

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	NH473-12-4
1 FROM (Agency or establishment) Department of Interior		DATE RECEIVED	7/26/12
2 MAJOR SUBDIVISION Bureau of Safety and Environmental Enforcement (BSEE)		NOTIFICATION TO AGENCY	
3 MINOR SUBDIVISION Office of Administration-IMD-Capital Planning & Information Policy			
4 NAME OF PERSON WITH WHOM TO CONFER Brenda C Taylor	5 TELEPHONE 703-787-1122	DATE	ARCHIVIST OF THE UNITED STATES 5 Oct 13

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 5 separate buckets respectively 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 6/29/2012	SIGNATURE OF AGENCY REPRESENTATIVE <i>Brenda C Taylor</i>	TITLE Chief, Capital Planning & Information Policy Acting Bureau Records Officer
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7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	<p><u>PROPOSED RETENTION SCHEDULE SUBMISSION FOR.</u></p> <p><u>BUCKET 4</u></p> <p>The Bureau of Safety and Environmental Enforcement (BSEE) 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.</p> <p>The disposition instructions have been developed in correlation with the BSEE 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 4: Proposed Functional Records Retention Schedule (a.k.a. "Big Buckets")- ENERGY AND MINERAL LEASES</u></p>		

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.

A crosswalk for each bucket is also submitted alongside with the actual bucket schedule.

The submission of the crosswalk for each bucket is 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 supersede them.

115-109

NSN 7540-00-634-4064
(REV 3-91)
PREVIOUS EDITION NOT USABLE

STANDARD FORM 115

Prescribed by NARA
36 CFR 1228

BSEE - Bucket 4 - Energy and Mineral Leases

The Energy and Mineral Leases business area focuses on providing access to Federal lands on the Outer Continental Shelf (OCS) for exploration and production of energy and mineral resources. Activities in this business area include: processing competitive oil and gas leases (including development of the 5-Year Oil and Gas Program, conducting studies and analyses in support of lease sale decisions, and holding lease sales) maintaining lease authorizations (including the lease adjudication and financial accountability and risk management programs), and planning and processing leases and grants under the Alternative Energy and Marine Minerals Programs (including competitive and non-competitive processes)

Item Number	Title and Description	Retention Requested	Old Series
4A	<p>Adjudicate and Administer Leases (AAZ)</p> <p>All records and actions related to adjudication and administration of leases that do not fall into any other category, including</p> <ul style="list-style-type: none"> • adjudicate leases • administer leases • conduct reviews and provide inputs regarding lessee or operator bankruptcy actions • conduct lease status reviews • accept and process Fishermen's Contingency Fund claims • accept and process Designation of Operator forms • process lease clearance time extensions (i.e., those requests that do not clear lease within 1 year after lease termination) • distribute the Weekly Adjudication Report, receive and provide internal customers with paper files and store, shelve, retrieve and maintain official records • retain lease record history 	<p>TEMPORARY. Cut off at close of FY or when activity is completed Retain onsite or at the FRC Delete/ Destroy 75 years after cutoff</p>	<p>1101-02 1101-04</p>

Item Number	Title and Description	Retention Requested	Old Series
4B	<p>The Royalty Relief Program (ABI) All records related to a program put into practice to reduce royalty assessments to promote development, increase production, or encourages production of marginal resources on certain leases or categories of leases</p> <p>Includes:</p> <ul style="list-style-type: none"> • implement royalty relief programs, deep water royalty relief (review applications, etc) predevelopment and special relief (an ad hoc program) • implement royalty relief programs, end-of-life royalty relief (review applications, etc) predevelopment and special relief (an ad hoc program) • determine royalty suspension volume • support royalty rate reduction requests (end-of-life relief coordinate with OEE, OFO and PDRE also, perform economic analysis with headquarters, determine eligibility, make determination) • End of Life Royalty Relief (application review and determination) • review, analyze, approve or deny deepwater royalty relief applications • process bid and field determination appeals • Evaluate Field Determination/Deepwater Royalty Relief-Determination for placement of new producible lease in deepwater into new or existing field Eligible DWRR leases may receive share of automatic royalty suspension volume • determine the need for specific types of royalty relief and the form of such relief • analyze special case DWRR requests, review, analyze and approve deep gas well royalty relief projects 	<p>TEMPORARY. Cut off at close of FY or when activity is completed Retain onsite or at the FRC Delete/ Destroy 75 years after cutoff</p>	<p>1706-01 1706-02</p>

Item Number	Title and Description	Retention Requested	Old Series
4B(1)	<p>Financial Instruments and Bonds (ABF) All records related to verification that the lead operator fulfills the legal obligation to maintain a lease bond in the required amount The bond guarantees compliance with all of the terms and conditions of the lease</p> <ul style="list-style-type: none"> • Accept, review and administer bonds (i.e., general, supplemental or replacement) Also process riders, terminations, cancellations and third party guarantees • perform bond and financial reviews • determine requirements for and approve supplemental bonds • review and approve bonds related to change of operators • conduct one of two types of cost analysis for lease abandonment • <ul style="list-style-type: none"> ○ lease abandonment cost analysis –submittals ○ lease abandonment cost analysis –in depth review • review and process general and supplemental bonds or other financial security for leases and rights-of-use-and-easement <ul style="list-style-type: none"> ○ verify the bonds are legally valid ○ process replacements, terminations, and cancellations • conduct economic evaluations of bonds • determine the required amount of bond or other financial security, including <ul style="list-style-type: none"> ○ level of general bond required (based on activity level) ○ level of supplemental bond required ○ review and evaluate alternative financial security proposals 	TEMPORARY. 75 years..cont'd	1101-02C
4C	<p>Conservation Management Suspension of Operations and Production (ABJ) All records related to a regulatory method of maintaining a lease beyond its initial period when no operations (i.e., drilling, well re-working, or production in paying quantities) are being conducted Under certain criteria, a suspension may be directed to extend the lease term Includes</p> <ul style="list-style-type: none"> • analyze, evaluate and act upon suspension of operations/production suspensions • evaluate and act upon a request for a suspension of operations or production • upon review, direct or approve a request for a suspension of operations or suspension of production upon review, direct or approve a request for a suspension of operations or suspension of production 	TEMPORARY. Cut off at close of FY or when activity is completed Retain onsite or at the FRC Delete/ Destroy 75 years after cutoff	1101-02a(3)

Item Number	Title and Description	Retention Requested	Old Series
4D	<p>Sand and Gravel Lease Requests (QAA) All records related to planning, evaluating, preparing and executing sand and gravel mineral leases include</p> <ul style="list-style-type: none"> • complete National Environmental Policy Act and other required environmental analyses or consultations • negotiate Memoranda of Agreement with Federal agency(s) • prepare and issue negotiated sand and gravel leases • coordinate and conduct competitive sand and gravel lease sales • Measured by the number of sand and gravel leases issued 	TEMPORARY. Cut off at close of FY or when activity is completed Retain onsite or at the FRC Delete/ Destroy 25 years after cutoff	1001-05 1004-02 1004-05
4D(1)	<p>Alternative Energy Technical Studies (LBL) All records related to technical studies providing information for alternative energy programmatic and regulatory decisions</p> <ul style="list-style-type: none"> • All work related to technical/engineering studies conducted in support of the alternative energy program • Workshops and public meetings held or attended in support of technical studies for the alternative energy program • Preparation and presentation of technical or scientific papers or presentations by staff on alternative energy related research 		

Item Number	Title and Description	Retention Requested	Old Series
4E	<p>Information Management and Transfer, Process Oil and Gas Leases (ABN) All records related to all information and data related business processes and tasks that should be planned and consistently implemented across BOEM. In particular, those information management and publication support services for functions covered by the work elements included under OH-Process Oil and Gas Leases, OM-Process offshore oil and gas user plans and permits, OD maintenance of oil and gas lease authorizations Includes</p> <ul style="list-style-type: none"> • Review and edit manuscripts and provide desktop publishing services • Perform records and document management in accordance with National Archives and Records Management Requirements • Manage program office information collection activities and forms requiring OMB approval • Conduct web management and related tasks and activities • Perform oversight and extensible markup language applications, publications, public data sets, Fast Facts of offshore data sets • Ensure quality and consistent content and vocabularies for BOEM information products(intra or Internet publications and documents • Perform data and information quality efforts (version control, verification or validation, especially for public images, graphics or information) • Change data including the conversion of paper to electronic files or electronic files from one format to another • Perform activities (including OMB requirements) related to customer service • Revise and review structure of fair market value determinations 	<p>TEMPORARY. Cut off at close of FY or when activity is completed. Retain onsite or at the FRC. Delete/ Destroy 25 years after cutoff</p>	NEW

NARA revision – 11-14-2012

N1-473-12-4, BSEE Bucket 4 Crosswalk-Energy and Mineral Leases

New Schedule		Former Schedule			
Bucket 4 Adjudicate and Administer Leases (OH)	Work Element	Series No.	Title	Retention	NARA Authority
4A Adjudicate and Administer Leases (AAZ) All records and actions related to adjudication and administration of leases that do not fall into any other category, including: <ul style="list-style-type: none"> • adjudicate leases • administer leases • conduct reviews and provide inputs regarding lessee or operator bankruptcy actions • conduct lease status reviews • accept and process Fishermen’s Contingency Fund claims • accept and process Designation of Operator forms • process lease clearance time extensions (i.e., those requests that do not clear lease within 1 year after lease termination) • distribute the Weekly Adjudication Report, receive and provide internal customers with paper files and store, shelve, retrieve and maintain official records retain lease record history 	AAZ	1101-02(4)a	Lease Management Project Files/Lease Rental, Minimum Royalty, and Royalty File	75 yrs	NC1-57-84-7 1101-02-4a
	AAZ	1101-04	Lease Record History Files	When no longer needed	NC1-57-84-7 1101-04
TEMPORARY. Cut off at close of FY or when activity is completed. Retain onsite or at the FRC. Delete/Destroy 75 years after cutoff.					

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New Schedule		Former Schedule			
Bucket 4 Adjudicate and Administer Leases (OH)	Work Element	Series No.	Title	Retention	NARA Authority
4B The Royalty Relief Program (ABI) All records related to a program put into practice to reduce royalty assessments to promote development, increase production, or encourages production of marginal resources on certain leases or categories of leases. Includes: <ul style="list-style-type: none"> • implement royalty relief programs; deep water royalty relief (review applications, etc.) predevelopment and special relief (an ad hoc program) • implement royalty relief programs; end-of-life royalty relief (review applications, etc.) predevelopment and special relief (an ad hoc program) • determine royalty suspension volume • support royalty rate reduction requests (end-of-life relief: coordinate with OEE, OFO and PDRE: also, perform economic analysis with headquarters, determine eligibility, make determination) • End of Life Royalty Relief (application review and determination) • review, analyze, approve or deny deepwater royalty relief applications • process bid and field determination appeals • Evaluate Field Determination/Deepwater 	ABI	1706-01a	Application for Deep water Royalty Relief Files/Approved Applications	25 yrs.	N1-473-98-2 1706-01a
	AAG	1706-02a	End of Life Royalty Relief Applications/Approved Applications	25 yrs.	N1-473-98-2 1706-02a

N1-473-12-4, BSEE Bucket 4 Crosswalk-Energy and Mineral Leases

New Schedule		Former Schedule			
Bucket 4 Adjudicate and Administer Leases (OH)	Work Element	Series No.	Title	Retention	NARA Authority
<p>Royalty Relief-Determination for placement of new producible lease in deepwater into new or existing field. Eligible DWRR leases may receive share of automatic royalty suspension volume</p> <ul style="list-style-type: none"> • determine the need for specific types of royalty relief and the form of such relief • analyze special case DWRR requests, review, analyze and approve deep gas well royalty relief projects <p>TEMPORARY. Cut off at close of FY or when activity is completed. Retain onsite or at the FRC. Delete/ Destroy 75 years after cutoff.</p>					

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New Schedule		Former Schedule			
Bucket 4 Adjudicate and Administer Leases (OH)	Work Element	Series No.	Title	Retention	NARA Authority
<p>4B(1) Financial Instruments and Bonds (ABF) All records related to verification that the lead operator fulfills the legal obligation to maintain a lease bond in the required amount. The bond guarantees compliance with all of the terms and conditions of the lease.</p> <p>Includes:</p> <ul style="list-style-type: none"> • Accept, review and administer bonds (i.e., general, supplemental or replacement) Also process riders, terminations, cancellations and third party guarantees • perform bond and financial reviews • determine requirements for and approve supplemental bonds • review and approve bonds related to change of operators • conduct one of two types of cost analysis for lease abandonment <ul style="list-style-type: none"> ○ lease abandonment cost analysis –submittals ○ lease abandonment cost analysis –in depth review • review and process general and supplemental bonds or other financial security for leases and rights-of-use-and-easement <ul style="list-style-type: none"> ○ verify the bonds are legally valid ○ process replacements, terminations, and cancellations <p>TEMPORARY. Cut off at close of FY or when activity is completed. Retain onsite or at the FRC. Delete/Destroy 75 years after cutoff.</p>	ABF	1101-02c	Bond Files	1yr	NC1-57-84-7 1101-02c

N1-473-12-4, BSEE Bucket 4 Crosswalk-Energy and Mineral Leases

New Schedule		Former Schedule			
Bucket 4 Adjudicate and Administer Leases (OH)	Work Element	Series No.	Title	Retention	NARA Authority
<p>4C Conservation Management Suspension of Operations and Production (ABJ) All records related to a regulatory method of maintaining a lease beyond its initial period when no operations (i.e., drilling, well re-working, or production in paying quantities) are being conducted. Under certain criteria, a suspension may be directed to extend the lease term.</p> <p>Includes:</p> <ul style="list-style-type: none"> • analyze, evaluate and act upon suspension of operations/production suspensions • evaluate and act upon a request for a suspension of operations or production • upon review, direct or approve a request for a suspension of operations or suspension of production upon review, direct or approve a request for a suspension of operations or suspension of production <p>TEMPORARY. Cut off at close of FY or when activity is completed. Retain onsite or at the FRC. Delete/ Destroy 75 years after cutoff.</p>	ABJ	1101-02a(3)	Lease Operations Files	-	NC1-57-84-7 1101-02a3

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4D Sand and Gravel Lease Requests (QAA) All records related to planning, evaluating, preparing and executing sand and gravel mineral leases include: <ul style="list-style-type: none"> • complete National Environmental Policy Act and other required environmental analyses or consultations • negotiate Memoranda of Agreement with Federal agency(s) • prepare and issue negotiated sand and gravel leases • coordinate and conduct competitive sand and gravel lease sales • Measured by the number of sand and gravel leases issued TEMPORARY. Cut off at close of FY or when activity is completed. Retain onsite or at the FRC. Delete/ Destroy 25 years after cutoff.	QAA	1001-05	Environmental Studies Case Files	25 yrs.	N1-473-88-1-1001-05
	QAA	1004-02a	International Cooperative Agreement	<i>When superseded</i>	N1-473-97-11004-02
	QAA	1004-05	Negotiated Agreements	10	N1-473-97-11004-05

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Bucket 4 Adjudicate and Administer Leases (OH)	Work Element	Series No.	Title	Retention	NARA Authority
<p>4D(1) Alternative Energy Technical Studies (LBL) All records related to technical studies providing information for alternative energy programmatic and regulatory decisions.</p> <ul style="list-style-type: none"> • All work related to technical/engineering studies conducted in support of the alternative energy program • Workshops and public meetings held or attended in support of technical studies for the alternative energy program • Preparation and presentation of technical or scientific papers or presentations by staff on alternative energy related research. <p>TEMPORARY. Cut off at close of FY or when activity is completed. Retain onsite or at the FRC. Delete/Destroy 25 years after cutoff.</p>	LBL	NEW			

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N1-473-12-4, BSEE Bucket 4 Crosswalk-Energy and Mineral Leases

New Schedule		Former Schedule			
Bucket 4 Adjudicate and Administer Leases (OH)	Work Element	Series No.	Title	Retention	NARA Authority
<p>documents</p> <ul style="list-style-type: none"> • Perform data and information quality efforts (version control, verification or validation, especially for public images, graphics or information) • Change data including the conversion of paper to electronic files or electronic files from one format to another • Perform activities (including OMB requirements) related to customer service • Revise and review structure of fair market value determinations • <p>TEMPORARY. Cut off at close of FY or when activity is completed. Retain onsite or at the FRC. Delete/ Destroy 25 years after cutoff</p>					