

Item 902-07b(2) is superseded by N1-589-12-003 Item 3A(2)

Items 902-08 and 902-09 are superseded by N1-589-12-003 Item 3A(1)

N1-589-12-003 says Item 902-10 is cancelled

Items 903-01a and b are superseded by N1-473-12-005 Item 5A(2) and N1-589-12-005 Item 5A(3)

N1-589-12-003 says Item 903-02 is cancelled

Item 903-04 is superseded by N1-473-12-005 Item 5A(2) and N1-589-12-005 Item 5A(3)

Item 903-05a is superseded by N1-473-12-005 Item 5A(2) and N1-589-12-005 Item 5A(3)

Item 903-06a is superseded by N1-473-06-002 Item 903-06a and N1-473-12-005 Item 5A(2)

Item 903-06b is superseded by N1-473-06-002 Item 903-06b

Item 903-07a is superseded by N1-473-12-005 Item 5A(2) and N1-589-12-005 Item 5A(3)

Item 903-08 is superseded by N1-473-12-005 Item 5A(2) and N1-589-12-005 Item 5A(3)

Item 903-09 is superseded by N1-589-12-003 Item 3A(1)

Item 904-01 is superseded by N1-589-12-003 Item 3A(1) and N1-589-12-003 Item 3A(2)

Item 904-02a is superseded by N1-589-12-003 Item 3A(1) and N1-589-12-003 Item 3A(2)

Item 904-03 is superseded by N1-473-12-005 Item 5A(2) and N1-589-12-005 Item 5A(3)

Item 1001-01 is superseded by N1-589-12-004 Item 4D(5)

Item 1001-02 is superseded by N1-589-12-004 Item 4D(1)

Item 1001-03a is superseded by N1-589-12-004 Item 4E(3), N1-589-12-004 Item 4F(1), N1-589-12-005 Item 5B(1), N1-589-12-005 Item 5B(2), N1-589-12-005 Item 5B(4), and N1-589-12-005 Item 5B(3)

Item 1001-03b is superseded by N1-589-12-004 Item 4E(3) and N1-589-12-004 Item 4F(1)

Items 1001-04a and b are superseded by N1-589-12-004 Item 4D(4)

Item 1002-01 is superseded by N1-473-12-003 Item 3B and N1-589-12-003 Item 3D(3)

Items 1002-02a and b are superseded by N1-589-12-004 Item 4C

N1-589-12-003 says Items 1002-03 and 1002-04 are cancelled

Item 1002-05 is superseded by N1-589-12-004 Item 4C

Item 1003-01 is superseded by N1-589-12-003 Item 3E(2)

Items 1003-02a and b are superseded by N1-589-12-003 Item 3E(1)

Item 1101-01 is superseded by N1-589-12-004 Item 4F

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Item 1101-02a(1) is superseded by N1-589-12-004 Item 4G(2) and N1-589-12-004 Item 4G(5)

Item 1101-02a(2) is superseded by N1-473-12-005 Item 5A(3), N1-589-12-005 Item 5A(1), and N1-589-12-005 Item 5A(4)

Item 1101-02a(3) is superseded by N1-473-12-004 Item 4C and N1-473-12-005 Item 5A(2)

Item 1101-02a(4)(a) is superseded by N1-473-12-004 Item 4A

Item 1101-02a(4)(b) is superseded by N1-589-12-004 Item 4G(1)

Item 1101-02b(1) is superseded by N1-473-06-003, N1-473-12-005 Item 5A(1), N1-473-12-005 Item 5A(2), N1-473-12-005 Item 5A(4), and N1-589-12-005 Item 5A(1)

Item 1101-02b(2) is superseded by N1-473-06-003

Item 1101-02c is superseded by N1-473-12-004 Item 4B(1) and N1-589-12-004 Item 4H

Item 1101-02d is superseded by N1-589-12-004 Item 4G(1)

Item 1101-03 is superseded by N1-589-12-004 Item 4F

Item 1101-04 is superseded by N1-473-12-004 Item 4A, N1-589-12-003 Item 3H(1), and N1-589-12-004 Item 4G(1)

Items 1101-05a and b are superseded by N1-473-12-003 Item 3(A)3 and N1-589-12-003 Item 3I(2)

Item 1101-06a is superseded by N1-589-12-004 Item 4E(1)(a)

Item 1102-01a(1) is superseded by N1-473-12-003 Item 3A(1) and N1-589-12-003 Item 3H(2)

Items 1102-01a(2) and 1102-01a(3) are superseded by N1-589-12-003 Item 3H(2)

Item 1102-01b is superseded by N1-473-12-003 Item 3A(1) and N1-589-12-003 Item 3H(2)

Items 1103-01 and 1103-02 are superseded by N1-589-12-004 Item 4A(1)

Item 1103-03 is superseded by N1-589-12-004 Item 4A(2)

Items 1103-04 and 1103-05 are superseded by N1-589-12-004 Item 4A(1)

Item 1105-01 is superseded by N1-473-12-005 Item 5F(1)b, N1-589-12-004 Item 4E(2), and N1-589-12-005 Item 5D(1)

Items 1200-01 and 1200-02 are superseded by N1-473-12-005 Item 5H(1)(b)

Items 1200-05 and 1200-06 is superseded by N1-589-12-003 Item 3H(2)

Item 1200-07 is superseded by N1-473-12-003 Item 3A(1), N1-473-12-005 Item 5L, and N1-589-12-005 Item 5C(2)

Items 1301-01a and b are superseded by N1-473-12-003 Item 3A(3) a N1-589-12-003 Item 3I(2)

Item 1301-02a is superseded by N1-473-12-003 Item 3A(3), N1-589-12-003 Item 3I(2), N1-589-12-005 Item 5B(1), N1-589-12-005 Item 5B, and N1-589-12-005 Item 5B(2)

Item 1301-02b is superseded by N1-473-12-003 Item 3A(3) and N1-589-12-003 Item 3I(2)

N1-589-12-003 says Items 1301-03a and b are cancelled

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Item 1301-04 is superseded by N1-473-12-003 Item 3A(3) and N1-589-12-003 Item 3I(2)

Items 1301-05a and b are superseded by N1-473-12-003 Item 3A(3) and N1-589-12-003 Item 3I(2)

N1-589-12-003 states Item 1301-06 is cancelled

Items 1301-07a and b are superseded by N1-473-12-003 Item 3A(3) and N1-589-12-003 Item 3I(2)

N1-589-12-003 states Items 1301-08 and 1301-09 are cancelled

N1-589-12-003 states Item 1301-11 is cancelled

Item 1301-12 is superseded by N1-473-12-003 Item 3A(3) and N1-589-12-003 Item 3I(2)

Item 1301-14 is superseded by N1-473-12-003 Item 3A(3) and N1-589-12-003 Item 3I(2)

Item 1301-16 is superseded by N1-473-12-003 Item 3A(3) and N1-589-12-003 Item 3I(2)

Item 1301-19 is superseded by N1-473-12-005 Item 5A(2) and N1-589-12-005 Item 5A(3)

Items 1301-20a and b are superseded by N1-473-12-003 Item 3A(3) and N1-589-12-003 Item 3I(2)

N1-589-12-003 states Item 1302-01 is cancelled

Item 1302-02 is superseded by N1-473-12-003 Item 3A(3), N1-473-12-005 Item 5E, and N1-589-12-003 Item 3I(2)

Item 1302-03 is superseded by N1-473-12-005 Item 5E and N1-473-12-005 Item 5G

Items 1302-04, 1302-05, and 1302-06 are superseded by N1-473-12-005 Item 5E

Item 1401-01a is superseded by N1-473-12-005 Item 5F(2)a

Item 1401-02 is superseded by N1-473-12-005 Item 5F(2)b

Item 1401-03 is superseded by N1-589-12-005 Item 5A(1)

Item 1402-03 is superseded by N1-473-12-005 Item 5A(1), N1-473-12-005 Item 5A(2), N1-473-12-005 Item 5B(3), N1-473-12-005 Item 5H(2), and N1-589-12-005 Item 5A(3)

Item 1402-05 is superseded by N1-473-12-005 Item 5B(1)(a)

Item 1501-01a is superseded by N1-473-12-005 Item 5D(1), N1-473-12-005 Item 5D(4), and N1-473-12-005 Item 5D(5)

Item 1501-02a is superseded by N1-473-12-005 Item 5D(4), N1-473-12-005 Item 5D(5), N1-473-12-005 Item 5H(1)(b), N1-473-12-005 Item 5H(4), and N1-473-12-005 Item 5H(5)

Item 1501-03 is superseded by N1-473-12-005 Item 5D(4) and N1-473-12-005 Item 5D(5)

Item 1501-04 is superseded by N1-473-12-005 Item 5D(1), N1-473-12-005 Item 5D(4), and N1-473-12-005 Item 5D(5)

Item 1502-01a is superseded by N1-473-12-005 Item 5D(2) and N1-473-12-005 Item 5D(5)

Items 1502-02 and 1502-03 are superseded by N1-473-12-005 Item 5D(2) and N1-473-12-005 Item 5D(5)

Item 1502-04 is superseded by N1-473-12-005 Item 5D(3) and N1-473-12-005 Item 5D(5)

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Item 1502-05 is superseded by N1-473-12-005 Item 5D(3), N1-473-12-005 Item 5D(5), N1-473-12-005 Item 5H(1)(b), N1-473-12-005 Item 5H(4), and N1-473-12-005 Item 5H(5)

Item 1701-01 is superseded by N1-473-12-003 Item 3A(3) and N1-589-12-003 Item 3I(2)

Items 1702-01a, b, and c are superseded by N1-473-12-003 Item 3A(3)

Item 1702-02a is superseded by N1-473-91-002 Item 1702-02a and N1-589-12-003 Item 3C

Item 1702-03 is superseded by N1-473-12-003 Item 3A(2)

Items 1703-01a and b are superseded by N1-473-12-003 Item 3A(1)

Item 1703-02a(1) is superseded by N1-473-12-003 Item 3A(1), N1-473-12-005 Item 5A(3), and N1-589-12-005 Item 5A(4)

Item 1703-02a(2) is superseded by N1-473-12-003 Item 3A(1)

Items 1703-04a and b are superseded by N1-473-12-003 Item 3A(1)

Items 1704-01 and 1704-02 are superseded by N1-473-12-003 Item 3A(3) and N1-589-12-003 Item 3I(2)

Item 1801-05 is superseded by N1-473-05-001 Item 3

Items 1801-06(1), 1801-06(2), and 1801-06(3) are superseded by N1-473-05-001

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

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

1. FROM (AGENCY OR ESTABLISHMENT)
Minerals Management Service, Dept. of the Interior

2. MAJOR SUBDIVISION
Department of the Interior

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER
**Dorothy Christopher
Records Manager**

5. TEL. EXT.
435-6213

LEAVE BLANK	
JOB NO.	NC1-57-84-7
DATE RECEIVED	4-13-84
NOTIFICATION TO AGENCY	
In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10.	
10/20/86 Date	<i>[Signature]</i> Archivist of the United States

6. CERTIFICATE OF AGENCY REPRESENTATIVE:

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

☐ **A Request for immediate disposal.**

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

(NC1-57-78-1)

C. DATE 3/5/84	D. SIGNATURE OF AGENCY REPRESENTATIVE <i>[Signature: Dorothy Christopher]</i>	E. TITLE Records Manager
7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.
	<p>The Minerals Management Service (MMS) is headquartered in the Washington, D.C. metropolitan area with operational centers and support offices located throughout the United States. The attached MMS Records Management Handbook documents the organization, functions, policies, decisions, procedures, and essential transactions of the MMS. It provides techniques to be used regarding the control and disposition of records created and/or maintained by the MMS.</p> <p>Royalty Management is responsible for the collection all royalty payments, rentals, bonus payments, fines, penalties and assessments, and other revenues due the Federal Government and Indian lessors as monies or royalties-in-kind from the extraction of mineral resources from Federal and Indian lands onshore, and from the leasing and extraction of mineral resources on the Outer Continental Shelf (OCS).</p> <p>Offshore Minerals Management is responsible for resource evaluation and classification, environmental review, leasing activities (including public liaison and planning functions), lease management, and inspection and enforcement programs for OCS lands.</p>	
		10. ACTION TAKEN 541 430 items

115-107 *Copy sent to Agency, NCF, NNF, NNA + NNS, 10/22/86, emh.*

Administrative functions include financial management, human resource management and training, safety and health program management, procurement, property and space management, office services, personnel and physical security, distribution of publications, and information resource management functions such as automated data processing, management analysis records and paperwork management and printing.

Programmatic functions include assuring that the MMSts management resources are utilized effectively, planning for and utilizing budgetary resources in support of varied operating and support programs; delineating general, strategic and long-range goals and objectives; developing and evaluating policy initiatives; determining the effectiveness of management and internal controls in meeting program goals and objectives; and adjudicating appeals arising from the decisions of operating officials.

CHAPTER 1. RECORDS COMMON TO MOST OFFICES

This chapter is a grouping of two types of file material, record and nonrecord.

SECTION 1. NONRECORD MATERIAL

This section defines the types of material which are considered nonrecord and provides standards for disposing of such material in all activities. Nonrecord materials have no documentary or evidential value usually because they are: (1) duplicate copies of an original maintained by a separate office of primary interest which serves as the official record; (2) printed or processed materials of which only the master copy is considered official; or (3) papers of a transitory nature which cease to have any documentary or evidential value after their contents are incorporated or adequately summarized in other documents (e.g., preliminary drafts, shorthand notes, worksheets, etc.).

This type of material accumulates in offices as a convenience to personnel and should be kept to a minimum. Nonrecord material is often found interfiled with official papers; this is a poor files maintenance practice. Retention of nonrecord material is not required. Ideally, much of this material should be destroyed without filing. This reduces the volume of material in the files and makes files more serviceable. If, however, nonrecord material is filed, it should be kept separately from official records.

The following standards cover nonrecord material normally created or accumulated as a result of responsibilities and activities common to all offices.

- | | | |
|--------|--|--|
| 101-01 | <u>Files Maintenance and Disposition Plans.</u> Documents such as Form MMS-1933 which reflect file categories, disposal instructions, and other information about the files accumulated at an individual file station. | Destroy upon receipt of a revised plan. GRS 23.7b |
| 101-02 | <u>Reading or Chronological Files.</u> Copies of correspondence prepared and maintained by the originating office, used solely as a reading or reference file for the convenience of personnel. These files may include record of telephone conversations. Green letterex tissue will be used for the Director's chronological file. White or blue letterex tissue is to be used by other offices. | Cut off at close of fiscal year. Destroy 1 year after cutoff or after reference value has been exhausted, whichever is sooner. |
| 101-03 | <u>Suspense Files.</u> Papers arranged in chronological order as a reminder that an action is required on a given date; a reply to action is expected and if not received, should be traced on a given date; or a transitory paper being held for reference which may be destroyed on a | |

given date. Examples of papers in suspense files are:

- a. A Note or Other Reminder to Submit a Report or to Take Some Other Action. Destroy after action is taken. GRS 23.3a
 - b. The File Copy, or an Extra Copy of an Outgoing Communication, Filed by the Date on which a Reply is Expected. Withdraw when reply is received. If suspense copy is an extra copy, destroy it; if it is the file copy, incorporate it into the official files. GRS 23.3b
 - c. Papers which May be Destroyed in 30 Days or Less as Being Without Further Value. Destroy upon the date which it is suspended. GRS 23.3a
- 101-04 Policy and Precedent Reference Files. Copies of documents establishing policy or precedents pertinent to future and continuing actions. Normally, policy and precedent files are maintained at operating levels and consist of extra copies of operating procedures, statements of policy or procedure, examples of typical cases, and other documents duplicated in official files. Original or official record copies will NOT be placed in this file. This file consists of nonrecord copies maintained only for convenience of reference. Review annually and destroy material of no further reference value. GRS 23.6
- 101-05 Transitory Files. Papers of short-term interest which have no documentary or evidential value and normally need not be kept more than 90 days. Examples of transitory correspondence are shown below: Cut off monthly. Destroy 31 months after cutoff. GRS 23.4
- a. Requests for Information or Publications. Routine requests for information or publications and copies of replies which require no administrative action, no policy decision, and no special compilation or research for reply.
 - b. Letters of Transmittal. Letters of transmittal that do not add any information to that contained in the transmitted material.
 - c. Quasi-Official Notices. Memorandums and other records that do not serve as the basis of official actions, such as notices of holidays or charity and welfare fund appeals, bond campaigns, and similar papers.
- 101-06 Routine Control Files. Records used to facilitate or control work in progress, such as job control records, status cards, routing slips, work processing sheets, and records which control work flow and record action taken, or serve as receipts for records chargeout. Destroy when work is completed or when no longer needed for operating purposes. GRS 23.5
- 101-07 Directives/Publications--Reference Copies. Extra copies of internal regulations, directives, and publications (including bulletins, circulars, pamphlets, and public relations material). Keep copies at minimum necessary for official reference use. Destroy when superseded, obsolete, or no longer needed for reference. GRS 23.6

- 101-08 Directives/Publications of Other Government Agencies. Copies of external regulations and publications, including congressional documents, OMB Circulars, Code of Federal Regulations, Federal Register, GSA publications, departmental manual releases, etc. Destroy when superseded, obsolete, or in the case of bound volume, when not needed for library purposes. GRS 23.6
- 101-09 Non-Government Publications. Publications of commercial firms, private institutions, and vendors, including catalogs, brochures, price lists, and similar materials. Destroy when superseded or obsolete. GRS 23.6
- 101-10 Library Materials. Extra copies of books, pamphlets, journals, and similar materials. Destroy when superseded, obsolete, or no longer needed for reference. Refer items of potential value to librarian for disposition. GRS 23.6
- 101-11 Technical Reference Files. Copies of reports, studies, special compilation data, drawings, periodicals, clippings, etc., which are needed for reference and information purposes but are not made a part of official files. Prepared internally and externally. Keep copies at minimum necessary for official reference use. Destroy when superseded, obsolete, or no longer needed for reference. GRS 23.6

SECTION 2. SUBJECT (GENERAL) CORRESPONDENCE FILES

The records described below consist of originals or copies of correspondence, reports, forms, and other papers of a general nature on a wide variety of subjects. These materials are arranged according to the Subject File Classification System contained in this handbook.

- 102-01 "Mission" Subject Correspondence Files. Mission subject correspondence files document the functions and responsibilities for which an official is primarily responsible.
- a. Program Offices. Mission files created and maintained in offices whose primary function directly relates to FEDERAL LEASING MANAGEMENT PROGRAMS, MINERAL RESOURCE EVALUATION AND CLASSIFICATIONS, ROYALTY MANAGEMENT ACTIVITIES, OR SUPERVISION OF OPERATIONS ON MINERAL LEASES. Cut off at close of fiscal year. Transfer to FRC 3 years after cutoff. Destroy 30 years after cutoff.
- b. Administrative Offices. Mission files created and maintained in offices whose primary function involves ADMINISTRATIVE SUPPORT ACTIVITIES such as personnel, procurement, property, transportation, travel, communications, and similar internal administrative management functions. Cut off at close of fiscal year. Transfer to FRC 2 years after cutoff. Destroy 6 years after cutoff.
- c. Director's General File. A central file of all outgoing correspondence signed by the Director, MMS. Arrange chronologically by subject. Yellow surname copy. Permanent. Cut off at close of fiscal year. Hold 2 years and transfer to the FRC. Offer to National Archives in 5-year blocks when 20 years old. Volume 5 cubic feet. Annual accumulation 2.5 cubic feet.

d. Director's Chron File. A central file of all outgoing correspondence signed by the Director. Arrange chronologically. Green tissue copy.1 Cut off at close of fiscal year. Destroy 2 years after cutoff.

102-02 "Nonmission" Subject Correspondence Files. Cut off at close of fiscal year. Destroy 2 years after cutoff. GRS 23.1
Nonmission subject correspondence files include correspondence, reports, forms, and other papers which are accumulated in an office but do not directly relate to the function or mission for which the office exists. They generally include (1) copies of papers relating to subjects for which another office is responsible for documentation and (2) papers relating to routine internal management or general administration of the office.

102-03 Schedules of Daily Activities. Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities of Federal employees while serving in an official capacity. Materials determined to be personal records are not covered by this item.

a. Records containing substantive information relating to the official activities of high level officials, the substance of which has not been incorporated into memoranda, reports, correspondence, or other records included in the official files. MMS officials are: Director, Staff Assistants, Chief of Offices, Associate Directors, Assistant Directors, Deputy Associates, and Regional Directors. Cut off at close of fiscal year. Hold 5 years and transfer to FRC. Destroy 20 years after cutoff. GRS 23.2a

b. Records of other than high level Federal employees as defined in "a" above containing substantive information relating to official activities, the substance of which has not been incorporated into official files. Destroy when 2 years old. GRS 23.2b

CHAPTER 2. PLANNING AND MANAGEMENT RECORDS

The records described in this chapter relate to the general management, planning, organization, and direction of MMS activities. They are created in the course of developing management improvement functions and records management activities. PROTECT PERSONAL DATA. SEE CHAPTER 7, SPECIAL INSTRUCTIONS.

SECTION 1. PROGRAM PLANNING
AND MANAGEMENT

201-01 Management Objectives Files. Documents that accumulate from the process of establishing and reporting on short-, mid-, and long-range management objectives. Includes, but is not limited to secretarial, directorial, and divisional, and locally monitored objectives. Records reflect the establishment of timeframes to accomplish objectives (specific tasks), reports on progress, major problems, and accomplishments in meeting the management objectives established by the plans, fact sheets, and related documents and correspondence.

a. Office Responsible for Consolidation and Submission of the Plan.

Cut off at close of fiscal year in which plan is superseded.
Destroy 10 years after cutoff.

b. Contributing, Commenting, or Coordinating Offices.

Cut off at close of fiscal year in which plan is superseded.
Destroy 2 years after cutoff or when no longer needed for reference, whichever is earlier. GRS 16.5

201-02 Management Survey Case Files. Consists of staff studies or management improvement projects regarding analyses of administrative policies and procedures, staff year surveys, organization and methods studies, records management studies, work simplification studies, work simplification and standardization studies, workload and work distribution analyses, and similar studies. Includes authorizing the project and describing its scope, purpose, and objectives; intermediate progress reports and correspondence; final survey report and documentation of actions taken as a direct result of the survey.

a. Office Conducting the Survey.

Cut off at close of fiscal year in which action is completed on survey. Destroy 10 years after cutoff. GRS 16.5

b. Offices Surveyed.

Destroy on completion of next comparable survey or when no longer needed for reference. GRS 16.5

201-03 Management Survey Background Files. Records accumulated in the collection of data for or

Destroy 6 months after final action on project report or 3

during a management survey or staff study. Includes notes, statistical data, feeder reports, working papers, copies of directives and operating procedures, charts, personnel data and similar material collected for factfinding or backup purposes.

years after completion of report if no final action is taken. GRS 16.10

201-04 Management Statistical Hourly Report Files.

These files consist of computer printouts containing statistical data, by project, on employee hours and percent of hours spent in the various budgetary categories. This management information is used for comparison and decisionmaking in budget and work force planning. Arrange chronologically by pay period.

Cut off at close of fiscal year. Destroy 2 years after cutoff or when no longer needed for reference, whichever is earlier. NCI-57-78-1

201-05 Monthly/Annual Management Information Reports Files.

Records created in the preparation, coordination, and consolidation of monthly and annual reports. Reports include narrative information on program activities, personnel, and management activities as well as statistical data, such as number of active leases, permits, leasing activities, and inspection statistics.

a. Monthly Reports.

Cut off at close of fiscal year in which report is issued. Destroy 3 years after cutoff. NCI-57-78-1

b. Annual Reports.

Cut off at close of fiscal year. Destroy 10 years after cutoff. NCI-57-78-1

201-061 Committee and Conference Records. Files containing directives, correspondence, and reports relating to the establishment, organization, membership, policy, and termination of committees, conferences, and meetings reflecting the official position of the MMS on issues discussed.

a. Agenda, Minutes, Final Reports, and Related Records.

Permanent. Cut off at end of fiscal year. Transfer to FRC 5 years after cutoff. Offer to National Archives in 5-year blocks when 20 years old. Volume 1 cubic foot. Annual accumulation 0.5 cubic foot. GRS 16.12

b. Other Copies.

Destroy when 3 years old or no longer needed for reference whichever is sooner. GSR 16.12b11)(b)

201-07 Organizational Files. Organizational charts and reorganization studies. Graphic illustrations which provide a detailed description of the arrangement and administrative structure of the functional units of MMS. Reorganization studies are conducted to design an efficient

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organizational framework most suited to carrying out the MMS programs and include materials such as final recommendations, proposals, and staff evaluations.

a. Official Copy.

Permanent. Cut off at end of fiscal year. Transfer to FRC 5 years after cutoff. Offer to National Archives in 5-year blocks when 20 years old (e.g., offer 1970-74 block in 1995). Volume 6 cubic feet. Annual accumulation 0.5 cubic foot. GRS 16.13a

b. Other Copies.

Cutoff at close of fiscal year. Hold 5 years. Transfer to office responsible for maintenance of official record to designate as Permanent records of continuing value.

SECTION 2. RECORDS MANAGEMENT

202-01 Local Internal Directives Records Set. Consists of the official file copy of each formal Field Office Supplement (FOS) policy and procedural issuance published by a field office. Includes documents relating to the preparation, review, clearance, publication, and distribution of each internal directive. Arrange by type of directive and release number. See Item 101-07 for sets of directives maintained for reference.

a. Field Offices.

Cut off at close of fiscal year. Destroy 10 years after cutoff.

b. Copy Maintained by Records Management Section Headquarters.

Destroy upon receipt of revised directive.

202-02 External Directives Records Set. Consists of the official file copy of each external issuance published by MMS to provide policy and procedural instructions of direction for lessees, permittees, or operators. Includes all formal external issuances, such as OCS Regulations and Orders, Notices to Lessees and Operators, Federal Register Notices, and Safety Notices. In addition to the record set maintained by the issuing office, identical record sets will be maintained by each Region. Arrange by directive type and identification number.

Permanent. Place in inactive file when canceled or superseded. Cut off inactive files in 5-year blocks. If volume is sufficient (at least 1 cubic foot), retire to FRC 3 years after cutoff. Offer to the National Archives in 5-year blocks when 20 years old. Volume 5 cubic feet. Annual accumulation 1 cubic foot. GRS 16.1a

202-03 External Directives Development Case History Files. Documents relating to the utilization, preparation, review, clearance, publication, and distribution of Regulations, Orders, Notices to Lessees, and Safety Alert Notices and revisions and revisions. Includes a copy of each draft material regarding clearance/concurrence in draft directives and other coordinating

actions; comments by outside organizations, lessees, permittees, and operators (verbal comments should be documented); and a copy of the final issuance. Internal comments are segregated from the public comment. All related documents are consolidated at one location when rulemaking actions are complete. Arrange by type of issuance and identification number.

a. Regulations.

Permanent. Place in inactive file when canceled or superseded. Cut off inactive files in 5-year blocks. If volume is sufficient (at least 1 cubic foot), retire to FRC 3 years after cutoff. Offer to the National Archives in 5-year blocks when 20 years old. Volume 10 cubic feet. Annual accumulation 2 cubic feet. GRS 16.1a

b. Orders.

Permanent. Place in inactive file when Order is rescinded, superseded, or obsolete. Cut off inactive files in 5-year blocks. If volume is sufficient, retire to FRC 3 years after cutoff. Offer to the National Archives in 5-year blocks when 20 years old. Volume 5 cubic feet. Annual accumulation 2 cubic feet. GRS 16.1a

c. Notices to Lessees.

Place in inactive file when notice is rescinded, superseded, or obsolete. Cut off inactive files in 5-year blocks. If volume is sufficient, retire to FRC 3 years after cutoff. Destroy 10 years after cutoff. GRS 16.1c

d. Safety Alert Notices.

Destroy when superseded or obsolete. GRS 16.1c

e. Copies of Regulations, Orders, Notices to Lessees, and Safety Alert Notices.

Place in inactive file after clearance package has expired. Destroy 2 years after expiration.

202-04 Forms Development Files. Consists of copies of forms developed/revised and Form MMS-1216, Request for New or Revised Form, supporting data clearances, and the related procedures for use of the proposed form. Maintained by the Records Management Section. Arrange by form number.

Destroy 5 years after form is discontinued, superseded, or canceled. GRS 16.4a

202-05 Reports Control Case Files. Case files maintained for each required report created or

Cut off at close of fiscal year in which report is dis-

proposed, including public use reports. Included are clearance forms, including SF 83; copies of pertinent forms or descriptions of format; copies of authorizing directives; preparation instructions; and documents relating to the evaluation, continuation, revision, and discontinuance of reporting requirements.

continued. Destroy 2 years after cutoff. GRS 16.8

202-06 Reports Control Record Cards. Card files showing pertinent information about each required report such as dates initiated, approved discontinued; frequency; specific recipients; office of primary responsibility. File by title or reports control symbol.

Destroy 1 year after the year in which the project is closed. GRS 16.7

202-07 Records Retirement Lists. Records maintained by Records Officers or File Custodians documenting the transfer for retirement of records to an FRC. Included are SF 135 or similar lists and related records.

Destroy after all records transferred have been destroyed. For records retired destroy when no longer needed for reference. GRS 16.3a

202-08 Files Maintenance and Disposition Plans. Form MMS-1933, Files Maintenance and Disposition Plan, which reflects file categories, disposal instructions, and other information about the files accumulated in individual file stations. This series is maintained by the Records Management Section headquarters. Individual office file copies of Form MMS-1933 are maintained under Item 101-01.

Destroy upon receipt of a revised plan. GRS 16.3a

202-09 Internal Directives Record Set. Consists of the official file copy of each issuance published to provide policies and procedural instructions. The record set includes all MMS manual chapters, Interim Policy Documents (IPD's), and handbooks released with the applicable clearance record and transmittal sheets, all comments received, and the comments sheet. The Records Management Section headquarters maintains the official file. In addition, each Region will also maintain an official record set. See Items 101-07 for sets of directives maintained for reference and 202-01 for Field Office Supplements.

a. Official file (Headquarters Records Management and Regions).

Permanent. Cut off at end of fiscal year. Transfer to FRC 5 years after cutoff. Offer to National Archives in 5-year blocks when 20 years old. Volume 4 cubic feet. Annual accumulation 2 cubic feet. GRS 16.1a

b. Other copies.

Destroy when 3 years old or no needed for reference.

202-10 Bulletins and Numbered Memorandums. Consists of official file copy of each published bulletin or numbered memorandum used to disseminate information to employees.

Destroy when superseded or obsolete. GRS 16.1c1

202-11 Microform Management. Includes feasibility studies, cost/benefit analyses, proposals (approvals and denials), equipment inventories, training, microform service agreements, and implementation plans.

Destroy when 6 years old.
Earlier disposal is authorized if records are superseded, obsolete, or no longer needed for reference.
GRS 16.11

CHAPTER 3. FINANCIAL MANAGEMENT RECORDS

The records described in this chapter reflect the development and application of management control over all fiscal budgeting, dispersing, and internal accounting, excluding royalty management records described in Chapter 18.1 PROTECT PERSONAL DATA. SEE CHAPTER 7, SPECIAL INSTRUCTIONS.

SECTION 1. BUDGET AND ACCOUNTING FILES

- 301-01 Budget Development and Administrative Files. Documents accumulated in the preparation of annual and long-range budget forecasts and estimates and financial programs. Such documents are copies of budget estimates for each cost center, project funding recommendations, analyses, supporting documents, and related records. Arrange chronologically by fiscal year covered by budget program.1
Cut off at close of fiscal year covered by budget program.
Destroy 6 years after cutoff.1
GRS 5.11
- 301-02 Monthly Budget Status Report Files. Consists of financial management system computer printouts not described elsewhere in this chapter. These reports furnish information on budget status by project (account) number, object class, and fund for each cost center. Includes monthly status of projects by source of funding, monthly project data file detail listing and summary, and monthly object class summary. Arrange chronologically by month and thereafter by report number.
Cut off at close of fiscal year.
Destroy 3 years after cutoff.1
GRS 5.5b1
- 301-03 Monthly Status of Available Funds Reports Files. Consists of computer printout listing in detail for each cost center all transactions which have been entered into the financial system for each account number with cumulative totals to date by object class-sector. These reports are used for administrative control over obligation of funds, to determine unobligated balances available for obligation, to analyze and project rate of obligation, and to analyze obligations by object class. Arrange chronologically by month.
a. End of Fiscal Year Reports. Cut off at close of fiscal year.
Destroy 5 years after cutoff.1
GRS 5.5a
b. All Other Reports. Cut off at close of fiscal year.
Destroy 3 years after cutoff.1
GRS 5.5b
- 301-04 Reserved.
- 301-05 Miscellaneous Obligation Documents. Consists of monthly reports such as Form MMS-803, Miscellaneous Obligation Document, used to temporarily record accrued expenditures through the end of the accounting period. Arrange chronologically by month and thereafter by cost center.
Cut off at close of fiscal year.
Destroy 12 years after cutoff.
GRS 5.6

301-06 Fund Accounting Adjustment Files. Documents accumulated in monitoring and coordinating the status of funds used to finance operations. Includes retained copies of journal voucher-type documents and related papers submitted to Financial Management Division to adjust fiscal records (except payroll). Arrange chronologically by period of account.

a. Financial Management Division.

Cut off at close of fiscal year.
Destroy 1 year after cutoff.
GRS 5.4

b. Other Copies.

Cut off at close of fiscal year.
Destroy 6 months after cutoff.
GRS 5.4

SECTION 2. PAYROLL FILES

302-01 Employee Time Reporting Worksheet Files. Coding sheets prepared by employees showing time, attendance, and leave data to be charged against project account numbers for the overall financial management system. Arrange by pay period, cost center, and employee name.

a. Copies Used to Verify and Complete Time and Attendance Reports.

Cut off at end of pay period.
Destroy 6 months after cutoff.
GRS 2.3a(2)

b. Employee copies.

Destroy when no longer needed for reference.

302-02 Time and Attendance Reports. Duplicate time and attendance reports arranged chronologically by pay period. These copies are maintained by time and attendance clerks for local reference.

Destroy 1 year after the end of the pay period. GRS 2.3a(2)

302-03 Pay Differential Approval and Authorization Files. Requests for overtime, holiday, and hazardous duty pay and similar or related papers. Arrange by cost center.

Cut off at close of fiscal year.
Destroy 1 year after cutoff.
NC1-57-78-1

302-04 Payroll Distribution Reports Files. These files consist of computer printouts for each pay period for each cost center arranged by employee account number. Include employee name, leave record, pay information, deductions, year-to-date totals, and similar information. Arrange chronologically by pay period.

Destroy after GAO audit or when 3 years old, whichever is sooner. GRS 2.14

SECTION 3. EXPENDITURES, GENERAL ACCOUNTING, AND APPROPRIATION ALLOTMENT FILES

303-01 Expenditure Files. Files maintained by operation offices responsible for expenditures pertaining to their internal operations and administration.

Destroy when 2 years old.
GRS 7.1

303-02 General Ledgers. General ledgers, showing debit and credit entries, and reflecting expenditures in summary.

Destroy 6 years and 3 months after the close of the fiscal year involved. GRS 7.2

- 303-03 Appropriation Control Files. Control records showing status of obligations and apportionments under each authorized appropriation. Destroy 6 years and 3 months after the close of the fiscal year involved. GRS 7.B
- 303-04 Expenditure Posting and Control Files. Records used as posting and control media, subsidiary to the general and allotment ledgers, and not elsewhere covered in this schedule.
- a. Finance Offices. Cut off at close of year in which final payment is made. Destroy 7 years after cutoff. GRS 6.1a
- b. Other Copies. Destroy when 2 years old.
- c. Tort Claims, Voucher for Payment under Federal Tort Claims Act, SF 1145. Destroy 6 years and 3 months after period covered by account. GRS 6.1a

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CHAPTER 4. GENERAL ADMINISTRATIVE SUPPORT RECORDS

The records described below relate to administrative support services including communications, printing and duplicating, buildings management and security, and travel and transportation services. These records are usually generated in the performance and coordination of administrative service operations and activities. PROTECT PERSONAL DATA. SEE CHAPTER 7, SPECIAL INSTRUCTIONS.

SECTION 1. COMMUNICATIONS FILES

- 401-01 Telephone Directory Files. Correspondence, forms, and other records relating to the compilation of telephone listings and directories. Includes copy of each directory. Arrange chronologically by date of issuance. Destroy 3 months after issuance of superseding listing. GRS 23.4a
- 401-02 Postal Records. Consists of U.S. Postal Service forms and supporting papers such as receipts for registered and certified mail, insured mail, special delivery receipts and forms; reports of loss and similar types of documents. Arrange chronologically. Cut off at close of fiscal year. Destroy 1 year after cutoff. GRS 12.5a
- 401-03 Communication Correspondence, Reports, and Reference Files.
- a. Correspondence and Related Records Pertaining to Internal Administration and Operation. Destroy when 2 years old. GRS 12.2a
 - b. Telecommunications General Files, Including Plans, Reports, and Other Records Pertaining to Equipment Request, Telephone Service, and Like Matters. Destroy when 3 years old. GRS 12.2b
 - c. Telecommunications Statistical Reports Including Cost and Volume Data. Destroy when 1 year old. GRS 12.2c
 - d. Telecommunications Reference Voucher Files.
 - (1) Reference copies of vouchers, bills, invoices, and related records. Destroy when 1 year old. GRS 12.2d(1)
 - (2) Records relating to installation, change, removal, and servicing of equipment. Destroy 1 year after audit or when 3 years old, whichever is soon. GRS 12.2d(2)
 - e. Copies of Agreements with Background Data and Other Records Relating to Agreements for Telecommunications Services. Destroy 2 years after expiration or cancellation of agreement. GRS 12.2e
- 401-04 Telecommunications Operational Files.
- a. Message Registers, Logs, Performance Reports, Daily Load Reports, and Related and Similar Records. Destroy when 6 months old. GRS 12.3a

b. Copies of Incoming and Original Copies of Outgoing Messages, Including SF 14, Telegraphic Message.1

Destroy when 2 months old.
GRS 12.3b

c. Machine Copies (Hard Copies), Discs, and Tapes of Outgoing Messages.

Destroy after transmission.
GRS 12.3c

401-05 Telephone Summaries. Summaries of long distance telephone reports used to indicate authorized use of telephone service as well as to audit expense vouchers.

Destroy after the close of the fiscal year in which audited.
GRS 12.4

401-06 Credential Files.

a. Identification credentials including cards, badges, parking permits, photographs, agency permits to operate motor vehicles, and property, dining room, and visitors passes, and other identification credentials.

Destroy credentials 3 months after return to issuing office.

b. Receipts, indices, listings, and accountable records.

Destroy after all listed credentials are accounted for.

SECTION 2. PRINTING, REPRODUCTION, AND DISTRIBUTION FILES

402-01 Printing and Reproduction Requisition Files. Includes printing procurement requisition forms, specifications, delivery receipt, and related records. Arrange by requisition number.

Cut off at close of fiscal year in which requisition is completed or canceled. Destroy 1 year after cutoff. GRS 13.3a

402-02 Mailing Lists and Related Material. Consists of a copy of each mailing list and correspondence, request forms, and other records relating to changes in mailing lists.

Destroy after appropriate revision of mailing list.
GRS 13.5a

402-03 Office Copying Equipment Production and Cost Files. Consists of production records or reports and cost data (including rental, repair, maintenance, and supply costs). Includes Form MMS-060, Copier Cost/Data Inventory meter cards, and similar or related documents.

Cut off at close of fiscal year. Destroy 2 years after cutoff.
GRS 13.7

402-04 Joint Committee on Printing (JCP) Reports Files. Reports to Congress and related records regarding operation of Class A and B Plants and inventories of printing, binding, and related equipment in Class A and B Plants or in storage.

Destroy when 3 years old.
GRS 13.6a

SECTION 3. BUILDINGS, GROUNDS, AND SPACE MANAGEMENT FILES

403-01 Space Allocation and Utilization Files. Requests for space, records of assistance, reports on requirements or holdings, records used for internal space planning, requests for adjustments, space layouts and floor plans, and related data. Arrange by building location.

Cut off at close of fiscal year in which assignment is terminated, lease is canceled, or plans are superseded or become obsolete. Destroy 2 years after cutoff. GRS 11.2a

403-02 Building Maintenance and Service Files. Records relating to the general administration of buildings, building renovations, and grounds maintenance.

Cut off at close of fiscal year. Destroy 2 years after cutoff.
GRS 11.1

nance and services. Includes records regarding installation and placement of electrical outlets and communications equipment, issuance of room keys, furniture moving, painting, air conditioning and plumbing services, custodial services, etc. Arrange by building location. Subdivide file if volume warrants.

SECTION 4. SECURITY FILES

- | | | |
|--------|---|--|
| 404-01 | <u>Visitor Control Files.</u> Registers or logs used to record names of visitors, such as outside contractors, service personnel, vendors' representatives, and other visitors. | Cut off at close of fiscal year or after final entry in register. Destroy 2 years after cutoff. GRS 18.18b |
| 404-02 | <u>Identification Credentials.</u> Includes building and visitor passes, employee identification cards, parking permits, photographs, applications, listings, and similar records. | Destroy 3 months after return to issuing office. GRS 11.1a |
| 404-03 | <u>Classified Document Inventory Files.</u> Forms, ledgers, or registers used to show identity, internal routing, and final disposition made of classified documents. | Destroy when 2 years old. GRS 18.5 |
| 404-04 | <u>Security and Protective Files.</u> Correspondence files relating to administration and operation of the facilities security and protective services program. | Destroy when 2 years old. GRS 18.9 |
| 404-05 | <u>Survey and Inspection Files.</u> (Government-owned facilities.) Reports of surveys and inspections of Government-owned facilities conducted to ensure adequacy of protective and preventive measures taken against hazards of fire, explosion, and accidents, and to safeguard information and facilities against sabotage and unauthorized entry. | Destroy when 3 years old, or upon discontinuance of facility whichever is sooner. GRS 18.10 |
| 404-06 | <u>Survey and Inspection Files.</u> (Privately-owned facilities.) Reports of surveys and inspections of privately-owned facilities. | Destroy when 4 years old or when security cognizance is terminated, whichever is sooner. GRS 18.11 |
| 404-07 | <u>Investigative Files.</u> Investigative files accumulating from investigations of fires, explosions, and accidents, consisting of retained copies of reports and related papers when the original reports are submitted for review and filing in other Agencies or organizational elements, and reports and related papers concerning occurrences of such a minor nature that they are settled locally without referral to other organizational elements. | Destroy when 2 years old. GRS 18.12 |
| 404-08 | <u>Security Clearance Files.</u> Correspondence, reports, and other records relating to the administration and operation of the personnel security program. | Destroy when 2 years old. GRS 18.22 |
| 404-09 | <u>Personnel Security Clearance Files.</u> Personnel security clearance case files and related | |

indexes maintained by the personnel security offices.

a. Case Files Documenting the Processing of Investigations on Federal Employees or Applicants for Federal Employment, Whether or not a Security Clearance is Granted, and Other Persons, such as Those Performing Work for MMS Under Contract, Who Require an Approval before Having Access to Government Facilities or to Sensitive Data. These files include questionnaires, summaries of reports prepared by the investigating Agency, and other records reflecting the processing of the investigation and the status of the clearance, exclusive of copies of investigative reports furnished by the investigating Agency.

Destroy upon notification of death or not later than 5 years after separation or transfer of employee or no later than 5 years after contract relationship expires, whichever is applicable. GRS 18.23a

b. Investigative Reports and Related Papers Furnished to MMS by Investigative Organizations for Use in Making Security/Suitability Determinations.

Destroy in accordance with the investigating Agency instructions. GRS 18.23b

c. Index to the Personnel Security Case Files.

Destroy with related case file. GRS 18.23c

404-10 Personnel Security Clearance Status Files. Lists or rosters showing the current security clearance status of individuals.

Destroy when superseded or obsolete. GRS 18.24

404-11 Security Violations Files. Case files relating to investigations of alleged violations of Executive orders, laws, or Agency regulations for the safeguarding of national security information.

a. Files Relating to Alleged Violations of a Sufficiently Serious Nature that They are Referred to the Departments of Justice or Defense for Prosecutive Determination, Exclusive of Files Held by Department of Justice or Defense Offices Responsible for Making such Determinations.

Destroy 5 years after close of case. GRS 18.25a

b. All Other Files, Exclusive of Papers Placed in Official Personnel Folders.

Destroy 2 years after completion of final action or when no longer needed, whichever is sooner. GRS 18.25b

404-12 Emergency Planning Records. Records accumulating from the formulation and implementation of plans, such as evacuation plans, for protection of life and property during emergency conditions. Includes correspondence files relating to administration and operation of the emergency planning program.

Destroy when 2 years old. GRS 18.27

404-13 Top Secret Accounting and Control Files.

a. Registers Maintained at Control Points to Indicate Accountability Over Top Secret Documents, Reflecting the Receipt, Dispatch, or Destruction of the Documents.

Destroy 5 years after documents shown on forms are downgraded, transferred, or destroyed. GRS 18.6a

b. Forms Accompanying Documents to Ensure Continuing Control, Showing Names of Persons Handling the Documents, Intraoffice Routing, and Comparable Data.

Destroy when related document is downgraded, transferred, or destroyed. GRS 18.6b

404-14 Property Pass Files. Property pass files, authorizing removal of property or materials.

Destroy 3 months after expiration or revocation. GRS 18.13

404-15 Key Accountability Files. Files relating to accountability for keys issued.

a. For Areas Under Maximum Security.

Destroy 3 years after turn-in of key. GRS 18.17a

b. For Other Areas.

Destroy 6 months after turn-in of key. GRS 18.17b

SECTION 5. TRAVEL AND PASSENGER TRANSPORTATION FILES

405-01 Travel Authorization Controls. Registers, log sheets, or similar control documents created to control and record the assignment of document numbers to employee travel authorizations.

Cut off at close of fiscal year in which final entries are made on all authorizations entered for that year. Destroy 2 years after cut-off. GRS 9.5a

405-02 Travel (Employee) Files. Documents concerning official travel of individual employees. ~~includes~~ copies of requests for travel, authorizations, vouchers, justifications, advance of funds, and similar related papers. May include copies of training requests/authorizations and/or attendance at meetings. Arrange alphabetically by employee name.

a. Financial Management Division.

Cut off at close of fiscal year. Destroy 3 years after cutoff. GRS 9.3a

b. Other Copies.

Cut off at close of fiscal year. Destroy 2 years after cutoff.

405-03 Transportation Request Accountability Controls. Registers or sheets documenting the issuance or receipt of Government Transportation Requests (GTR's)

Destroy 1 year after all entries on the register are cleared. GRS 9.3b

405-04 Passenger Transportation (Carrier) Records. Documents reflecting payments to carriers, consisting of per diem vouchers, transportation

Cut off at close of fiscal year. Destroy 3 years after cutoff. GRS 9.1a

requests, SF 11691 and related supporting documents. Does not include documents associated with contracts for helicopter transportation. (See Item 503-02).

SECTION 6. FREIGHT TRANSPORTATION FILES

Documents accumulated in the shipment of office supplies, records, furniture, equipment, and household effects.

406-01 Bills of Lading Register Files. Log sheets or registers used to account for Government bills of lading.

a. Procurement Offices.

Cut off after final entry on register. Destroy 3 years after cutoff. GRS 9.1a

b. All Other Copies.

Cut off after final entry on register. Destroy 1 year after cutoff. GRS 9.1b

406-02 Bills of Lading Files. Government and commercial bills of lading and supporting documentation.

a. Procurement Offices.

Cut off at close of fiscal year. Destroy 3 years after cutoff. GRS 9.1b

b. All Other Copies.

Cut off at close of fiscal year. Destroy 1 year after cutoff. GRS 9.1a

406-03 Freight Claims Files. Over, short, and damage reports, or similar records and supporting data.

Cut off at close of fiscal year in which claim is closed. Destroy 3 years after cutoff. GRS 9.1a

SECTION 7. MOTOR VEHICLE FILES

The documents described below are accumulated in leasing/renting vehicles from GSA and in managing the use of MMS-owned vehicles.

407-01 Leased Vehicle Assignments. Copy of GSA 1152, Motor Vehicle Assignment Receipt, requests to GSA for assigned vehicles (includes commercial), and related documents and correspondence.

Cut off at close of fiscal year in which vehicle is returned to GSA. Destroy 2 years after cutoff. GRS 10.1

407-02 Vehicle Daily Use Files. Requests for motor vehicle, daily dispatch logs, vehicle use documents, requests for overnight storage of motor vehicles, and similar or related records.

Cut off monthly. Destroy 3 years after separation of employee or 3 years after recision of authorization to operate vehicle. GRS 10.7

407-03 Motor Vehicle Accident Reports. Records relating to motor vehicle accidents.

Cut off at close of fiscal year in which case is closed. Destroy 6 years after cutoff. GRS 10.5

- 407-01 Motor Vehicle History Records. Documents reflecting information on each MMS vehicle from acquisition to disposal. Included are procurement requests and justifications, purchase repair/maintenance invoices, license plate issuances, special equipment capabilities, daily trip logs, and similar information. Cut off at close of fiscal year in which vehicle is transferred or otherwise disposed of. Destroy 2 years after cutoff. GRS 10.1
- 407-05 Vehicle Release and Transfer Files. Records relating to transfer, sale, donation, or exchange of vehicles. Includes transfer voucher, vehicle history, and related records. Cut off at close of fiscal year in which vehicle is transferred or otherwise disposed of. Destroy 4 years after cutoff. GRS 10.6

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CHAPTER 5. PROCUREMENT, SUPPLY, AND PERSONAL PROPERTY MANAGEMENT RECORDS

The records described in this chapter pertain to the initiation, obligation, administration, delivery, receipt, verification, and certification for payment of purchase transactions for equipment, supplies, and services. Also included are records regarding the management, distribution, transfer, and disposal of personal property. Includes purchase orders for small purchases, issued requisitions, FEDSTRIP, or requests for contract action by procurement offices. PROTECT PERSONAL DATA. SEE CHAPTER 7, SPECIAL INSTRUCTIONS.

SECTION 1. GENERAL

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|--------|--|---|
| 501-01 | <u>Vendor Reference Materials.</u> Documents listing supplies and services offered by vendors.
Includes catalogs, brochures, pamphlets, mailing lists, and similar materials. Arrange alphabetically by vendor name. | Destroy when superseded, obsolete, or no longer needed for reference. GRS 23.6 |
| 501-02 | <u>Equipment Technical Manuals and Operating Instructions.</u> Includes parts lists and installation and maintenance instructions for various items of equipment that are owned by MMS. Arrange by type of equipment or vendor name. | Destroy when superseded, obsolete, or when related equipment is disposed of. GRS 23.6 |

SECTION 2. PURCHASE TRANSACTION FILES

The records described below relate to the initiation, obligation, administration, delivery, receipt, verification, and certification for payment of purchase transactions for equipment, supplies, and services. The official file is maintained by procurement offices.

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|--------|--|--|
| 502-01 | <u>Procurement Registers.</u> Registers or logs maintained to record and control the assignment of numbers to purchase orders, requisitions, job orders, printing requisitions, amendments, and similar type documents and to record other data relative to processing of procurement actions. | Cut off at end of last entry. Destroy when no longer needed for reference. GRS 23.7b |
| 502-02 | <u>Purchase Transaction Document Index Files.</u> Consists of extra copies of purchase orders, requisitions, and similar type documents used as a cross-reference to documents in purchase transaction files. Arrange alphabetically or numerically as appropriate. | Cut off at close of fiscal year in which related transaction is completed. Destroy after cutoff or when no longer needed for reference. GRS 3.4c |
| 502-03 | <u>Purchase Orders.</u> Consists of documents relating to the procurement of equipment, supplies, and services within procurement authority delegated to MMS Contracting Officers; i.e., purchases within the Small Purchase Limitation. In addition to the purchase documents, includes initiating requisition, Form MMS-2016, quotations for | |

purchases from commercial sources, justifications, receipt documents, copies of bills of lading or invoices, and supporting or related papers and correspondence. Arrange by purchase order number.

a. Transactions of More than \$10,000 and all Construction Contracts which Exceed \$2,000

Destroy 6 years and 3 months after final payment.
GRS 3.4a(1)

b. Transactions of \$10,000 or Less and Construction Contracts Under \$2,000

Destroy 3 years after final payment. Close file at the end of the fiscal year, retain 3 years and destroy. EXCEPT: Files on which actions are pending must be brought forward to the next fiscal year's files.
GRS 3.4a(2)

502-04 Requisitions for Purchases. Consists of copies of documents submitted to procurement offices for procurement action. Includes Form MMS-2016 or equivalent, justifications, and other supporting documents; may also include a copy of the resulting purchase order/contract. Arrange by requisition number.

Destroy at close of fiscal year in which requisition is completed or canceled.

502-05 Reserved.

502-06 Recurring Services Invoice Files. Consists of retained copies of paid monthly invoices, primarily from GSA, for recurring services such as motor pool services, GSA self-service store purchases, telecommunications and commercial telephone services, and printing and duplicating services performed by the GSA centralized printing facility. Includes copies of invoices; vouchers, such as SF 1080; and schedules, such as GSA Schedule 789; and related receipts and other records used in verifying invoices/vouchers for certification. Arrange by type of service and thereunder by billing period.

a. Procurement Offices.

Destroy 6 years and 3 months after period covered by account.
GRS 6.1a

b. Other copies.

Destroy when 2 years old.

502-07 Receiving Report Certification. Copies of purchase orders used to monitor the receipt of supplies and equipment. Arrange by delivery date.

Destroy at end of fiscal year in which received. GRS 3.4c

502-08 Real Property Files. Title papers documenting the acquisition of real property (by purchase, condemnation, donation, exchange, or otherwise).

Dispose 10 years after unconditional sale or release by the Government of conditions, restrictions, mortgages, or other liens. GRS 3.2b

SECTION 3. CONTRACT ADMINISTRATION RECORDS

Records described below relate to the initiation and monitoring of contracts and interagency agreements awarded to support MMS programs. Includes, but is not limited to, helicopter transportation contracts, drilling program contracts, etc.

503-01 Contract/Grant Proposal Case Files. Documents accumulated in requesting contract/grant or agreement action. Included are copies of technical specifications; evaluation papers, notes, and technical reviews; recommendation for award or denial; may also include sole source justification; and related documents and correspondence.

a. Procurement Offices.

(1) Transactions of more than \$10,000 and all construction contracts which exceed \$2,000. Destroy 6 years and 3 months after final payment.
GRS 3.4a(1)

(2) Transactions of \$10,000 or less and construction contracts under \$2,000. Destroy 3 years after final payment. Close file at the end of the fiscal year, retain 3 years and destroy. EXCEPT: Files on which actions are pending shall be brought forward to the next fiscal year's files.
GRS 3.4a(2)

b. Other Copies.

Dispose when no longer needed for reference.

c. Unsuccessful Bids and Proposals.

Destroy 3 years after completion of contract.
NC1-57-78-1

d. Canceled Proposals.

Destroy 5 years after date of cancellation.
GRS 3.6c(1)

503-02 Contract/Grant Monitoring Case Files. Working files maintained by Contracting Officers and/or representatives responsible for monitoring MMS contracts/grants and agreements in support of MMS programs. Includes, but is not limited to, contracts for helicopter transportation, drilling, radio communications, geological and geophysical data, ADP systems design, etc. Contains contract agreements and documents, backup material such as notes and working papers concerning contractor proposals and deliverables, progress and technical reports, and routine communications pertaining to monitoring an individual contract or agreement. RECORDS CREATED UNDER TERMS OF A CONTRACT REMAIN IN THE JURISDICTION OF THE CONTRACTOR UNTIL CONTRACT COMPLETION; HOWEVER, THE RECORDS ARE THE PROPERTY OF MMS.

a. Procurement Offices.

(1) Transactions of more than \$10,000 and all construction contracts exceeding \$2,000.

Destroy 6 years and 3 months after final payment.
GRS 3.4a(1)

(2) Transactions of \$10,000 or less and construction contracts under \$2,000.

Destroy 3 years after final payment. Close file at the end of the fiscal year, retain 3 years and destroy. EXCEPT: Files on which actions are pending shall be brought forward to the next fiscal year's files for destruction therewith. GRS 3.4a(2)

b. Files Maintained by Contracting Officer's Representatives in the Sponsoring MMS Office.

Destroy upon termination or completion. GRS 3.4c

c. Related Documents Maintained by Contracting Officer's Technical/Scientific Representatives.

Destroy upon termination or completion. GRS 3.4c

d. All Other Copies.

Destroy upon termination or completion. GRS 3.4c

e. Geological and Geophysical Case Contract Files.

Cut off at close of fiscal year in which contract is completed. Transfer to FRC 2 years after cutoff. Destroy 20 years after cutoff.

SECTION 4. SUPPLY AND PROPERTY
MANAGEMENT RECORDS

504-01 FEDSTRIP Requisition Files. Includes copies of GSA Form 344 and related documents showing evidence of issue, delivery, and receipt of equipment and supplies. Arrange by date.

Destroy 2 years after completion or cancellation of requisition. GRS 3.4a

504-02 Publications or Forms Requisition Files. Copies of purchase order, transfer requests, and related documents accumulated in the process of requisitioning publications and accountable and nonaccountable blank forms from MMS or the Department's stock. Arrange by requisition number.

Destroy upon termination or completion. GRS 3.4c

504-03 Receiving Reports. Documents which reflect receipt of shipments of supplies and equipment. Includes freight bills, packing slips, and supply room copies of purchase orders or requisitions.

Cutoff at close of fiscal year. Destroy when 2 years old.
GRS 3.5a

504-04 Supply Room Requests. Consists of requisitions or requests for supplies and equipment from supply rooms.

Destroy 2 years after completion or cancellation of requisition.
GRS 3.4a

504-05	<u>Publication or Forms Stock Record Files.</u> Inventory maintained to reflect the status of supply of directives, publications, and blank forms.	Destroy 2 years from date of list. GRS 3.10a
504-06	Reserved.	
504-07	Reserved.	
504-08	Reserved.	
504-09	<u>Employee Property Issue Cards.</u> Consists of property cards covering all controlled property in the custody of MMS employees. Cards are used to document property and equipment charged out to employees. Arrange alphabetically by employee name.	Destroy when 2 years old or when no longer needed, whichever is sooner. GRS 23.1
504-10	<u>Accountability Files.</u> Documents accumulated in controlling and accounting for personal property. Includes records which document the acquisition, assignment, transfer, and disposition of controlled property such as Forms MMS-064, Property Transfer Request; MMS-065, Property File Data Input; MMS-066, Report of Property Survey; and annual property inventories. Arrange by accountable officer name.	Destroy when 2 years old or when no longer needed, whichever is sooner. GRS 23.1
504-11	<u>Excess Personal Property Files.</u> Reports of excess personal property such as SF 120 and related papers.	Cut off at close of fiscal year. Destroy 3 years after cutoff. GRS 4.5
504-12	<u>Personal Property Accountability Number Files.</u> List of unique property identification numbers assigned and affixed to controlled property items on Form MMS-065.	Destroy when 2 years old or when no longer needed, whichever is sooner. GRS 23.1
504-13	<u>Survey Board Reports.</u> Reports of action taken for items which are lost, stolen, damaged beyond repair, rendered obsolete or otherwise unserviceable, prepared on Form MMS-066.	Destroy when 2 years old or when no longer needed, whichever is sooner. GRS 23.1
504-14	<u>Property Management Section ADP Files.</u> Printouts and background information to change, add, delete, or correct property management ADP files.	Destroy when 2 years old or when no longer needed, whichever is sooner. GRS 23.1
504-15	<u>Employee Exit Clearance Report.</u> Documentation submitted by an employee leaving the MMS, prepared on Form MMS-1090.	Destroy when 2 years old or when no longer needed, whichever is sooner. GRS 23.1

CHAPTER 6. PERSONNEL MANAGEMENT RECORDS

The records described below pertain to the personnel management function. THESE RECORDS CONTAIN PERSONAL DATA AND ARE SUBJECT TO THE PROVISIONS OF THE PRIVACY ACT. SEE CHAPTER 7, SPECIAL INSTRUCTIONS.

SECTION 1. PERSONNEL PROGRAM RECORDS

601-01 Official Personnel Files (OPF). Official folders maintained by personnel offices having personnel management responsibilities; e.g., authority to request or take a personnel action, such as recruitment, promotion, evaluation, or disciplinary action. Consists of information and correspondence pertaining to requests or plans for changes in assignment, resume of pertinent experience and education, performance appraisals, training or career development plans, and other records of this type which are necessary to perform official personnel management functions.

a. Official Personnel Folders.

(1) Separated employees.

Transfer folder to National Personnel Records Center (CPR), St. Louis, MO, 30 days after separation. The NPRC will destroy folder 75 years after birth date of employee (60 years after the date of the earliest document in the folder if the date of birth cannot be ascertained) or 5 years after latest separation, whichever is later. GRS 1.1b(2)

(2) Transferred employees.

See Federal Personnel Manual (FPM) for instructions relating to folders of employees transferred to another Agency. GRS 1.1b(1)

b. Other Copies.

Destroy 1 year after transfer or separation or when no longer needed for reference by pulping, shredding, etc. GRS 1.18a

c. Staffing and Classification Files. Copies of documents not maintained in the OPF which relate to various employment aspects.

Cut off at close of fiscal year. Transfer to FRC 2 years after cutoff. Destroy 6 years after cutoff.

601-02 Employee Record Cards. Cards, such as SF 7B, maintained for ready reference, which show jobs, grades, and similar information relating to an individual's employment. Arrange alphabetically by employee name.

Destroy 3 years after separation of employee. EXCEPT Cards for employees transferred within MMS will be forwarded to the gaining office. GRS 1.2b

- 601-03 Employee Locator Files. Consists of information such as name, social security number, current residence address, emergency locator information, office address, and telephone numbers. Destroy when superseded or obsolete. GRS 1.6
- 601-04 Personnel Actions Report Files. These files consist of monthly computer listings of personnel actions processed for each cost center. Destroy when 2 years old. GRS 1.16
- 601-05 Motor Vehicle Operator Files. Consists of documents relating to individual employee operation of Government-owned vehicles. Includes driver tests, authorization to use, safe driving awards, and related correspondence. Arrange alphabetically by employee name. Cut off at close of fiscal year in which operator is separated or transferred or when authorization to operate Government-owned vehicle is rescinded. Destroy 3 years after cutoff. GRS 10.7

SECTION 2. EMPLOYMENT, PERFORMANCE, AND CLASSIFICATION FILES

- 602-01 OPM Certificates. Consists of documents accumulated in obtaining from the Office of Personnel Management (OPM) lists of certificates of eligibles from established registers and reporting on action taken on certificates. Included are copies of requests for certification, certificates of eligibles, statements of reasons for passing over eligibles, and related papers. Cut off at close of fiscal year. Destroy 2 years after cutoff. GRS 1.5
- 602-02 Applications for Employment. Documents accumulated in receiving applications, conducting interviews, checking references, making selections, and requesting placement of applicants qualified and available for employment or determining that an applicant is not qualified, declines, or will not be selected for other reasons. Included are applications, qualification rating sheets, applicant referrals for interviews, and related papers.
- a. Successful Applications. Forward application and related documents for inclusion in OPF. See Item 601-01. GRS 1.1a
- b. Pending or Unsuccessful Applications. Destroy upon receipt of OPM inspection report or when 21 years old, whichever is earlier, provided the requirements of the FPM Chapter 333, Section A-41 are observed. GRS 1.15
- 602-03 Appointment Files. Correspondence, letters, and telegrams offering appointments to potential employees.
- a. Accepted Appointments. Destroy immediately. GRS 1.4a
- b. Offers of Appointments Declined by Individuals Whose Names were Received from OPM Certificates of Eligibles. Return to OPM with reply and application. GRS 1.4b(1)

c. All Other Offers of Appointments Declined.

Destroy immediately.

GRS 1.2b(3)1

- 602-04 Merit Promotion Case Files. Records relating to the promotion of an individual that document qualification standards, evaluation methods, selection procedures, and evaluations of candidates, EXCLUDING any records that duplicate information in the promotion plan, in the OPF's, or in other personnel records. Destroy 2 years after the personnel action or after the action has been audited by OPM, whichever is sooner. GRS 1.33
- 602-05 Employee Performance File System Records. Non-Senior Executive Service (SES) appointees (as defined in 5 U.S.C. 4301 (2)).
- a. Appraisals of Unacceptable Performance, Where a Notice of Proposed Demotion or Removal is Issued but not Effectuated, and all Related Documents. Destroy after the employee completes 1 year of acceptable performance from the date of the written advance notice of proposed removal or reduction in grade notice. GRS 1.23a(1)1
- b. Performance Records Superseded through an Administrative, Judicial, or Quasi-Judicial Procedure. Destroy upon supersession. GRS 1.23a(2)
- c. Performance Related Records Pertaining to a Former Employee. Destroy when 3 years old or when no longer needed, whichever is sooner. GRS 1.23a(3)1
- 602-06 Certificates of Within-Grade Increases. Certified computer printouts and related transmittal letters. Cut off at close of fiscal year. Destroy 2 years after cutoff. NCI-57-78-1
- 602-07 Position Description Files. Position descriptions maintained in MMS personnel offices which describe duties, responsibilities, and relationships of each position within the organization. These include position descriptions and amendments, certifications, checklists or fill-in descriptions, and related papers. Destroy 5 years after position is abolished or description is superseded. EXCEPT: Descriptions which may be of continuing value may be retained as nonrecord reference material under Item 101-11. GRS 1.7b
- 602-08 Incentive Awards Program Files. Documents pertaining to the operation of the Incentive Awards Program. Destroy when 3 years old. GRS 1.131
- 602-09 Correspondence and Forms Files. Operating personnel office records relating to individual employees not maintained in OPF's and not provided elsewhere.
- a. Correspondence and Forms Relating to Pending Personnel Actions. Destroy when action is completed. GRS 1.17a
- b. Retention Registers.
- (1) Registers from which reduction-in-force actions have been taken. Cut off at close of fiscal year. Destroy when 2 years old. GRS 1.17b(1)1

(2) Registers from which no reduction-in-force actions have been taken.

Destroy when superseded or obsolete. GRS 1.17b(2)

c. All Other Correspondence and Forms.

Destroy when 6 months old.
GRS 1.17c

SECTION 3. TRAINING FILES

603-01 Training Authorization Controls. Registers, log sheets, or similar control documents created to control and record the assignment of document numbers to employee training.

Destroy when 2 years old or when no longer needed, whichever is sooner. GRS 23.1

603-02 Training Record Card Files. Training achievement records and cards showing training history of individual employees. Arrange alphabetically by employee name.

Destroy when 3 years old.
GRS 1.30b(2)

603-03 Training Reports. Documents reflecting proposed and actual training progress and accomplishments. Includes monthly reports of projected status of training, reports of accomplished training, computer listings and reports of individual employee training, and related papers. Arrange by title of report.

Cut off at close of fiscal year.
Destroy 5 years after cutoff or 5 years after completion of a specific training program.
GRS 1.30b(1)

SECTION 4. LABOR MANAGEMENT RELATIONS FILES

604-01 Labor Management Relations Records.

a. Labor Management Relations General and Case Files. Correspondence, memorandums, reports, and records relating to the relationship between management and employee unions or other groups.

(1) Office negotiating agreement.

Cut off at end of fiscal year.
Destroy 5 years after cutoff.
GRS 1.29a(1)

(2) Other offices.

Destroy when superseded or obsolete. GRS 1.29a(2)

b. Labor Arbitration General and Case Files. Correspondence, forms, and background papers relating to labor arbitration cases.

Destroy 5 years after final resolution of case. GRS 1.29b

604-02 Reserved.

604-03 Reserved.

604-04 Reserved.

SECTION 5. EMPLOYEE FILES

605-01 Employee Confidential File. Employee certification, employee official conflict of interest/standard of conduct submissions, official worksheet/computer run, correspondence, and final determination.

Destroy when obsolete, superseded, or upon transfer or separation of employee.
Destroy by pulping, shredding, etc. GRS 1.28

605-02 Financial Disclosure Reports. 1 Reports and related documents submitted by individuals as required under the Ethics in Government Act of 1978 (P.L. 95-521).

a. Records including SF 278A for Individuals Filing According to Section 201b of the Act, and not Subsequently Confirmed by the U.S. Senate.

Destroy 1 year after nominee ceases to be under consideration for appointment. EXCEPT: Documents needed in an ongoing investigation will be retained until no longer needed in the investigation. GRS 1.25a(1)

b. All Other Records, Including SF 27B.

Destroy when 6 years old. EXCEPT: Documents needed in an ongoing investigation will be retained until no longer needed in the investigation. GRS 1.25a(2)

c. All Other Statements of Employment and Financial Interests and Related Records.

Destroy 2 years after separation of employee or 2 years after the employee leaves the position for which the statement is required. GRS 1.25b

605-03 Equal Employment Opportunity Records.

a. Official Discrimination Complaint Case Files. Files containing complaints with related correspondence, reports, exhibits, withdrawal notices, copies of decisions, records of hearings and meetings, and other records as described in 29 CFR 1613.222. Cases resolved within the Agency, by EEOC, or by a U.S. Court.

Destroy 4 years after resolution of case. GRS 1.26a

b. Copies of Complaint Case Files. Duplicate case files or documents pertaining to case files retained in Official File Discrimination Complaint Case Files.

Destroy 1 year after resolution of case. GRS 1.26b

c. Background Files. Background records not filed in the Official Discrimination Complaint Case Files.

Destroy 2 years after final resolution of case. GRS 1.26c

d. Compliance Records.

(1) Compliance Review Files. Reviews, background papers, and correspondence relating to contractor employment practices.

Cut off at close of fiscal year. Destroy 7 years after cutoff. GRS 1.26d(1)

(2) EEO Compliance Reports.

Cutoff at close of fiscal year. Destroy 3 years after cutoff. GRS 1.26d(2)

e. Employment Statistics Files. Employment statistics relating to race and sex.

Cut off at close of fiscal year. Destroy 5 years after cutoff. GRS 1.26f

f. EEO Affirmative Action Plans (AAP).

- (1) Copy of consolidated AAP(s). Destroy 5 years from date of plan. GRS 1.26h(1)
- (2) Feeder plan to consolidated AAP(s). Destroy 5 years from date of feeder plan or when administrative purposes have been served, whichever is sooner. GRS 1.26h(2)
- 605-04 Personnel Counseling Records. Reports of interviews, analyses, and related records. Destroy 3 years after termination of counseling. Destroy by pulping or shredding, etc. GRS 1.27a
- 605-05 Standards of Conduct Files. Correspondence, memorandums, and other records relating to codes of ethics and standards of conduct. Destroy when obsolete or superseded. GRS 1.28
- 605-06 Grievance, Disciplinary, and Adverse Action Files.
- a. Grievance, Appeals Files (5 CFR 771). Records originating in the review of grievance and appeals raised by Agency employees, except EEO complaints. These case files include statements of witnesses, reports of interview and hearings, examiner's findings and recommendations, a copy of the original decision, related correspondence and exhibits, and records relating to a reconsideration request. Destroy 3 years after case is closed. GRS 1.31a
- b. Adverse Action Files (5 CFR 752). Case files and related records created in reviewing an adverse action (disciplinary or nondisciplinary removal, suspension, leave without pay, reduction-in-force) against an employee. The file includes a copy of the proposed adverse action with supporting papers, statements of witnesses, employee's reply, hearing notices, reports, and decisions, reversal of action, and appeal records, EXCLUDING letters of reprimand. Destroy 4 years after case is closed. GRS 1.31b
- 605-07 Personal Injury Files. Forms, reports, correspondence, and related medical and investigatory records relating to on-the-job injuries, whether or not a claim for compensation was made, EXCLUDING copies filed in the OPF and copies submitted to the Department of Labor. These records are presently under a "freeze." Suspended by GSA FPMR Bulletin 136,1 March 21, 1984.
- 605-08 Individual Employee Health Case File. Forms, correspondence and other records relating to an employee's medical history, occupational injuries or diseases, physical examinations, and treatment received in the physical examinations, and all treatment received in the Health Unit, EXCLUDING preemployment physical examinations and disability retirement and fitness for duty examinations which are in the OPF upon separation of employee (REF: FPMR 293-31). Those records not required for filing in the OPF, if

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not retained by MMS, may be transferred to the local FRC. Under no circumstances should these files be sent to the CPR.

CHAPTER 7. INFORMATION SERVICE AND PUBLIC RELATIONS RECORDS

The files described below pertain to information and public activities. Included are congressional investigations, newspaper clippings, speeches, and presentations. Technical and informational publications, library control records, records maintained for public inspection under the Freedom of Information Act (FOIA), Privacy Act, and legal and litigation records. Routine requests for information or publications are maintained in a transitory correspondence file and destroyed in accordance with Item 101-05. See Item 202-05 for congressional reports. THE RECORDS IN THIS CHAPTER MAY CONTAIN PROPRIETARY DATA. SEE CHAPTER 7, SPECIAL INSTRUCTIONS.

SECTION 1. CONGRESSIONAL RELATIONS RECORDS

- 701-01 Congressional Committee Investigation Files. Documents accumulated as a result of investigations and studies of activities by congressional committees. Included are records relating to the conduct of the investigation, information on the activities of investigating committees, analyses of committee reports, committee recommendations, and MMS replies. Place in inactive file when investigation is closed. Cut off inactive file at close of fiscal year. Destroy 10 years after cutoff. EXCEPTIONS: (1) Records on investigations which require extensive research projects or special geologic, geophysical, and engineering studies should be filed and destroyed in accordance with specific disposal instructions provided for that type of study or project in this schedule, and (2) routine correspondence, reports and other records accumulated in the course of preparing input for replies to routine congressional inquiries should be filed in the subject correspondence files and destroyed in accordance with the instructions in Items 102-01 or 102-02. NC1-57-78-1
- 701-02 Legislative Programs. Contains materials regarding legislative programs; included are legislation proposed for MMS, comments submitted by staff on bills proposed for MMS; comments on other bills; proposed local laws, etc.
- a. MMS program legislation. Place in inactive file when legislative process completed. Cut off inactive file at close of fiscal year. Destroy 5 years after cutoff.

b. Other legislation.

Cut off at close of fiscal year. Destroy 2 years after cutoff.

SECTION 2. INFORMATIONAL PUBLICATION AND PROMOTION RECORDS

702-01 Morgue Files. Newspaper, magazine, press, and teletype clippings regarding MMS programs, activities, and personnel. Arrange chronologically by month.

Cut off monthly. Destroy 3 months after cutoff.
GRS 14.5

702-02 Information Publications Master Files. Consists of the official file copy of each booklet, pamphlet, poster, monograph, monthly and annual report, employee newsletter, or other issuance primarily of an informational character. Includes publications for internal MMS use and publications for promotional or external use. Official file copy is maintained by the office responsible for preparation and issuance or the office requiring contractor preparation. Publications in this file will be distinctly marked "Record Set" and will not be charged out.

Permanent. Cut off when publication is superseded, canceled, or 15 years after issuance, whichever is earlier. Retire to FRC 3 years after cutoff provided there is sufficient volume (at least 1 cubic foot). Offer to National Archives in 5-year blocks when 20 years old. Volume 4 cubic feet. Annual accumulation 2 cubic feet.
NC1-57-78-1

702-03 Public Relations Files. These files are created by MMS senior officials.

a. Speeches, Addresses, and Comments. Remarks made at formal ceremonies and during interviews concerning MMS program. The speeches and addresses may be presented to executive from other Federal Agencies, representatives of State and local governments, or private groups, such as college and university students, business associations, and cultural news media commentators. The format selected may be paper, audio or video tape, or motion picture film.

Permanent. Cut off when publication is superseded, canceled, or 3 years after issuance, whichever is earlier. Retire to FRC 3 years after cutoff provided there is sufficient volume (at least 1 cubic foot). Offer to the National Archives in 5-year blocks when 20 years old. Volume 4 cubic feet. Annual accumulation 2 cubic feet. GRS 14.1

b. News Releases. One copy of each prepared statement or announcement issued for distribution to the news media. News releases announce events such as the adoption of new Agency programs, termination of old programs, major shifts in policy, and changes in senior Agency personnel and may be textual records such as a formal press release or nontextual records, such as film and video or sound recordings.

Permanent. Cut off when publication is superseded, canceled, or 3 years after issuance, whichever is earlier. Retire to FRC 3 years after cutoff provided there is sufficient volume (at least 1 cubic foot). Offer to the National Archives in 5-year blocks when 20 old. Volume 4 cubic feet. Annual accumulation 2 cubic feet. GRS 14.1b

SECTION 3. ART, GRAPHICS, AND PHOTOGRAPH FILES

703-01 Visuals, Exhibits, Art, and Graphic Files. Original art work, illustrations, slides, charts, graphics, acetates, negatives, and other visual aids

Destroy 1 year after final publication or when no longer needed. Except that artwork of continuing usefulness may be retained as nonrecord material until no longer needed.
GRS 21.10

703-02 Video Recording and Motion Picture Files.
Files consist of motion picture and video tapes produced or sponsored by MMS activities and used for promotional, educational, and informational purposes.

a. Video Recordings. The original recording or the earliest generation of each recording or a kinescope of the recording.

Permanent. Cut off at end of fiscal year. Transfer to FRC 2 years after cutoff. Offer to National Archives 5 years after cutoff in blocks of 5-years. Volume 1 cubic foot. Annual accumulation 0.5 cubic foot. NC1-57-78-1

b. Motion Picture Films. Films produced or sponsored by MMS activities. The original negative or color original plus separate optical sound track, an intermediate master positive or duplicate negative plus optical sound track, and sound projection print for each motion picture.

Permanent. Cut off at end of fiscal year. Transfer to FRC 2 years after cutoff. Offer to National Archives 5 years after cutoff in blocks of 5-years. Volume 1 cubic foot. Annual accumulation 0.5 cubic foot. NC1-57-78-1

c. Additional Duplicate Recording of "a" and Additional Duplicate Prints of "b".

Destroy when 5 years old or when no longer needed, whichever occurs first. NC1-57-78-1

d. Finding Aids and Production Documentation. Existing finding aids such as data sheets, shot lists, catalogs, indexes, and other textual documentation necessary for the proper identification, retrieval, and use of video recordings and motion pictures as well as production case files or similar files which include copies of production contracts, scripts, or other documentation bearing on the origin, acquisition, release, or ownership of the production.

Permanent. Cut off at end of fiscal year. Transfer to FRC 2 years after cutoff. Offer to National Archives 5 years after cutoff in blocks of 5-years. Volume 1 cubic foot. Annual accumulation 0.5 cubic foot. NC1-57-78-1

703-03 Photograph Files. The original negative and a captioned print for each black and white image and the original color transparency or color negative, a captioned print, and an internegative (if one exists) for each color image.

a. Photographs of Significant MMS Officials and Other Individuals and Photographs Resulting from Significant MMS Program Responsibilities which Constitute Evidence of the Organization, Function, Policy Development, Decisions, Procedures, Operations or Other Activities.

Permanent. Cut off at end of fiscal year. Transfer to FRC 2 years after cutoff. Offer to National Archives 5 years after cutoff in blocks of 5-years. Volume 1 cubic foot. Annual accumulation 0.5 cubic foot. NC1-57-78-1

b. Photographs Made to Serve a Temporary Purpose but not Having Sufficient Value to Justify Continued Retention. Includes, but is not limited to, photos reproduced in technical reports which are meaningless without text; duplicate and extra copies; and photographs of local interest only.

Destroy when purpose is served or no longer needed for reference. GRS 21.1

SECTION 4. TECHNICAL LIBRARY RECORDS

- 704-01 Library Catalog Cards and Shelf Lists. Cards, lists, and similar documents showing author, titles, cross-references, subject, items loaned, and location of items on shelves. Destroy when related items have been permanently removed from the library. GRS 23.6
- 704-02 Library Item Procurement Files. Documents accumulated by the librarian in reviewing, approving, and controlling the procurement of books, periodicals, and other publications for library and reference purposes. Includes copies of purchase orders and invoices, of subscription documents, duplicate copies of purchase orders and invoices, and similar or related papers. Destroy when 2 years old or when no longer needed, whichever is sooner. GRS 23.1

SECTION 5. PUBLIC INFORMATION RECORDS

The records described in this section are accumulated and maintained in separate collections specifically for public inspection in accordance with local directives, the FOIA, Privacy Act, and related laws and regulations regarding public access to Government records. These regulations provide that certain information on active leases and wells, geological and geophysical data on expired leases, accident investigations, pollution and enforcement action reports, and mining development plans be available to the public. SELECTED PROPRIETARY INFORMATION HAS BEEN DELETED FROM THESE RECORDS.

The disposal criteria given below for records pertaining to leases and wells apply ONLY TO THE COPIES OF THESE DOCUMENTS MAINTAINED SPECIFICALLY FOR PUBLIC INSPECTION.

- 705-01 Geological and Geophysical Exploration Permit Files. Consists of copies of documents which relate to receipt, review, and issuance of and monitoring of operations under permits to conduct geological and geophysical exploration for mineral resources or for scientific research. Destroy when obsolete, superseded, or no longer needed for reference.
- 705-02 Copy Fee Collection Register. Registers documenting the receipt and disposition of funds received for copies of FOIA, Privacy Act, or public information records obtained from OCS Public Records Centers. Cut off at close of fiscal year. Destroy 2 years after cutoff. GRS 14.20
- 705-03 Oil and Gas Operations Report (OGOR) MMS-4054 or Equivalent. Copies of lessees and operators monthly report of operations. The "remarks" column has been deleted from these reports. Arrange by month in lease order. Cut off monthly. Destroy 3 years after cutoff. NC1-57-78-1
- 705-04 Well Completion or Recompletion Report and Log, Form MMS-330. Information available depends on production status at the time the form is filed. Copies of well completion reports and logs filed by lease number. Cut off at close of calendar year. Destroy 7 years after cutoff. NC1-57-78-1

- 705-05 Sundry Notices and Reports on Wells, Form MMS-331. Copies of Form MMS-331 used as requests for approval to conduct an operation or "Subsequent Report of" an operation. Arrange by month. Cut off at close of calendar year. Destroy 7 years after cutoff.
- 705-06 Application for Permit to Drill, Deepen, or Plug Back, Form MMS-331E. Copies of Application for Permit to Drill, Deepen, or Plug Back and attached location plats. Location of well at top production zone and cementing program may be deleted. Arrange chronologically by month. Cut off monthly. Destroy 7 after cutoff. NCI-57-78-1
- 705-07 Quarterly Oil Well Test Report, Form MMS-1869. Copies of quarterly oil well test reports. Arrange chronologically by calendar year and thereunder by field, block, and operator. Cut off quarterly. Destroy 7 years after cutoff.
- 705-08 Semiannual Gas Well Test Report, Form MMS-1870. Copies of semiannual well test reports. Arrange chronologically by calendar year and thereunder by field, block, and operator. Cut off at close of calendar year. Destroy 4 years after cutoff. NCI-57-78-1
- 705-09 Multi-Point Back Pressure Test Report. Copies of multi-point back pressure test reports. Arrange chronologically by calendar year and thereunder by field, block, and operator. Cut off at close of calendar year. Destroy 4 years after cutoff. NCI-57-78-1
- 705-10 Index to Lease Records. Public information card indexes used to cross-reference well numbers to American Petroleum Institute well, block, or lease numbers. Destroy when obsolete, superseded, or no longer needed for reference. GRS 23.7b
- 705-11 Geophysical Interpretations, Maps, and Data. Consists of extra copies of informal and open-file geophysical information reports purchased by MMS or submitted by permittees, lessees, or operators as required by 30 CFR Parts 250 and 2511. Includes common depth point and high-resolution data, processed information, shot-point location maps, and other data such as shallow and deep subbottom profiles, bathymetry, side-scan sonar, gravity and magnetic, and data from special studies such as velocity surveys. This applies only to copies made specifically for public inspection. Destroy when corresponding official file copies are destroyed or when no longer needed for reference, whichever is earlier. NCI-57-78-1
- 705-12 Geological Interpretations, Maps, and Data. Consists of extra copies of informal and open-file geological information purchased by MMS or submitted by permittees, lessees, or operators. Includes paleontologic reports, well and drill logs, sample analyses, and other geologic, geochemical, and hydrologic data and processed information. This item applies only to copies made specifically for public inspection. Cut off at close of fiscal year in which data is made available for public inspection. Destroy 7 years after cutoff. NCI-57-78-1
- 705-13 Informal and Open-File Technical Reports and Maps. Consists of extra copies of unpublished manuscript reports, maps, and other scientific and technical material prepared within MMS and available for public inspection. Official file copies of these reports and maps are maintained Cut off at close of fiscal year in which released to informal or open-file. Destroy upon publication or 7 years after cutoff if not published. NCI-57-78-1

in the appropriate study case file or project file.

- 705-14 Mining Plans and Modifications. Consists of extra copies of mining plans, modifications to mining plans, and environmental data collected under the plan. Arrange as appropriate. Cut off at close of fiscal year in which the plan is approved. Destroy 4 years after cutoff.
- 705-15 Individual Well Records. Consists of extra copies of individual well records. Cut off at close of the fiscal year in which well is plugged and abandoned. Destroy 4 years after cutoff.
- 705-16 Freedom of Information Act (FOIA) Files. Files created in response to requests for information under the FOIA consisting of the original request, a copy of the reply thereto, and all related supporting files which may include official file copy of requested record or copy thereof.
- a. Correspondence and Supporting Documents (EXCLUDING the Official File Copy of the Records Requested if Filed Herein)
- (1) Granting access to all of the requested records. Destroy 2 years after date of reply. GRS 14.16a(1)
- (2) Responding to requests for nonexistent records; to requestors who provide inadequate descriptions; and to those who fail to pay Agency reproduction fees.
- (a) Request not appealed. Destroy 2 years after date of reply. GRS 14.16a(2)(a)
- (b) Request appealed. Destroy as authorized under Item 705-17. GRS 14.16a(2)(b)
- (3) Denying access to all or part of the records requested.
- (a) Request not appealed. Destroy 5 years after date of reply. GRS 14.16a(3)(a)
- (b) Request appealed. Destroy as authorized under Item 705-17. GRS 14.16a(3)(b)
- b. Official File Copy of Requested Records. Dispose of in accordance with approved disposition for related records or with the related FOIA request, whichever is later GRS 14.16b

- 705-17 FOIA Appeals Files. Files created in responding to administrative appeals under the FOIA for release of information denied by MMS, consisting of appellant's letter, a copy of the reply thereto, and related supporting documents, which may include the official file copy of records under appeal or copy thereof.

a. Correspondence and Supporting Documents (EXCLUDING the File Copy of the Records Under Appeal if Filed Herein).

Destroy 4 years after final determination by MMS or 3 years after final adjudication by courts, whichever is later. GRS 14.17a

b. Official File Copy of Records Under Appeal.

Dispose of in accordance with disposition for the related records, or with the related FOIA request, whichever is later. GRS 14.17b

705-18 FOIA Reports Files. Recurring reports and one-time information requirements relating to the implementation of the FOIA.

Destroy when 2 years old or sooner if no longer needed for administrative use. GRS 14.19b

705-19 FOIA Administrative Files. Records relating to the general implementation of the FOIA, including notices, memoranda, routine correspondence, and related records.

Destroy when 2 years old or sooner if no longer needed for administrative use. GRS 14.20

705-20 Privacy Act Requests Files. Files created in response to requests from individuals to gain access to their records or to any 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 thereto, and all related supporting documents, which may include the official file copy of records requested or copy thereof.

a. Correspondence and Supporting Documents (EXCLUDING the Official File Copy of the Records Requested if Filed Herein).

(1) Granting access to all the requested records.

Destroy 2 years after date of reply. GRS 14.25a(1)

(2) Responding to requests for nonexistent records to requestors who provide inadequate descriptions and to those who fail to pay MMS reproduction fees.

(a) Requests not appealed.

Destroy 2 years after date of reply. GRS 14.25a(2)(a)

(b) Requests appealed.

Destroy as authorized under Item 705-21. GRS 14.25a(2)(b)

(3) Denying access to all or part of the records requested.

(a) Requests not appealed.

Destroy 5 years after date of reply. GRS 14.25.a(3)(a)

(b) Requests appealed.

Destroy as authorized under Item 705-21. GRS 14.25a(3)(b)

b. Official File Copy of Requested Records.

Dispose of in accordance with approved disposition instructions for the related records, or with the related Privacy Act

request, whichever is later.
GRS 14.25b

705-21 Privacy Act Amendment Case Files. Files relating to an individual's requests to amend a record pertaining to that individual as provided for under 5 U.S.C. 552a(d)(2); to the individual's request for a review of MMS's refusal of the individual's request to amend a record as provided for under 552a(d)(3); and to any civil action brought by the individual against the refusing Agency as provided under 5 U.S.C. 552a(g).

a. Requests to Amend Agreed to by MMS. Includes individual's requests to amend and/or

Dispose of in accordance with the approved disposition

review refusal to amend copies of MMS's replies thereto, and related materials.

instructions for the related subject individual's record or 4 years after MMS's agreement to amend, whichever is later. GRS 14.26a

b. Requests to Amend Refused by MMS. Includes individual's requests to amend and to review refusal to amend, copies of MMS's replies thereto, statement of disagreement, MMS justification for refusal to amend a record, and related materials.

Dispose of in accordance with the disposition instructions for the related subject individual's record, 4 years after final determination by MMS or 3 years after final adjudication by courts, whichever is later. GRS 14.26b

c. Appealed Requests to Amend. Include all files created in responding to appeals under the Privacy Act for refusal by any agency to amend a record.

Dispose of in accordance with the approved disposition instructions for the related subject individual's records or 3 years after final adjudication by courts, whichever is later. GRS 14.26c

705-22 Privacy Act Accounting of Disclosure Files. Files maintained under the provisions of 51U.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. GRS 14.27

705-23 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.1

a. Registers or Listings.

Destroy 5 years after date of last entry. GRS 14.28a

b. Other Files.

Destroy 5 years after final action by MMS or final adjudication by courts, whichever is later. GRS 14.28b

- 705-24 Privacy Act Reports Files. Recurring reports and one-time information requirement relating to MMS implementation, including annual reports to the Congress of the United States, the Office of Management and Budget, and the Report on New Systems. Destroy when 2 years old. GRS 14.29b
- 705-25 Privacy Act General Administrative Files. Records relating to the general implementation of the Privacy Act, including notices, memoranda, routine correspondence, and related records. Destroy when 2 years old or sooner if no longer needed for administrative use.

SECTION 6. TECHNICAL PUBLICATIONS MANAGEMENT

The records described below are accumulated in providing basic editorial services and advice regarding publication of technical reports and maps. Includes formal MMS publications, informal and open-file reports, and outside publications.

- 706-01 Technical Publications Controls. Documents used to control the numbering of publications and record actions in processing publications. Includes publication control number assignment and status cards, logs, registers, or similar records. Cut off at close of fiscal year in which subject item (or all listed items) is published. Destroy 1 year after cutoff. GRS 16.2a
- 706-02 Technical Publications Background Files. Copies of documents reflecting the preparation, review, clearance, approval, and issuance of technical reports and maps. Included are records of clearances, approvals, and other coordinating actions; technical and editorial review reports and comments; abstracts; press releases; transmittal memorandums; and correspondence regarding the publication. Destroy 6 months or 3 years after completion of report if it is not published. GRS 16.10
- 706-03 Reserved.

SECTION 7. FORMAL APPEALS AND LITIGATION

- 707-01 MMS Appeals Case Files. Consists of documents relating to formal appeals to the Director, MMS, from final orders or decisions by officers of MMS. The appeals procedures are governed by 30 CFR 290. Included are notices of appeal and papers showing argument of the facts by the appellant, reports in reply to the appellant's argument prepared by the officer who issued the order or decision, requests for extensions of time, papers reflecting the final decision by the Director, and other related papers and correspondence. Official file copies of these documents are maintained at the headquarters level. Arrange numerically by appeal number. Cut off upon issuance of final decision or withdrawal of appeal. Destroy 10 years after cutoff.

- 707-02 Waiver/Departure Requests. Consists of extra copies of approvals and denials of requests for waivers from Orders, Notices, and other operational directives for lessee compliance. Arrange by directive type and number. This is an extra copy convenience file maintained to prepare statistical reports. Official copies are maintained in the appropriate case file. (See Items 1101-02, 1200-02, 1501-02, or 1502-03.)
- Cut off at the close of the fiscal year or when no longer needed for reference, whichever is earlier. Destroy 2 years after cutoff.
- 707-03 Mineral Leasing Claims and Litigation Files. Consists of documents relating to claims or actual legal proceedings involving mineral leasing activities or lease operations on the OCS or on Federal and Indian lands in which MMS has an interest. Included are advisory reports, investigation reports, litigation reports, statements of claims, copies of processes and pleadings, supporting documents, and related correspondence. Official file copies of these documents are maintained at the headquarters level.
- Cut off at close of fiscal year in which claim is settled or disallowed or in which case is closed. Destroy 10 years after cutoff. NC1-57-78-1
- 707-04 Interior Board of Land Appeals (IBLA) Appeals Files. Consists of documents related to formal appeals to the IBLA. Includes notices of appeal, retained copies of MMS reports to IBLA, and copies of IBLA decisions.
- Permanent. Cut off upon issuance of final decision or withdrawal of appeal. Hold 5 years and transfer to the FRC. Offer to National Archives in 5-year blocks when 25 years old. Volume 12 cubic feet. Annual accumulation 2 cubic feet.
- 707-05 Hearing Files. Consists of documents related to MMS civil penalty procedures. Includes memoranda assigning cases to reviewing officers, reviewing officer notification of alleged violators, case records, hearing records, and case decisions.
- Cut off upon payment of penalty or notice of non-violation. Hold 5 years after cutoff and transfer to the FRC. Destroy 25 years after cutoff.

CHAPTER 8. ADP MANAGEMENT

The records described in this chapter relate to the electronic data processing function including system documentation records, machine readable records, and records associated with the operation of remote data terminals. THESE RECORDS MAY CONTAIN PERSONAL OR PROPRIETARY DATA. SEE CHAPTER 7, SPECIAL INSTRUCTIONS.

800-01 Systems Feasibility Files. Feasibility studies conducted before the installation of any technology or equipment ~~associated with~~ information management systems, such as word processing, copiers, micrographics, and communications. The records are accumulated to provide management with information on time, cost, and resources required related to the design, implementation, and operation of an ADP system. Included are requests for the establishment of a data system; project authorizations; documents containing definition of the system including system objectives; feasibility studies reflecting comparison of present and proposed systems, advantages and disadvantages of alternate solutions, cost analyses, equipment requirements, tangible benefits, output requirements, and a schedule for implementing the proposed system; documents reflecting review and recommendations for acceptance or rejection of the proposal. Accumulated by the office conducting the study or sponsoring the contract or interagency agreement to perform the study. Includes documents accumulated for major changes to these systems. Arrange by system title.

a. Rejected Systems.

Cut off at close of fiscal year in which final decision is made. Destroy 5 years after cutoff. EXCEPT: Systems studies which may be of continuing value may be retained as nonrecord reference material. NC1-57-78-1

b. Approved Systems

Cut off at close of fiscal year in which system is discontinued. Destroy 5 years after cutoff. EXCEPT: Systems studies which may be of continuing value may be retained as nonrecord material. NC1-57-78-1

800-02 System Design and Operation Documentation Files. Records accumulated to provide official documentation of a specific automated data system. Consists of documents required as an overall description of the system and documents reflecting operating procedures and instructions required to ensure proper performance during actual operation. Includes documents such as general narrative description of the system; input/output specifications and flow data; file

Cut off when the particular system is terminated. Destroy when all related magnetic media

or data set description; software license agreements; input collection instructions; instructions for punching and encoding raw data into machine readable media; computer operating instructions; program specifications; output preparation and distribution instructions. Arrange by system title.

- 800-03 User Documentation Files. User oriented information and instructions including items such as an outline of the capabilities and limitations of the system, instructions for preparing source documents and samples of each document, edit criteria, instructions for control and interpretation of output reports, procedures for processing work on the computer. Arrange by system title. Cut off when the particular system is terminated. Destroy when all related magnetic media data have been destroyed.
- 800-04 Source Documents. Source documents forwarded to data processing activities for data conversion.
- a. Source Documents Prepared for the Sole Purpose of Forming the Data Base for an ADP System or Updating the System Data Base. Destroy 1 year after ADP program has been debugged and is stabilized or 1 year after input is verified, whichever occurs first. NCI-57-78-1
- b. Other Source Documents or Copies. Return to user for disposition in accordance with the applicable disposal instructions.
- 800-05 Error/Edit Listing Files. These are computer printouts showing errors and are used for editing purposes. Destroy after corrections have been made and listings verified. NCI-57-78-1
- 800-06 ADP Source Program Card Files. Punched cards containing common language source program data (source deck)1 Used with a processor or utility program to produce a machine coded object program.1
- a. Computer Simulation Applications, such as Programs used in Economic Evaluation of Lease Blocks, Reservoir Simulation, and other Geologic Modeling; for example, Monte Carlo Range of Values and Black Oil Simulation Systems. Permanent. Cut off when program has been removed from the system. Transfer to FRC 5 years after cutoff. Offer to National Archives in 5-year blocks when 7 years old. Volume 1 cubic foot. Annual accumulation 0.5 cubic foot. NCI-57-78-1
- b. Other Applications. Destroy individual cards when replaced by new ones. Destroy program deck after program has been removed from the system11 or if data has been transferred to magnetic file, destroy after magnetic file has proved satisfactory and has adequate backup11 i.e., after second update cycle. NCI-57-78-1

- 800-07 Source Data Cards. Punched cards containing data abstracted from source documents and used for conversion to magnetic tape or disk. These cards are retained as backup to magnetic tape or disk file.
- a. Used in an Updated System. Destroy when related magnetic file maintained at the host computer facility has proved to be satisfactory and has grandfather backup, i.e., after third update cycle. NC1-57-78-1
- b. Used in a One-Time System (e.g., Simulation Projects) Destroy when related magnetic file maintained at the host
- 800-08 Raw Data Input Magnetic Tapes. Magnetic tapes containing source data converted from punched cards. Used to temporarily store data to be transmitted to the host computer facility. Erase after related magnetic file maintained at the host computer facility has proved satisfactory. NC1-57-78
- 800-09 Print and Plotter Tapes. Consists of magnetic tapes containing source output data transmitted to the data terminal by the host computer facility. Used for producing required printouts or card files. Erase not later than 10 days after the output has been released and approved. NC1-57-78-1
- 800-10 Reserved.
- 800-11 Data Processing Job Control Records. Cards or forms used to record approved jobs, job numbers, requesting office, job description, date received and date due, and related information. Cut off at close of fiscal year in which related job is completed. Destroy 1 year after cutoff. NC1-57-718-1

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CHAPTER 9. MINERALS RESOURCE INVENTORY AND EVALUATION RECORDS

The records described in this chapter are accumulated while investigating the mineral resource potential. Included are basic scientific and technical data and interpretations of these data in the form of maps and technical reports. This material is obtained from various sources including purchases from geophysical and geological data contractors, confidential industry submissions, information from other Government Agencies, results of educational and research institutions investigations, and data generated within the MMS. Many of these records are confidential because they contain, or are based on, data secured from private sources with the understanding that the information will not be released outside the MMS. THESE RECORDS MAY ONLY BE RELEASED AND MADE AVAILABLE FOR PUBLIC INSPECTION AS APPROPRIATE TO AN INFORMAL OR OPEN FILE.

See subject outline Resource Conservation and Production Control (RCP) and Resource Evaluation (REV) for general correspondence.

See Chapter 10 for files related to evaluation of specific lease sale blocks/prospects. See Chapter 17 for files related to reservoir studies, reserve estimates, and resource conservation.

PROPRIETARY INFORMATION/DATA includes electric logs, core descriptions and analyses, seismic record sections, and other geological, geophysical and engineering information, maps, reports, and correspondence based on or containing proprietary information that is not available to the public. This data is furnished by industry sources to the MMS in compliance with the terms of leases, permits, regulations, and contracts. PROPRIETARY DATA IS NOT AVAILABLE TO THE PUBLIC. SEE CHAPTER 7, SPECIAL INSTRUCTIONS.

SECTION 1. EXPLORATION PERMIT RECORDS

- | | | |
|--------|---|---|
| 901-01 | <u>Geological and Geophysical Exploration Permit Files.</u> Consists of documents which relate to the receipt, review, and issuance of and monitoring of operations under permits to conduct geological or geophysical explorations for mineral resources or for scientific research. Includes signed original of approved permit application and related papers and correspondence. Arrange by adjacent State and thereunder by permit number. | Cut off at close of fiscal year in which permit is approved. Release to informal and open file 10 years after cutoff. Retire to FRC 15 years after cutoff provided there is sufficient volume. Destroy 75 years after cutoff. |
| 901-02 | <u>Exploration Permit Assignment Control Log.</u> Logs or registers used to control the assignment of numbers and other identifying data to geological and geophysical exploration permits. | Cut off at close of fiscal year. Destroy when all listed items have been destroyed.
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- 901-03 Geological and Geophysical Permit Data and Interpretations. Consists of geophysical and geological data, maps, and interpretations submitted in accordance with permit stipulations. Includes common depth point and high-resolution geophysical data processed information and maps, paleontological reports, well logs, sample data. Arrange by permit number and date.
- Cut off at close of fiscal year in which permit is approved. Release to informal open file 10 years after cutoff. Retire to FRC 15 years after cutoff provided there is sufficient volume. Destroy 75 years after cutoff.

SECTION 2. GEOPHYSICAL SURVEY DATA
AND MAPS

The records described in this section relate to the accumulation and interpretation of subsurface structural information obtained from geophysical surveys. The results of these geophysical surveys are expressed in maps, sections, and diagrams. These records are used to identify and evaluate the mineral potential of subsurface formations. See Item 705-11 for extra public information copies of informal and open-file material.

- 902-01 High-Resolution (Shallow) Geophysical Records. Consists of geophysical information regarding the near-surface structural configuration, sedimentary characteristics, and ocean bottom. This data is used to support environmental impact analyses, shallow hazards analyses, lease block evaluations, and special studies including marine archaeology.
- Cut off at close of fiscal year in which related lease sale is conducted.
- a. Field Prints. Consists of nonprocessed data created from analog magnetic tape.
- (1) Nonindexed recordings in roll form. Destroy 20 years after cutoff.
- (2) Labeled record sections. Arranged by related lease sale number, contract, and line number. Destroy 20 years after cutoff.
- b. Processed Prints. Consists of reproducible (mylar, sepia, or vellum) prints of data which has been processed to remove extraneous signals and interference. Arrange by company, areal surveyed, and line number.
- Permanent. Cut off at close of fiscal year. Hold 5 years and retire to FRC. Offer to National Archives 75 years after cutoff. Volume 302 cubic feet. Annual accumulation 45 cubic feet.
- 902-02 Shallow Seismic Shot-point Location Maps Record Set. Official file copy of each of the base maps, usually at a scale of 1" = 4,000 feet, which shows the location of high-resolution (shallow) seismic shot points. Includes contractor maps showing coverage of individual contracts and index maps showing all high-resolution seismic coverage. Arrange by related lease sale number and thereunder by contract and area surveyed.
- Destroy individual maps when all related seismic records have been destroyed or when no longer needed for reference, whichever is earlier. NCL-57-78-1
- 902-03 High-Resolution (Shallow) Geophysical Interpretive Maps. Interpretations of high-

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resolution geophysical data in terms of subsurface geology and engineering applications. Includes bathymetric maps, shallow structure maps, and hazard maps (also called anomaly or geomorphic maps). Arrange by company and survey area mapped.

a. Preliminary Maps.

Destroy upon receipt or completion of final drafted map.
NC1-57-78-1

b. Final Drafted Maps.

(1) Master copies.

Permanent. 1 Cut off at close of fiscal year in which related lease sale is conducted. Hold 25 years and transfer to FRC. Offer to National Archives 75 years after cutoff. Volume 86 cubic feet. Annual accumulation 14 cubic feet.

(2) Other copies.

Cut off at close of fiscal year in which related lease sale is conducted. Destroy 15 years after cutoff or when no longer needed for reference, whichever is earlier. EXCEPT: 1 If additional significant interpretive data are added to these copies and not placed on the master, disposal instructions for (1) above are applicable. NC1-57-78-1

902-04 Common Depth Point (CDP) (Deep Penetration) Seismic Records Sections. Consists of records of deep penetration CDP Seismic Surveys which depict the configuration and depth of subsurface geological formations. These data are purchased from data contractors or obtained under MMS permits or applications for permit to drill in support of the hazards report. They are used primarily to support the identification and evaluation of the mineral potential of subsurface formations for block evaluation. Arrange by type and scale, i.e., full-scale and half-scale bright spot record sections, and thereunder by adjacent State, company, area surveyed, and line number.

a. Vellum or Sepia/Film Masters.

Permanent. Cut off at close of fiscal year in which related lease sale is conducted. Hold 15 years and transfer to FRC. Offer to National Archives 75 years after cutoff. Volume 3, B56 cubic feet. Annual accumulation 196 cubic feet.

b. Blackline Sepia Paper Prints.

Cut off at close of fiscal year in which related lease sale is

conducted. Destroy 15 years after cutoff or when no longer needed for reference, whichever is earlier. EXCEPT: If additional significant interpretive data are added to these copies and not placed on the master, disposal instructions for "a" above are applicable. NC1-57-78-1

902-05 Deep Seismic Shot-Point Location Maps Record Set. Official file copy of each of the base maps, usually at a scale of 1" = 4,000', which covers a majority of the blocked acreage showing the location of seismic shot points for CDP coverage. Includes contractor maps showing locations for individual contracts and MMS maps which summarize locations for all contract coverage. These maps are used as an index to available deep seismic record sections and as base maps for compiling detailed seismic interpretive maps. Arrange by adjacent State, survey area, company, and map number.

Destroy individual maps when all related seismic records have been destroyed or when no longer needed for reference, whichever is earlier. NC1-57-78-1

902-06 Seismic Velocity Data and Information. Consists of computer generated velocity plots and listings of velocity analyses relative to or derived from CDP seismic data. Includes velocity analysis plots and listings and power, frequency, and ancillary seismic plots and listings acquired from geophysical data contractors; Geophysical Interpretive Aid Package (GIAP) computer-generated plots and listings including velocity cross-reference, residual moveout, normal moveout and diffraction curve, frequency, transverse migration, detail time depth, and 2-D velocity plots, 3-D velocity logs, check shot and vertical seismic profile surveys and listings and associated velocity interpretation reports. This information is used in block evaluation, hazards analysis, and analysis of unitization proposals and other requests concerning producing structures.

a. Paper Originals or Originals Produced on Microfilm with No Paper Originals Such as Computer Output Microfilm.

Permanent. Transfer to FRC after microfilm is verified. If paper original is NOT microfilmed, cut off at close of fiscal year in which related lease sale is conducted. Transfer to FRC 15 years after cutoff, provided there is sufficient volume (at least 1 cubic foot). Offer to National Archives 75 years after cutoff. Volume 747 cubic feet. Annual accumulation 121 cubic feet.

b. Microfilm Reference Copies.

Destroy when superseded, obsolete, or no longer needed for reference. NC1-57-78-1

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- 902-07 Regional Seismic Interpretive Maps. Consists of regional seismic structure maps based on interpretive geophysical correlation of CDP seismic record sections and velocity data. These maps which show the types of structures such as salt domes, anticlines, synclines, faulting or stratigraphic traps are used in evaluating blocks offered for leasing. Arrange by adjacent State, survey area, and map number.
- a. Preliminary Maps Destroy upon receipt or completion of final drafted map.
- b. Final drafted maps.
- (1) Films or Master Copies. Permanent. Cut off at close of fiscal year in which related lease sale is conducted. Hold 25 years and transfer to FRC. Offer to National Archives 75 years after cutoff. Volume 100 cubic feet. Annual accumulation 20 cubic feet.
- (2) Other Copies. Cut off at close of fiscal year in which related lease sale is conducted. Destroy 15 years after cutoff or when no longer needed for reference, whichever is earlier. EXCEPT: If additional significant interpretive data are added to these copies and not placed on the master, disposal instructions for (1) above are applicable.
- 902-08 Detailed Seismic Interpretive Maps. Consists of sepia masters of seismic structure maps which are one product of the detailed prelease resource evaluation of each sale block. Two horizons and the base of reflecting section are usually mapped for each block or prospect. Arrange by lease sale number, geographical area, and prospect number. See Item 1002-02 for annotated prints of these maps included in prospect investigation case files. Permanent. Cut off at close of fiscal year in which related lease sale is conducted. Hold 25 years and transfer to FRC. Offer to National Archives 75 years after cutoff. Volume 187 cubic feet. Annual accumulation 36 cubic feet.
- 902-09 Magnetic and Gravimetric Survey Records and Maps. Consists of graphic representations of ~~measurements~~ obtained by gravimeter and flux-gates, nuclear, and proton-precession magnetometer surveys and magnetic and gravimeter anomaly maps based on this survey data. Cut off at close of fiscal year in which related lease sale is conducted. Hold 15 years and transfer to FRC. Destroy 75 after cutoff.
- 902-10 Geophysical Data Indexes. Consists of registers or logs used for organizing, cataloging, filing, and retrieving CDP and high-resolution seismic record sections, seismic shot-point location maps, seismic velocity data and information, regional and detailed seismic interpretive maps, and gravimetric and magnetic survey data and maps. Includes card indexes, descriptive lists, Destroy individual card or sheet when all items listed thereon have been destroyed or when no longer needed for reference, whichever is earlier. NCI-57-78-1

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shelf lists, and registers. May include copies of contractor shipment lists.

SECTION 3. WELL LOGS AND SAMPLE ANALYSIS RECORDS

The records described in this section consist of basic subsurface geological and geochemical information based on specialized tests and analyses of well cuttings and cores; recordings made during or after drilling of wells and test holes; and related records. These basic data are used in making correlations and performing stratigraphic studies, in identifying and measuring porosity and reservoir fluids, and in constructing geologic maps and cross-sections. See Items 705-11 and 705-12 for extra public information copies of informal and open-file material.

903-01 Well Samples. Includes, but is not limited to, cores and cuttings and thin sections of cores and cuttings submitted for examination.

a. Routine Wells.

Permanent. Cut off at close of fiscal year in which well is completed. Release to the public 2 years after completion. Hold 5 years and transfer to FRC. Offer to National Archives 25 years after cutoff. Volume 1101 cubic feet. Annual accumulation 2 cubic feet.

b. Prototype or Stratigraphic Test Wells in Frontier Areas.

Permanent. Cut off and release to the public 60 days after first lease sale of lands within 501 miles of test site or 10 years after test well is completed, whichever is earlier. Hold 5 years and transfer to FRC. Offer to National Archives 25 years after cutoff. Volume 1501 cubic feet. Annual accumulation 2 cubic feet.

903-02 Sample Control Files. Consists of intermediate controls, such as cards or worksheets, maintained to account for work pending and status of each sample analysis. These files do contain data duplicated in retained records.

Cut off when analysis of sample is completed. Destroy 6 months after cutoff. NCI-57-78-11

903-03 See item no. 903-06.

903-04 Petrographic Reports. Official file copy of descriptions based on detailed microscopic examinations and analyses of thin sections of cores and cuttings. Includes determinations of depositional environments, facies relationships, diagenesis properties, and reservoir rock characteristics.

Permanent. Review file at least annually to remove and place in inactive file reports which are superseded or obsolete. Cut off inactive file at close of fiscal year. Retire to FRC 15 years after cutoff or when no longer needed for reference, whichever is earlier, provided there is

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sufficient volume (at least 11 cubic foot). Offer to National Archives 75 years after cutoff. Volume 210 cubic feet. Annual accumulation 4 cubic feet.

903-05 Paleontological Reports. 1 Reports based on micropaleontological examination of washed well samples which identify zonal guide fossils by depth to establish the position of "tops" of successive biostratigraphic zones penetrated. These data are obtained from well completion reports submitted by operators, purchased from paleo data contractors, or prepared by MMS on the basis of samples submitted by operators. Data is used primarily in long-distance correlations using biostratigraphic zones and for constructing paleoenvironmental maps. Arrange by area, block, lease, and well number.

Review file at least annually to remove and place in inactive file at close of fiscal year.

a. Detailed Reports.

Permanent. Hold 15 years and transfer to the FRC. Offer to National Archives 75 years after cutoff. Volume 55 cubic feet. Annual accumulation 6 cubic feet.

b. Summary Reports.

Destroy 15 years after cutoff or when no longer needed for reference, whichever is earlier.

903-06 Logs. Consists of records made by well logging devices during or after drilling of wells and test holes which furnish reports of geologic formations and fluids penetrated. These logs yield information on lithologic characteristics, porosity saturation, density, and other data used in geological correlation of the strata from well to well and in detection and evaluation of possible productive horizons. Includes, but is not limited to, electrical logs, which record resistivities of subsurface formations and spontaneous potentials generated in the borehole; induction-electrical logs; laserlogs; micrologs; caliper logs; temperature logs; formation density logs; routine lithologic logs or descriptions of the geophysical properties of each formation penetration, and dip meters. Arrange by area, block, lease, and well number.

a. Record Set. Official file copy maintained by the Regional Office.

Permanent. Cut off and stamp "Expired" when lease has expired, relinquished, or terminated. Hold 25 years and transfer to the FRC. Offer to National Archives 75 years after cutoff. Volume 916 cubic feet. Annual accumulation 169 cubic feet.

b. Other Copies.

Cut off and stamp "Expired" when lease is canceled, relinquished, or terminated. Destroy 5 years

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after cutoff or when no longer needed for reference, whichever is earlier. NC1-57-78-1

903-07 Directional Surveys. Consists of surveys of directionally drilled finished hole of each well. These surveys measure the degree of departure from the vertical and the direction of departure of departure at various depths in the well. Arrange by lease number and thereunder by well number.

a. Record Set. Official file copy maintained in the Regional Office.

Cut off when lease is canceled, relinquished, or terminated. Hold 5 years and transfer to the FRC. Destroy 75 years after cutoff. NC1-57-78-1

b. Other Copies.

Cut off when lease is canceled, relinquished, or terminated. Destroy 5 years after cutoff or when no longer needed for reference. NC1-57-78-1

903-08 Well Log/ Card Index. These cards serve as an index to the various types of logs (electric, radiation, directional survey, etc.) available for each well for both active and expired leases. The cards show lease number, State, area, well number, block, company or operator, and types of logs/surveys available. Arrange by geographical area and thereunder by block number and well number.

Permanent. Retire to FRC 3 years after cutoff or when no longer needed for reference, whichever is earlier. Offer to National Archives 75 years after cutoff. Volume 6 cubic feet. Annual accumulation 1 cubic foot.

903-09 Geochemical Prospecting Survey Maps and Reports. Reports and maps based on geochemical analysis of light hydrocarbons from sea floor cores. Includes determinations of the hydrocarbon source quality, source type, and degree of thermal maturity of the sediments. Used in evaluating the hydrocarbon potential of the surveyed area.

Permanent. Cut off at close of fiscal year in which related lease sale is conducted. Hold 15 years and transfer to the FRC. Offer to National Archives 75 years after cutoff. Volume 44 cubic feet. Annual accumulation 4 cubic feet.

SECTION 4. GENERAL SUBSURFACE GEOLOGIC INTERPRETATIONS AND MAPS

The records described below are accumulated in the preparation of structural and stratigraphic reports, maps, and cross-sections to evaluate the hydrocarbon potential. They result from the compilation, correlation, and interpretation of subsurface geologic data and its coordination with interpreted geophysical data. These records have repetitive and multiple applications in support of Federal leasing programs. See Items 705-11, 705-12, and 705-13 for extra public information copies.

904-01 Geology Files. Consists of geological information on stratigraphy, general drainage, and general lease sale mapping, and reserve studies of individual fields. Includes subsurface

Permanent. Cut off at close of fiscal year in which report is completed. Release to informal and open file 10 years after

structural and stratigraphic maps and cross-sections, isopach maps, technical data, notes, and reports. Arrange by adjacent State, thereunder by area number and block number.

cutoff. Retire to the FRC 30 years after cutoff provided there is sufficient volume. Offer to National Archives 75 years after cutoff. Volume 8 cubic feet. Annual accumulation 1 cubic foot.

904-02 Tectonic and Stratigraphic Investigation and Mapping Project Files. These files relate to regional tectonic, stratigraphic, and paleontologic studies and mapping tied to known producing horizons. These investigations are based on the study subsurface information such as wireline surveys, paleo report, geophysical information, core analyses, and formation tests. They involve regional correlations and compilation of regional maps and cross-sections.

The objective of these studies is to compile regional geologic interpretations. These studies provide the regional subsurface knowledge to define areas most prospective for future lease sales; to determine criteria indicative of productive rocks; to support lease block selection and evaluation; and to aid in defining the age of specific reservoirs and determining reserves by age. Arrange by project identification.

Does not include subsurface studies conducted for lease sale environmental impact statements (see Item 1001-03), specific sale areas (see Item 1002-01), individual sale prospects (see Item 1002-02), or reservoir and field study mapping (see Items 1702-01 and 1702-02).

a. Project Case Files. Case papers reflecting continuing history of the project from initiation to completion. Includes papers authorizing the project and describing its scope, purpose objectives, and methodology; interim progress reports and correspondence; structural contour maps and cross-sections; paleoenvironment maps; stratigraphic cross-sections; and the final technical report or unpublished manuscript of report containing summary and conclusions of the study.

Permanent. Cut off at close of fiscal year in which project is completed. Release to informal and open file 10 years after cutoff. Retire to the FRC 15 years after cutoff or when no longer needed for reference, whichever is earlier. Offer to National Archives 50 years after cutoff. Annual accumulation 1 cubic foot. NC1-57-78-1

b. Study Workpapers. Consists of notes, draft reports, and preliminary or intermediate technical and scientific data created in establishing regional well log correlations, constructing regional cross-sections, and preparing regional maps. These data and work maps are duplicated in the final maps, cross-sections, and reports, or are of such a routine or fragmentary nature that they have neither evidential nor informational long-term value.

Cut off when project is completed. Destroy 3 years after cutoff. NC1-57-78-1

- 904-03 Stratigraphic Summary Well Reports. Consists of the official file copy of geological and operational summary reports on test wells. These reports are based on subsurface information obtained from deep stratigraphic testing operations conducted under geological exploration permits. Arrange by well locations. Permanent. Cut off when report is finalized. When related regional study is completed, consolidate with project case file and dispose in accordance with Item 904-02a. Volume 8 cubic feet. Annual accumulation 1 cubic foot. NCI-57-78-1
- 904-04 Sediment Analysis Study Files. These files relate to studies of productive trends. The objective of these studies is to establish and maintain a geologic framework for the area to support the evaluation of the potential of these rock studies which are used to determine prospective environments of deposition, facies in carbonate in carbonate reservoirs, to define and classify stratigraphic traps, to establish prospective trends in wildcat areas, to support lease block selection and evaluation, to identify and evaluate drainage blocks, to classify porosity and permeability type, pore geometry, and the diagenetic alteration of pore geometry for detailed reservoir analysis; and to aid in evaluating performance characteristics of carbonate reservoirs in different sedimentary facies. Arrange by type of study, e.g., carbonate analysis studies, location, and study title.
- a. Study Case Files. Includes papers authorizing the study and describing its scope, purpose, objectives, and methodology; interim progress reports and correspondence; final carbonate maps and cross-sections; final study report containing summary and conclusions; and related papers and correspondence of value to the historical account of the project. Permanent. Cut off when study is completed. Release to informal and open file 10 years after cutoff. Retire to FRC 15 years after cutoff or when no longer needed for reference, whichever is earlier. Offer to National Archives 50 years after cutoff. Volume 36 cubic feet. annual accumulation 3 cubic foot. NCI-57-78-1
- b. Study Workpapers. Includes preliminary or intermediate technical and scientific data which are duplicated or adequately summarized in the final report and minor administrative papers collected during the study but not necessary to an adequate history of the study. Cut off when study is completed. Destroy 3 years after cutoff. NCI-57-78-1
- 904-05 Sediment Analysis Summary Well Reports. Consists of the official file copy of well reports including geological interpretations and summary of operational data. Reports are based on analysis of conventional cores and thin sections of cores from wildcat test drilling operations. Arrange by lease number and thereunder by well number. Permanent. Cut off when report is finalized. When related regional study is completed, consolidate with related study case file and dispose in accordance with Item 904-04a. Volume 1 134 cubic feet. Annual accumulation 5 cubic foot. NCI-57-78-1

CHAPTER 10. MINERAL LEASE SALES RECORDS

The records described in this chapter are created and accumulated in planning, conducting and evaluating mineral lease sales.

SECTION 1. LEASE SALES ACTIVITY RECORDS

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|---------|--|--|
| 1001-01 | <u>Summary Geologic Reports.</u> Official file copy of each prenomination summary geologic report on the geology and potential mineral resources of the area to be included in a lease sale. Maintained by office responsible for preparation of report. These reports are prepared for use in selection of specific blocks to be offered for lease. Arrange by lease sale name or number. | Cut off at close of fiscal year in which sale is conducted. Destroy 10 years after cutoff. NC1-57-78-1 |
| 1001-02 | <u>Block Nomination Files.</u> Documents accumulated in reviewing nominations of blocks for leasing. Includes industry nominations and requests describing areas and expressing an interest in leasing, abstracts of nominations showing name of company and block number nominated, and index maps which summarize all nominations and recommendations for selection. Arrange by lease sale name or number. | Cut off at close of fiscal year in which lease sale is conducted. Destroy 5 years after cutoff. NC1-57-78-1 |
| 1001-03 | <u>Sale Environmental Impact Statement Files.</u> Scientific and technical documents accumulated in the preparation of draft and final Environmental Impact Statements (EIS's). Includes geologic summary reports and geologic framework descriptions; resource reports as to the possible effects of leasing on the total environment; detailed analyses on a block-by-block basis of any possible adverse impacts on the environment; papers related to public hearings on draft EIS's; and related papers and correspondence. Arrange by lease sale name or number. | |
| | a. <u>Major Environmental Analysis Case Files.</u> Consists of data and proposed plans of action submitted by lessees, permittees, and operators on the impact of proposed lease operations; checklists; analyses and reports and correspondence with lessee/permittee/operator and other Federal Agencies. These plans are selected for detailed analysis because of the magnitude and importance of proposed activities on the environment. Maintained by the office responsible for environmental analysis and arranged by location and principal. | Cut off at close of fiscal year in which the lease sale relating to the final Environmental Impact Statement is held. Place in inactive file after compliance with environmental regulations has been determined. Cut off inactive file at the close of the fiscal year. If volume is sufficient, transfer to FRC 3 years after cutoff. Destroy 20 years after cutoff. |
| | b. <u>Minor Environmental Analysis Case Files.</u> Consists of data and proposed plans of action submitted by lessee/permittee/operator; analyses of proposed plans; and correspondence with other Agencies and the lessee/permittee/operator. Maintained by the office responsible for environmental analyses and arranged by location and principal. | Place in inactive file after compliance with environmental regulations has been determined. Cut off inactive file at the close of the fiscal year. Destroy 3 years after cutoff. |

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1001-04 Lease Sale Activity History Files. Consists of general information regarding each lease sale from block selection phase through the acceptance or rejection of bids. Includes, but is not limited to, lists of blocks, copies of notices published in the Federal Register regarding the sale; reports on assignment of responsibility and status of detailed block evaluations; papers related to prices, interest rates, and tax figures to be used in evaluations; block evaluations; block evaluation estimates; copies of bid recaps and statistical summaries; recommendations for the acceptance or rejection of high bids together with supporting geologic, geophysical, and engineering information; reports on sale results; and related papers and correspondence. Arrange by lease sale number. If volume warrants, subdivide by category as appropriate.1

a. Regional Office.

Cut off at close of fiscal year in which final determinations of bid acceptance/rejection are made. Hold 10 years and transfer to FRC provided there is sufficient volume (at least 1 cubic foot). Destroy 20 years after cutoff. NC1-57-78-1

b. Other Copies.

Cut off at close of fiscal year in which final determination of bid acceptance/rejection is made. Destroy 3 years after cutoff. NC1-57-78-1

SECTION 2. BLOCK EVALUATION FILES

Documents accumulated by marine evaluations geologists, geophysicists, and petroleum engineers in preparing detailed estimates of the value of oil and gas on each block to be included in the sale. While these data are created in connection with a specific sale, this information has repetitive and multiple applications in support of lease management operations and future lease offerings.1

1002-01 Lease Sale Area Geologic and Geophysical Information Files. Consists of technical data, reports, and interpretive maps prepared for a specific lease sale which pertain to the offered area in general rather than to individual prospect or group of prospects.

Cut off at close of fiscal year in which final determinations of bid acceptance/rejection are made. Retire to FRC 30 years after cutoff or when reference needs have been exhausted or sufficiently minimized, whichever is earlier. Destroy 75 years after cutoff.

1002-02 Prospect Investigation Case Files. Following the announcement of blocks to be included in a lease sale, the blocks are grouped into prospects on the basis of seismic/structural information. These files contain the results of detailed

geophysical, geologic, and engineering investigations of individual prospects for presale evaluation of blocks selected for leasing. Includes geophysical investigation report discussing all phases of the seismic/structural evaluation in detail and velocity study data, if available; geologic evaluation report containing concise information on the paleontologic conditions, sand conditions, and structural aspects of the prospect based on data from selected wells in the vicinity of the prospect or based on model fields; reservoir engineering report containing estimates of the range of values and likelihood for occurrence of each value for basic engineering and economic parameters for expected reservoirs; final drafted (in some instances, manuscript) seismic structure maps annotated to show estimated thickness, distribution, and depths of reasonably expected reservoirs, area figures of acres, well data, bright spots, and special notes. Usually arranged by lease sale name/number, thereunder by area, then prospect number.

a. Regional Office.

Cut off at close of fiscal year in which final determinations of bid acceptance/rejection are made. Retire to FRC 30 years after cutoff. Destroy 75 years after cutoff.

b. Other Copies.

Cut off at end of fiscal year. Destroy 10 years after cutoff or when no longer needed for reference, whichever is earlier. NCI-57-78-1

1002-03 Prospect Evaluation Work Papers. Consists of preliminary or intermediate geophysical, geological, and engineering data which are duplicated or adequately summarized in final reports or maps filed in Prospect Investigation Case Files arranged by lease name, number, area, or prospect names.

Cut off at close of fiscal year in which final determinations of bid acceptance/rejection are made. Destroy 3 years after cutoff. NCI-57-78-1

1002-04 Prospect Investigation Files Card Index. These cards serve as an index to the contents and coverage of "prospect folders." One set of cards is arranged by sale name/number and thereunder by prospect number and shows the types of technical reports and maps available for each prospect. Another set is arranged by block number and lists the prospects included in that block.

Destroy individual card when all items listed thereon have been destroyed or when no longer needed for reference, whichever is earlier. NCI-57-78-1

1002-05 Lease Sale Prospect Index Maps. Consists of base maps covering the sale area which are annotated to show prospect numbers, and if applicable, numbers of 1" - 4,000' sale base maps.

Transfer to the FRC with related Prospect Investigation Case Files and dispose in accordance with Item 1002-02a. NCI-57-78-1

- 1002-06 Lease Sale Prospect Block Evaluation Report Files These files consist of computer printouts containing descriptive and statistical data on presale economic evaluation and risk analysis for blocks to be offered in upcoming lease sales. Reports are generated by a model (such as the Monte Carlo Range of Values System) for manipulation of geologic, engineering, and economic data to establish the fair market value of lands offered for competitive leasing. Includes lease sale evaluation reports, plots of cumulative distribution frequency, evaluations of the most probable case, summary estimated reserves, and summary presale values by prospect and block. Information is used initially in determining presale values of blocks and thereafter in postsale evaluation reviews and analyses and in planning future lease sales. Arrange by lease sale name or number, thereunder by report title.
- Cut off at close of fiscal year in which final determinations of bid acceptance/rejection are made. Hold 5 years and transfer to the FRC. Destroy 25 years after cutoff.

SECTION 3. POSTSALE EVALUATION RECORDS

- 1003-01 Lease Sale Bid Recap and Sale Summary Report Files Computer printouts containing descriptive and statistical data on bids submitted by industry in response to lease sales and presale values. Includes bonus bid recap reports by area and block, highest bid, and prospect number; sale summaries by prospect block values and bids; and summaries of block receiving bids. Information is used in making recommendations on acceptance or rejection of bids, in postsale evaluation reviews, and in planning future lease sales. Arrange by lease sale name or number, thereunder by report title.
- Cut off at close of fiscal year in which final determinations of bid acceptance/rejection are made. Destroy 5 years after cutoff. NCL-57-78-1
- 1003-02 Postsale Analysis Files Documents accumulated in comparing block evaluation techniques and estimates with sale results and subsequent drilling results. Includes, but is not limited to, such items as reports on comparisons of presale estimates with high, mean, and median bids with individual company bids; comparisons of presale estimates and sale results with results of exploratory drillings; correlation of "Bright Spot" data with bids and drilling results. Arrange by lease sale name or number.
- a. Study Case Files Includes papers requesting the analysis and describing study objectives; intermediate progress reports and correspondence; and preliminary and final reports presenting the results of the postsale analysis.
- Permanent. Cut off when study is completed. Hold 5 years and retire to FRC provided there is sufficient volume (at least 1 cubic foot). Offer to the National Archives 20 years after cutoff. Volume 8 cubic feet. Annual accumulation 1 cubic feet. NCL-57-78-1
- b. Study Paper Files Consists of papers accumulated in the collection of data for postsale analysis which are duplicated or adequately
- Cut off when study is completed. Destroy 3 years after cutoff. NCL-57-78-1

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summarized in the final report and minor administrative papers not necessary to an adequate history of the study.

CHAPTER 11. LEASE MANAGEMENT RECORDS

The leasing office issues leases of oil, gas, sulphur, and other minerals. After lease issuance, the MMS is responsible for collection of rents and royalties and supervision of lease operations up to relinquishment. The records described in this chapter document lease management activities in general rather than any one specific lease management function (e.g., supervision of production operations or royalty management). Lease management project files include bond decisions, lease instruments, assignments, and designation of operator, reports of operations, field development case files, base maps, appeals case files, power of attorney records, and related records. THE OFFICIAL FILE COPIES OF THESE RECORDS MUST BE MAINTAINED BY THE REGIONAL OFFICE CENTRAL FILE ROOM.

Proprietary Data and Information Proprietary information/data includes electric logs, core descriptions and analyses, seismic record sections, and other geological, geophysical and engineering information, maps, reports, and correspondence based on or containing proprietary information that is not available to the public. This data is furnished by industry sources to the MMS in compliance with the terms of lease permits, regulations, and contracts. PROPRIETARY DATA IS NOT AVAILABLE TO THE PUBLIC. SEE CHAPTER 7, SPECIAL INSTRUCTIONS.

The lease operator is required to furnish two copies of each drilling/production form and/or report to the regional office. One copy of the form or report should be marked by the operator in such a manner as to block out any proprietary information/data which may be contained on the form or report. This marked-up copy should be stamped or noted as "Public Information" by the operator. The public information copy should be made available to the general public. The other copy of the form or report should be placed in the appropriate lease file in the Central File Room. THIS COPY IS NOT AVAILABLE TO THE PUBLIC. The records contained in this chapter may be microfilmed. Destroy paper 4 months after verification of microfilm. Microfilmed records to be filmed in accordance with Chapter 6, Micrographics, and CFR 101-11.5. The maintenance and disposal instructions are the same as provided for paper copies as outlined in this chapter.

SECTION 1. LEASE RECORDS

1101-01	<p><u>Undeveloped Lease Files</u> Consists of copies of lease instruments and related correspondence on leases for which no plan of development, plan of exploration, or Form MMS-331C, Application for Permit to Drill, Deepen, or Plug Back, has been</p>	<p>Transfer to lease management project file when Form MMS-331C, or equivalent, is received. Cut off undeveloped leases</p>
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received1 Arrange numerically by lease number1 in 5 year blocks1 Destroy
10 years after cutoff1
Cut off inactive file at
close of fiscal year1

1101-02 Lease Management Project Files1 Consists of records which document supervision of activities on a specific lease and the wells drilled on that lease1 THESE DETAILED CASE FILES REPRESENT ONE OF THE LARGEST AND MOST IMPORTANT FILE GROUPS1 Thus, these files must be carefully arranged and maintained1 All project file material is arranged first by lease name or number1

a. Lease History Files1 Consists of records which reflect a continuing history of each lease from issuance to relinquishment1 Because of the quantity of material accumulated on most active leases, standardized breakdowns have been established1 Subdivide as follows if volume warrants:

(1) Lease Instrument File1 This file consists of lease instrument or equivalent; may include copy of State lease; lease transmittal; legal documents such as powers of attorney; decisions or memoranda concerning bonds or bond coverage; cross agreements with the State on disputed lands; designations of operator or agent; assignment of lease interest; mergers or name changes; rights-of-way, use, or easement; suspension of production; expiration, termination, cancellation, or relinquishment of part or all of the lease1

(2) Lease Plan of Exploration and Plan of Development and Production1 Applies to leases issued since 19701 Consists of operator's plan of development and/or exploration; transmittal letters; MMS approval; reports on progress of plan; and supporting geologic and engineering reports and data including maps, surveys, and plats1 Plans are revised periodically and several may be contained in the file for a single lease1

(3) Lease Operations File. Contains documents relating to the operations of the lease1 Includes documents on secondary and tertiary recovery and pressure maintenance operations, requests and recommendations for field rules, requests for waivers1 Documents which pertain to lease operations and structures (waivers for well operations are filed under Item 1101-02b) departure reports, confirmations of incidents of noncompliance, suspension of operation and production1

(4) Lease Rental, Minimum Royalty and Royalty File1 Consists of documents and correspondence relating to payment of the rentals and minimum royalties1

(a) Regional Office1

Cut off at close of fiscal year1
Transfer to FRC 5 years after

cutoff. Destroy 75 years after cutoff.

(b) Other Copies.

Destroy 5 years after cutoff.
NC1-57-78-1

b. Well Files. Consists of material documenting supervision of operations for each individual well drilled on the lease. Includes, but is not limited to, Form MMS-331C; Form MMS331, Sundry Notices and Reports on Wells; Form MMS-330, Well-Completion or Recompletion Report Log; geologic and engineering data supporting operator submittals, such as sidewall core analyses, formation tests, bottom-hole pressure test reports, well potential reports, packer tests; maps, plats, specifications, and drawings pertaining to individual wells; documents reflecting geologic, geophysical, and engineering review and evaluation of operator submittals; requests and approvals of waivers which pertain to an individual well number. See Items 903-01 through 09 of this handbook for well sample logs and reports, wireline survey logs, and directional surveys.

Place in inactive file when lease is terminated. Cut off inactive file at close of fiscal year.

(1) Regional Office.

Cut off file when lease is terminated. Retire to FRC 3 years after cutoff or when no longer needed for reference, whichever is earlier. Destroy 75 years after cutoff.

(2) Other Copies.

Destroy 5 years after cutoff except that technical data and reports of continuing usefulness for future research may be retained as nonrecord reference material until no longer needed. NC1-57-78-1

c. Bond Files. Consists of lists of State and nationwide bonds, decisions regarding bonds, and correspondence. 1 Arrange alphabetically by company name. This material is sometimes filed in the appropriate lease/permit case in the history file (Item 1101-02a).

Place in inactive file when lease is terminated. Cut off inactive file at close of fiscal year. Destroy 1 year after cutoff.

d. Power of Attorney Files. Consists of changes to general and special powers of attorney and related correspondence. This material is sometimes filed in the appropriate lease/permit case history file.

Destroy when superseded, obsolete, or no longer needed for reference.

1101-03 Lease/Block Cross-Reference Card Index File. Card indexes used to cross-reference well numbers to American Petroleum Institute (API) well numbers and block numbers, etc. May also include other information such as lease operations data and well log availability.

Destroy when superseded, obsolete, or no longer needed for reference. NC1-57-78-1

- 1101-04 Lease Record History Card File. Consists of 1 card forms containing concise summaries of lease information: lessee's location, term of the lease, State lease number (if any), rental royalty rates, interests of multiple owners, lease stipulation, and drilling and production data. Maintain in binders by lease name and number. Destroy when superseded, obsolete, or no longer needed for reference. NC1-57-78-1
- 1101-05 Lease Monthly Report of Operations. Oil and Gas Operations Report (OGOR) MMS-5054, or equivalent, and ADP-generated facsimiles containing information on lease operations, individual well status and production, disposition of gas, and runs and sales of lease products. Used in monitoring lease operations and production (including drilling and producing wells), and engineering studies. Arrange by lease number and thereunder chronologically by month.
- a. Regional Offices. Cut off at close of fiscal year. Retire to FRC 3 years after cut-off. Destroy 7 years after cut-off.
- b. Other Copies. Cut off at close of fiscal year. Destroy 3 years after cutoff. NC1-57-78-1

SECTION 2. OIL AND GAS FIELD RECORDS

- 1102-01 Oil and Gas Field Development Case Files. Consists of correspondence and technical information which pertains to an oil and gas field or to a group of leases in a field rather than to any specific lease. May include information regarding fields in State-owned zones. Includes documents regarding drilling and production operations on the field in general; notices of State hearings; field plans of development; operator requests to establish, extend, or revise field drilling rules which govern development of a field; correspondence regarding the annual review of field rules; documents reflecting the review of proposed field rules; copies of published field drilling rules and revisions; geologic and engineering reports and maps submitted in support of proposed field rules or revisions; pressure profiles; and structural information. See Chapter 17 for MER field/reservoir data, field/reservoir studies, and unit geology and engineering data. See Item 1200-01 for the record set of field drilling rules.
- a. Regional Office. Cut off every 5 years at close of fiscal year. Hold 10 years and retire to FRC. Destroy 25 years after cutoff. NC1-57-78-1

b. Other Copies.

Review at least annually to destroy documents which are no longer needed for local reference. NCI-57-78-1

SECTION 3. BASE MAPS AND FINDING AIDS

The records described in this section consist of base maps (noncontour maps) prepared at various scales of blocked acreage and related records. Does not include geophysical and geologic interpretative maps and cross-sections prepared for lease sale evaluations or for special studies or projects. The word "published" as used in this section means reproduction by printing, photographic, and other methods in multiple whether for limited or general distribution. Includes, but is not limited to, the following types of base maps.

-- Oil and Gas Field Maps. These maps, which cover all leased acreage, are in two scales: 1" = 1,000' (one lease block) maps showing detailed drilling information (e.g., platform and well locations and other data plotted from sundry notices on wells, well completion reports, new producible lease notices, etc.); and 1" = 2,000' (nine lease blocks) maps showing units and pipelines. Maintain in binders arranged

by field. See Item 1200-05 for prints of the maps.

-- Lease/Well Data Maps. These base maps at various scales show leases and wells, and, in some cases, zone lines and fairways. Data is plotted from sundry notices on wells, well completion reports, new producible lease notices, directional surveys, etc. The 1" = 4,000' base maps are overlaid with CDP seismic shot-point location base maps (see Item 902-05) to produce work maps used in detailed block evaluations. Arrange by adjacent State and thereunder by map number.

-- Oil and Gas Development Maps. These base maps, at a scale of 1" = 20,000', summarize all nonconfidential engineering data, i.e., areas, blocks, zones, lease platforms, pipelines, fairways, units, fields, and court decision lines for disputed areas. Prints of these maps are colored and annotated for use as finding aids and indexes. Prints are prepared by commercial reproduction firms for MMS, other Government Agencies, and for sale to the public.

-- Base Maps (1" = 40,000' and 1" = 80,000'). These base maps, one at each scale for blocked acreage, show blocks, leases, zone lines, and fairways. These are used as base maps in preparing graphic indexes and trend maps.

- 1103-01 Manuscript Maps. Consists of the master manuscript of each base map maintained and updated by organizational units responsible for drafting and cartographic support. For the most part, data shown on these maps are cumulative, i.e., the map is never "completed" so long as lease activities continue in the area covered by the map.1 Permanent. Cut off when map is redrafted or completed. Transfer to FRC 15 years after cut-off. Offer to the National Archives 20 years after cut-off. Volume 10 cubic feet. Annual accumulation 1 cubic foot.
- 1103-02 Published Base Map Record Set. One copy of each edition, revision, or variant of each printed or otherwise reproduced map. Maps in this set will be distinctly marked "Record Set" and will not be charged out. Permanent. Cut off when published. Transfer to FRC 3 years after cutoff. Offer to National Archives 20 years after cutoff. Volume 16 cubic feet. Annual accumulation 4 cubic feet.
- 1103-03 Other Base Map Copies. Consists of reference and working copy prints of base maps which are not described elsewhere in these schedules. Destroy when superseded, obsolete, or no longer needed for reference. NCI-57-78-1
- 1103-04 Graphic Indexes and Finding Aids. Includes graphic indexes (usually base maps) which indicate the coverage of each map of an area covered by several maps; finding aids, such as card indexes and descriptive lists; and similar records not otherwise described in these schedules. Permanent. Dispose of in accordance with instructions for records to which they relate. EXCEPT: Indexes to permanent records may be retained permanently in inactive files area as a finding aid after records to which they relate are transferred to FRC. Offer to the National Archives when the records to which they relate are offered. Volume 10 cubic feet. Annual accumulation 2 cubic feet.
- 1103-05 Official Protraction Diagrams. Reproducible and paper prints which show blocked acreage for lease sale. Permanent: Place in inactive file when lease is terminated. Cut off inactive file at close of fiscal year. Transfer to FRC 5 years after cutoff. Offer to National Archives 20 years after cutoff. Volume 12 cubic feet. Annual accumulation 4 cubic feet. NCI-57-78-1

SECTION 4. RESERVED.

SECTION 5. COASTAL ZONE MANAGEMENT (CZM)11

The file described below pertains to the formulation, review, and implementation of local and and State CZM plans.

- 1105-01 Coastal Zone Management. Documents accumulated and plans developed by State and local areas including correspondence and similar material regarding review and implementation. Subdivide by State, territories, sanctuaries, if volume warrants. Destroy when CZM plan is superseded, obsolete, or and no longer needed for reference.

Chapter 12. DRILLING OPERATION RECORDS

The records described in this chapter are accumulated as part of the inspection and monitoring of drilling operations. Included in this chapter are official copies of field drilling rules; reports of the status of drilling operations and engineering development of individual wells; and field plats showing the locations of drilling activities.

Proprietary Data and Information: Proprietary information/data includes electric logs, core descriptions and analyses, seismic record sections, and other geological, geophysical and engineering information, maps, reports and correspondence based on or containing proprietary information that is not available to the public. This data is furnished by industry sources to the MMS in compliance with the terms of lease permits, regulations, and contracts.
 PROPRIETARY DATA IS NOT AVAILABLE TO THE PUBLIC.
 SEE CHAPTER 7, SPECIAL INSTRUCTIONS.

- | | | |
|---------|---|---|
| 1200-01 | <u>Field Drilling Rules Records Set.</u> Consists of the official file copy of each set of drilling rules and revised rules published. This schedule applies to the master set maintained by the unit responsible for issuing field drilling rules. Arrange by State and thereunder by area, field name, then depth. See Item 1102-01 for material on development of field drilling rules. | Place in inactive file when canceled or superseded. Cut off inactive files in 5-year blocks. If sufficient volume accumulates (at least 1 cubic foot), retire to FRC 3 years after cutoff. Destroy 20 years after cutoff. |
| 1200-02 | <u>Drilling Rig Inspections.</u> Consists of inspection reports from detailed rig inspections, random rig inspections, workover rig inspections, incidents of noncompliance, requests for waivers, approvals and departure reports pertaining to rigs, copies of waiver approvals and departure reports pertaining to wells. Usually arranged by company and rig. | Cut off at close of calendar year in which the rig leaves the district. Destroy 1 year after cutoff. |
| 1200-03 | <u>Daily/Weekly Drilling and Progress Reports.</u> Consists of reports submitted by operators on the status of drilling operations. Used to check progress on operations and to prepare periodic statistical reports. Usually arranged by company and lease. | Cut off at close of fiscal year. Destroy 1 year after cutoff.
NC1-57-78-1 |
| 1200-04 | Reserved. | |
| 1200-05 | <u>Field Plats and Lease Maps.</u> Consists of field plats and lease maps which show the locations of platforms, zones, and wells. The surfacer locations, bottomhole locations, depth, and side blocks are detailed on these maps. Field plats are usually on a 1" = 1,000' scale showing a single block or a 1" = 2,000' scale showing a 9-block area. Lease maps are usually on a 1" = 200' or 1" = 300' scale. Field plats are prepared from data on the Forms MMS-330, -331, and | Destroy when superseded, obsolete, or no longer needed for reference. NC1-57-78-1 |

-331C. These are usually arranged by area and block or lease. See Items 1103-01 through -05 for other copies of base maps and finding aids.

- 1200-06 Well Location Log. Consists of cross-section card files which show the location of wells by area, block, well number, State or lease number, and summary of well history. Usually arranged by area, block, and well number. Destroy when no longer needed for reference. NC1-57-78-1
- 1200-07 National Gas Policy Act (NGPA). Consists of applications and determinations made by the Federal Energy Regulatory Commission. Includes final determinations. Arrange by case number. Destroy when superseded, obsolete, or no longer needed for reference.

CHAPTER 13. SUPERVISION OF PRODUCTION OPERATIONS RECORDS

The records described in this chapter are accumulated in the supervision of production operations. The records relate to the testing of oil and gas wells, establishing rates of production, and monitoring rates of production. Included are reports submitted by operators and lessees, internally prepared documents, and documents containing confidential and proprietary data. See Items 705-01 through 05 for copies of nonproprietary data documents maintained for public information purposes.

Proprietary Data and Information: Proprietary information/data includes electric logs, core descriptions and analyses, seismic record sections, and other geological, geophysical and engineering information, maps, reports and correspondence based on or containing proprietary information that is not available to the public. This data is furnished by industry sources to the MMS in compliance with the terms of lease permits, regulations, and contracts. PROPRIETARY DATA IS NOT AVAILABLE TO THE PUBLIC. SEE CHAPTER 7, SPECIAL INSTRUCTIONS.

SECTION 1. PRODUCTION RATE FILES

The records described in this section pertain to the establishment of Maximum Efficient Rate (MER) for reservoirs and Maximum Production Rates (MPR) for wells and to the monitoring of production rates. These rates are based on requests from operators and well tests and other data submitted in support of the requests. The monitoring function records consist of established rates and production totals prepared from data submitted on operators reports.

1301-01 Quarterly Oil Well Test Report (Form MMS-1869). Consists of this form or equivalent and related correspondence. The results of tests are used to monitor the production rates of oil wells. Arrange by lease, well, field, block, and operator.

a. Regional Office.

Cut off at close of fiscal year.
Destroy 4 years after cutoff.
NC1-57-78-1

b. Other Copies.

Cut off at close of fiscal year.
Destroy 2 years after cutoff.
NC1-57-78-1

1301-02 Semiannual Gas Well Test Report (Form MMS-1870). Copies of this form or equivalent and related correspondence and attachments. Test results used to monitor production rates of gas wells. Arrange by lease, well, field, block, and operator.

a. Regional Office.

Cut off at close of fiscal year.
Destroy 4 years after cutoff.
NC1-57-78-1

b. Other Copies.

Cut off at close of fiscal year.
Destroy 2 years after cutoff
NC1-57-78-1

1301-03 Multi-Point Back Pressure Tests. Consists of reports submitted by operators which show the results of tests to determine the theoretical open flow potential of gas wells. Submitted within 30 days after a well is connected to a pipeline. Arrange by lease, well, field, block, and operator.

a. Regional Office.

Place in inactive file when superseded or obsolete. Cut off inactive file at the close of the fiscal year. Destroy 4 years after cutoff. NC1-57-78-1

b. Other Copies.

Place in inactive file when superseded or obsolete. Cut off inactive file at the close of the fiscal year. Destroy 2 years after cutoff. NC1-57-78-1

1301-04 Monthly Report of Reservoir Over-Production. Consists of reports submitted by operators indicating the amount produced from a reservoir in excess of the established maximum efficient rate. The report should include the reservoir, location, rate, volume of overproduction, and the time period. Also contains operator's notification that production from the overproduced reservoir has been balanced with the established MER. Form MMS-1866 has been established for this report. Arrange by operator.1

Place in inactive file when production from an overproduced reservoir has been balanced. Cut off the inactive file at the close of the calendar year. Destroy 4 years after cutoff. NC1-57-78-1

1301-05 Approved Maximum Efficient Rates for Reservoirs and Maximum Production Rates for Wells. Consists of computer printouts or equivalent which show the location by State, area, block, operator, field, and lease; number of reservoirs and wells; the MER for reservoirs; and the MPR for wells. Data is used to monitor production to ensure economic development and depletion of reservoirs. The report is available to the public. It is published on a quarterly basis.

a. Regional Office.

Cut off at the close of the fiscal year. Destroy 4 years after cutoff. NC1-57-78-1

b. Other Copies.

Destroy when superseding print-out is received. NC1-57-78-1

1301-06 Quarterly Over/Under Production Reports. Consists of quarterly computer printouts showing the production of crude oil and gas for each

Cut off at the close of the fiscal year. Destroy 4 years after cutoff. NC1-57-78-1

well and the approved MPR. Report is used to balance quarterly production and is arranged by operator.1

- 1301-07 Maximum Efficient Rate--Maximum Production Rate Reports. Consists of computer printouts showing the approved MER/MPR, volume of production and the volume of over and under production. The data is arranged by individual well and reservoir. These files are used to monitor production levels and for quarterly balancing of production to approved rates. Maintained by the office with responsibility for production control.
- a. MER/MPR Monthly File. Monthly printout showing the production data for the month. Cut off at close of reporting period. Destroy 6 months after cutoff.
- b. MER/MPR Quarterly File. Quarterly printout showing production for current quarter and one previous quarter. Cut off at close of reporting period. Destroy 6 months after cutoff. NC1-57-7B-1
- 1301-08 MER/MPR Change Reports. Consists of monthly computer printouts showing changes to the approved MER/MPR rates. Data is arranged by individual well and reservoir. Maintained by office with responsibility for production control. Retain until a quarterly approved MER/MPR report is received. NC1-57-78-1
- 1301-09 Quarterly Balancing Reports. Consists of computer printouts produced quarterly showing over or under production of reservoirs on an exception basis. Used to check actual production against approved production rates and to advise operators of the need to balance quarterly production as required. Data arranged by individual well and reservoir. Cut off at the close of the fiscal year. If sufficient volume accumulates, retire to FRC. Destroy 10 years after cutoff. NC1-57-78-1
- 1301-10 Monthly Producing Well Files. Consists of documents or printouts which show the number of producing wells by operator, area, and State. Data is arranged by operator. Destroy when superseding report is received. NC1-57-78-1
- 1301-11 Production Control Studies File. Consists of documents and printouts regarding special studies of production control rates. Includes papers authorizing the study, describing its scope and objectives, intermediate progress reports and correspondence, and the finished report. Arrange by lease and well number. Place in inactive file at the close of the fiscal year in which the study is completed. Cut off inactive files in 5-year blocks. If volume is sufficient, retire to FRC 3 years after cutoff. Destroy 20 years after cutoff. NC1-57-7B-1
- 1301-12 Gas Flaring Reports. Consists of monthly computer printouts which show the volume of gas flared. Prepared from the gas disposition data on the Monthly Report of Operations, or equivalent, it is used to monitor and control the volume of gas flared. Data is arranged by operator/lease number. Cut off at the close of the fiscal year. Destroy 2 years after cutoff. NC1-57-78-1

- 1301-13 Production Files. Consists of monthly printouts or other documents showing the production of crude oil and gaswell gas taken from the Monthly Report of Operations or equivalent.1 Destroy when superseding print-out is received. NC1-57-78-11
- 1301-14 Clearance Files. Consists of monthly printouts listing approvals of requests to test wells for increased MPR. Data is arranged by individual wells. Maintained by the office with responsibility for production control. Destroy when superseding report is received. NC1-57-78-1
- 1301-15 Lease Disposition-All Products. Consists of monthly computer printouts which show the monthly disposition of products by lease offerings of oil, condensate, gas and gas used for fuel, flared, or injected. Leases are identified by operator, area, and field. Prepared from data submitted on the Monthly Report of Operations or equivalent. Data is arranged by lease number. Cut off at the close of the fiscal year. Destroy 2 years after cutoff. NC1-57-78-1
- 1301-16 Lease Disposition-Oilwell Gas and Gaswell Gas. Consists of monthly computer printouts showing the disposition of oilwell gas and gaswell gas by lease. The total disposition and the volume of gas sold, flared, vented, injected, and used for fuel are listed. Data is arranged by lease number. Cut off at the close of the fiscal year. Destroy 2 years after cutoff.
- 1301-17 Summary Sales by Lease. Monthly computer printout showing the location of the lease, operator, accumulation of offerings by product, dates of accumulation. Compiled from data reported on the Oil and Gas Operations Report (OGOR)1 MMS-4054 or equivalent. Destroy when superseding report is received. NC1-57-78-1
- 1301-18 Individual Well Production. Consists of monthly printout reports or other documents which show the production of oil, condensate, oilwell gas, gaswell gas, and water produced during the month by individual wells. The data is arranged by well number, operator, lease field, and block. Cut off at the close of the fiscal year. Destroy 2 years after cutoff. NC1-57-78-1
- 1301-19 Shut-In Wells Report. Monthly printout report or other document showing the well number, operator, location, and cause of well shut-in. Destroy when superseding report is received. NC1-57-78-1
- 1301-20 Well Potential Tests Reports (Form MMS-1868). Consists of reports submitted by operators which show the results of production tests of wells. Used to establish or increase an oil or gas well MPR. Arrange by lease/well number.
- a. Regional Office. Cut off at the close of the fiscal year. Destroy 4 years after cutoff. NC1-57-78-1
- b. Other Copies. Cut off at the close of the fiscal year. Destroy 2 years after cutoff. NC1-57-78-1

SECTION 2. OCS PRODUCTION MEASUREMENT FILES

The records described in this section pertain to the measurement of production at the lease and as it is transported via pipeline and barging systems. Included in these files are approvals for automatic custody transfer units, pipeline and barging system records, and reports on tests to determine the accuracy of production measurement equipment.

- | | | |
|---------|--|--|
| 1302-01 | <u>Automatic Custody Transfer (ACT) Unit Approvals.</u> Consists of applications and approvals for ACT units. Includes schematics, flow diagram, leases and fields involved, estimated amounts and types of production involved, calibration data, and proposed royalty value basis. Arrange by system number, area, and operator or by lease. | Cut off when ACT unit is removed or destroyed. Destroy 7 years after cutoff. NCl-57-78-1 |
| 1302-02 | <u>Commingling Systems File.</u> Contains correspondence, applications, drawings, specifications, operating agreements, approvals, and authorization to commingle production in a pipeline or barging system. Arrange by systems number and operator. | Cut off when system is abandoned or discontinued. Destroy 7 years after cutoff NCl-57-78-1 |
| 1302-03 | <u>Meter Proving Reports.</u> Consists of forms submitted monthly by operators which show the results of accuracy tests on allocation and sales meters. Used to adjust production figures for deviations found in meters. Arrange by system, area, and operator or by lease. | Cut off at close of the fiscal year. Destroy 3 years after cutoff. NCl-57-78-1 |
| 1302-04 | <u>Meter Adjustment Tickets.</u> Consists of forms submitted by operators to adjust the calculated run volumes of production measured through a meter with a deviation of more than ± 0.0025 in any measurement factor. The meter adjustment ticket eliminates the need to change or adjust the barrel figure on the meter totalizer. Arrange by system, area, and operator or by lease. | Cut off at close of the fiscal year. Destroy 3 years after cutoff. NCl-57-78-1 |
| 1302-05 | <u>Allocation Schedules.</u> Consists of schedules which allocate the sales volume attributable to each lease from the commingled production of two or more leases measured through a single sales meter. Arrange by system and area or by lease. | Place in inactive file when superseding schedule is received. Cutoff at the close of the fiscal year. Destroy 6 years after cutoff. NCl-57-78-1 |
| 1302-06 | <u>Calibration Charts - Tank Tables.</u> Consists of charts which show the volume of storage tanks by foot and inch. Used in the audit of run tickets from tank storage batteries. Arrange by operator, area, and tank. | Place in inactive file when tank is destroyed, or permanently removed from service. Cut off inactive file at the close of the fiscal year. Destroy 3 years after cutoff. NCl-57-78-1 |

CHAPTER 14. SAFETY, ACCIDENTS, AND POLLUTION CONTROL RECORDS

The records described in this chapter are accumulated as a part of the supervision of operational safety and pollution control. Included in this chapter are reports of investigations of accidents, reports of oilspills, oilspill contingency plans, and pollution control files.

See Item 707-03 for claims or litigation resulting from accidents or oilspills.

Proprietary Data and Information. Proprietary information/data includes electric logs, core descriptions and analyses, seismic record, and other geological, geophysical and engineering information, maps, reports and correspondence based on or containing proprietary information that is not available to the public. This data is furnished by industry sources to the MMS in compliance with the terms of lease permits, regulations, and contracts. PROPRIETARY DATA IS NOT AVAILABLE TO THE PUBLIC. SEE CHAPTER 7, SPECIAL INSTRUCTIONS.

SECTION 1. ACCIDENTS

Consists of documentation relating to operational accidents. May involve blowouts, hydrocarbon spills, fires and explosions, structural collapse, pollution by other than hydrocarbons, and personal injury or death. Includes operator's notification of incident, operator's written reports, investigation reports, and reports on the analysis of accidents. Record sets and development case histories of Safety Notices and Notices to Lessees and Operators are covered under Items 202-02 and 202-03.

1401-01 Major Accident Investigation Files. Consists of operator's notification and reports, MMS-prepared reports, investigations, and analyses of pollution events of 200 or more barrels, fires, explosions, personal injury and loss of life, and other accidents selected for investigation. These files are available for public inspection. Arrange by accident case number.

a. Case Files Maintained by Office with Primary Responsibility for Accident Investigation. Included are record copies of accident investigation and analysis reports.

Permanent. Place in inactive folder at the close of the fiscal year in which the investigation is completed. Cut off inactive files in 5-year blocks. If volume is sufficient, retire to FRC 3 years after cutoff. Offer to National Archives 20 years after cutoff. Volume 22 cubic feet. Annual accumulation 2 cubic feet.

b. Other Copies

- 1401-02 Minor Accidents Reports Files. Consists of operator's notice, written reports, and operators reports of accident or pollution events of less than 200 barrels, and events not selected for subsequent investigation and analysis. Arrange chronologically by type of accident.
- 1401-03 Events Files. Consists of local forms or ADP printouts which summarize events/accidents. These are prepared from operator-submitted reports. Kept for statistical reporting purposes. Arrange by type of event and thereafter chronologically.
- 1401-04 Pipeline Leak and Break Reports. Consists of operator-submitted reports which detail the cause, effect, and remedial action taken on all pipeline leaks.
- 1401-05 Automatic Custody Transfer (ACT) Unit Failure Reports. Consists of operator-submitted reports on the failure of ACT units and suggested alternate methods of measurement and MMS approvals of alternate methods of measurement. Arrange by system number, area, and operator or by lease.
- 1401-06 Subsurface Safety Device Failure Analysis Report. Consists of original reports submitted by operators to identify mechanical failures of subsurface devices by lease and well, make and model of device, cause of failure, and corrective action taken. Used to establish a reliability engineering data base.
- 1401-07 Failure Inventory and Reporting System (FIRS). Consists of original reports submitted by operators and changes to inventories and other documents regarding failure inventory and and reporting systems

feet. Annual accumulation
2 cubic feet.

Cut off at the close of the
fiscal year in which the
investigation is completed.
Destroy 2 years after cutoff.

Cut off at the close of the
fiscal year in which the acci-
dent is reported. Destroy 2
years after cutoff.
NCl-57-78-1

Cut off at the close of the
fiscal year. Destroy 1 year
after cutoff. NCl-57-78-1

Cut off at close of the fiscal
year in which the report is
made. Destroy 4 years after
cutoff. NCl-57-78-1

Cut off at close of the fiscal
year in which the report is
made. Destroy 4 years after
cutoff. NCl-57-78-1

Cut off at close of the fiscal
year. Destroy 4 years after
cutoff. NCl-57-78-1

Cut off at close of the fiscal
year. Destroy 5 years after
cutoff.

SECTION 2. POLLUTION CONTROL

- 1402-01 Sewage Effluent Tests/Waste Water Discharge Analysis Reports. Consists of reports submitted semiannually by operators detailing the location, dates, and results of lab analysis of sewage effluents discharged into ocean waters. Used to check compliance with the provisions. Arrange by company
- Cut off inactive file at the
close of the fiscal year in
which compliance is achieved.
Destroy 2 years after cutoff.
NCl-57-78-1

b. Other Copies.

Cut off at the close of the fiscal year in which the investigation is completed. Destroy 2 years after cutoff.

- 1401-02 Minor Accidents Reports Files. Consists of operator's notice, written reports, and operator's reports of accident or pollution events of less than 200 barrels, and events not selected for subsequent investigation and analysis. Arrange chronologically by type of accident. Cut off at the close of the fiscal year in which the accident is reported. Destroy 2 years after cutoff. NCI-57-78-1
- 1401-03 Events Files. Consists of local forms or ADP printouts which summarize events/accidents. These are prepared from operator-submitted reports. Kept for statistical reporting purposes. Arrange by type of event and thereafter chronologically. Cut off at the close of the fiscal year. Destroy 1 year after cutoff. NCI-57-78-1
- 1401-04 Pipeline Leak and Break Reports. Consists of operator-submitted reports which detail the cause, effect, and remedial action taken on all pipeline leaks. Cut off at close of the fiscal year in which the report is made. Destroy 4 years after cutoff. NCI-57-78-1
- 1401-05 Automatic Custody Transfer (ACT) Unit Failure Reports. Consists of operator-submitted reports on the failure of ACT units and suggested alternate methods of measurement and MMS approvals of alternate methods of measurement. Arrange by system number, area, and operator or by lease. Cut off at close of the fiscal year in which the report is made. Destroy 4 years after cutoff. NCI-57-78-1
- 1401-06 Subsurface Safety Device Failure Analysis Report. Consists of original reports submitted by operators to identify mechanical failures of subsurface devices by lease and well, make and model of device, cause of failure, and corrective action taken. Used to establish a reliability engineering data base. Cut off at close of the fiscal year. Destroy 4 years after cutoff. NCI-57-78-1
- 1401-07 Failure Inventory and Reporting System (FIRS). Consists of original reports submitted by operators and changes to inventories and other documents regarding failure inventory and and reporting systems. Cut off at close of the fiscal year. Destroy 5 years after cutoff.

SECTION 2. POLLUTION CONTROL

- 1402-01 Sewage Effluent Tests/Waste Water Discharge Analysis Reports. Consists of reports submitted semiannually by operators detailing the location, dates, and results of lab analysis of sewage effluents discharged into ocean waters. Used to check compliance with the provisions. Arrange by company. Cut off inactive file at the close of the fiscal year in which compliance is achieved. Destroy 2 years after cutoff. NCI-57-78-1
- 1402-02 Annual Waste Water Report. Consists of annual reports submitted by operators showing the results of monthly tests of discharged waste water. Tests include the dates of samples, time and location, volume of waste discharged, and the results of laboratory analysis. Arrange by company. Cut off inactive file at the end of the fiscal year in which compliance is achieved. Destroy 2 years after cutoff. NCI-57-78-1

- 1402-03 Operator-Submitted Plans. Consists of operator-developed action plans submitted in accordance with requirements. These plans include Oil Spill Contingency Plans for dealing with fires, leaks, spills, and other events; Simultaneous Operations Plans for dealing with undesirable events during drilling, wireline, workover, or major construction operations; Welding and Burning Safe Practices and Procedures Plan detailing personnel requirements and approved methods relating to these operations; a Training Plan describing courses to be conducted and methods used to qualify personnel for offshore operations; and other contingency plans as may be required. Arrange by plan and thereunder alphabetically. Destroy on receipt of a superseding plan. NCI-57-78-11
- 1402-04 Pollution Inspection Reports. Consists of reports prepared by district offices which present the results of ~~beach~~ pollution inspections and pollution surveillance flights. Cut off at close of the fiscal year. Destroy 2 years after cutoff.1
- 1402-05 Pollution Control Coordination. Consists of correspondence, memorandums of agreement/understanding, and reports regarding pollution control and prevention with U.S. Coast Guard, Environmental Protection Agency, etc. Includes records on oil and hazardous material simulated environmental test tank and arctic marine oilspill programs. Permanent.1 Cut off at end of fiscal year. Hold 10 years ~~and~~ transfer to FRC. Offer to National Archives 20 years after cutoff. Volume 3 cubic feet. Annual accumulation 1 cubic foot.

CHAPTER 15. STRUCTURE INSTALLATION, REVIEW, AND ANALYSIS RECORDS

The records described in this chapter are accumulated as a part of the supervision of structures. Such structures as platforms, artificial islands, and pipelines are included. The records relate to approval of structure design and construction, permits, waivers, operational inspections, and analysis of structure and equipment failures.

Proprietary Data and Information: Proprietary information/data includes electric logs, core descriptions and analyses, seismic records sections, and other geological, geophysical, and engineering information, maps, reports and correspondence based on or containing proprietary information that is not available to the public. This data is furnished by industry sources to the MMS in compliance with the terms of lease permits, regulations, and contracts. PROPRIETARY DATA IS NOT AVAILABLE TO THE PUBLIC. SEE CHAPTER 7, SPECIAL INSTRUCTIONS.

SECTION 1. INSTALLATION REVIEW RECORDS

1501-01

Platform Installation Files. Consists of documents relating to the approval of platform design and construction. Included are applications submitted by operators to install a platform; construction drawings; plats and maps; Corps of Engineers permits; assessments by district engineers; checklists for environmental evaluation; engineering certifications; completion reports with "as built" drawings; and written technical review and correspondence with the operator concerning the platform. May also include applications and correspondence to remove, reuse, and dispose of platforms. Arrange by platform designation or by lease.

a. Regional Office.

Place in inactive file when platform is removed or abandoned. Cut off inactive file at close of fiscal year. If volume is sufficient, transfer to FRC 3 years after cutoff. Destroy 10 years after cutoff. NC1-57-78-1

b. Other Copies.

Place in inactive file when platform is removed or abandoned. Cut off inactive file at close of fiscal year. Destroy 2 years after cutoff. NC1-57-78-1

1501-02

Platform Inspection Files. Consists of inspection reports, notices of incidents of noncompliance, requests for waivers, approvals and

Cut off at the close of the calendar year in which the platform is removed or abandoned.

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departure reports pertaining to platforms, and extra copies of waiver approvals pertaining to platform wells. Arrange by platform designation.

Destroy 2 years after cutoff.1
NCI-57-78-1

1501-03 Platform and/or Installation Questionnaire Files. Consists of operator-submitted forms detailing the location, primary use, structural specifications, and equipment for each platform or installation. Maintained as a quick reference source. Arrange by installation designation.

Place in inactive file when platform is removed. Cut off inactive file at close of fiscal year. Destroy 2 years after cutoff. NCI-57-78-1

1501-04 Platform Verification Files. Consists of various documents pertaining to the structure, management, and operation of the Platform Verification Program. Includes documents relating to certified verification agents, resumes, financial standings, approvals, and disapprovals. Consists of recommendations to supervisors concerning design, fabrication, and installation verification plans and final CVA reports, as well as field inspection reports for offshore platforms.1

Place in inactive file after platform is installed. Destroy at the end of the calendar year after the platform is removed.

SECTION 2. PIPELINE FILES

1502-01 Pipeline Permit Files. Consists of proposals to construct pipelines. Includes supporting drawings, maps, plans, and specifications; approvals; permits; and completion reports with "as built" drawings. Includes flowlines.1 Arrange by pipeline system designation.1

Place in inactive file when pipeline is removed or abandoned. Cut off inactive file at the close of the fiscal year. Destroy 10 years after cutoff. NCI-57-78-1

1502-02 Pipeline Reports. Consists of annual reports submitted by pipeline operators showing the dates and results of monthly inspections, methods used, and test results. Arrange by pipeline system designation. Maintained by the office with responsibility for supervision of pipelines.

Cut off at the close of the fiscal year. Destroy 3 years after cutoff. NCI-57-78-1

1502-03 Pipeline Waiver Requests. Consists of requests for waivers of pipelines and flowlines. Includes requests, approvals, or denials, and departure reports for granted waivers. Arrange by pipeline system designation.1

Place in inactive file when waiver is revoked or expires. Cut off at the close of the fiscal year. Destroy 4 years after cutoff. NCI-57-78-1

1502-04 Index to Pipeline Systems. Consists of computer printouts which describe approved pipelines.1 Data includes operator, system designation, date of approval, size, type, location, length, and date of completion.1

Destroy when superseding printout is received. NCI-57-78-1

1502-05 Pipeline Inspection Files. Consists of inspection reports, notice of incidents of noncompliance, requests for waivers, and extra copies of waiver approvals pertaining to pipelines. Arrange by pipeline system designation.

Cut off at the close of the fiscal year. Hold 4 years and destroy. NCI-57-78-1

SECTION 3. STRUCTURE DESIGN AND ENGINEERING FAILURE ANALYSIS RECORDS

The files described in this section relate to the application of reliability engineering analysis to equipment and structures. The purpose is to identify equipment, structure designs, and procedures which may result in pollution of the marine environment, fire or explosion, or personal injury or death.

- | | | |
|---------|---|--|
| 1503-01 | <u>Systems Design Analysis Data Files.</u> Consists of accidents reports, inspection reports, drawings, specifications, and analyses. These records are used to develop a data base for use in approving future structure applications. Arrange by type of structure. | Place in inactive file when data has been transferred to computer file and verified. Cut off file at the close of the fiscal year in which computer file is verified. Destroy 3 years after cutoff.
NC1-57-78-1 |
| 1503-02 | <u>System Design Analysis Studies Case Files.</u> Consists of case papers reflecting a complete history of each study from the initiation through research, analysis, and report. Includes a copy of the study proposal, project planning papers, failure engineering and hazards analysis and preliminary and final reports. Arrange by type of structure. | Place in inactive file at the close of the fiscal year in which the study is completed. Cut off inactive files in 5-year blocks. If volume is sufficient, transfer to FRC 3 years after cutoff. Destroy 20 years after cutoff.1
NC1-57-78-1 |
| 1503-03 | <u>System Design Analysis Studies Workpapers.</u> Includes listings and tabulations; copies of documents contained in the case files; preliminary or intermediate source data used for analysis and reference; and other workpapers used in the course of the study which are not appropriate for permanent retention because they have neither evidential nor long-term informational value. Arrange by type of structure. | Cut off at the close of the fiscal year in which the study is completed. Destroy 3 years after cutoff. NC1-57-78-1 |
| 1503-04 | <u>Reliability Engineering Data Files.</u> Consists of accident reports, inspection reports, analysis, drawings and specifications of individual pieces of equipment. Used to create a data base for evaluation of equipment used in exploration, drilling, or production operations. Arrange by type of equipment. | Place in inactive file when data has been transferred to computer files and verified. Cut off at the close of the fiscal year in which the computer file is verified. Destroy 3 years after cutoff.
NC1-57-78-1 |
| 1503-05 | <u>Equipment Failure Studies Case Files.</u> Consists of case papers reflecting a complete history of each study from initiation through research, analysis, and report. Includes a copy of the study proposal; analyses of equipment failure; and preliminary and final reports. Arrange by type of equipment. | Place in inactive file at close of fiscal year in which study is completed. Cut off inactive files in 5-year blocks. If volume is sufficient, transfer to FRC 3 years after cutoff. Destroy 20 years after cutoff.
NC1-57-78-1 |
| 1503-06 | <u>Equipment Failure Studies Working Papers.</u> Includes listings and tabulations; copies of | Cut off at the close of the fiscal year in which the study |

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documents contained in the case files; preliminary is completed. Destroy 3 years
ary and intermediate source data used in the after cutoff. NC1-57-78-11
course of the study which are not appropriate for
retention because they have neither evidential
nor long-term informational value. Arrange by
type of equipment.

CHAPTER 17. MINERALS RESOURCE CONSERVATION RECORDS

The records described in this chapter relate to efforts to ensure prevention of waste, conservation of natural resources, and protection of correlative rights. Efforts include studies and mapping of the extent and size of oil and gas fields and reservoirs, calculation of amounts of hydrocarbons in those fields and reservoirs, identification of competitive reservoirs, and determination of maximum efficient rates of production.

Proprietary Data and Information: Proprietary information/data includes electric logs, core descriptions and analyses, seismic record sections, and other geological, geophysical and engineering information, maps, reports and correspondence based on or containing proprietary information that is not available to the public. This data is furnished by industry sources to the MMS in compliance with the terms of lease permits, regulations, and contracts. PROPRIETARY DATA IS NOT AVAILABLE TO THE PUBLIC. SEE CHAPTER 7, SPECIAL INSTRUCTIONS.

SECTION 1. MAXIMUM EFFICIENT RATE (MER) GEOLOGIC AND ENGINEERING FILES

- 1701-01 MER Geologic and Engineering Reports and Maps Files. Documents accumulated in reviewing and recommending approval/rejection of initial and revised MER requests submitted by oil and gas lease operators. Includes approved Form MMS-1866, Request for Reservoir MER; PVT, gas analysis, capillary pressure, and relative permeability data; geologic structure and isopach maps; average reservoir pressures; various plots of production and pressure data; and related papers and correspondence. Arrange by area, thereunder by field name, then reservoir.
- Cut off every 5 years at close of the fiscal year. Hold 15 years and transfer to FRC. Destroy 50 years after cutoff.

MER geologic and engineering data that apply more to the field than to individual reservoir in that field, e.g., geology structure maps on a field basis that transgress several reservoirs, are filed by field name preceding the reservoir MER data files for that field.

These data have repetitive and multiple applications in field studies and reservoir analysis to support MER determinations, reserve estimates, and lease offering programs. See Items 1301-05 through 07 for other MER records.

SECTION 2. RESERVOIR/FIELD STUDY FILES

- 1702-01 Reservoir/Field Study Case Files. Documents accumulated in planning, conducting, and reporting

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findings of subsurface geologic and engineering studies and mapping projects for individual producing oil and gas reservoirs and/or fields. These studies involve determination of reservoir geometry through detailed subsurface mapping; definition of reservoir limits from geologic and engineering data, estimation of original oil or gas in place, analysis of past reservoir behavior, and prediction of future reservoir performance and ultimate recovery under various rates and drive mechanisms. Studies are performed by "classical" engineering methods (e.g., volumetric calculation, material balance, and production decline curves) or physical or mathematical simulation models or a combination. Disposal criteria given below apply to studies such as the following:

Reservoir analysis studies conducted to determine maximum efficient withdrawal rate, to ~~determine the degree of rate sensitivity~~ as it affects ultimate recovery, to identify reservoirs that should be placed under pressure maintenance operations, and to maintain equities and protect correlative rights.

Unitization studies including studies of areas in need of unitization, competitive reservoir studies, and studies involving secondary/tertiary recovery projects in competitive reservoirs.

a. Project History Case Files. In order to provide for the systematic accumulation of material relating to reservoir/field studies and mapping projects, project history case files will be established and maintained for each project. Included are project proposals and planning documents; project authorization documents; project work assignment memorandums and instructions; papers regarding project meetings; interim and final progress reports; and related papers and correspondence of value to the historical account of the project.

Permanent. Cut off at close of fiscal year in which project is completed. Hold 5 years and retire to FRC provided there is sufficient volume (at least 1 cubic foot). Offer to National Archives 50 years after cutoff. Volume 4 cubic feet. Annual accumulation 1 cubic foot. NCI-57-78-1

b. Final Maps and Reports. Includes the official file copy of the final study report or ~~unpublished manuscript or~~ report containing summary and conclusions of the study; final geologic structure maps and cross-sections and isopach maps; basic supporting geologic and engineering data such as rock and fluid data, production data, MER data, material balance data, and history match data.

Permanent. Cut off when project is completed. Dispose in accordance with instructions for project history case files in "a" above. Volume 4 cubic feet. Annual accumulation 1 cubic foot. NCI-57-78-1

c. Study Workpapers. Includes input values of basic reservoir engineering parameters; preliminary or intermediate tables, graphs, and maps; computer printouts containing basic results; minor administrative papers; and other workpapers.

Cut off at close of fiscal year in which study is completed. Destroy 3 years after cutoff. NCI-57-78-1

1702-02

Field and Reservoir Reserves Estimate Study

Files. These files relate to studies performed to determine the area extent of oil and gas reservoir/fields and to calculate and update individual reservoir/field reserves and total remaining reserves in place.

a. Final Reports and Maps. Includes the official file copy of final study report or unpublished manuscript of report containing summary and conclusions of the study and final geologic maps and cross-sections.

Permanent. Cut off at close of fiscal year in which study is completed. Hold 5 years and retire to FRC provided there is sufficient volume (at least 11 cubic foot). Offer to National Archives 50 years after cutoff. Volume 58 cubic feet. Annual accumulation 3 cubic feet. NC1-57-78-1

b. Study Workpapers. Consists of preliminary or intermediate technical and scientific data which are duplicated or sufficiently summarized in final reports and maps and minor administrative papers unnecessary to an adequate history of the study.

Cut off at close of fiscal year in which study is completed. Destroy 3 years after cutoff. NC1-57-78-1

1702-03

Field and Reservoir Reserves Estimates (FRRE) 1

System Report Files. These files consist of ~~computer printouts of periodic and special~~ reports containing statistical data on production, recoverable reserves, and remaining reserves of oil and gas by field, reservoir, and lease. May also include identification of types of estimates (e.g., volumetric, material balance, production decline), best estimate, date made, and reservoir parameters and cumulative production. Arrange by report title and then chronologically.

Cut off when superseded or obsolete. Destroy 1 year after cutoff. NC1-57-78-1

SECTION 3. UNITIZATION PROGRAM RECORDS

The records described in this section relate to the initiation of unitization of prospective or producing oil and gas reservoirs, fields, or areas and to the administration and supervision of operations in unitized areas. See Item 1702-01a above for unitization study project files.

1703-01

Unit Proposal Case Files. Documents accumulated in reviewing and recommending action on unitization proposals. Includes proposal, supporting geologic and engineering reports and maps, evaluation papers, and related papers and correspondence. 1 Arrange by area and thereunder by block number.

a. Declined Proposals.

Cut off at close of fiscal year in which final determination is made. Destroy 5 years after cutoff. EXCEPT: Technical reports and maps which are of

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continuing value for future research should be removed. File this technical data with MER Geologic and Engineering Data Files and dispose in accordance with Item 1701-01. NC1-57-78-1

b. Accepted Proposals.

File in appropriate Unit Geology and Engineering file when unit area designation is approved. NC1-57-78-1

1703-02 Unit Agreement Project Files. The records described below relate to the initiation, review, ~~approval, and monitoring of~~ agreements to conduct development and/or production operations for a prospective or producing oil and gas reservoir, field, or area under a unitization plan. The agreement provides for exploration, development, and operation of the property as a unit by a single operator and for allocation of costs and benefits if more than one lessee/operator is involved. Arrange by State and thereunder by unit name (e.g., Eugene Island Block 276, R Sand, Res A).

a. Unit Agreement Documents Files. Includes a copy of the application of unit area designation, proposed form of unit agreement, and letter of approval; copies of approved unit agreement, approval memorandum, and letter transmitting the approved agreement to the unit; copy of unit operating agreement; all participating area applications, schedules, and approvals; copy of official plat of the unit area; all plans of development and/or operations and approvals; requests for termination of unit agreement. If 1 volume warrants, subdivide by subject as appropriate; e.g., Unit Agreement, Unit Operating Agreement, Participating Area, Plans of Development.

(1) Regional Office.

Place in inactive file when agreement is terminated. Cut off inactive file at close of fiscal year. Hold 5 years and transfer to FRC provided there is sufficient volume (at least 1 cubic foot). Destroy 25 years after cutoff. NC1-57-78-1

(2) Other Copies.

Cut off when agreement is terminated. Destroy 2 years after cutoff. NC1-57-78-1

b. Unit Geology and Engineering Files. Consists of geological maps, cross-sections, and reports and engineering data and reports pertaining to producing or potential structures upon which the unit area is established and related papers and general correspondence

garding the unit. Includes but is not limited to information submitted in support of the original unitization proposal, plans of development and/or operation, and applications to initiate secondary and/or tertiary recovery and pressure maintenance operations.

(1) Regional Office.

Place in inactive file when agreement is terminated. Cut off inactive file at close of fiscal year. Hold 5 years and transfer to FRC provided there is sufficient volume (at least 1 cubic foot). Destroy 50 years after cutoff.

(2) Other Copies.

Cut off when agreement is terminated. Destroy 5 years after cutoff or when no longer needed for reference, whichever is earlier. NCl-57-78-1

1703-03 Unit Monthly Reports of Operations Files. Consists of Oil and Gas Operations Report (OGOR) MMS-4054, or equivalent, for the unit. Arrange by State and thereunder by unit name, e.g., Eugene Island Block 276, R Sand, Res A.

Place in inactive file at close of period covered by each plan of development. Cut off inactive files when agreement is terminated. Destroy 2 years after cutoff. NCl-57-78-1

1703-04 Forced Unitization Petition Files. Documents accumulated in evaluating operator/lessee petitions regarding forced unitization of competitive reservoirs when the operators/lessees have been unable to voluntarily effect unitization. Includes copies of operator/lessee submittals, conference notes and reports, evaluation reports on petitions, documents reflecting decisions and appeals, and related papers and correspondence. Arrange by State and thereunder by unit name (e.g., Eugene Island Block 276, R Sand, Res A)

a. Petitions Resulting in Unit Agreements.

File in appropriate unit agreement case file and dispose of in accordance with Item 1703-02a(1). NCl-57-78-1

b. Other Petitions.

Cut off at close of fiscal year in which final determination is made. Destroy 8 years after cutoff. NCl-57-78-1

SECTION 4. ENHANCED RECOVERY AND PRESSURE MAINTENANCE PROJECT RECORDS

The documents described in this section relate to the review, approval, and monitoring of projects to maximize oil and gas recovery from all producing formation through gas injection, water injection, and other enhanced recovery operations.

- 1704-01 Enhanced Recovery and Pressure Maintenance Project Request Files Consists of operator requests to conduct enhanced recovery and pressure maintenance projects and papers reflecting review of the proposal and approval of rejection. This is an extra copy convenience file maintained to prepare statistical reports. Subdivide by enhancement type (e.g., secondary/tertiary) if volume warrants. Official file copies are placed in the appropriate lease/well file for nonunit projects.
- Cut off at close of fiscal year
Destroy 2 years after cutoff
NCL-57-78-1
- 1704-02 Enhanced Recovery and Pressure Maintenance Reports Files. Consists of monthly reports ~~submitted by operators on approved~~ pressure and maintenance or enhanced recovery projects and related correspondence. Reports include information on number of days and volume of water/gas injected and volume of oil, gas and water produced. This data is used in reservoir analyses and field studies as well as in monitoring individual injection projects to ensure maximum recovery of oil or gas. Subdivide by enhancement type (e.g., secondary/tertiary) if volume warrants. Arrange by geographic area and thereunder by company, field name, and reservoir, then chronologically.
- Cut off at close of fiscal year in which project is terminated. Hold 3 years and transfer to the FRC
Destroy 25 years after cutoff. NCL-57-78-1

CHAPTER 18. ROYALTY MANAGEMENT RECORDS

The records described in this chapter pertain to the combined onshore and offshore royalty management function and are maintained in Royalty Management Program offices. These records relate to the collection, deposit, distribution, disbursement, and accounting for rental, royalty, bonus, and assessment payments due from Federal and Indian lands, energy and nonenergy mineral leases, permits, licenses, lease products stored underground, the sale to small refiners of royalty oil taken in kind, and the maintenance of impounded and/or disputed funds. In addition, they relate to audits of lessee financial and production reporting and payment responsibilities, the establishment of acceptable product values, and the reporting and payment of applicable taxes.

The majority of royalty accounting records described in Chapters 16 and 26 of the Files Maintenance and Records Disposition Handbook dated October 1977 have been determined to be obsolete and of no further legal, research, or operational value. The records described in this chapter replace/incorporate the provisions of the superseded chapters. EXCEPTED FROM THIS DETERMINATION ARE THOSE OFFICIAL RECORDS PERTAINING TO INDIAN LANDS OR LANDS UNDER CURRENT AUDIT OR LITIGATION, AS FOLLOWS:

INDIAN LAND RECORDS When records described in this chapter include data necessary to account for Indian land royalty or rental funds, they are to be retained indefinitely as described in this chapter. The records must be maintained in the order specified herein but separately from records affecting only Federal lands.

AUDIT/LITIGATION RECORDS Records previous to October 1, 1977, relevant to audit or litigation cases, must be maintained until each such case is concluded. At that time, such records must be incorporated into the official audit or litigation case file and disposed of under the applicable schedule.

PROPRIETARY INFORMATION/DATA This chapter contains proprietary information/data that is not available to the public. This data is furnished by industry sources to the MMS in compliance with the terms of lease permits, regulations, and contracts. PROPRIETARY DATA IS NOT AVAILABLE TO THE PUBLIC. SEE CHAPTER 7, SPECIAL INSTRUCTIONS

SECTION 1. ACCOUNTING OPERATIONS RECORDS

- 1801-01 Automated Systems Input Coding Forms. These files consist of the originals of input coding forms on which data extracted from other sources are written and then used for entry into the automated accounting systems. They may be used to directly update and verify system entries and/or for internal audit purposes. They include, but are not limited to, Forms MMS-4001, 4005, 4006, 4012, 4019, etc., or equivalents. Arrange by form number chronologically by month.
- Cut off when all entries have been verified. Destroy 1 year after cutoff. (1601-02 and 800-04) NC1-57-78-1
- 1801-02 Automated Systems Input Verification Printouts. These records consist of computer and micro-computer printouts produced by automated accounting systems for data input verification and internal audit purposes. Arrange chronologically by report identification number or name.
- (1) Paper
- Cut off when all entries have been verified. Destroy 1 year after cutoff.
- (2) Magnetic Tape.
- (a) Processing.1
- Erase when superseded.
- (b) Master.
- Cut off at end of fiscal year. Transfer to FRC 2 years after cutoff. Erase 7 years after cutoff. (2605-04 and 800-05) NC1-57-78-1
- 1801-03 Automated Systems Output Summaries.1 These records consist of summaries of computerized data documenting daily royalty management activities including program management, fiscal or production accounting, exception identification, statistical reporting, or system assurance. Each report is classified into one of the following categories and maintained chronologically thereunder by summary identification number or name.
- a. Program Management Summaries.
- (1) Paper Not Microfilmed.
- Cut off when summary is updated/replaced.1
- (2) Paper or Computer Output Microfilm (COM)1
- Destroy 1 year after cutoff.
- (3) Master Microform.
- Destroy paper or erase tape when microform has been verified in accordance with Chapter 6, Micrographics.1
- Destroy 1 year after cutoff.

(4) Magnetic Tape.(a) Processing.1

Erase when superseded.

(b) Master Not Microfilmed.

Erase 1 year after cutoff.

b. Fiscal Accounting Summaries.A. INDIAN LAND RECORDS(1) Paper Not Microfilmed.

Cut off when summary is updated/
replaced. Transfer to FRC 1
year after cutoff or as soon
thereafter as volume warrants.
These records will be maintained
indefinitely.1

(2) Paper or Computer Output Micro-
film (COM)1

Destroy paper or erase tape when
microform has been verified in
accordance with Chapter 6,
Micrographics.1

(3) Silver-Halide Microform.

Cut off when summary is updated/
replaced. Transfer to FRC 1
year after cutoff. These records
will be maintained indefinitely.

(4) Magnetic Tape.(a) Processing.1

Erase when superseded.

(b) Master Not Microfilmed.

Cut off at end of fiscal year.
Transfer to FRC 2 years after
cutoff. These records will be
maintained indefinitely.

B. OTHERS(1) Paper Not Microfilmed.

Cut off when summary is updated/
replaced. Transfer to the FRC 1
year after cutoff or as soon
thereafter as volume warrants.
Destroy 7 years after cutoff.

(2) Paper or Computer Output Micro-
film (COM)1

Destroy paper or erase tape when
microform has been verified in
accordance with Chapter 6,
Micrographics.1

(3) Master Microform.

Cut off at end of fiscal year.
Destroy 7 years after cutoff.

(4) Magnetic Tape.(a) Processing.1

Erase when superseded.

(b) Master Not Microfilmed.

Cut off at end of fiscal year.
Transfer to FRC 2 years after
cutoff. Erase 7 years after
cutoff.

Payor Information Form MMS-4025, Report of Sales and Royalty Remittance Form MMS-2014, or equivalent. Arrange alphabetically by company or reporter name or by lease or operator number.

A. INDIAN LAND RECORDS

(1) Paper Not Microfilmed.

Transfer to FRC 1 year after cutoff or as soon thereafter as volume warrants. These records will be maintained indefinitely.1

(2) Paper or Computer Output Microfilm (COM).

Destroy paper or erase tape when microform has been verified in accordance with Chapter 6, Micrographics.1

(3) Silver-Halide Microform.

Transfer to FRC 1 year after cutoff. These records will be maintained indefinitely.

(4) - Magnetic Tape.

(a) Processing.

Erase when superseded.

(b) Original Master Not Micro-filmed.

Return to Reporter when duplicate tape has been verified.

(c) Duplicate Master Not Micro-filmed.

Transfer to FRC 1 year after cutoff or as soon thereafter as volume warrants. These records will be maintained indefinitely.

B. OTHERS

(1) Paper Not Microfilmed. -

Transfer to FRC 1 year after cutoff or as soon thereafter as volume warrants. Destroy 7 years after cutoff.

(2) Paper or Computer Output Microfilm (COM).

Destroy paper or erase tape when microform has been verified in accordance with Chapter 6, Micrographics.

(3) Master Microform.

Destroy 7 years after cutoff.

(4) Magnetic Tape.

(a) Processing.1

Erase when superseded.

(b) Original Master Not Micro-filmed.

Return to Reporter when duplicate tape has been verified.

(c) Duplicate Master Not Microfilmed.

Transfer to FRC 1 year after cutoff or as soon thereafter as volume warrants. Erase tape 7 years after cutoff.

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1801-08 Fund Deposit Case Files. These files consist of copies of checks, money orders, electronic fund transfer notices, SF 215, Deposit Ticket and support documents such as checkstubs, Payment Processing Worksheet Forms MMS-4149 and 4158. They are used to document receipt of payments due the Government under the terms of Federal and Indian mineral leases, laws, and regulations, and may also be used for internal audit purposes. Arrange by deposit ticket number. Cut off at end of reporting period.

A. INDIAN LAND RECORDS

(1) Paper Not Microfilmed.

Transfer to FRC 1 year after cutoff or as soon thereafter as volume warrants. These records will be maintained indefinitely.1

(2) Paper That Has Been Microfilmed.

Destroy paper when microform has been verified in accordance with Chapter 6, Micrographics.1

(3) Silver-Halide Microform.

Transfer to FRC 1 year after cutoff. These records will be maintained indefinitely.

B. OTHERS

(1) Paper Not Microfilmed.

Transfer to FRC 1 year after cutoff or as soon thereafter as volume warrants. Destroy 7 years after cutoff.

(2) Paper That Has Been Microfilmed.

Destroy paper when microform has been verified in accordance with Chapter 6, Micrographics.1

(3) Master Microform.

Transfer to FRC 1 year after cutoff. Destroy 7 years after cutoff. (1601-10 and 2606-01) NCI-57-78-1

1801-09 Company Files. Correspondence and other documents accumulated to provide a perspective of the ongoing royalty management related activities of a specific company, payor, or reporter. Maintain by name or code number of company, payor, or reporter.

Cut off at end of fiscal year.

A. INDIAN LAND RECORDS

Transfer to FRC 1 year after cutoff. These records will be maintained indefinitely.

B. OTHERS

Transfer to FRC 1 year after cutoff. Destroy 7 years after cutoff.

1801-10 Distribution and Disbursement Files. Contains documents including, but not limited to, SF 1081 Voucher and Schedule of Withdrawals and Credit; SF 1166 Voucher and Schedule of Payment; and correspondence supporting the distribution and disbursement to other Government offices of royalty and rental funds collected. Files are maintained chronologically.

Cut off at end of reporting period.

A. INDIAN LAND RECORDS

(1) Paper Not Microfilmed.

Transfer to FRC 1 year after cutoff or as soon thereafter as volume warrants. These records will be maintained indefinitely.1

(2) Paper That Has Been Microfilmed.

Destroy paper when microform has been verified in accordance with Chapter 6, Micrographics.

(3) Silver-Halide Microform.

Transfer to FRC 1 year after cutoff. These records will be maintained indefinitely.

B. OTHERS

(1) Paper Not Microfilmed.

Transfer to FRC 1 year after cutoff or as soon thereafter as volume warrants. Destroy 7 years after cutoff1

(2) Paper That Has Been Microfilmed.

Destroy paper when microform has been verified in accordance with Chapter 6, Micrographics.

(3) Master Microform.

Transfer to FRC 1 year after cutoff1 Destroy 7 years after cutoff.

1801-11 Collection Case Files. These files consist of billings for the collection of funds due from rental and royalty payors. They are arranged by bill number, and indexed by Payor Code Number, Company Name, and issue date.

Cut off at end of quarter.

A. INDIAN LAND RECORDS

(1) Paper Not Microfilmed.

Transfer to FRC 1 year after cutoff or as soon thereafter as volume warrants. These records will be maintained indefinitely.1

(2) Paper or Computer Output Microfilm (COM).

Destroy paper or erase tape when microform has been verified in accordance with chapter 6, Micrographics.1

(3) Master Microform.

Transfer to FRC 1 year after cutoff1 These records will be maintained indefinitely.

B. OTHERS(1) Paper Not Microfilmed

Transfer to FRC 1 year after cutoff or as soon thereafter as volume warrants. Destroy 7 years after cutoff.

(2) Paper or Computer Output Microfilm (COM)

Destroy paper or erase tape when microform has been verified in accordance with Chapter 6, Micrographics.

(3) Master Microform

Destroy 7 years after cutoff.

SECTION 2. COMPLIANCE RECORDS

1802-01 Compliance Audit Case Files These files consist of audit request/proposals, workplans, workpapers, correspondence, internal and external exhibits and reports of findings, conclusions, and recommendations reflecting eight audit types, as follows:

Cut off when audit is complete or in fiscal year blocks, whichever occurs first.

a. Company - Filed alphabetically by company name.

b. Lease - Filed numerically by lease number.

c. Subject - Filed alphabetically within type, i.e., Post-RIK, First Production, etc.

d. Joint State/Tribal - Filed alphabetically by State/Tribal name.

e. Account Reconciliations - Filed alphabetically by account name.

f. Exception Situations - Filed alphabetically by account name.

g. Residencies - Filed alphabetically by company name.

h. "Lookback" Technical Assistance - Filed alphabetically by company name.

A. INDIAN LAND RECORDS

Transfer to FRC 2 years after cutoff. These records will be maintained indefinitely.

B. OTHERS

Transfer to FRC 2 years after cutoff. Destroy 7 years after cutoff.

1802-02 Compliance Audit Appeal Case Files These files consist of correspondence, workpapers, internal and external exhibits, legal opinions, and reports of findings, conclusions and final decisions regarding appeals to previous compliance audit results. They are subdivided and arranged as described in Item 1802-01.

Cut off when appeal is settled or in fiscal year blocks, whichever occurs first.

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- 1801-05 Royalty-in-Kind (RIK) Sale Case Files. These files contain documentation of RIK oil sales to refining companies. Each sale file is divided into sections as follows:
- a. Identification and estimates of production and RIK oil available,
 - b. Announcement of sale to refiners,
 - c. Approved applications for purchase and lottery draw-position notices,
 - d. Declined applications and notices,
 - e. Approved purchase/sale agreements,
 - f. Purchaser surety documents,
 - g. Sale Summary Report and correspondence,
 - h. Workpapers and exhibits.
- Arrange in chronological order. If volume warrants, subdivide sections alphabetically by refining company name.
- 1801-06 Royalty-in-Kind (RIK) Collection Case Files. These files consist of billings for the collection of proceeds due from the sale of RIK oil to refining companies and related correspondence. They are arranged by purchase/sale agreement number.
- (1) Paper Not Microfilmed. Transfer to FRC 1 year after cutoff or as soon thereafter as volume warrants. Destroy 7 years after cutoff.
 - (2) Paper That Has Been Microfilmed. Destroy paper when microform has been verified in accordance with Chapter 6, Micrographics.
 - (3) Master Microform. Destroy 7 years after cutoff. (1604-04 and 2601-10)
NCI-57-78-1
- 1801-07 Windfall Profit Tax Return Case Files. These records document the computation and disbursement of Windfall Profit Taxes. They consist of, but are not limited to, copies of the quarterly and annual Windfall Profit Tax returns, related correspondence, computation workpapers, and exhibits such as SF 1166, Voucher and Schedule of Payments, or equivalents.
- Cut off at end of each tax reporting period. Destroy 7 years after cutoff.

A. Indian Land Records

Transfer to FRC 2 years after cutoff. These records will be maintained indefinitely.

B. Others

Transfer to FRC 2 years after cutoff. Destroy 7 years after cutoff.

SECTION 3. ROYALTY VALUATION RECORDS

1803-01 Product Value Establishment Case Files. These files include workpapers, correspondence, internal and external exhibits, and reports of findings, conclusions, and recommendations forming the basis on which acceptable values for payment of royalties are placed on minerals extracted from Federal and Indian lands. Maintain in numerical order by internally assigned case number designation. Technical reference materials used in this function such as company price bulletins, published market prices, etc., are maintained as nonrecord material and disposed of in accordance with Item 101-11.

Cut off when valuation is established.

A. INDIAN LAND RECORDS

Transfer to FRC 2 years after cutoff. These records will be maintained indefinitely.

B. OTHERS

Transfer to FRC 2 years after cutoff. Destroy 7 years after cutoff. (2601-03 and 2602-02) NC1-57-78-1

1803-02 Processing Allowance Case Files. These records consist of workpapers, correspondence, internal and external exhibits, and reports of findings, conclusions, and recommendations. They document calculations and determinations of approval/disapproval of royalty rate allowances based on costs of oil/gas processing plant operations. Arrange alphabetically by plant name.

Cut off at end of allowance period granted or when disapproved/terminated.

A. INDIAN LAND RECORDS

Transfer to FRC 2 years after cutoff. These records will be maintained indefinitely.

B. OTHERS

Transfer to FRC 2 years after cutoff. Destroy 7 years after cutoff. (2603-03 and 2604-03)

1803-03 Transportation Allowance Case Files. These records consist of workpapers, correspondence, internal and external exhibits, and reports of findings, conclusions, and recommendations. These records document calculations and determinations of approval/disapproval of royalty rate allowances based on costs of barge, pipeline, truck, etc., transportation of oil,

Cut off at end of allowance period granted or when disapproved/terminated.

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condensate, or gas from lease area to point of delivery. Maintain by system number (see Item 1803-05) within transportation type. Each allowance is documented alphabetically within the case file by operator/ lessee name. An operator/lessee file may be further subdivided by specific lease number if volume warrants.

A. INDIAN LAND RECORDS

Transfer to FRC 2 years after cutoff. These records will be maintained indefinitely.

B. OTHERS

Transfer to FRC 2 years after cutoff. Destroy 7 years after cutoff. (2601-11 and 1604-05) NC1-57-78-1

1803-04 Oil/Gas Purchase Agreements. These records consist of initial and amending oil/condensate sale agreements, gas sale contracts, and/or gas processing agreement documents, related Federal Price Code dockets and proceedings, and correspondence. The documents contain data which are used as the bases for the computation of product values and allowances. Arrange by agreement type and maintain alphabetically by name of buyer.

Cut off when agreement terminates.

A. INDIAN LAND RECORDS

Transfer to FRC 1 year after cutoff. These records will be maintained indefinitely.

B. OTHERS

Transfer to FRC 1 year after cutoff. Destroy 7 years after cutoff. (1602-01) NC1-57-78-1

1803-05 Transportation System Case Files. These records consist of workpapers, correspondence, and internal and external maps, reports, and exhibits. They are used to document the establishment, boundaries, and general operational and historical factors of barge, pipeline, truck, etc., oil, condensate, and gas transportation systems. Arrange numerically by system number.

Cut off when system is abandoned or discontinued.

A. INDIAN LAND RECORDS

Transfer to FRC 1 year after cutoff. These records will be maintained indefinitely.

B. OTHERS

Transfer to FRC 1 year after cutoff. Destroy 7 years after cutoff.