

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse)		LEAVE BLANK (NARA use only)	
TO. NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER N1-473-10-3	DATE RECEIVED 9-14-2009
1. FROM (Agency or establishment) Minerals Management Service		NOTIFICATION TO AGENCY	
2. MAJOR SUBDIVISION Minerals Revenue Management		<i>Withdrawn 9-13-2010</i>	
3. MINOR SUBDIVISION Information Technology Center			
4. NAME OF PERSON WITH WHOM TO CONFER Michael Autobee	5. TELEPHONE 303.231.3282	DATE	ARCHIVIST OF THE UNITED STATES

6 AGENCY CERTIFICATION
I hereby certify that I am authorized to act for this agency in the matters pertaining to the disposition of its records and that the records proposed for disposal attached 11 page(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

is not required, is attached; or has been requested

DATE 9/11/2009	SIGNATURE OF AGENCY REPRESENTATIVE <i>Brenda Taylor</i>	TITLE Bureau Records Officer (Acting)
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7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
See Attached	<p>The Minerals Management Service (MMS) is submitting the attached proposed retention schedules for review and appraisal. The design of each schedule is premised on a functional or "Big Bucket" format in lieu of the traditional organizational format for federal records retention scheduling. The disposition instructions have been developed in correlation with the MMS lines of business functions and processes as they have been reported to the OMB and populated in the Department Enterprise Architecture Repository. The basic mission of the organization has remained the same. This schedule is written to authorize the disposition of the records in any media format (media neutral).</p> <p><u>Attachment 1: Proposed Functional Records Retention Schedules (a.k.a. "Big Buckets")</u> Each bucket summarizes a unique mission-essential business function and its related processes. The buckets are divided into sub-buckets. The sub-buckets categorize separate lines of business that warrant a unique and dedicated set of disposition instructions for the records created, received, maintained, preserved or ultimately disposed of within the applicable line of business.</p> <p><u>Attachment 2: Sub-Bucket Crosswalks</u> The sub-bucket crosswalk is being submitted for the purpose of providing a cross-reference between the existing NARA-approved MMS schedules - including item numbers, series descriptions and job numbers with the proposed sub-buckets and disposition instructions designated to complement or supersede them.</p>	See Attached	<i>Withdrawn 9-13-2010</i>

Minerals Management Service Records Management Handbook **MMSM 380.2-H**

Organization. The Minerals Management Service (MMS) is headquartered in the Washington, D C. metropolitan area with Minerals Revenue Management functions headquartered in Lakewood, CO. The MMS has operational centers and support offices located throughout the United States

Minerals Revenue Management is responsible for the collection and distribution of all royalty payments, rentals, bonus payments, fines, penalties and assessments, and other revenues due the Federal Government and Indian Lessors (Tribal and allotted) 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)

Offshore Minerals Management is responsible for all offshore activities which include resource evaluation, environmental review, leasing activities, lease management, inspection, and enforcement programs under MMS' jurisdiction while managing mineral resources on 1.76 billion acres of the OCS. The MMS' oversight and regulatory frameworks ensure that production and drilling is done in a safe and environmentally responsible manner

Administration and Budget is responsible for budget and financial management in addition to all administrative activities of the MMS. The functions of this organization include planning for and using budgetary resources in support of the MMS' varied operating and support programs, e.g. management analysis, records and paperwork management, human resources, safety and health programs, procurement, property and space management, and information management.

Policy and Management Improvement is responsible for providing policy review and coordinated program and policy positions on all matters relating to the MMS, for providing a review and assessment capability within the Bureau, managing the strategic planning and quality improvement processes, and evaluating programs through economic and programmatic policy analyses.

Media This schedule covers records in all media, format, and produced using any and all tools. Records may include, but not limited to, paper, word processing documents, presentation materials, statistical data, spreadsheets, databases, e-mail, photographic materials, audio, film, video, drawings; and any other electronic formats that fall within the unstructured, semi-structured or structured classification

Litigation Holds and Records Freezes: This schedule is subject to the orders of the court to preserve any and all program records deemed potentially responsive in a legal proceeding where MMS or its authorized agents are named parties to an applicable proceeding - regardless of media format. In accordance with such a court order, or, by direction of the Department of Justice or the Solicitor of the Department of the Interior, MMS will fully suspend all retention schedule disposition instructions in their entirety, indefinitely, until instructed to do so otherwise by these same authorities by written notice

Bucket 7 - MINERALS REVENUE COMPLIANCE MANAGEMENT

Compliance Management functions include assuring proper royalties have been paid; assuring consistent compliance with lease terms, regulations, and laws, conducting mineral revenue audits and reviews in compliance with applicable standards, and applying fiduciary trust principles on Indian leases and public trust on Federal offshore and onshore leases. Compliance Management documents address the financial auditing of leases and the managing of the oil, gas and solid minerals that are extracted from the leased lands.

Item Number	Title and Description	Disposition Authority	Old Series
7A	<p>Compliance Management Program Administration</p> <p>Records related to the general management of the Minerals Revenue Compliance Management.</p>		
7A(1)	<p>MRM Compliance Management Program Administration</p> <p>All records created or received that support MRM Minerals Revenue Compliance Management programs.</p> <p>May include mission-direct files such as:</p> <ul style="list-style-type: none"> • A-123 reviews, • Audit Coordinators files • Work plans, Risk-Based Compliance documentation, and related Compliance Management information, • Compliance Management Training development and implementation, • Operational Manuals or Procedures • Program specific IT project support and testing, • Other project or program support, • Implementation of new laws, regulations, or policy, and • General management reports and decisions <p>(NOTE. Use Bucket 1 for mission-direct budget records. Use Bucket 2 for mission-direct Policy, Internal and External Reviews, Regulations, Information Collection Requests, or support for external advisory committees.)</p>	<p>TEMPORARY: Cut off at close of the fiscal year or at the end of the fiscal year in which activity is completed. Retire to records repository 2 years after cut off. Delete/Destroy 10 years after cut off.</p> <p style="font-size: 2em; transform: rotate(-15deg); opacity: 0.5;">Withdrawn 9-13-2014</p>	<p>102-01a 201-01b 201-02 201-08a 201-08b 201-08c 201-08f(1) 201-08f(2) 603-04 801-01a 801-05</p>
7A(2)	<p>States and Tribes (STRAC) Compliance Management Program Administration</p> <p>All records created or received that support STRAC</p>		

	<p>Minerals Revenue Compliance Management programs</p> <p>Includes mission-direct</p> <ul style="list-style-type: none"> • A-123 reviews, • Audit Coordinators files • Work plans, Risk-Based Compliance documentation, and related Compliance Management information, • Approval of cooperative and delegated agreements • State and Tribe progress reports and other related documentation • Documentation of MRM activities in support of reviews or audits conducted by states or tribes • Compliance Management Training development/implementation, • Operational Manuals or Procedures • Program specific IT project support and testing, • Other project or program support, • Implementation of new laws, regulations, or policy, and • General management reports and decisions <p>(NOTE Use Bucket 1 for mission-direct budget records Use Bucket 2 for mission-direct Policy, Internal and External Reviews, Regulations, Information Collection Requests, or support for external advisory committees)</p>		
7A(2)(a)	Indian	<p>PERMANENT Cut off at close of the fiscal year or at the end of the fiscal year in which activity is completed Retire to records repository 2 years after cut off. Review records every 25 years for determination of transfer to the National Archives Legal transfer will be jointly agreed upon between the United States Department of the Interior and the National Archives and Records</p>	<p>102-01a 201-01b 201-02 201-08a 201-08b 201-08c 201-08f(1) 201-08f(2) 603-04 801-01a 801-05</p>

withhold from 9-17-2000

7A(2)(b)	Federal	Administration. TEMPORARY: Cut off at close of the fiscal year or at the end of the fiscal year in which activity is completed. Retire to records repository 2 years after cut off. Delete/Destroy 10 years after cut off	102-01a 201-01b 201-02 201-08a 201-08b 201-08c 201-08f(1) 201-08f(2) 603-04 801-01a 801-05
7B	<p>Compliance Reviews - MRM</p> <p>All records created or received documenting MRM full scope and limited scope in-house compliance reviews on production/sales, value, and royalty information provided by operators, payors, and other sources such as Bureau of Indian Affairs (BIA) and Bureau of Land Management (BLM) Offshore Energy Minerals Management (OEMM). Includes information contained in the Minerals Revenue Management Support System (MRMSS) Financial and Data Warehouse Sub-system.</p> <p>Files may contain:</p> <ul style="list-style-type: none"> • Correspondence • Case File Index • Internal and external exhibits • Appeals and Supporting Documentation • Summaries • Work papers • Schedules • Templates • Screenshots of tracking systems • Copies of invoices/bills • Copies of Sales Summaries, Contracts, Production and Royalty Reports (P&Rs) • Database screen prints • Fax transmittals • Telephone logs • E-mail messages • Reports including findings, recommendations, and conclusions 	<p><i>Withdrawn 9-13-2009</i></p>	
7B(a)	Indian	PERMANENT: Cut off	Unscheduled

		at close of the fiscal year in which the review is completed and the case closed. Retire to records repository 2 years after cut off Review records every 25 years for determination of transfer to the National Archives Legal transfer will be jointly agreed upon between the United States Department of the Interior and the National Archives and Records Administration	1801-09A
7B(b)	Federal	<i>Withheld 9-17-2010</i> TEMPORARY: Cut off at close of the fiscal year in which the review is completed and the case closed. Retire to records repository 2 years after cut off Delete/Destroy 10 years after cut off.	Unscheduled 1802-01B
7C	Audits - MRM All records created or received documenting MRM audits according to the Audit Manual and Government Auditing Standards, also known as the yellow book standards. Includes information contained in the MRMSS Data Warehouse Sub-system Files may contain <ul style="list-style-type: none"> • Source documents such as Purchase/Sales Contracts, Division Orders, Gas Settlement Statements, Oil Run Statements • Work papers • Checklists • Case File Index • Correspondence • Internal and external exhibits • Summaries • Appeals and Supporting Documentation • Schedules • Templates • Screenshots of tracking systems 		

	<ul style="list-style-type: none"> • Reports • Maps • Photos • Database screen prints • Fax transmittals • Telephone logs • E-mail messages • Report of findings, recommendations and conclusions • Copy of the bill and order letter 		
7C(a)	Indian	<p><i>Withheld 9-13-2010</i></p> <p>PERMANENT: Cut off at close of the fiscal year in which the audit is completed and the case closed. Retire to records repository 2 years after cut off. Review records every 25 years for determination of transfer to the National Archives. Legal transfer will be jointly agreed upon between the United States Department of the Interior and the National Archives and Records Administration.</p>	1802-01A
7C(b)	Federal	<p>TEMPORARY: Cut off at close of the fiscal year in which the audit is completed and the case closed. Retire to records repository 2 years after cut off. Delete/Destroy 10 years after cut off</p>	1802-01B 1802-02
7D	<p>Compliance Reviews – States & Tribes</p> <p>All records created or received that document all MRM activities related to the coordination, preparation and support for (including review of) reviews conducted by states or tribes with cooperative agreements under Sections 202 or 205 of the Federal Oil and Gas Royalty Management Act (FOGRMA).</p> <p>Files may contain:</p>		

	<ul style="list-style-type: none"> • Compliance Review Agreements and orders • Correspondence • Cost detail • Evaluations • Enforcement or collection documentation • Case File Index • Internal and external exhibits • Appeals and Supporting Documentation • Summaries • Work papers • Schedules • Templates • Screenshots of tracking systems • Copies of invoices/bills • Copies of Sales Summaries, Contracts, Production and Royalty Reports (P&Rs) • Database screen prints • Fax transmittals • Telephone logs • E-mail messages • Reports including findings, recommendations, and conclusions 			
7D(a)	Indian		<p>PERMANENT: Cut off at close of the fiscal year in which the review is completed and the case closed. Retire to records repository 2 years after cut off. Review records every 25 years for determination of transfer to the National Archives. Legal transfer will be jointly agreed upon between the United States Department of the Interior and the National Archives and Records Administration.</p>	<p>Unscheduled 1801-09A</p>
7D(b)	Federal		<p>TEMPORARY: Cut off at close of the fiscal year in which the review is completed and the case closed. Retain on site or retire to records center 2</p>	<p>Unscheduled 1801-09B</p>

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		years after cutoff or when volume warrants Delete/Destroy 10 years after cut off.	
7E	<p>Audits – States & Tribes</p> <p>All records created or received that document all MRM activities related to the coordination, preparation and support for (including review of) audits according to the Audit Manual and Government Auditing Standards, also known as the yellow book standards conducted by states or tribes with cooperative agreements under Sections 202 or 205 of the Federal Oil and Gas Royalty Management Act (FOGRMA)</p> <p>Files may contain.</p> <ul style="list-style-type: none"> • Audit Agreements and orders • Correspondence • Cost detail • Evaluations • Source documents such as Purchase/Sales Contracts, Division Orders, Gas Settlement Statements, Oil Run Statements • Work papers • Checklists • Case File Index • Internal and external exhibits • Summaries • Appeals and Supporting Documentation • Schedules • Templates • Screenshots of tracking systems • Reports • Maps • Photos • Database screen prints • Fax transmittals • Telephone logs • E-mail messages • Report of findings, recommendations and conclusions • Copy of the bill and order letter 	<p><i>Withdraw 2-13-2010</i></p>	

7E(a)	Indian	PERMANENT: Cut off at close of the fiscal year in which the audit is completed and the case closed Retire to records repository 2 years after cut off. Review records every 25 years for determination of transfer to the National Archives. Legal transfer will be jointly agreed upon between the United States Department of the Interior and the National Archives and Records Administration	Unscheduled 1802-01A
7E(b)	Federal	<i>withheld 9-17-2010</i> TEMPORARY: Cut off at close of the fiscal year in which the audit is completed and the case closed Retain on site or retire to records center 2 years after cutoff or when volume warrants. Delete/Destroy 10 years after cut off.	Unscheduled 1802-01B 1802-02
7F	<p>Asset Compliance Assurance</p> <p>All records created or received for managing and mitigating crude oil and natural gas production imbalances include operator imbalance statements, OGOR's, pipeline statements, cash-out letters and supporting documentation</p> <p>Files may contain</p> <ul style="list-style-type: none"> • Monthly oil/gas imbalance statements (includes PIM Management Reports) • Operator Contact information • Referential data • Dear Operator Letters • Revert Letters • Production data • Analysis spreadsheets • Research notes and/or general correspondence 	TEMPORARY: Cut off at close of the fiscal year in which reconciliation and cash out are completed and the case closed Retain on site or retire to records center 2 years after cutoff or when volume warrants Delete/Destroy 10 years after cut off	N1-473-05-1/1 N1-473-05-1/3

	<ul style="list-style-type: none"> Cash Out documents (calculations, supporting documentation, letters, appeals, correspondence, resolution support, etc) 		
7G	<p>Indian Inquiries and Outreach</p> <p>All records created or received related to inquiries and requests for assistance and records documenting regular outreach sessions in designated areas where local tribes, BLM, BIA, and individual Indian mineral owners (IIMO) can ask any questions related to their trust assets</p> <p>Files may contain:</p> <ul style="list-style-type: none"> Documentation regarding the outreach sessions including notifications sent to BIA, BLM, and/or Office of Trust Funds Management (OTFM) Memoranda confirming time of outreach session Request to Office of Special Trustee (OST - OTFM) to notify IIMO in the specified area Requests for local media advertising Copy of the sign-in sheets Summary of inquiries and responses arising out of the session Documentation from the Indian Energy & Minerals Steering Committee 	<p>PERMANENT: Cut off at close of the fiscal year in which the request or session is completed. Retire to records repository 2 years after cut off Review records every 25 years for determination of transfer to the National Archives. Legal transfer will be jointly agreed upon between the United States Department of the Interior and the National Archives and Records Administration.</p> <p><i>withheld 9-13-200</i></p>	<p>Unscheduled <i>New</i></p>
7H	<p>State Outreach</p> <p>All records created or received related documenting state outreach sessions.</p> <p>Files may contain:</p> <ul style="list-style-type: none"> Documentation regarding the outreach sessions including notifications sent to states Memoranda confirming time of outreach session Requests for local media advertising Copy of the sign-in sheets Correspondence Internal and external exhibits Notes Referrals to other DOI agencies Screen prints 	<p>TEMPORARY: Cut off at close of the fiscal year in which the request or session is completed Retire to records repository 2 years after cut off Delete/Destroy 10 years after cut off</p>	<p>New</p>

		to the National Archives Legal transfer will be jointly agreed upon between the United States Department of the Interior and the National Archives and Records Administration	
7I(b)	Federal	TEMPORARY: Cut off at close of the fiscal year in which reporting and verification, errors and/or exceptions are resolved or completed. Retire to records repository 2 years after cut off. Delete/Destroy 10 years after cut off	1101-05b 1801-02 1801-09B
7J	Intergovernmental Personnel Agreements (IPA) All records created or received that document cooperative personnel agreements between MMS and Tribes/States including Intergovernmental Personnel Agreements (IPA).	PERMANENT: Cut off at close of the fiscal in which the agreement is terminated. Retire to records repository 2 years after cut off. Review records every 25 years for determination of transfer to the National Archives. Legal transfer will be jointly agreed upon between the United States Department of the Interior and the National Archives and Records Administration.	Unscheduled <i>New</i>
7K	Audit & Compliance Information Collected From Companies All documents received from lessees that meet information collection request requirements set forth in MMS solid minerals, oil & gas and geothermal regulations specific to the audit and compliance program Also includes contracts for moving oil or gas on pipelines or to permit gas plants processing natural gas to remove gas liquids. Includes information contained in the Minerals Revenue Management Support System (MRMSS) Financial and Data Warehouse Sub-system	TEMPORARY: Cut off at close of the fiscal year in which the activity is completed. Retain on site or retire to records center 2 years after cutoff or when volume warrants. Delete/Destroy 10 years after cut off	Unscheduled <i>New</i>

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	Files may contain <ul style="list-style-type: none"> • Sales Contracts or Agreement • Sales Summaries • Facility Reports • Advance Royalty Unit Value Determinations • Correspondence • Reports • E-mail • Transportation & Processing forms 		
7L	Alternative Dispute Resolution, Enforcement & Litigation Support Records associated with all mineral revenue enforcement actions, settlements, litigation support, and related activities for Minerals Revenue Management		
7L(1)	Alternative Dispute Resolution All records created or received that document alternative resolution activities. Files may contain: <ul style="list-style-type: none"> • Settlements • Future Valuation Agreements • Case Notes • Supporting Documentation & Memoranda • Correspondence • Telephone conference & meeting notes • E-mail • Data Disks 	<i>Withdrawn 9-13-2010</i>	
7L(1)(a)	Indian	PERMANENT: Cut off at close of the fiscal year in which the case is resolved. Retire to records repository 2 years after cut off. Review records every 25 years for determination of transfer to the National Archives. Legal transfer will be jointly agreed upon between the United States Department of the Interior	701-01 707-03A 1801-09A

		and the National Archives and Records Administration.	
7L(1)(b)	Federal	TEMPORARY: Cut off at close of the fiscal year in which the case is resolved. Retain on site or retire to records center 2 years after cutoff or when volume warrants. Delete/Destroy 10 years after cut off.	701-01 707-03B 1801-09B
7L(2)	<p>Litigation Support</p> <p>All records created or received that document litigation.</p> <p>Files may contain</p> <ul style="list-style-type: none"> • Referrals to Treasury • Bankruptcy cases • Discovery Requests • Case Notes • Correspondence • Telephone conference & meeting notes • Federal case files • Copies of records produced • E-mail • Court orders • Data Disks 	<p><i>Withdrawn 9-13-2010</i></p>	
7L(2)(a)	Indian	PERMANENT: Cut off at close of the fiscal year in which the case is resolved. Retire to records repository 2 years after cut off. Review records every 25 years for determination of transfer to the National Archives. Legal transfer will be jointly agreed upon between the United States Department of the Interior and the National Archives and Records Administration.	701-01 707-03A 1801-09A
7L(2)(b)	Federal	TEMPORARY: Cut off	701-01

		at close of the fiscal year in which the case is resolved Retain on site or retire to records center 2 years after cutoff or when volume warrants Delete/Destroy 10 years after cut off	707-03B 1801-09B
7L(3)	Enforcement All records created or received that document enforcement and investigations Files may contain <ul style="list-style-type: none"> • Investigation documentation • OIG Referrals • Notices of Noncompliance (NONC) • Civil Penalty Actions • Case Notes • Supporting documentation • Correspondence • E-mail • Telephone conference & meeting notes 		
7L(3)(a)	Indian	PERMANENT: Cut off at close of the fiscal year in which the case is resolved Retire to records repository 4 years after cut off Review records every 25 years for determination of transfer to the National Archives Legal transfer will be jointly agreed upon between the United States Department of the Interior and the National Archives and Records Administration.	701-01 707-03A 1801-09A
7L(3)(b)	Federal	TEMPORARY: Cut off at close of the fiscal year in which the case is resolved. Retain on site or retire to records center 4 years after cutoff or when volume warrants.	701-01 707-03B 1801-09B

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		Delete/Destroy 10 years after cut off.	
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W. McLaughlin
9-13-2010

Bucket 7. Mineral Revenue Compliance Management

New Schedule	Former Schedule			
Sub-Bucket Description & Retention	Series No.	Title	Retention	NARA Authority
<p>7A(1) MRM Compliance Management Program Administration</p> <p>All records created or received that support MRM Minerals Revenue Compliance Management programs</p> <p>May include mission-direct files such as:</p> <ul style="list-style-type: none"> • A-123 reviews, • Audit Coordinators files • Work plans, Risk-Based Compliance documentation, and related Compliance Management information, • Compliance Management Training development and implementation, • Operational Manuals or Procedures • Program specific IT project support and testing, • Other project or program support, • Implementation of new laws, regulations, or policy, and • General management reports and decisions <p>(NOTE Use Bucket 1 for mission-direct budget records. Use Bucket 2 for mission-direct Policy, Internal and External Reviews, Regulations, Information Collection Requests, or support for</p>	102-01a	Program Functions	30 yrs	NC1-57-84-7
	201-01b	Management Objective Files	10 yrs	NC1-57-84-7
	201-02	Management Survey Background Files	3 yrs	NC1-57-84-7
	201-08a	Management Control Reviews - Policy, Procedures, and Guidance	Superseded	GRS 16.14a
	201-08b	Management Control Plans	Superseded	GRS 16.14b
	201-08c	Risk Analysis	Superseded	GRS 16.14c
	201-08f(1)	Review Files - Office of Responsibility	5 yrs	GRS 6.14f(1)
	201-08f(2)	Review Files - Copies	1 yr	GRS 6.14f(2)
	603-04	Training Records	5 yrs	GRS 1.25a(2)
	801-01a	Electronic Files or Records Created Solely to Test System Performance	No longer needed	GRS 20.1a
801-05	Records Consisting of Extracted Information	No longer Needed	GRS 20.5	

<p>external advisory committees.)</p> <p>TEMPORARY: Cut off at close of the fiscal year or at the end of the fiscal year in which activity is completed Retire to records repository 2 years after cut off Delete/Destroy 10 years after cut off</p>				
<p>7A(2) States and Tribes (STRAC) Compliance Management Program Administration</p> <p>All records created or received that support STRAC Minerals Revenue Compliance Management programs</p> <p>Includes mission-direct:</p> <ul style="list-style-type: none"> • A-123 reviews, • Audit Coordinators files • Work plans, Risk-Based Compliance documentation, and related Compliance Management information, • Approval of cooperative and delegated agreements • State and Tribe progress reports and other related documentation • Documentation of MRM activities in support of reviews or audits conducted by states or tribes • Compliance Management Training development/implementation, • Operational Manuals or Procedures • Program specific IT project support and testing, • Other project or program support, • Implementation of new laws, regulations, or policy, and 	<p>102-01a 201-01b 201-02 201-08a 201-08b 201-08c 201-08f(1) 201-08f(2) 603-04 801-01a 801-05</p>	<p>Program Functions Management Objective Files Management Survey Background Files Management Control Reviews - Policy, Procedures, and Guidance Management Control Plans Risk Analysis Review Files - Office of Responsibility Review Files - Copies Training Records Electronic Files or Records Created Solely to Test System Performance Records Consisting of Extracted Information</p>	<p>30 yrs 10 yrs 3 yrs Superseded Superseded Superseded 5 yrs 1 yr 5 yrs No longer needed No longer Needed</p>	<p>NC1-57-84-7 NC1-57-84-7 NC1-57-84-7 GRS 16 14a GRS 16.14b GRS 16.14c GRS 16.14f(1) GRS 16 14f(2) GRS 1.25a(2) GRS 20.1a GRS 20 5</p>

<ul style="list-style-type: none"> • General management reports and decisions <p>(NOTE Use Bucket 1 for mission-direct budget records Use Bucket 2 for mission-direct Policy, Internal and External Reviews, Regulations, Information Collection Requests, or support for external advisory committees.)</p> <hr/> <p>7A(2)(a) Indian</p> <p>PERMANENT Cut off at close of the fiscal year at the end of the fiscal year in which activity is completed. Retire to records repository 2 years after cut off Review records every 25 years for determination of transfer to the National Archives. Legal transfer will be jointly agreed upon between the United States Department of the Interior and the National Archives and Records Administration</p> <p>7A(2)(b) Federal</p> <p>TEMPORARY: Cut off at close of the fiscal year or at the end of the fiscal year in which activity is completed Retire to records repository 2 years after cut off. Delete/Destroy 10 years after cut off</p>				
<p>3 Compliance Reviews - MRM</p> <p>All records created or received documenting MRM full scope and limited scope in-house compliance reviews on production/sales, value, and royalty information provided by operators, payors, and other sources such as Bureau of Indian Affairs (BIA) and Bureau of Land Management (BLM)</p>	1801-09B	Company Files - Others	Unscheduled 7 yrs	Proposed N1-473-88-1

<p>Offshore Energy Minerals Management (OEMM) Includes information contained in the Minerals Revenue Management Support System (MRMSS) Financial and Data Warehouse Sub-system.</p> <p>Files may contain:</p> <ul style="list-style-type: none"> • Correspondence • Case File Index • Internal and external exhibits • Appeals and Supporting Documentation • Summaries • Work papers • Schedules • Templates • Screenshots of tracking systems • Copies of invoices/bills • Copies of Sales Summaries, Contracts, Production and Royalty Reports (P&Rs) • Database screen prints • Fax transmittals • Telephone logs • E-mail messages • Reports including findings, recommendations, and conclusions <hr/> <p>7B(a) Indian</p> <p>PERMANENT: Cut off at close of the fiscal year in which the review is completed and the case closed. Retire to records repository 2 years after cut off. Review records every 25 years for determination of transfer to the National Archives. Legal transfer will be jointly agreed upon between</p>				
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<p>the United States Department of the Interior and the National Archives and Records Administration.</p> <p>7B(b) Federal</p> <p>TEMPORARY: Cut off at close of the fiscal year in which the review is completed and the case closed. Retire to records repository 2 years after cut off Delete/Destroy 10 years after cut off.</p>				
<p>7C Audits - MRM</p> <p>All records created or received documenting MRM audits according to the Audit Manual and Government Auditing Standards, also known as the yellow book standards. Includes information contained in the MRMSS Data Warehouse Sub-system.</p> <p>Files may contain.</p> <ul style="list-style-type: none"> • Source documents such as Purchase/Sales Contracts, Division Orders, Gas Settlement Statements, Oil Run Statements • Work papers • Checklists • Case File Index • Correspondence • Internal and external exhibits • Summaries • Appeals and Supporting Documentation • Schedules • Templates • Screenshots of tracking systems 	<p>1802-01A</p> <p>1802-01B</p> <p>1802-02</p>	<p>Compliance Audit Files – Indian Land Records</p> <p>Compliance Audit Files – Others</p> <p>Compliance Audit Appeal Files</p>	<p>Indef</p> <p>7 yrs</p> <p>When Settled</p>	<p>NC1-57-84-7</p> <p>NC1-57-84-7</p> <p>NC1-57-84-7</p>

<ul style="list-style-type: none"> • Reports • Maps • Photos • Database screen prints • Fax transmittals • Telephone logs • E-mail messages • Report of findings, recommendations and conclusions • Copy of the bill and order letter 				
<p>7C(a) Indian</p> <p>PERMANENT: Cut off at close of the fiscal year in which the audit is completed and the case closed Retire to records repository 2 years after cut off Review records every 25 years for determination of transfer to the National Archives Legal transfer will be jointly agreed upon between the United States Department of the Interior and the National Archives and Records Administration</p> <p>7C(b) Federal</p> <p>TEMPORARY: Cut off at close of the fiscal year in which the audit is completed and the case closed Retire to records repository 2 years after cut off Delete/Destroy 10 years after cut off.</p>				
<p>7D Compliance Reviews – States & Tribes</p> <p>All records created or received that document all MRM activities related to the coordination,</p>	<p>1801-09A 1801-09B</p>	<p>Company Files – Indian Land Company Files - Others</p>	<p>Unscheduled Indef 7 yrs</p>	<p>Proposed N1-473-88-1 N1-473-88-1</p>

<p>preparation and support for (including review of) reviews conducted by states or tribes with cooperative agreements under Sections 202 or 205 of the Federal Oil and Gas Royalty Management Act (FOGRMA)</p> <p>Files may contain</p> <ul style="list-style-type: none"> • Compliance Review Agreements and orders • Correspondence • Cost detail • Evaluations • Enforcement or collection documentation • Case File Index • Internal and external exhibits • Appeals and Supporting Documentation • Summaries • Work papers • Schedules • Templates • Screenshots of tracking systems • Copies of invoices/bills • Copies of Sales Summaries, Contracts, Production and Royalty Reports (P&Rs) • Database screen prints • Fax transmittals • Telephone logs • E-mail messages • Reports including findings, recommendations, and conclusions <hr/> <p>7D(a) Indian</p>				
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<p>PERMANENT: Cut off at close of the fiscal year in which the review is completed and the case closed. Retire to records repository 2 years after cut off. Review records every 25 years for determination of transfer to the National Archives. Legal transfer will be jointly agreed upon between the United States Department of the Interior and the National Archives and Records Administration.</p> <p>7D(b) Federal</p> <p>TEMPORARY: Cut off at close of the fiscal year in which the review is completed and the case closed. Retain on site or retire to records center 2 years after cutoff or when volume warrants. Delete/Destroy 10 years after cut off.</p>				
<p>7E Audits – States & Tribes</p> <p>All records created or received that document all MRM activities related to the coordination, preparation and support for (including review of) audits according to the Audit Manual and Government Auditing Standards, also known as the yellow book standards conducted by states or tribes with cooperative agreements under Sections 202 or 205 of the Federal Oil and Gas Royalty Management Act (FOGRMA).</p> <p>Files may contain.</p> <ul style="list-style-type: none"> • Audit Agreements and orders • Correspondence • Cost detail 	<p>1802-01A</p> <p>1802-01B</p> <p>1802-02</p>	<p>Compliance Audit Files – Indian Land Records</p> <p>Compliance Audit Files – Others</p> <p>Compliance Audit Appeal Files</p>	<p>Indef</p> <p>7 yrs</p> <p>When Settled</p>	<p>NC1-57-84-7</p> <p>NC1-57-84-7</p> <p>NC1-57-84-7</p>

<ul style="list-style-type: none"> • Evaluations • Source documents such as Purchase/Sales Contracts, Division Orders, Gas Settlement Statements, Oil Run Statements • Work papers • Checklists • Case File Index • Internal and external exhibits • Summaries • Appeals and Supporting Documentation • Schedules • Templates • Screenshots of tracking systems • Reports • Maps • Photos • Database screen prints • Fax transmittals • Telephone logs • E-mail messages • Report of findings, recommendations and conclusions • Copy of the bill and order letter 				
<p>7E(a) Indian</p> <p>PERMANENT: Cut off at close of the fiscal year in which the audit is completed and the case closed. Retire to records repository 2 years after cut off Review records every 25 years for determination of transfer to the National Archives. Legal transfer will be jointly agreed upon between the United States Department of the Interior and the National</p>				

<p>Archives and Records Administration</p> <p>7E(b) Federal</p> <p>TEMPORARY: Cut off at close of the fiscal year in which the audit is completed and the case closed Retain on site or retire to records center 2 years after cutoff or when volume warrants Delete/Destroy 10 years after cut off.</p>				
<p>7F Asset Compliance Assurance</p> <p>All records created or received for managing and mitigating crude oil and natural gas production imbalances include operator imbalance statements, OGOR's, pipeline statements, cash-out letters and supporting documentation.</p> <p>Files may contain</p> <ul style="list-style-type: none"> • Monthly oil/gas imbalance statements (includes PIM Management Reports) • Operator Contact information • Referential data • Dear Operator Letters • Revert Letters • Production data • Analysis spreadsheets • Research notes and/or general correspondence • Cash Out documents (calculations, supporting documentation, letters, appeals, correspondence, resolution support, etc) 	<p>N1-473-05-1/1 N1-473-05-1/3</p>	<p>Dear Operator Letters Royalty in Kind Sales or Exchanges</p>	<p>10 yrs 10 yrs</p>	<p>N1-473-05-1 N1-473-05-1</p>

<p>TEMPORARY: Cut off at close of the fiscal year in which reconciliation and cash out are completed and the case closed Retain on site or retire to records center 2 years after cutoff or when volume warrants Delete/Destroy 10 years after cut off</p>				
<p>7G Indian Inquiries and Outreach</p> <p>All records created or received related to inquiries and requests for assistance and records documenting regular outreach sessions in designated areas where local tribes, BLM, BIA, and individual Indian mineral owners (IIMO) can ask any questions related to their trust assets</p> <p>Files may contain:</p> <ul style="list-style-type: none"> • Documentation regarding the outreach sessions including notifications sent to BIA, BLM, and/or Office of Trust Funds Management (OTFM) • Memoranda confirming time of outreach session • Request to Office of Special Trustee (OST - OTFM) to notify IIMO in the specified area • Requests for local media advertising • Copy of the sign-in sheets • Summary of inquiries and responses arising out of the session • Documentation from the Indian Energy & Minerals Steering Committee <p>PERMANENT: Cut off at close of the fiscal year</p>			<p>Unscheduled</p>	<p>Proposed</p>

<p>in which the response is completed. Retire to records repository 2 years after cut off. Review records every 25 years for determination of transfer to the National Archives. Legal transfer will be jointly agreed upon between the United States Department of the Interior and the National Archives and Records Administration.</p>				
<p>7H State Outreach All records created or received related documenting state outreach sessions</p> <p>Files may contain</p> <ul style="list-style-type: none"> • Documentation regarding the outreach sessions including notifications sent to states • Memoranda confirming time of outreach session • Requests for local media advertising • Copy of the sign-in sheets • Correspondence • Internal and external exhibits • Notes • Referrals to other DOI agencies • Screen prints • E-mail messages • Fax transmittals • Telephone logs <p>TEMPORARY: Cut off at close of the fiscal year in which the request or session is completed. Retire to records repository 2 years after cut off</p>			<p>Unscheduled</p>	<p>Proposed</p>

Delete/Destroy 10 years after cut off				
7I Production & Royalty Reporting, Errors, Exceptions, & Data Mining All records created or received including correspondence, memoranda, reports, and e-mail that document the production reporting and verification, identification and resolution of errors and exceptions, and data mining Files may contain <ul style="list-style-type: none"> • Missing reports/exceptions (Wells/Oil and Gas Operations Report (OGORs), Production Allocation Schedule Reports (PASRs)) and follow-up • Royalty report errors • Production reports and errors - Oil and Gas Operations Report (OGOR), Form MMS-4054 • Run tickets • Gas Volume Statements • Production allocation schedule reports (PASR) and errors • Liquid Verification System (LVS) exceptions • Gas Verification System (GVS) exceptions • Royalty reports and errors -- Report of Sales and Royalty Remittance, Form MMS-2014 • Data Mining • Problem Reports and Delete Memos • Overrides • Terminator Reports 	1101-05b 1801-02 1801-02(1)A 1801-09A 1801-09B	Report of Operations Automated Systems Input Verification Printouts Automated Systems Input Verification Printouts Company Files Company Files	When Superseded When Verified Perm 7 yrs Perm	NC1-57-84-7 NC1-57-84-7 Proposed N1-473-88-1 N1-473-88-1

<p>7I(a) Indian</p> <p>PERMANENT: Cut off at close of the fiscal year in which reporting and verification, errors and/or exceptions are resolved or completed Retire to records repository 2 years after cut off. Review records every 25 years for determination of transfer to the National Archives. Legal transfer will be jointly agreed upon between the United States Department of the Interior and the National Archives and Records Administration</p> <p>7I(b) Federal</p> <p>TEMPORARY: Cut off at close of the fiscal year in which reporting and verification, errors and/or exceptions are resolved or completed Retire to records repository 2 years after cut off Delete/Destroy 10 years after cut off</p>				
<p>7J Intergovernmental Personnel Agreements (IPA)</p> <p>All records created or received that document cooperative personnel agreements between MMS and Tribes/States including Intergovernmental Personnel Agreements (IPA)</p> <p>PERMANENT: Cut off at close of the fiscal in which the agreement is terminated Retire to records repository 2 years after cut off Review records every 25 years for determination of transfer to the National Archives. Legal transfer will be</p>			<p>Unscheduled</p>	<p>Proposed</p>

jointly agreed upon between the United States Department of the Interior and the National Archives and Records Administration				
<p>7K Audit & Compliance Information Collected From Companies</p> <p>All documents received from lessees that meet information collection request requirements set forth in MMS solid minerals, oil & gas and geothermal regulations specific to the audit and compliance program. Also includes contracts for moving oil or gas on pipelines or to permit gas plants processing natural gas to remove gas liquids Includes information contained in the Minerals Revenue Management Support System (MRMSS) Financial and Data Warehouse Sub-system</p> <p>Files may contain:</p> <ul style="list-style-type: none"> • Sales Contracts or Agreement • Sales Summaries • Facility Reports • Advance Royalty Unit Value Determinations • Correspondence • Reports • E-mail • Transportation & Processing forms <p>TEMPORARY: Cut off at close of the fiscal year in which the activity is completed Retain on site or retire to records center 2 years after cutoff or when volume warrants Delete/Destroy 10 years after cut</p>	<p>1801-04A</p> <p>1801-04B</p>	<p>Royalty Management Information Collection Forms – Indian Land Records</p> <p>Royalty Management Information Collection Forms – Others</p>	<p>Indef</p> <p>7 yrs</p>	<p>N1-57-84-7</p> <p>N1-57-84-7</p>

off				
<p>7L(1) Alternative Dispute Resolution</p> <p>All records created or received that document alternative resolution activities</p> <p>Files may contain</p> <ul style="list-style-type: none"> • Settlements • Future Valuation Agreements • Case Notes • Supporting Documentation & Memoranda • Correspondence • Telephone conference & meeting notes • E-mail • Data Disks 	<p>701-01</p> <p>707-03A</p> <p>707-03B</p> <p>1801-09A</p> <p>1801-09B</p>	<p>MMS Appeals Files</p> <p>Mineral Leasing Claims and Litigation Files – Indian</p> <p>Mineral Leasing Claims and Litigation Files – Indian</p> <p>Company Files – Indian Land Records</p> <p>Company Files - Others</p>	<p>10 yrs</p> <p>Perm</p> <p>10 yrs</p> <p>Indef</p> <p>7 yrs</p>	<p>N1-57-84-7</p> <p>N1-473-05-2</p> <p>N1-473-05-2</p> <p>N1-473-88-1</p> <p>N1-473-88-1</p>
<p>7L(1)(a) Indian</p> <p>PERMANENT: Cut off at close of the fiscal year in which the case is resolved Retire to records repository 2 years after cut off Review records every 25 years for determination of transfer to the National Archives. Legal transfer will be jointly agreed upon between the United States Department of the Interior and the National Archives and Records Administration.</p> <p>7L(1)(b) Federal</p> <p>TEMPORARY: Cut off at close of the fiscal year in which the case is resolved Retain on site or retire to records center 2 years after cutoff or when</p>				

volume warrants Delete/Destroy 10 years after cut off				
7L(2) Litigation Support All records created or received that document litigation Files may contain: <ul style="list-style-type: none"> • Referrals to Treasury • Bankruptcy cases • Discovery Requests • Case Notes • Correspondence • Telephone conference & meeting notes • Federal case files • Copies of records produced • E-mail • Court orders • Data Disks 	701-01 707-03A 707-03B 1801-09A 1801-09B	MMS Appeals Files Mineral Leasing Claims and Litigation Files – Indian Mineral Leasing Claims and Litigation Files – Indian Company Files – Indian Land Records Company Files – Others	10 yrs Perm 10 yrs Indef 7 yrs	N1-57-84-7 N1-473-05-2 N1-473-05-2 N1-473-88-1 N1-473-88-1
7L(2)(a) Indian PERMANENT: Cut off at close of the fiscal year in which the case is resolved. Retire to records repository 2 years after cut off Review records every 25 years for determination of transfer to the National Archives Legal transfer will be jointly agreed upon between the United States Department of the Interior and the National Archives and Records Administration				
7L(2)(b) Federal				

<p>TEMPORARY: Cut off at close of the fiscal year in which the case is resolved. Retain on site or retire to records center 2 years after cutoff or when volume warrants Delete/Destroy 10 years after cut off.</p>				
<p>7L(3) Enforcement</p> <p>All records created or received that document enforcement and investigations</p> <p>Files may contain:</p> <ul style="list-style-type: none"> • Investigation documentation • OIG Referrals • Notices of Noncompliance (NONC) • Civil Penalty Actions • Case Notes • Supporting documentation • Correspondence • E-mail • Telephone conference & meeting notes 	<p>701-01 707-03A 707-03B 1801-09A 1801-09B</p>	<p>MMS Appeals Files Mineral Leasing Claims and Litigation Files – Indian Mineral Leasing Claims and Litigation Files – Indian Company Files – Indian Land Records Company Files – Others</p>	<p>10 yrs Perm 10 yrs Indef 7 yrs</p>	<p>N1-57-84-7 N1-473-05-2 N1-473-05-2 N1-473-88-1 N1-473-88-1</p>
<p>7L(3)(a) Indian</p> <p>PERMANENT: Cut off at close of the fiscal year in which the case is resolved Retire to records repository 4 years after cut off Review records every 25 years for determination of transfer to the National Archives. Legal transfer will be jointly agreed upon between the United States Department of the Interior and the National Archives and</p>				

<p>Records Administration</p> <p>7L(3)(b) Federal</p> <p>TEMPORARY: Cut off at close of the fiscal year in which the case is resolved. Retain on site or retire to records center 4 years after cutoff or when volume warrants. Delete/Destroy 10 years after cut off.</p>				
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