

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		JOB NUMBER N1-471-04-1	
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date Received 8.26.2004	
1. FROM (Agency or establishment)  <b>Department of the Interior</b>		<b>NOTIFICATION TO AGENCY</b>  In accordance with the provisions of 44 U.S.C. 3303a, the Disposition request, including amendments, is approved Except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
2. MAJOR SUBDIVISION  <b>Office of Surface Mining</b>			
3. MINOR SUBDIVISION  <b>Finance &amp; Administration Directorate, Division of Administration</b>			
4. NAME OF PERSON WITH WHOM TO CONFER  Michael C. Wright	TELEPHONE NUMBER  202-208-2608	DATE  10-15-04 YKW	ARCHIVIST OF THE UNITED STATES  <b>WITHDRAWN</b>
5. AGENCY CERTIFICATION I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached _117_ pages(s) are not needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,  <input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE  7/30/04	SIGNATURE OF AGENCY REPRESENTATIVE  Darlene G. Carter		TITLE  <b>Chief, Division of Administration</b>
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	SEE ATTACHED SHEETS		10-15-04 <b>WITHDRAWN</b> per agency request Yvonne K. Wilson
<i>cc. Agency</i>			

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**100 SERIES –CORRESPONDENCE FILES**

100-1

Electronic or Word Processing Copies.

Electronic copies of records created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in the 100 section. Also includes electronic copies of records created on electronic mail and word processing systems maintained for updating, revision or dissemination.

- (a) Copies that have no further administrative value after the creation of the recordkeeping copy. Includes copies maintained by individuals in personal files, personal electronic mail directories or other personal directories on hard disc or network drives, and copies on shared network drives used only to produce the recordkeeping copy.

Destroy/delete within 180 days after the record copy has been produced.

- (b) Copies used for dissemination, revision, or updating that the user maintains in addition to the record copy.

Destroy/delete when dissemination, revision, or updating is completed.

**200 SERIES – PROGRAM CASE FILES**

**Abandoned Mine Land Reclamation**

These files are established and maintained in conjunction with reclamation activities and Federal reclamation projects as they relate to Abandoned Mine Land.

200-1

Electronic or Word Processing Copies.

Electronic copies of records created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in the 200 section. Also includes electronic copies of records created on electronic mail and word processing systems maintained for updating, revision or dissemination.

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Destroy/delete within 180 days after the record copy produced.

**Inspection and Enforcement**

These files are established and maintained in conjunction with State, Tribal and Federal inspection and enforcement of surface coal mining activities.

201-1

Assessment Case Files. These records are accumulated in the process of assessing and collecting civil penalties levied by OSM as a result of issuance of Cessation Orders (COs) and Notice of Violations (NOVs) during a Federal inspection of a mine (30 CFR 723). Records include citation, inspector's statement, inspector's report, assessor's explanation of assessment, assessment worksheet, Notice of Proposed Assessment, assessment cover letter, assessment assignments, application for review docketing, correspondence and other materials received from the coal mining company, affidavits, conference information, supporting documentation, docketing for civil penalty copy of abstract, check and escrow payment, hearing review, collection letters (if any), certified mail receipts and collection receipts, all fee collection and coordination performed. Closed case contains case history card listing key events and dates in the assessment and collection process along with other related information. Arrange files alphabetically by the name of the coal company, then by CO or NOV, vacation form number, modification form number and termination form number.

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- a. Hard copies of case files.
  - (1) State and Federal program lands.
 

Transfer to FRC upon making final review decision or upon expiration of opportunity for review. Destroy 5 years later.
  - (2) Tribal lands.
 

PERMANENT. Cut off upon making the final review or upon the expiration of opportunity for review. Offer to Office of Trust Records (OTR) / FRC as part of the Indian Records Collection. Ownership of the records Transferred to the OTR at this time.

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201-2	<p>b. Electronic or Word Processing Copies.</p> <p>Electronic copies of records created on electronic mail and word processing systems and used solely to generate a recordkeeping copy. Also includes electronic copies of records created on electronic mail and word processing systems maintained for updating, revision or dissemination.</p> <p>Destroy/delete within 180 days after the record copy produced.</p> <p><u>Ten-Day Notice.</u> Notification issued by OSM to the regulatory authority that a permittee is conducting a practice within the permit area inconsistent with approved plans or the regulatory authority has issued a permit containing omissions or other defects.</p> <p>a. Official file. Maintained at field or area office.</p> <p>If filed with related permit file, inspection file, etc., destroy with related files. If filed separately, destroy 5 years after final action.</p> <p>b. Reference Copies.</p> <p>Destroy when no longer needed.</p> <p>c. Electronic or Word Processing Copies.</p> <p>Electronic copies of records created on electronic mail and word processing systems and used solely to generate a recordkeeping copy.</p> <p>Destroy/delete within 90 days after the record copy produced.</p>	N1-471-89-1 201-03	
201-3	<p><u>Notice of Violation (NOV) Files.</u> Records include the NOV, inspector's report, modification, vacation or payment notice, copies of assessment records, reviews and related correspondence.</p> <p>a. Official file, non-Indian Lands. Maintained at field / area office.</p> <p>If filed with permit files, inspection files, etc., destroy with related file. If filed separately, destroy 5 years after NOV is vacated or paid and terminated.</p> <p>b. Reference copies, non-Indian Lands.</p>	N1-471-89-1 201-04	

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- If filed with mine permits, destroy with the related permit file. If filed separately, destroy when the NOV vacated or paid.
- c. NOVs issued on Indian Lands.
- PERMANENT. Offer to Office of Trust Records (OTR) / FRC as part of the Indian Records Collection at same at the time the associated mine permit files are offered. Ownership of the records transferred to the OTR at this time.
- d. Electronic or Word Processing Copies.  
Electronic copies of records created on electronic mail and word processing systems and used solely to generate a recordkeeping copy.  
  
Destroy/delete within 90 days after the record copy produced.
- Cessation Order (CO) Files. Files in clued the CO, inspector's report, copies of assessment, records, and any related correspondence.
- a. Official file, non-Indian Lands. Maintained at field / area office.  
  
If filed with permit files, inspection files, etc., destroy with related file. If filed separately, destroy 5 years after CO is vacated or paid.
  - b. Reference copies, non-Indian Lands.  
  
If filed with mine permits, destroy with the related permit file. If Filed separately, destroy when the CO vacated or paid.
  - c. COs issued on Indian Lands.  
  
PERMANENT. Offer to Office of Trust Records (OTR) / FRC as part of the Indian Records Collection at same at the time the associated mine permit files are offered. Ownership of the records transferred to the OTR at this time.
  - d. Electronic or Word Processing Copies.

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201-5	<p>Electronic copies of records created on electronic mail and word processing systems and used solely to generate a recordkeeping copy.</p> <p>Destroy/delete within 90 days after the record copy produced.</p> <p><u>Citizen Complaint Case Files.</u> Records are <u>confidential</u> and include original complaint (written complaint or report of oral complaint), OSM acknowledgement letter, complaint investigation report, reply to citizen and reply to coal mine operator, records relating to management review (if any) and other related correspondence. Maintained in field offices.</p> <p>a. Hard copy case files relating to non-Indian lands.</p> <p>Destroy in office 5 years after resolution of complaint.</p> <p>b. Hard copy case files relating to Indian lands.</p> <p><u>PERMANENT.</u> Offer to Office of Trust Records (OTR) / FRC as part of the Indian Records Collection at same at the time the associated mine permit files are offered. Ownership of the records transferred to the OTR at this time. NOTE: Maintain file with associated mine permit file, segregated from the permit file sections available to public view and noted as confidential.</p> <p>c. Electronic or Word Processing Copies</p> <p>Electronic copies of records created on electronic mail and word processing systems and used solely to generate a recordkeeping copy.</p> <p>Destroy/delete immediately after the record copy produced.</p>	N1-471-89-1 201-08	
201-6	<p><u>Improvidently Issued Permits.</u> Through administrative error, or otherwise, an office may have issued a permit to a coal company previously in violation of an article in SMCRA or having a delinquent penalty or fee. Once this is noted, a file begins to correct the error or resolve the violation or delinquent fee. This file contains issued notices, correspondence between the permit issuing authority, the permittee, and or OSM, possible NOV's and CO's, decision documents on resolving the outstanding issues, remedies to the violation, Ten-Day Notices, if applicable, and other related attachments and addenda. While some documentation may also be included in permit files, the local OSM</p>		

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office may maintain, at their discretion, a separate file documenting the actions taken in accordance with 30 CFR 773 and or 843

Cut off file once remedies to the violation are complete. Transfer to FRC 3 years after cutoff, destroy 10 years after cutoff.

Mining and Reclamation Plans. These files are commonly referred to as PERMIT FILES. There are three types of these files based upon the type of program the land falls under: copies of permits submitted by States with primacy (including Federal lands where the State issues the permit), permits submitted under a Federal program, and permits submitted in conjunction with mining activities on Indian Lands.

a. State Permit Program Files. Case files include copies of the permit application, approval letter, documents related to environmental concerns and reclamation requirements, attachments and addendums.

- (1) Information that is a duplicate of the information maintained by the State as part of its permit file.

Destroy internally upon the expiration of the related permit, supersession of the mine plan, or end of the life of the mine (after end of the reclamation liability period), whichever is appropriate.

- (2) Information that is NOT a duplicate of the information maintained by the State as part of its permit file.

At the expiration of the related mine permit, supersession of the related mine plan, or the end of the life of the mine, (after end of the reclamation liability period) as appropriate, place in inactive file. Cut off inactive file at close of FY. Transfer file to FRC 1 year after cutoff. Destroy 8 years years after cutoff.

- (3) Information received electronically or as a word processing document. Electronic copies of records created or received on electronic mail and word processing systems and used solely to generate a recordkeeping copy. Also may include electronic copies of records created on electronic mail and word processing systems maintained for updating, revision

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or dissemination.

Once a recordkeeping copy is created and filed in the appropriate file, destroy/delete within 90 days.

b. Federal Program Permit Files. Case files include the application, complaint letters, Section 510 (c) decision documents, midterm reviews, deficiency letters, renewals, revisions, and, if appropriate, Section 504 (d) reviews.

NOTE: Under a Federal program, certain aspects of the permit are encountered that create working files that are made part of the permit file at the conclusion of the process. For example, inspection activity such as NOV's and CO's are documented in inspection case files that are merged with the permit file at the time the permit is closed. Other activities under a Federal program that eventually contribute case file documentation to these permit files include assessments, bonding, and alternative enforcement.

(1) Record copy.

Place in inactive file upon expiration of related permit, supersession of mine plan, or end of the life of the mine (after end of the reclamation liability period), whichever is appropriate. Cut off inactive file at close of FY. Transfer file to FRC 1 year after cutoff. Destroy 8 years after cutoff.

(2) All other copies.

Destroy upon expiration of related permit, supersession of mine plan, or end of the life of the mine (after end of the reclamation liability period), whichever is appropriate.

(3) Machine Readable copies. Image copies of documents in the Permit File created to allow increased access to Permits.

Destroy upon expiration of related permit, supersession of mine plan, or end of the life of the mine (after end of the reclamation liability period), whichever is appropriate.

c. Indian Lands Permit Files. Case files include copies of application, approval letter, maps, documents related to environmental concerns and reclamation requirements, attachments and addenda. Information possibly duplicated in

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information maintained by the Tribe as part of its permit file treated the same as original information maintained by OSM.

PERMANENT. Place in inactive file upon expiration of related permit, supersession of mine plan, or end of the life of the mine (after end of the reclamation liability period), whichever is appropriate. Cut off inactive file at close of FY. Offer to Office of Trust Records (OTR) / FRC as part of the Indian Records Collection 1 year after cutoff. Ownership of the records transferred to the OTR at this time.

201-8

Mine Site Evaluation (MSE) Report Files. These files were known as Mine Evaluation Inspection Report (MEIRS) files. These files are the Federal surface coal mine inspection reports containing name and address of permittee, MSHA number, date of last inspection, permit information, and performance standards (codes) which may include a narrative.

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a. Record copy.

Cut off annually. Transfer to FRC 3 years after file break if volume warrants. Destroy 6 years after file cutoff.

b. Other hard copies.

Destroy when 3 years old.

c. MSE electronic database copies.

Destroy once database no longer needed for reference.

d. Electronic or Word Processing Copies.

Electronic copies of records created on electronic mail and word processing systems and used solely to generate a recordkeeping copy.

Destroy/delete within 90 days after the record copy produced.

201-9

Blaster Certification Files. These are case files created in conjunction with the Federal Blaster Certification Program. Files are arranged alphabetically by name and include application for certification, examination results, evaluation criteria, fee assessment/collection,

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information, and historical information on the blaster concerning his/her compliance.

a. Hard copy case file.  
Destroy 2 years after expiration of certification.

b. Electronic or Word Processing Copies.  
Electronic copies of records created on electronic mail and word processing systems and used solely to generate a recordkeeping copy.  
Destroy/delete within 180 days after the record copy produced.

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Federal Enforcement Files. Contains NOV's, CO's, Inspector Statement Reports, court referral information, technical date reports and photos used in regulatory oversight, and two-acre oversight of Federal programs.

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201-10

a. Non-Indian Lands.  
Destroy when no longer needed.

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b. Indian Lands.  
PERMANENT. Offer to Office of Trust Records (OTR) / FRC as part of the Indian Records Collection at same at the time the associated mine permit files are offered. Ownership of the records transferred to the OTR at this time.

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201-10

c. Electronic or Word Processing Copies.  
Electronic copies of records created on electronic mail and word processing systems and used solely to generate a recordkeeping copy.  
Destroy/delete within 180 days after the record copy produced.

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State Mine Site Evaluation Report. Formally referred to as the Mine Inspection Report. This report is used for inspections of mine sites by States that have primacy.

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a. Record copy.

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Cut off file annually. Transfer to FRC 3 years after file break, if volume warrants. Destroy 6 years after file cutoff.

b. Other copies.  
Destroy when 3 years old.

c. ~~Electronic or Word Processing Copies.~~  
~~Electronic copies of records created on electronic mail and word processing systems and used solely to generate a recordkeeping copy.~~  
~~Destroy/delete within 180 days after the record copy produced.~~

State Enforcement Activities. Working files assembled for oversight and to complete the State annual evaluation. Information may include violations, patterns of violation, alternative enforcement, show cause documentation, consent orders and suspension/revocation and or administrative hearings and appeals documents.

a. Record Copy.  
Cut off at end of evaluation year. Transfer to FRC 3 years after cutoff, if volume warrants. Destroy 10 years after cutoff.

b. Electronic or Word Processing Copies.  
Electronic copies of records created on electronic mail and word processing systems and used solely to generate a recordkeeping copy.  
Destroy/delete within 180 days after the record copy produced.

**State, Federal, and Indian Lands Programs**

These files are established and maintained in conjunction with the regulatory program function vested in an approved State program, Federal program or Indian Lands.

202-1

State Regulatory Program Files. P.L. 95-87 requires each State in which there are ongoing surface coal mining operations on non-Federal land (or having the potential to be conducted) and where the State wishes to

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assume exclusive jurisdiction over the regulation of surface coal mining and reclamation operations, to submit to OSM a program document which demonstrates that the State can carry out the provisions of P.L. 95-87 and meet its purposes. Records include the program document, OSM guidance and review documentation, notices of OSM approval or disapproval, copies of Federal Register notices, cooperative agreements, memoranda of understanding, action plans and any other related records.

a. Record Copy

Cut off the file upon the receipt of a revised basic document incorporating all changes and amendments previously issued or when replaced by a Federal program. Transfer to FRC 1 year after cutoff. Destroy 5 years after cutoff.

b. Electronic or Word Processing Copies.

Electronic copies of records created on electronic mail and word processing systems and used solely to generate a recordkeeping copy.

Destroy/delete within 30 days after the record copy produced.

202-2

State Program Evaluation Review Files. The field offices will prepare and maintain a program evaluation or oversight file for each State the field office covers, which will be available for public review as part of the evaluation process. The evaluation files, by State, will include the following materials in chronological order:

- National oversight guidance and format documents,
- Methods used to conduct the evaluation and prepare the annual evaluation report,
- Factual information developed or utilized in the program review,
- Special study reports,
- All correspondence with the State and meeting notes concerning program evaluation procedures, reports or issues,
- Evaluation reports released by OSM, and
- All public comments, complaints, or observations on the evaluation.

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202-3

a. Record Copy.  
Cut off at the end of the evaluation year. Transfer to RFC 3 years after cutoff. Destroy 5 years after cutoff.

b. Electronic or Word Processing Copies.  
Electronic copies of records created on electronic mail and word processing systems and used solely to generate a recordkeeping copy.  
Destroy/delete within 30 days after the record copy produced.

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202-03

Federal Regulatory Program Files. Program documents prepared by OSM when a State fails to submit a State program covering surface coal mining and reclamation operations, fails to re-submit an acceptable State program after the original State program is disapproved, or fails to implement, enforce, or maintain its approved State program as provided for in P.L. 95-87. Files include the Federal program document, public notice or hearing, records related to the public hearing, OSM review documents, copies of Federal Register notices, and other related materials.

a. Record Copy.  
PERMANENT. Cut off the file upon approval of a State Regulatory Program document. Transfer to FRC 1 year after cutoff. Offer to NARA in 5 year blocks 15 years after cutoff.

b. Electronic or Word Processing Copies.  
Electronic copies of records created on electronic mail and word processing systems and used solely to generate a recordkeeping copy.  
Destroy/delete within 30 days after the record copy produced.

202-4

Indian Special Studies Files. Section 710 of P.L. 95-87 directs OSM to prepare studies on the regulation of surface mining on Indian Lands. OSM contracts with Tribes or Tribal organizations, such as the Council of Energy Resource Tribes (CERT), to perform such studies, and reviews and monitors the studies. Records include cooperative agreements, contracts, OSM review documentation, the final study report, and other products of the study, and related correspondence.

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a. Record Copy.

PERMANENT. Cut off files after final decision to adapt or Implement recommendations contained in the study. Offer to Office of Trust Records (OTR) / FRC as part of the Indian Records Collection 3 years after cutoff if volume warrants. Ownership of the records transferred to the OTR at this time.

b. Electronic or Word Processing Copies.  
Electronic copies of records created on electronic mail and word processing systems and used solely to generate a recordkeeping copy.

Destroy/delete within 180 days after the record copy produced.

**Technical Services and Research**

These files are established and maintained in conjunction with OSM research and development, technical support and training, compliance with national environmental policy, and technical transfer.

203-1

Technical Assistance to Indian Tribe Files. Files contain requests for assistance from Indian Tribes including the format request, decision paper, related attachments and addenda, and related correspondence.

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a. Record Copy.

PERMANENT. Cut off file at the close of the FY if assistance is completed. Offer to Office of Trust Records (OTR) / FRC as part of the Indian Records Collection 3 years after cutoff if volume warrants. Ownership of the records transferred to the OTR at this time.

203-2

Coal Mining Unsuitability Petition Files. P.L. 95-87 Title V authorizes OSM to establish a process for the public to petition to have an area on Federal lands designated unsuitable for all or certain types of surface coal mining operations. Records in these files may include the petition, OSM internal review documents, review documents by the Bureau of Land Management (BLM) or other interested agencies, transcripts and other materials from public hearings, maps of the area, notice of acceptance or rejection of the petition, Federal Register notices, statements concerning the abundance of coal resources and the impact of

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the designation, and the final decision on the petition.

a. Non-Indian Lands.

Cut off file after final decision rendered. Transfer to FRC 3 years after cutoff. Destroy 10 years after cutoff.

b. Indian Lands.

PERMANENT. Cut off file after final decision rendered. Offer to Office of Trust Records (OTR) / FRC as part of the Indian Records Collection 3 years after cutoff if volume warrants Ownership of the records transferred to the OTR at this time.

Technical Environmental Assistance (TEA) Files.

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203-4

a. EIS relating to individual mine plans on non-Indian Land.

Place in Mine Plan Review Files (203-14) or in Permit Files of associated mine (201-11) and destroy accordingly.

b. Environmental assessment of individual mine plans on non-Indian Land.

Place in Mine Plan Review Files (203-14) or in Permit Files of associated mine (201-11) and destroy accordingly.

c. TEA files relating to individual mines on Indian Lands.

PERMANENT. Place in Permit Files (201-11 c) and maintain accordingly.

Historic Preservation Files. Final regulations titled "Protecting Historic Properties from Surface Coal Mining Operations" require consideration of the effects of permitting actions on historic properties and consultation with appropriate State Federal and local agencies having responsibility for historic properties. Records in these files may include guidance material for Federal permitting entities and for reevaluation of State regulatory authorities in the implementation of their approved programs concerning protection of historic properties and documentation of compliance in all Federal permitting actions. Material can be filed in the appropriate permit file (201-11) and/or in the appropriate State

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Program Evaluation Review File (202-02) and maintained as indicated in either file.

a. Record Copy (if filed separately from the Permit File) non-Indian Lands.

Cut off file at the end of the FY in which permitting expires and transfer to FRC 1 year after cutoff. Destroy 8 years after cutoff.

b. Record Copy (if filed separately from the State Program Evaluation Review File) non-Indian Lands.

Cut off file at end of evaluation year. Transfer to FRC 3 years after cutoff. Destroy 5 years after cutoff.

c. Record Copy Indian Lands.

File with the Permit Files (201-11c), maintain according to disposition of Permit Files. If not filed with the Permit Files, cut off at the end of the evaluation year and transfer to related Permit File.

203-5

Determination of Valid Existing Rights (VER) Files Section 522 (c) of P.L. 95-87 prohibits or limits surface coal mining operations on or near certain lands, facilities, and structures. These prohibitions and limitations do not apply to operations in existence on August 3, 1977, or when an operator can establish VER to conduct operations on the land in question. Records in these files may include requests for VER determination, Solicitor coordination and initial determination documentation, internal and external correspondence, telephone conversation records, copies of final decision letters, and notices of appeal.

a. Record Copy non-Indian Lands.

Cut off file at the end of the FY after final decision rendered. Transfer to FRC 3 years after cutoff. Destroy 10 years after cutoff.

b. Record Copy Indian Lands.

PERMANENT. Cut off file after final decision rendered.

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203-12

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203-6 Offer to Office of Trust Records (OTR) / FRC as part of the Indian Records Collection 3 years after cutoff if volume warrants Ownership of the records transferred to the OTR at this time.

Indian Lands Coal. File consists of general documentation of surface coal-mining operations not found in the Permit Files.

N1-471-89-1  
203-14

Record Copy.

PERMANENT. Cut off files at the close of the FY in which the permit expires. Offer to Office of Trust Records (OTR) / FRC as part of the Indian Records Collection 3 years after cutoff if volume warrants. Ownership of the records transferred to the OTR at this time.

203-7 Mine Plan Review Files. These are case files created in conjunction with the review of a Federal program application. Includes mine plan, notice of availability, technical analysis of the plan, copy of the National Environmental Protection Act (NEPA) analysis, letters of recommendation, notice of pending Federal decision, copy of approval documents, and related records.

N1-471-89-1  
203-15

a. Record Copy non-Indian Lands.

Cut off at close of the FY in which the permit expires and Transfer to FRC. Destroy 15 years after cutoff.

b. Record Copy Indian Lands.

PERMANENT. Cut off files at the close of the FY in which the permit expires. Offer to Office of Trust Records (OTR) / FRC as part of the Indian Records Collection 3 years after cutoff if volume warrants. Ownership of the records transferred to the OTR at this time.

203-8 Electronic or Word Processing Copies.

Electronic copies of records created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in the 203 section. Also includes electronic copies of records created on electronic mail and word processing systems maintained for updating, revision or dissemination.

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(a) Copies that have no further administrative value after the creation of the recordkeeping copy. Includes copies maintained by individuals in personal files, personal electronic mail directories or other personal directories on hard disc or network drives, and copies on shared network drives used only to produce the recordkeeping copy.

Destroy/delete within 180 days after the record copy has been produced.

(b) Copies used for dissemination, revision, or updating that the user maintains in addition to the record copy.

Destroy/delete when dissemination, revision, or updating is completed.

**Fee Compliance Audit**

These files are established and maintained in conjunction with reclamation fee allocation and collection activities under Title IV of P.L. 95-87.

204-1

OSM-1 Files. All coalmine operators submit an OSM-1, the "Coal Production and Reclamation Report", quarterly. The form is a statement of the amount of coal sold during the quarter, the method of coal removal, the type of coal mined, and date for fee computation. Coal mining operators have the option of completing the form in hard copy or can complete it on-line. Hard copy forms are notarized and then sent to OSM with the quarterly reclamation fee, which becomes part of the AML Fund. Coal mining operators verify electronically the on-line forms. The OSM-1 file is audited to determine the accuracy of the information submitted by the operator. Files include the form, bills of collection, and related correspondence.

a. Film Records.

Destroy when no longer needed for reference.

b. Paper Records.

Cut off file at the close of FY. Transfer to FRC 3 years after file break if the volume warrants. Destroy 6 years after file cutoff.

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204-01 a b

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204-2

Records relating to current or pending litigation should not be destroyed prior to the resolution of the litigation.

- c. Electronically Filed OSM-1 Forms Database. These quarterly reports are filed by the coal producers electronically and maintained in an electronic database; in most cases a paper record is not created.

Maintain database for the life of the system. Migrate data to new system when needed. Data maintained for the life of the AML Fund. Records relating to current or pending litigation should not be destroyed prior to the resolution of the litigation.

Electronic or Word Processing Copies.

Electronic copies of records created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in the 204 section. Also includes electronic copies of records created on electronic mail and word processing systems maintained for updating, revision or dissemination.

- (a) Copies that have no further administrative value after the creation of the recordkeeping copy. Includes copies maintained by individuals in personal files, personal electronic mail directories or other personal directories on hard disc or network drives, and copies on shared network drives used only to produce the recordkeeping copy.

Destroy/delete within 180 days after the record copy has been produced.

- (b) Copies used for dissemination, revision, or updating that the user maintains in addition to the record copy.

Destroy/delete when dissemination, revision, or updating is completed.

Personnel

301-1

Surface Mining Automated Recruitment System (SMART). OSM's computerized employment application processing system, which electronically prescreens candidates and ranks them according to

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specified criteria.

a. Inputs. Electronic inputs consisting of registrant, vacancy announcement, and applicant information (answers to vacancy questions, resumes, etc.)

Destroy or delete after input and verification of data into master File or when no longer needed to support the reconstruction of the master files, whichever is later.

b. Master File. Consists of a database that retains registrant, vacancy and applicant information, and does not interface with any other database.

Destroy or delete vacancy records that are over 2 years old and registrant records inactive for 2 years.

c. Outputs. Provides management with lists of vacancy questions and candidates eligible to be considered for selection.

(1) Electronic Copy.

Delete after production of recordkeeping copy or when no longer needed for operational purposes, whichever is later.

(2) Recordkeeping Copy (paper).

Cut off at the end of the FY. Destroy 2 years after cutoff.

d. System Documentation. Consists of user manuals.

Cut off when system replaced. Destroy 1 year after cutoff.

e. All other copies. Informational copies of employee emails, announcements, memoranda and other documents relating to implementation and use of the SMART and related websites.

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

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301-2

Surface Mining Automated Classification System (SMACS). OSM web-based classification system that automates the process of developing and classifying position descriptions.

a. **Inputs.** Electronic inputs consisting of duty and factor statements used to create position related documentation.

Destroy or delete after input and verification of data into master file, or when no longer needed to support the reconstruction of the master file, whichever is later.

b. **Master File.** Consists of a database that contains position descriptions of record and standardized position descriptions.

Destroy or delete position descriptions of record 2 years after the position is abolished or the description superseded. Standard position descriptions may be deleted when no longer needed.

c. **Outputs.** Provides management with position related documentation such as position descriptions and position descriptions coversheets.

(1) **Electronic Copy.**

Destroy or delete after recordkeeping copy produced, or when no longer needed of operational purposes, whichever is later.

(2) **Recordkeeping Copy (paper).**

Destroy record 2 years after the abolishment of the position or the supersession of the description.

d. **System Documentation.** Consists of a user manual and developmental documentation such as specifications and requirements.

Cut off when system replaced. Destroy 1 year after cutoff.

e. **All other copies.** Informational copies of employee emails, announcements, memoranda and other documents relating to the

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implementation and use of SMACS and related websites.

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

301-3

Thrift Savings Plan Catch-up Contribution Election Forms. Form TSP-1-C, authorizing catch-up deductions of employee contributions to the Thrift Savings Plan.

Destroy when superseded or after separation of employee.

301-4

Employee Benefit Files. Records relating to employee retirement, life insurance, health benefits and death benefits programs.

a. Retirement Case Files. Duplicate copies of retirement applications and all other forms forwarded to OPM for adjudication of employee's retirement.

Destroy 2 years after effective date of retirement.

b. Estimated Annuity Computations.

Destroy upon retirement.

c. Retirement Assistance Files. Correspondence, memoranda, and other records used to assist retiring employees or survivors claim insurance or retirement benefits.

Cut off files at the end of the FY. Destroy when superseded, obsolete or no longer needed.

d. Death Case Files. Duplicate copies of claim forms forwarded to OPM and the Office of Federal Employee Group Life Insurance for adjudication of survivor benefits.

Destroy 2 years after date of death.

b. Employee Training Files. Correspondence, memoranda, reports, and other records relating to the availability of training and employee participation in training programs sponsored by other Government agencies or non-Governmental institutions. Case files contain applications for training, authorizations, schedules,

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302-3 portions of the disposable paper records in 302-01, which it duplicates in electronic form.

Data in E-Budget authorized for destruction / deletion when 5 years old, when no longer needed for system recovery, or when no longer needed for reference, whichever is later.

General Financial Management Correspondence. Correspondence of a general nature pertaining to financial management and program coordination subjects, including the preparation and submission of budget data, budgetary policies and procedures, disbursement activities, and the maintenance, control and accountability of allocated funds.

a. Files in any OSM office that has a primary function in the financial area (DFM for example).

Cut off files at the end of the FY. Destroy 3 years after cutoff, or when purpose served, whichever is sooner.

b. All Other OSM Offices.

Cut off at the end of FY. Destroy 1 year after cutoff, when obsolete, or when no longer needed for reference, whichever is later.

302-4 Accountable Officer's Files.

a. Automated OSM Core Accounting System (Advanced Budget Accounting Control and Information System (ABACIS) or Federal Financial System (FFS). This automated, integrated, standardized accounting system (ABACIS currently but will migrate information into FFS as FFS becomes the Departmental required financial and accounting system) contains accounting, financial and management records, which support OSM financial operations. The data contained in ABACIS and FFS consist only of the same information contained in all or portions of the disposable paper records in GRS 6/1 a, which it duplicates in electronic form.

Data currently in ABACIS authorized for destruction / deletion when 6 years and 3 months old, when no longer needed for system recovery, or when no longer needed for reference,

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whichever is later. Data migrated into FFS when conversion mandated by the Department. Once ABACIS no longer active, all data in ABACIS will be deleted or destroyed. Data migrated to FFS will be deleted / destroyed when 6 years and 3 months old, when no longer needed for system recovery, or when no longer needed for reference, whichever is later.

b. Management and Performance Accounting System (MAPS). This automated, integrated, standardized accounting system contains financial, accounting and management records created through an interface with ABACIS. Data in MAPS are also found in ABACIS, but MAPS allows the user to access and search for data in different formats from ABACIS. The data contained in MAPS consist only of the same information contained in all or portions of the disposable paper records in 302-14 a, or the information contained electronically in ABACIS.

Data in MAPS authorized for destruction / deletion when 6 years and 3 months old, when no longer needed for system recovery, or when no longer needed for reference, whichever is later.

302-5

Government Charge Card Files. Files containing Government charge card approving official and cardholder records. Documents may include account set-up and account maintenance forms, renewal information, delegations of authority, funding authorization memoranda, approved and verified monthly charge card statements, and other correspondence for each card holder within an approving official account, excluding fleet charges for fuel, oil and maintenance.

Cut off at the end of FY. Destroy 2 years after cutoff.

**Grants**

These files are established and maintained in conjunction with grants awarded under OMB Circular A 102 for Title IV and Title V of P.L. 95-87. Title IV grants include such areas as AML subsidence insurance and administrative and construction grants related to activity on Indian Lands. Title V grants include such areas as administration and enforcement, the Small Operator Assistance Program (SOAP), Cooperative Agreements, and reclamation plans.

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303-1

Grant Case Files. These case files include grants under Title IV (AML), Title V (Regulatory activities), Federal, State and Tribal Reclamation Projects, and cooperative agreements. Files include, but are not limited to, accepted and rejected State and Tribal grant applications, grant agreements, and amendments thereto, approval correspondence, supporting documentation, such as copies of State laws and regulations, OSM review reports, findings and recommendations, copies of selected financial records and reports, narrative performance reports, requests for information and related replies, press releases, memoranda to the Solicitor, and Congressional inquires about specific grants.

- a. Record Copy non-Indian (Tribal) Lands.

Place in inactive file when grant is withdrawn, completed, or terminated. Cut off file at the end of the FY. Transfer to FRC 5 years after cutoff. Destroy 20 years later.

- b. Record Copy Indian (Tribal) Lands.

Place in inactive file when grant is withdrawn, completed, or terminated. Cut off file at the end of the FY. Offer to Office of Trust Records (OTR) / FRC 5 years later as part of the Indian Records Collection. Ownership of the records transferred to the OTR at this time.

- c. Rejected Applications with Related Records.

Destroy 3 years after rejection.

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GRS 3/13

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303-2

Electronic Mail and Word Processing System Copies. Electronic copies of records that are created on electronic mail and word-processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in the 303 section. Also includes electronic copies of records created on electronic mail and word-processing systems and maintained for updating, revision, or dissemination.

- a. Copies that have no further administrative value after the recordkeeping copy made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or

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network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

Destroy/delete within 90 days after the recordkeeping copy produced.

b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Destroy/delete when dissemination, revision, or updating is completed.

**Public Affairs**

OSM Newsletter. Currently this newsletter is entitled "Grassroots" and is made available electronically through the OSM Intranet to all OSM employees.

a. Record Copy. This is a hard copy of the newsletter maintained by the office responsible for the creation of the newsletter.

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305-03

PERMANENT. Cut off file at close of FY. Transfer to FRC 4 years after cutoff or sooner if volume warrants. Offer to NARA in 5 year blocks 20 years after cutoff.

b. All other copies.

(1) Electronic copy on the OSM Intranet.

Destroy/delete when 4 years old or no longer needed for reference, whichever is sooner.

(2) Paper copies.

Destroy when no longer needed for reference.

305-2

OSM Annual Report. OSM Annual Report to the Secretary of the Interior, Congress and the President.

a. Record Copy.

PERMANENT. Offer to NARA in 5-year blocks when 25 years old.

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305-06

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b. All Other Copies.

Destroy when 5 years old or no longer needed for reference, whichever is sooner.

Photograph Files. The original negative and a captioned print for each black and white negative and the original color transparency or color negative, a captioned print, and an inter-negative (if one exists) for each color image. Include the date, location, names of people, event, copyright owner, on other information as appropriate. For digital images, a copy of the image and the electronic file containing the image and metadata associated with the image.

a. Photographs of OSM officials and significant program activities. Photographs of significant OSM officials and other individuals, and photographs resulting from significant OSM program responsibilities which constitute evidence of the organization, function, policy development, decisions, procedures, operations, or other activities.

PERMANENT. Cut off files once volume warrants. Transfer to FRC two years after cutoff. Offer to NARA in 5-year blocks 5 years after cutoff.

305-4

Electronic Mail and Word Processing System Copies. Electronic copies of records that are created on electronic mail and word-processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in the 305 section. Also includes electronic copies of records created on electronic mail and word-processing systems and maintained for updating, revision, or dissemination.

a. Copies that have no further administrative value after the recordkeeping copy made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

Destroy/delete within 180 days after the recordkeeping copy produced.

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b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.  
  
Destroy/delete when dissemination, revision, or updating is completed.

**Emergency Management**

306-1

Emergency Operations Plan / Continuity of Operations Plan (EOP/COOP). Record copy of plans created by each OSM office on policy and procedures for operations under emergency contingencies. Offices physically located apart from other OSM offices must create an EOP/COOP. The OSM Headquarters office responsible for emergency preparedness operations maintains the record copy of all plans.  
  
PERMANENT. Place in inactive file when cancelled or superseded. Transfer to FRC 3 years after cancelled or superseded if volume warrants. Offer to NARA 20 years after placed in inactive file.

306-2

Emergency Planning Operations Test Reports. These records consist of consolidated or comprehensive reports reflecting OSM results of tests conducted under emergency plans.  
  
PERMANENT. Place in inactive file at end of the FY. Transfer to FRC 3 years after cancelled or superseded if volume warrants. Offer to NARA 20 years after placed in inactive file.

306-3

Electronic Mail and Word Processing System Copies. Electronic copies of records that are created on electronic mail and word-processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in the 306 section. Also includes electronic copies of records created on electronic mail and word-processing systems and maintained for updating, revision, or dissemination.

a. Copies that have no further administrative value after the recordkeeping copy made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.  
  
Destroy/delete within 180 days after the recordkeeping copy produced.

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b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Destroy/delete when dissemination, revision, or updating is completed.

**Administrative Services**

307-1 Small and Disadvantaged Business Utilization Files. Correspondence, reports, studies, goal statements and other records relating to the small and disadvantaged business utilization program, as required by Public Law 95-507.

Destroy when 3 years old.

307-2 Report Control Files. Files maintained for each OSM report created or proposed, including public use reports. Includes OMB 83, Paperwork Reduction Act Submissions, copies of pertinent forms or descriptions of format, copies of authorizing directives, preparation instructions and documents relating to the evaluation, confirmation, revision and discontinuation of reporting requirements.

Destroy 2 years after reports discontinued.

307-3 Electronic Mail and Word Processing System Copies. Electronic copies of records that are created on electronic mail and word-processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in the 307 section unless specified in the item. Also includes electronic copies of records created on electronic mail and word-processing systems and maintained for updating, revision, or dissemination.

a. Copies that have no further administrative value after the recordkeeping copy made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

Destroy/delete within 180 days after the recordkeeping copy produced.

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b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Destroy/delete when dissemination, revision, or updating is completed.

**Organization, Planning and Management**

308-1

Inspector General Investigation Files. Records created internally concerning investigations; includes final and interim reports, memoranda, studies, etc.

Cut off at end of FY. Destroy 10 years after cutoff.

308-2

Electronic Mail and Word Processing System Copies. Electronic copies of records that are created on electronic mail and word-processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in the 307 section unless specified in the item. Also includes electronic copies of records created on electronic mail and word-processing systems that are maintained for updating, revision, or dissemination.

a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

Destroy/delete within 180 days after the recordkeeping copy produced.

b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Destroy/delete when dissemination, revision, or updating is completed.

**400 SERIES – ADMINISTRATIVE RECORD**

This series provides for the destruction of the official file of public

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400-1	<p>comments, meeting transcripts, drafts, <u>Federal Register</u> submissions and other material supporting OSM initial regulations, permanent regulations such as State program regulations and amendments thereto, and Abandoned Mine Land regulations, Regulatory Analysis, and Environmental Impact Statements.</p> <p><u>Initial Regulations Administrative Record.</u> Records include technical reference literature and bibliography, preamble to proposed rules, <u>Federal Register</u> notices, worksheets on comments received, originals and photocopies of comments received, indexes of comments, transcripts of public hearings, and other similar records, <u>excluding those relating to Tribal or Indian lands.</u> Records arranged by section of the SMCRA regulations.</p> <p>a. Technical literature and related bibliography.</p> <p style="padding-left: 40px;">Destroy when no longer needed for reference or donate to the Departmental library. (NOTE: Maintain these records as long as the rule to which they pertain is in effect.)</p> <p>b. Official record copy of all other items.</p> <p style="padding-left: 40px;">Transfer to the FRC 10 years after publication of initial regulations if volume warrants. Destroy 25 years after publication. (NOTE: For records in this sub-series covering Tribal or Indian lands, refer to 400-5 a for disposition instructions.)</p>	N1-471-89-1 400-01 a	
400-2	<p><u>Permanent Regulations Administrative Record.</u> Records include technical reference literature and bibliography, worksheets containing evaluation of public comments, draft regulations, originals and photocopies of public comments, indexes of comments, transcripts of public hearings, summaries of public meetings, proposed and final rules, <u>Federal Register</u> submissions and notices, and other similar records, <u>excluding those relating to Tribal or Indian lands.</u> Records arranged by the section of the SMCRA regulations.</p> <p>a. Technical literature and related bibliography.</p> <p style="padding-left: 40px;">Destroy when no longer needed for reference or donate to the Departmental library. (NOTE: Maintain these records as long as the rule to which they pertain is in effect.)</p>	N1-471-89-1 400-01 b	

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b. Internal drafts, progress reports, and working papers not contributing substantively to the history of the regulation.  
  
Destroy upon publication of the regulations.  
(NOTE: For records in this sub-series covering Tribal or Indian lands, refer to 400-08 b for disposition instructions.)

c. Official record copy.  
  
Transfer to FRC 10 years after publication of permanent regulations if volume warrants. Destroy 25 years after publication.  
(NOTE: For records in this sub-series covering Tribal or Indian lands, refer to 400-5 b for disposition instructions.)

400-3 Regulatory Analysis (RA) Administrative Record. Records include original comments received and technical reference literature, excluding those relating to Tribal or Indian lands.

a. Technical literature and related bibliography.  
  
Destroy when no longer needed for reference. Not authorized for transfer to FRC.  
(NOTE: Maintain technical literature and related bibliography as long as the rule to which they pertain is in effect.)

b. Official record copy.  
  
Transfer to FRC 10 years after publication of the final RA if volume warrants. Destroy 25 years after publication.  
(NOTE: For records in this sub-series covering Tribal or Indian lands, refer to 400-5 c for disposition instructions.)

400-4 OSM Environmental Impact Statement (EIS) Administrative Record. Records include original comments received excluding those relating to Tribal or Indian lands.  
  
Transfer to FRC 10 years after issuance of final EIS if volume warrants. Destroy 25 years after issuance.  
(NOTE: For records in this sub-series covering Tribal or Indian lands, refer to 400-5 d for disposition instructions.)

400-5 Tribal or Indian Lands Administrative Record.

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a. Initial Regulations Administrative Record. Records include technical reference literature and bibliography, preamble to proposed rules, Federal Register notices, worksheets on comments received, originals and photocopies of comments received, indexes of comments, transcripts of public hearings, and other similar records, pertaining to Tribal or Indian lands. Records arranged by section of the SMCRA Regulations.

PERMANENT. Transfer to FRC 10 years after publication of initial regulations if volume warrants. Offer to Office of Trust Records (OTR) as part of the Indian Records Collection 25 years after publication of the associated regulation. Ownership of the records transferred to the OTR at this time.

b. Permanent Regulations Administrative Record. Records include technical reference literature and bibliography, worksheets containing evaluation of public comments, draft regulations, originals and photocopies of public comments, indexes of comments, transcripts of public hearings, summaries of public meetings, proposed and final rules, Federal Register submissions and notices, and other similar records, pertaining to Tribal or Indian lands. Records arranged by the section of the SMCRA regulations.

PERMANENT. Transfer to FRC 10 years after publication of initial regulations if volume warrants. Offer to Office of Trust Records (OTR) as part of the Indian Records Collection 25 years after publication of the associated regulation. Ownership of the records transferred to the OTR at this time.

c. Regulatory Analysis (RA) Administrative Record. Records include original comments received and technical reference literature, pertaining to Tribal or Indian lands.

**Disposal not authorized at this time.** Submit SF-115 to NARA when and if records are created.

d. OSM Environmental Impact Statement (EIS) Administrative Record. Records include original comments received pertaining to Tribal or Indian lands.

**Disposal not authorized at this time.** Submit SF-115 to

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NARA when and if records are created.

400-6

Electronic or Word Processing Copies. Electronic copies of records created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in the 400 section. Also includes electronic copies of records created on electronic mail and word processing systems maintained for updating, revision or dissemination.

Destroy/delete within 180 days after the record copy produced.

400-7

Copies in other media used for reconstruction. These records include copies maintained on back-up tapes, microfiche readers, etc., maintained for re-creation of the records in case of an emergency.

Destroy when superseded, obsolete, or no longer needed for re-creation. (NOTE: These records are not the official record. If at a future date, OSM decides to maintain the official record copy of the Administrative Record in a media other than paper, retention periods in any other media will be the same as for the current (paper) official record copy.)

**500 SERIES – MATERIAL COMMON TO MOST OFFICES**

This section provides for the disposal of certain records common to most OSM offices. It covers administrative subject files, facilitative records such as suspense files, tracking and control files, calendars, indexes, and transitory documents. This section does not apply to any materials that OSM has determined to be non-records, or to materials, such as calendars or work schedules, claimed as personal.

These temporary records accumulate in offices as a convenience for personnel and should always be kept to a minimum. This material should not be inter-filed with other record series. Ideally, much of this material should be destroyed without ever having been filed.

500-1

Electronic Mail and Word Processing System Copies. Electronic copies of records that are created on electronic mail and word-processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in the 500 section unless specified in the item. Also includes electronic copies of records created on electronic mail and word-processing systems that are maintained for updating, revision, or dissemination.

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- a. Copies that have no further administrative value after the recordkeeping copy made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.  
  
Destroy/delete within 180 days after the recordkeeping copy produced.
- b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.  
  
Destroy/delete when dissemination, revision, or updating is completed.

**600 SERIES – WEB RECORDS & INFORMATION TECHNOLOGY OPERATIONS AND MANAGEMENT RECORDS**

Year 2000 (Y2K) Files

600-1

Y2K Policy and Planning Records. Records created or approved by any OSM office that document the efforts taken to identify potential problems, assess risks, and implement strategies for OSM Y2K compliance and contingency. Records may include reports outlining overall strategies, project plans, risk assessments, system identification criteria and summary progress reports.

- a. Recordkeeping copy maintained by OSM Headquarters Y2K Project Officer.  
  
Cut off files at completion of project. Transfer to FRC 2 years after cutoff if volume warrants. Destroy 10 years after cutoff
- b. Site Y2K Project Office copy maintained for administrative purposes and all other copies.  
  
Cut off files at completion of project. Destroy 3 years after cutoff

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600-2

Y2K Administrative Records. Records associated with administrative aspects of Y2K projects, including budgeting, resource allocation, logistics, unit level project management, feeder status and progress reports, status tracking documentation, system inventories, and related materials.

Cut off at completion of project. Destroy 3 years after cutoff.

600-3

Y2K Implementation Records. Records that document analyzing, modifying, testing, and verifying systems for Y2K compliance.

- a. Summary records of the analysis of actions taken for specific systems. These records may include configuration and design analyses, application of selection criteria, changes made to the system, revisions or additions to systems documentation, and final reports or audits of system status. Typically document justifications to repair, retire, or replace system in relation to Y2K concerns.

Cut off at completion of the project. Transfer to FRC 2 years after cutoff if volume warrants. Destroy 10 years after cutoff.

- b. Detailed records of the revision, testing, and validation of a specific system or group of systems. May include listings of potential problems, test plans, test data, test procedures and results, final validation results, and quality assurance reviews.

Cut off at completion of project. Destroy when 3 years old.

**Web Content Records**

600-4

OSM Internet Website Content. These records include all pages, images and digital photographs posted on the OSM web page at [www.osmre.gov](http://www.osmre.gov) at anytime during the life of the website. Records may include copies of OSM Directives, handbooks and policy guidance, OSM annual report, IG semi-annual reports to Congress, Privacy Act reports, etc. Static snapshots of the website are taken at the end of each fiscal year, at the end of each Administration, at the end of each calendar year, and at other times of significance.

- a. Snapshots of website.

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(1) Those made at the end of an Administration.  
  
Offer to NARA within 90 days of a change of Administration. If not accepted, maintain for 8 years from date made and destroy.

(2) All other snapshots.  
  
Destroy 8 years after created.

b. Website content. Directives, policies and handbooks.  
  
Destroy/delete when 5 years old or superseded, obsolete, or no longer needed for the conduct of OSM business, whichever is later.

c. Electronic records containing comments, feedback and questions from the OSM website users. Also included are records summarizing utilization statistics of the site, sections of the site, and reports on utilization created as needed.  
  
Cut off at the end of the FY. Destroy when 2 years old or when no longer needed, whichever is later.

d. www.osmre.gov Website Electronic Code. Electronic code (HTML, etc.) that contains the information to produce the osmre.gov website at any given point.  
  
Current code superseded on an ongoing basis as new information goes on the website. The webmaster will delete code when no longer needed for OSM business.

e. All other web content.  
  
Destroy delete when obsolete, superseded, or no longer needed for OSM business.

600-5

OSM Internet Website Management and Operations Records. These records may include design records, program management records, including policy and procedures, web site posting logs indicating when pages were posted, updated or removed, and other operational records.

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600-6

Delete/destroy when 2 years old or when superseded, obsolete, or not longer needed for the conduct of OSM business, whichever is later.

OSM Intranet Website Content. These records include all pages, images and digital photographs posted on the OSM web page at [www1.osmre.gov](http://www1.osmre.gov) at anytime during the life of the website. Content of the website concerns administrative and housekeeping issues; program support issues exist only as links to the OSM Internet. Content on the Intranet by its nature is temporary, including much information that in hard copy, one would characterize as routine communications. These temporary records accumulate on the Intranet website as a convenience for OSM personnel and should always be kept to a minimum.

Delete when 5 years old, superseded, obsolete, or no longer needed for the conduct of OSM business.

600-7

OSM Intranet Management and Operations Records. These records may include design records, program management records, including policy and procedures, web site posting logs indicating when pages were posted, updated or removed, and other operational records.

Delete/destroy when 2 years old or when superseded, obsolete, or not longer needed for the conduct of OSM business, whichever is later.

600-8

Servers Housing Inter/Intranet Websites.

a. Correspondence, records, and related materials pertaining to information on the location of servers, technical operation, maintenance, system upgrade data, and operational procedures for OSM web servers.

Cut off at the end of the FY. Destroy when superseded, obsolete or no longer needed.

b. Software. Correspondence and any related material pertaining to such things as software programs, systems, and applications used in support of the OSM websites.

Cut off at the end of the FY. Destroy 1 year after software is no longer used in support of the OSM websites.

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c. Accessibility Issues. Correspondence and any related material pertaining to rule sand regulations such as the Assisitive Technology Act of 1998 and the Web Accessibility Initiative of the World Wide Web Consortium (W3C) to ensure that the OSM websites are accessible by all users, including disabled and handicapped users.

Cut off at the end of the FY. Destroy when superseded, obsolete or no longer needed.

d. Correspondence and related materials pertaining to physical equipment and components in the computer system housing the OSM websites or used in its daily activities.

Cut off at the end of the FY. Retain for the life of the system.

600-9

Systems Feasibility Files. Feasibility studies conducted before the installation of any technology or equipment associated with information management systems. These documents normally created during the Capital Planning and Investment Control (CPIC) process. Documents provide information on time, cost, and resources required related to the design, implementation, and operation of an ADP system. Case files are accumulated by the office conducting the study. Includes 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. Included are documents reflecting review and recommendations by the Information Technology Management Team, and/or other management teams for acceptance or rejection of the proposal, and documents on major changes to these systems.

a. Rejected systems.  
 Destroy 5 years after rejection of study, except offices may maintain system studies that may be of continuing values as non-record reference material.

b. Approved systems.  
 Maintain case file for the life of the system. Destroy 3 years after system is retired or no longer needed.

**WITHDRAWN**