

DEPARTMENT OF THE INTERIOR
MINERALS MANAGEMENT SERVICE MANUAL

Transmittal Sheet

Release No. 288

September 22, 2003

Subject: Administrative Series
 Part 380 Records Management
 Chapter 2 Maintenance, Use, and
 Disposition--Handbook

EXPLANATION OF MATERIAL TRANSMITTED:

This release transmits a portion of the records management handbook. This release incorporates the current General Records Schedule into the Minerals Management Service disposition schedule.

/s/

Associate Director for
Administration and Budget

FILING INSTRUCTIONS:

REMOVE:

Handbook:

<u>Part</u>	<u>Chapter</u>	<u>Pages</u>	<u>Release</u>
380	2	C-1-	165
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Handbook:

<u>Part</u>	<u>Chapter</u>	<u>Pages</u>	<u>Release</u>
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OPR: Office of the Associate Director for Administration and Budget

Item No.	Description of Records	Disposal Instructions
100 -	CHAPTER 1. RECORDS COMMON TO MOST OFFICES This chapter groups two types of file material, nonrecord and record.	
101 -	SECTION 1. NONRECORD MATERIAL This section defines the types of documents which are considered nonrecord and provides standards for their disposition. Nonrecord materials have no documentary or evidential value. They are: (1) duplicate copies of the official record copy; (2) printed or processed materials of which only the master copy is considered official; or (3) transitory material which ceases to have any value after its contents are incorporated or adequately summarized in other documents (e.g., preliminary drafts, shorthand notes, worksheets, etc.). Retention of nonrecord material is not required. Nonrecord material accumulates in offices as a convenience to personnel but should be kept to a minimum. Most of this material should be destroyed without filing. If, however, nonrecord material is filed, it should be kept separately from official records. The following series cover nonrecord materials common to all offices.	
101 - 01	Files Inventory and Disposition Plans. Form MMS-1933, which reflects file categories and disposal instructions, and other information about the files accumulated at an individual file station.	Cut off at close of fiscal year. Maintain as an inventory of files cutoff for the fiscal year. Destroy when all related records are destroyed. NC1-57-84-7
101 - 02	Reading or Chronological Files. Copies of correspondence and other documents prepared and maintained by originating office, used solely as a reading or reference file.	Cut off at close fiscal year.
- a	High-Level Officials. See Item 103-01a for positions involved.	Destroy 5 years after cutoff. N1-473-88-1
- b	Others.	Destroy 1 year after cutoff or after reference value has been exhausted, whichever is sooner. NC1-57-84-7
101 - 03	Suspense Files. Documents arranged in chronological order as a reminder that an action is required on a given date or that a reply to action is expected and, if not received, should be traced on a given date. The following are examples of suspense files:	
- a	A Note or Other Reminder to Take Action.	Destroy after action is taken. GRS 23.6a
- b	The File Copy, or an Extra Copy of an Outgoing Communication, Filed by the Date on Which a Reply is Expected.	Withdraw documents when reply is received. If suspense copy is an extra copy, destroy immediately. If suspense copy is the file copy, incorporate it into the official files. GRS 23.6b
101 - 04	Reserved.	

Item No.	Description of Records	Disposal Instructions
101 - 05	Transitory Files. Documents of short-term interest which have no documentary or evidential value and normally need not be kept more than 90 days. Examples of transitory correspondence follow:	Cut off monthly. Destroy when 3 months old. GRS 23.7
- a	Requests for Information or Publications. Routine requests for information or publications and copies of replies which require no administrative action, no policy decision, and no special compilation or research for reply.	Cut off monthly. Destroy when 3 months old. GRS 23.7
- b	Letters of Transmittal. Originating office copies of letters of transmittal that do not add any information to that contained in the transmitted material, and receiving office copy if filed separately from transmitted material.	Cut off monthly. Destroy when 3 months old. GRS 23.7
- c	Quasi-Official Notices. Quasi-official notices including memoranda and other records that do not serve as the basis of official actions, such as notices of holidays or charity and welfare fund appeals, bond campaigns, and similar records.	Cut off monthly. Destroy when 3 months old. GRS 23.7
101 - 06	Tracking and Control Files. Logs, registers, and other records used to control or document the status of correspondence, reports, or other records that are authorized for destruction by the GRS or a NARA-approved SF-115.	Destroy or delete when 2 years old, or 2 years after the date of the latest entry, whichever is applicable. GRS 23.8
101 - 07	Directives/Publications--Reference Copies. Select copies of internal directives and publications.	Keep copies at a minimum necessary for official reference use. Destroy when superseded, obsolete, or no longer needed for reference. NC1-57-84-7
101 - 08	Directives/Publications of Other Government Agencies. Copies of external regulations and publications, including congressional documents, Office of Management and Budget Circulars, Code of Federal Regulations, Federal Register Notices, GSA publications, Departmental Manual releases, etc.	Destroy when superseded, obsolete, or in the case of bound volume, when not needed for library purposes. NC1-57-84-7
101 - 09	Non-Government Publications. Publications of commercial firms, private institutions, and vendors, including catalogs, brochures, price lists, and similar materials.	Destroy when superseded or obsolete. NC1-57-84-7
101 - 10	Library Materials. Copies of books, pamphlets, journals, and similar materials. Include copies of MMS scientific and technical reports designated with officially assigned numbers, that are maintained by Offshore Minerals Management. (Note that official copy of such reports is filed in the sponsoring or regional office and disposed of in accordance with the subject matter series disposition.)	Destroy when superseded, obsolete, or no longer needed for reference. Refer items of potential value to librarian for disposition. N1-473-88-1
101 - 11	Technical Reference Files. Copies of reports, studies, special compilation data, drawings, periodicals, clippings, etc., which are needed for reference and information purposes. Prepared internally and externally.	Keep copies at a minimum necessary for official reference use. Destroy when superseded, obsolete, or no longer needed for reference. NC1-57-84-7

Item No.	Description of Records	Disposal Instructions
101 - 12	Finding Aids (or Indexes). Indexes, lists, registers, and other finding aids used only to provide access to records authorized for destruction by the GRS or a NARA-approved SF 115, EXCLUDING records containing abstracts or other information that can be used as an information source apart from the related records.	Destroy or delete with the related records.
102 -	SECTION 2. ADMINISTRATIVE MANAGEMENT RECORDS The records described below consist of originals or copies of correspondence and other papers of a general nature on a wide variety of subjects. They contain policy, procedures, or general information and are filed by the subject matter. These records are arranged according to the Subject File Classification System contained in this handbook.	
102 - 01	"Mission" Subject Files. Mission subject files document the primary functions and responsibilities of an office.	Cut off at close of fiscal year.
- a	Program Functions. Mission files created and maintained in offices whose primary function directly relates to Offshore Minerals or Minerals Revenue Management activities or programs. Surname copy.	Transfer to the servicing Federal Records Center (FRC) 3 years after cutoff. Destroy 30 years after cutoff. NC1-57-84-7
- b	Administrative Functions. Mission files created and maintained in offices whose primary function involves administrative support activities such as personnel, procurement, property, transportation, travel, communications, budget, and similar internal administrative management functions. Surname copy.	Transfer to FRC 2 years after cutoff. Destroy 6 years after cutoff. NC1-57-84-7
- c	Director's General File. A central file of all outgoing correspondence signed by the Director, MMS. Arrange chronologically by subject. Surname copy.	Permanent. Transfer to FRC 2 years after cutoff. Transfer to National Archives in 5 year blocks when 20 years old (e.g., offer 1981-85 block in 2006. Volume 5 feet. Annual accumulation 2.5 feet. N1-57-84-7
- d	Director's Chron File. A central file of all correspondence signed by the Director. Arrange chronologically.	Destroy 5 years after cut off. N1-473-88-1
- e	Other Copies. (For use only by offices whose official office record copy is filed in a central file).	Destroy 2 years after cut off. (May be extended with concurrence of the Records Manager.) N1-473-88-1
102 - 02	Office Administrative Files. Records accumulated by individual offices that relate to the internal administration or housekeeping activities of the office rather than the functions for which the office exists. In general, these records relate to the office organization, staffing, procedures, and communications, including facsimile machine logs; the expenditure of funds, including budget records; day-to-day administration of office personnel including training and travel; supplies and office services and equipment requests and receipts; and the use of office space and utilities. They may also include copies of internal activity and workload reports (including work progress, statistical, and narrative reports prepared in the office and forwarded to higher levels) and other materials that do not serve as unique documentation of the programs of the office. NOTE: This is not applicable to the record copies of organizational charts, functional statements, and related records that document the essential organization, staffing, and procedures of the office, which must be scheduled prior to disposition by submitting a Standard Form (SF) 115 to the National Archives and Records Administration (NARA).	Destroy when 2 years old. GRS 23.1

Item No.	Description of Records	Disposal Instructions
103 -	SECTION 3. DAILY ACTIVITIES	
103 - 01	Schedules of Daily Activities. Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities of Federal employees while serving in an official capacity, EXCLUDING materials determined to be personal.	Cut off annually. N1-473-88-1
- a	High-Level Officials. Records containing substantive information relating to official activities, the substance of which has not been incorporated into official files, EXCLUDING records relating to the official activities of high Government officials. MMS high-level officials are: Director, Deputy Director, Chiefs of Offices, Associates, Deputy Associates, and Regional Directors.	Hold 5 years and transfer to FRC. Destroy 20 years after cutoff. N1-473-88-1
- b	Other Than High Level. Records documenting routine activities containing no substantive information and records containing substantive information, the substance of which has been incorporated into organized files.	Destroy or delete when no longer needed for convenience of reference. N1-473-88-1 GRS 23.5b
104 -	SECTION 4. ELECTRONIC 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 Chapter 1 of this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.	GRS 23.10
104 - 01 a	Electronic Mail and Word Processing System Copies. 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 has been produced. GRS 23.10a
- b	Other Copies. 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. GRS 23.10b
200 -	CHAPTER 2. PLANNING AND MANAGEMENT RECORDS The records described in this chapter relate to the general management, planning, organization, and direction of MMS activities. They are created in the course of developing management improvement functions and records management activities. Protect personal data. See Chapter 6, Special Instructions, of this handbook.	
201 -	SECTION 1. PROGRAM PLANNING AND MANAGEMENT	
201 - 01	Management Objectives Files. Documents that accumulate from the process of establishing and reporting on short-, mid- and long-range management objectives/plans. Include secretarial, directorial, divisional, and locally monitored objectives. Records reflect the establishment of time frames to accomplish objectives (specific tasks), reports on progress, major problems, and accomplishments in meeting the management objectives established by the plans, fact sheets, and related documents and correspondence.	Cut off at close of fiscal year in which plan is superseded.

Item No.	Description of Records	Disposal Instructions
201 - 01 a	Office Responsible for Consolidation and Submission of the Plan.	Destroy 10 years after cutoff. NC1-57-84-7
- b	Contributing, Commenting, or Coordinating Offices.	Destroy 2 years after cutoff or when no longer needed for reference, whichever is earlier. NC1-57-84-7
201 - 02	Management Survey Files. Records of such staff studies or management improvement projects as analyses of administrative policies and procedures, staff-year surveys, internal and external reviews, assessments, audits, evaluations, and inspections; ADP risk analyses; organization and methods studies; record management studies; work simplification and standardization studies; and workload and work distribution analyses. Include project authorizations and descriptions, intermediate progress reports and correspondence, final survey reports, and documentation of actions taken as a direct result of the survey.	
- a	Office Conducting the Survey.	Cut off at close of fiscal year in which action is completed on survey. Destroy 10 years after cutoff. N1-473-88-1
- b	Offices Surveyed.	Destroy on completion of next comparable survey or when no longer needed for reference. N1-473-88-1
201 - 03	Management Survey Background Files. Records accumulated in the collection of data for or during a management survey or staff study. Include notes, statistical data, feeder reports, working documents, copies of directives and operating procedures, charts, and similar material collected for fact-finding or backup purposes.	Destroy 6 months after final action on project report or 3 years after completion of report if no final action is taken. NC1-57-84-7
201 - 04	Management Statistical Hourly Reports Files. Computer printouts containing statistical data, by project, on employee hours/percent of hours spent in the various budgetary categories. Used for comparison and decision making in budget and workforce planning. Arrange chronologically by pay period.	Cut off at close of fiscal year. Destroy 2 years after cutoff or when no longer needed for reference, whichever is earlier. NC1-57-84-7
201 - 05	Management Information Report Files. Records created in the preparation, coordination, and consolidation of weekly, monthly, etc., reports. Includes narrative information on program, personnel, and management activities, as well as statistical data, such as number of active leases and/or permits, number of inspections conducted, etc.	Cut off at close of fiscal year in which report is issued.
- a	Weekly, Monthly, etc.	Destroy 3 years after cutoff. NC1-57-84-7
- b	Annual Reports.	Destroy 10 years after cutoff. NC1-57-84-7
201 - 06	Committee and Conference Records.	Cut off at close of fiscal year.

Item No.	Description of Records	Disposal Instructions
201 - 06 a	Official File. Documents relating to the establishment, organization, membership, policy, and termination of committees, conferences, and meetings reflecting the official position of the MMS on issues discussed, and agendas, minutes, final reports, and related records.	Permanent. Transfer to FRC 5 years after cutoff. Transfer to NARA in 5-year blocks when 20 years old. N1-473-88-1
- b	Internal Committees. Records relating to establishment, organization, membership, and policy of internal committees.	Destroy 2 years after termination of committee. GRS 16.8a
- c	Records Created by Committees.	
- c(1)	Agenda, Minutes, Final Reports, and Related Records. Documenting the accomplishments of official boards and committees, EXCLUDING those maintained by the sponsor or Secretariat. (Note: Records maintained by the sponsor or Secretariat are potentially permanent and must be scheduled by submission of an SF 115 to NARA.)	Destroy when 3 years old. GRS 16.8b(1)
- c(2)	All Other Committee Records. Note: Records created to comply with the provisions of the Government in the Sunshine Act, including transcriptions and minutes of closed meeting, electronic recordings for which verbatim transcripts do not exist, and annual reports to Congress describing the agency's compliance with the act, are permanent records and must be scheduled by submission of an SF 115 to NARA.	Destroy when 3 years old. GRS 16.8b(2)
- d	Records Maintained by Agency Committee Management Officers. Records for committees established under the Federal Advisory Committee Act, including copies of charters, membership lists, agendas, policy statements, and material required to be available for public information. (Note: This item does not apply to records maintained at the General Services Administration (GSA) or records covered elsewhere in this schedule.)	Destroy 5 years after termination of committee. GRS 16.8c
201 - 07	Organizational Files. Organizational charts, reorganization studies, and graphic illustrations which provide a detailed description of the arrangement and administrative structure of the functional units of MMS. Reorganization studies are conducted to design an efficient organizational framework most suited to carrying out the MMS programs. Include material such as final recommendations, proposals, briefing books, transition materials, position papers, and staff evaluations.	Cut off at close of fiscal year.
- a	Official Copy.	Permanent. Transfer to FRC 5 years after cutoff. Transfer to NARA in 5-year blocks when 20 years old. Volume 6 feet. Annual accumulation .5 foot. NC1-57-84-7
- b	Secondary Action Offices.	Hold 5 years. Transfer to office responsible for maintenance of official record to designate as Permanent any records of a continuing value. NC1-57-84-7
- c	Other Copies.	Destroy 2 years after cutoff. N1-473-88-1

Item No.	Description of Records	Disposal Instructions
201 - 08	Management Control Records. Records created in accordance with procedures mandated by OMB Circular A-123, Internal Control Systems, and P.L. 97-255, the Federal Managers' Financial Integrity Act. Under those authorities, agencies are required to perform evaluations of their accounting and administrative controls to prevent waste, fraud, and mismanagement.	Cut off at close of fiscal year.
- a	Policy, Procedure, and Guidance. Copies of internal directives maintained by MMS internal control staff (but not those copies maintained in the official file of internal directives); external directives, such as OMB Circular A-123; and correspondence outlining policy and procedure for performing management reviews.	Destroy when superseded. GRS 16.14a
- b	Management Control Plans. Comprehensive plans documenting the agency's efforts to ensure compliance with OMB Circular A-123.	Destroy when superseded. GRS 16.14b
- c	Risk Analyses. Reports and supporting materials used to document review of program areas for susceptibility to loss or unauthorized use of resources, errors in reports and information, and illegal and unethical actions.	Destroy when superseded. GRS 16.14c
- d	Annual Reports. Annual reports and assurance statements created by organizational components below the agency (department or independent agency) level and compiled by the agency into a single unified report for direct submission to the President or Congress. (Note: This item does not cover the consolidated final reports submitted directly to the President or Congress. The final reports must be scheduled by submitting an SF 115 to NARA.)	Cut off closed files annually. Destroy after next review cycle. GRS 16.14d
- e	Tracking Files. Files used to ensure the completion and timeliness of submission of feeder reports, including schedules of evaluations, interim reporting, lists of units required to report, and correspondence relating to the performance of the reviews.	Cut off at end of fiscal year. Destroy 1 year after report is completed. GRS 16.14e
- f	Review Files. Correspondence, reports, action copies of audit findings, and other records that identify program internal control weaknesses, and corrective actions taken to resolve such problems. Since A-123 provides for alternative internal control reviews under OMB Circulars A-76, A-127, or A-130, this item also applies to copies of these reviews, provided they are identified as alternative reviews in the management control plan.	Cut off when no further corrective action is necessary.
- f(1)	Office with Responsibility. Office with responsibility for coordinating internal control functions.	Destroy 5 years after cutoff. GRS 16.14f(1)
- f(2)	Copies. Copies maintained by other offices as internal reviews. (Note: Alternative reviews such as computer security reviews and management and consultant studies may need to be kept longer than provided in Item GRS 16/14f(2). This item applies only to copies maintained as internal reviews.)	Destroy 1 year after cutoff. GRS 16.14f(2)
201 - 09	Administrative Issuances.	
- a	Notices. Notices and other types of issuances related to routine administrative functions (e.g., payroll, procurement, personnel).	Destroy when superseded or obsolete. GRS 16.1a

Item No.	Description of Records	Disposal Instructions
201 - 09 b	Case Files Related to "a." Case files related to (a) above that document aspects of the development of the issuance. (Note: Record sets for formal directives, procedural and operating manuals, publications, and management improvement reports submitted to the Office of Management and Budget (OMB), and the case files documenting their development are potentially permanent records and must be scheduled by submission of an SF 115 to NARA.)	Destroy when issuance is destroyed. GRS 16.1b
201 - 10	Project Control Files. Memoranda, reports, and other records documenting assignments, progress, and completion of projects.	Destroy 1 year after the year in which the project is closed. GRS 16.5
201 - 11	Feasibility Studies. Studies conducted before the installation of any technology or equipment associated with information management systems, such as word processing, copiers, micrographics, and communications. Studies and system analyses for the initial establishment and major changes of these systems. Such studies typically include a consideration of the alternatives of the proposed system and a cost/benefit analysis, including an analysis of the improved efficiency and effectiveness to be expected from the proposed system.	Cut off at the end of fiscal year. Destroy 5 years after completion or cancellation of study. GRS 16.9
202 -	SECTION 2. RECORDS AND INFORMATION MANAGEMENT These records relate to the history of MMS and the planning and management of information programs.	
202 - 01	Local Internal Directives Record Set. Official file copy of each formal Field Office Supplement (FOS) policy and procedural issuance published by an office. Include documents relating to the preparation, review, clearance, publication, and distribution of each internal directive and release number. Arrange by type of directive and release number. See Item 101-07 for sets of directives maintained for reference.	
- a	Office Responsible for Issuance.	Cut off superseded FOS at close of fiscal year. Destroy 10 years after cutoff. NC1-57-84-7
- b	Copy Maintained by Directives Officer.	Destroy upon receipt of revised directive. NC1-57-84-7
202 - 02	External Directives Record Set. Official file copy of each external issuance published by MMS to provide policy and procedural instructions for lessees, permittees, or operators. Include all formal external issuances, such as Regulations, Notices to Lessees and Operators, Federal Register Notices, and Safety Alert Notices. In addition to the record set maintained by the issuing office, identical record sets will be maintained by each Region. Arrange by directive type and identification number.	Permanent. Place in inactive file after signature or publication in the Federal Register. Transfer to FRC 3 years after cutoff. Transfer to NARA in 5-year blocks when 20 years old. Volume 5 feet. Annual accumulation 1 foot. NC1-57-84-7

Item No.	Description of Records	Disposal Instructions
202 - 03	External Directives Development History Files. Documents relating to the utilization, preparation, review, clearance, publication, distribution, and revisions of Regulations, Notices to Lessees and Operators, and Safety Alert Notices, and external directives of other Agencies. Include a copy of each draft, material regarding clearance/concurrence in draft directives and other coordinating actions, comments by outside organizations (e.g., lessees, permittees, and operators) (verbal comments should be documented), and a copy of the final issuance. Internal comments are segregated from public comments. All related documents are consolidated at one location when rule making actions are complete. Arrange by type of issuance and identification number.	
- a	Regulations.	Permanent. Place in inactive file when canceled or superseded. Transfer to FRC 3 years after cutoff. Transfer to NARA in 5-year blocks when 20 years old. Volume 10 feet. Annual accumulation 2 feet. NC1-57-84-7
- b	OCS Order No. 12.	Permanent. Place in inactive file when order is rescinded, superceded or obsolete. Transfer to FRC 3 years after cutoff. Transfer to NARA in 5 year blocks when 20 years old. Volume 5 feet. Annual accumulation 2 feet. NC1-57-84-7
- c	Notices to Lessees and Operators.	Place in inactive file when notice is rescinded, superseded, or obsolete. If volume is sufficient, transfer to FRC 3 years after cutoff. Destroy 10 years after cutoff. NC1-57-84-7
- d	Safety Alert Notices.	Destroy when superseded or obsolete. NC1-57-84-7
- e	Copies of a-d Above.	Place in inactive file after clearance package has expired. Destroy 2 years after expiration. NC1-57-84-7
- f	Submitter's File of Review Comments on a-d Above.	Destroy when superseded or obsolete. N1-473-88-1
- g	Other Agency Directives.	Destroy when superseded or obsolete.
202 - 04	Forms Files.	Cut off at the end of fiscal year.
- a	Record Copy. One record copy of each form created by an agency with related instructions and documentation showing inception, scope, and purpose of the form.	Destroy 5 years after related form is discontinued, superseded, or canceled. GRS 16.3a

Item No.	Description of Records	Disposal Instructions
202 - 04 b	Background Materials. Background materials, requisitions, specifications, processing data, and control records.	Destroy when related form is discontinued, superseded, or canceled. GRS 16.3b
202 - 05	Reports Control Files. Case files maintained for each agency report created or proposed, including public use reports. Included are clearance forms, including OMB 83 (formerly SF 83), copies of pertinent forms or descriptions of format, copies of authorizing directives, preparation instructions, and documents relating to the evaluation, continuation, revision, and discontinuance of reporting requirements.	Cut off at the end of fiscal year. Destroy 2 years after the report is discontinued. GRS 16.6
202 - 06	Project Control Files. Memoranda, reports, and other records documenting assignments, progress and completion of projects.	Destroy 1 year after the year in which the project is closed. GRS 16.5
202 - 07	Records Disposition Files. Descriptive inventories, disposal authorizations, schedules, and reports.	Cut off at close of fiscal year.
- a	Basic Documentation of Records Descriptions and Disposition Programs. Include SF 115, 135, 250, and related documentation.	
- a(1)	SF 115s That Have Been Approved by NARA.	Destroy 2 years after supersession. GRS 16.2a(1)
- a(2)	Other Records.	Destroy 6 years after the related records are destroyed or after the related records are transferred to the NARA whichever is applicable. GRS 16.2a(2)
- b	Routine Correspondence. Routine correspondence and memoranda.	Destroy when 2 years old. GRS 16.2b
202 - 08	Files Inventory and Disposition Plans. Form MMS-1933, which reflects file categories, disposal instructions, and other information about the files accumulated in individual file stations is maintained by the Records Manager. Individual office file copies of Form MMS-1933 are maintained under Item 101-01.	Cut off at close of fiscal year. Destroy 3 years after cutoff. N1-473-88-1
202 - 09	Internal Directives Record Set. Official file copy of each issuance published to provide policies and procedural instructions. Include all MMS manual chapters, Interim Policy Documents (IPD's), and handbooks released, with the applicable clearance record and transmittal sheets, all comments received, and the comments analysis sheet.	Cut off at close of fiscal year.
- a	Official File Copy. The Official record set is maintained by the MMS Directives Officer and a record set is maintained at each Offshore Regional Office and the Minerals Revenue Management office by the Records Officer.	Permanent. Transfer to FRC 5 years after cutoff. Transfer to NARA in 5-year blocks when 20 years old. Volume 4 feet. Annual accumulation 2 feet. NC1-57-84-7

Item No.	Description of Records	Disposal Instructions
202 - 09 b	Other Copies.	Destroy 3 years after cutoff or when no longer needed for reference. NC1-57-84-7
- c	Submitter's File of Review Comments.	Destroy when superseded or obsolete. N1-473-88-1
202 - 10	Bulletins and Numbered Memorandums. Bulletins or numbered memorandums used to disseminate information to employees.	Destroy when superseded or obsolete. GRS 16.1a
202 - 11	Microform Management. Documentation on the use of microforms. Include feasibility studies, cost/benefit analyses, proposals (approvals and denials), equipment inventories, training, microform service agreements, and implementation plans.	Cut off at close of fiscal year. Destroy 6 years after cutoff. Earlier disposal is authorized if records are superseded, obsolete, or no longer needed for reference. GRS 16.7
202 - 12	Memorandum of Understanding Files. Memorandum of Understanding (MOU) Files. Records (include general correspondence) documenting joint ventures (cooperation) between MMS components and other organizations, Federal, State, local or international government or industry. Subjects include administrative management, working relationships, procedures, studies, and exchange of technical data, use, and management. These documents are not fund obligating.	Destroy 1 year after the year in which the joint venture is closed. N1-473-88-1
202 - 13	Information Collection Budget Files. Reports required by the OMB under the Paperwork Reduction Act about the number of hours the public spends fulfilling agency reporting requirements. Included are associated feeder reports, report exhibits, correspondence, directives, and statistical compilations.	Cut off at the end of fiscal year. Destroy when 7 years old. GRS 16.12
202 - 14	Microform Inspection Records.	
- a	MMS Copy of Logs for Permanent Records. MMS copy of inventories, logs, and reports documenting the inspection of permanent microform records, as required by 36 CFR Part 1230. (Note: (1) This item does not cover the copy of logs and reports that are attached to the SF 135 when records are transferred to the NARA. (2) Inspection records for unscheduled records that are converted to microform are also unscheduled and may not be destroyed.)	Destroy 1 year after the records are transferred to the NARA. GRS 16.10a
- b	MMS Copy of Logs for Temporary Records. MMS copy of logs and other records documenting the inspection of temporary microform records, as recommended by 36 CFR Part 1230.	Destroy when 2 years old or when superseded, whichever is later. GRS 16.10b
202 - 15	IRM Triennial Reports. Reports required by the GSA concerning reviews of information resources management (IRM) practices. Included are associated correspondence, studies, directives, feeder reports, and monitoring surveys and reports.	Cut off at the end of fiscal year. Destroy when 7 years old. GRS 16.14
202 - 16	Documents Published in the Federal Register.	Cut off at close of fiscal year.

Item No.	Description of Records	Disposal Instructions
202 - 16 a	Federal Register Notices. Files documenting the processing of notices announcing committee meetings including meetings open to the public under the Government in Sunshine Act (5 U.S.C. 552b (e) (3)); hearings and investigations; filing of petitions and applications; issuance or revocation of a license; grant application deadlines, the availability of certain environmental impact statements; delegations of authority; and other matters that are not codified in the CFR.	Destroy when 1 year old. GRS 16.13a
- b	Semiannual Regulatory Agenda. Files documenting the processing of semiannual regulatory agenda. Include semiannual agenda of rules.	Destroy when 2 years old. GRS 16.13b
202 - 17	Records Holdings Files. Statistical reports of MMS holdings, including feeder reports from oil offices and data on the volume of records disposed of by destruction or transfer.	Cut off at close of fiscal year.
- a	Preparing Office Records. Records held by offices that prepare reports on MMS-wide records holdings.	Destroy when 3 years old. GRS 16.4a
- b	Other Copies. Records held by other offices.	Destroy when 1 year old. GRS 16.4b
202 - 18	Records Management Files. Correspondence, reports, authorizations and other records that relate to MMS records, including such matters as forms, correspondence, reports, mail, and files management; the use of microforms, ADP systems, and word processing; records management surveys; vital records programs; and all other aspects of records management not covered elsewhere in this chapter.	Destroy when 6 years old. GRS 16.7
203 -	SECTION 3. ELECTRONIC 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 Chapter 2 of this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.	
203 - 01 a	Electronic Mail and Word Processing System Copies. 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 has been produced. GRS 16.15a
- b	Other Copies. 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. GRS 16.15b
300 -	CHAPTER 3. FINANCIAL MANAGEMENT RECORDS The records described in this chapter reflect the development and application of management control over all fiscal budgeting, dispersing, and internal accounting, excluding Minerals Revenue Management records described in Chapter 18. Protect Personal Data. See Chapter 6, Special Instructions, of this handbook.	
301 -	SECTION 1. BUDGET AND ACCOUNTING FILES	

Item No.	Description of Records	Disposal Instructions
301 - 01	Budget Development and Administrative Files. Documents accumulated in the preparation of annual and long-range budget forecasts, estimates, and financial programs. Such documents are copies of budget estimates for each cost center, project funding recommendations, analyses, supporting documents, and related records. Arrange chronologically by fiscal year covered by budget program.	Cut off at close of fiscal year covered by budget program. Destroy 6 years after cutoff. NC1-57-84-7
301 - 02	Monthly Budget Status Report Files. Financial management system reports which furnish information on budget status by project (account) number, object class, and funding for each cost center. Include monthly status of projects by source of funding, monthly project data file detail listing and summary, and monthly object class summary. Arrange chronologically by month and thereafter by report number.	
- a	Budget and Finance Division.	
- a(1)	Magnetic Tape.	Erase/write over tape when microform has been verified. NC1-57-84-7
- a(2)	Paper.	Destroy paper when microform has been verified. N1-473-88-1
- a(3)	All Other Reports.	Destroy 3 years after the fiscal year. GRS 5.3b
- b	Other Copies.	Destroy when superseded or obsolete, or no longer needed for reference. N1-473-88-1
301 - 03	Reserved.	
301 - 04	Reserved.	
301 - 05	Budget Apportionment Files. Apportionment and reapportionment schedules, proposing quarterly obligations under each authorized appropriation. (NOTE: The following budget files are not covered by this Item: budget office correspondence or subject files documenting budget policy and procedures and reflecting policy decisions affecting expenditures for MMS programs. Budget estimates and justifications of formally organized budget offices at the MMS or higher organizational level. Depending on recordkeeping practices and patterns of documentation, these records may have archival value and must be scheduled by submitting a Standard Form 115 to NARA.)	Destroy 2 years after the close of the fiscal year. GRS 5.4
301 - 06	Budget Background Records. Cost statements, rough data and similar materials accumulated in the preparation of annual budget estimates, including duplicates of budget estimates and justifications and related appropriation language sheets, narrative statements, and related schedules; and originating offices' copies of reports submitted to budget office.	Cut off at close of fiscal year. Destroy when 2 years old. GRS 5.2

Item No.	Description of Records	Disposal Instructions
301 - 07	Budget Correspondence Files. Correspondence files in formally organized budget offices pertaining to routine administration, internal procedures, and other matters not covered elsewhere in this chapter, EXCLUDING files relating to MMS policy and procedure maintained in formally organized budget offices.	Cut off at end of fiscal year. Destroy when 2 years old. GRS 5.1
302 -	SECTION 2. GENERAL PAYROLL FILES	
302 - 01	Time and Attendance Source Records. All time and attendance records upon which leave input data is based, such as time or sign-in sheets; time cards (such as Optional Form 1130); flexitime records; leave applications for jury and military duty; and authorized premium pay or overtime, maintained at duty post, upon which leave input data is based. Records may be in either machine-readable or paper form.	Destroy after GAO audit or when 6 years old, whichever is sooner. GRS 2.7
302 - 02	Time and Attendance Input Records. Records in either paper or machine readable form used to input time and attendance data into a payroll system, maintained either by MMS or payroll processor.	Destroy after GAO audit or when 6 years old, whichever is sooner. GRS 2.8
302 - 03	Pay Differential Approval and Authorization Files. Requests for overtime, holiday, hazardous duty pay, and similar or related papers. Arrange by cost center.	Cut off at close of fiscal year. Destroy 3 years after cutoff. N1-473-88-1
302 - 04	Payroll System Reports.	Cut off at close of fiscal year.
- a	Error Reports, Ticklers, System Operation Reports.	Destroy when related actions are completed or when no longer needed, not to exceed 2 years. GRS 2.22a
- b	Reports and Data Used for MMS Workload and/or Personnel Management Purposes.	Destroy when 2 years old. GRS 2.22b
- c	Reports Providing Fiscal Information on MMS Payroll.	Destroy after GAO audit or when 3 years old, whichever is sooner. GRS 2.22c
302 - 05	Individual Employee Pay Record.	
- a	Pay Record for Each Employee as Maintained in an Electronic Data Base. This Database may be a Stand-alone Payroll System or Part of a Combined Personnel/Payroll System.	Update elements and/or entire record as required. GRS 2.1a
- b	Individual Pay Record, Containing Pay Data on Each Employee Within MMS. This Record may be in Paper or Microform but not in Machine Readable Form.	Transfer to National Personnel Records Center. Destroy when 56 years old. GRS 2.1b

Item No.	Description of Records	Disposal Instructions
302 - 06	Leave Application Files. SF 71 or equivalent plus any supporting documentation of requests and approvals of leave.	
- a	If Employee Initials Time Card or Equivalent.	Destroy at end of following pay period. GRS 2.6a
- b	If Employee Has not Initialed Time Card or Equivalent.	Destroy after GAO audit or when 3 years old, whichever is sooner. GRS 2.6b
302 - 07	Savings Bond Purchase Files.	
- a	Authorization for Purchase and Request for Change - U.S. Savings Bonds, SB 2152, or Equivalent.	Destroy when superseded or after separation of employee. GRS 2.14a
- b	Bond Registration Files: Issuing Agent's Copies of Bond Registration Stubs.	Destroy 4 months after date of issuance of bond. GRS 2.14b
- c	Bond Receipt and Transmittal Files: Receipts for and Transmittals of U.S. Savings Bonds.	Destroy 4 months after date of issuance of bond. GRS 2.14c
302 - 08	Combined Federal Campaign and Other Allotment Authorizations.	
- a	Authorization for Individual Allotment to the Combined Federal Campaign.	Destroy after GAO audit or when 3 years old, whichever is sooner. GRS 2.15a
- b	Other Authorizations, Such as Union Dues and Savings.	Destroy after GAO audit or when 3 years old, whichever is sooner. GRS 2.15b
302 - 09	Thrift Savings Plan Election Form. Form TSP-1 authorizing deduction of employee contribution to the Thrift Savings Plan.	Destroy when superseded or after separation of employee. GRS 2.16
302 - 10	Direct Deposit Sign-up Form. SF 1199A.	Destroy when superseded or after separation. GRS 2.17
303 -	SECTION 3. EXPENDITURES, GENERAL ACCOUNTING, AND APPROPRIATION ALLOTMENT FILES	

Item No.	Description of Records	Disposal Instructions
303 - 01	Expenditure Accounting General Correspondence and Subject Files. Correspondence or subject files maintained by operating units responsible for expenditures accounting, pertaining to their internal operations and administration.	Destroy when 2 years old. GRS 7.1
303 - 02	General Accounting Ledgers. General ledgers, showing debit and credit entries, and reflecting expenditures in summary.	Destroy 6 years and 3 months after the close of the fiscal year involved. GRS 7.2
303 - 03	Appropriation Allotment Files. Allotment records showing status of obligations and allotments under each authorized appropriation.	Destroy 6 years and 3 months after the close of the fiscal year involved. GRS 7.3
303 - 04	Accountable Officers' Files. Original or official copy of accountable officers' accounts maintained in the Budget and Finances Division for site audit by GAO auditors. Include statements of transactions and accountability collection schedules and vouchers, disbursement schedules and vouchers, such as tort claims, and all other schedules and vouchers, or documents used as same exclusive of freight records or payroll records. Maintained in both paper and microform.	
- a	Accountable Officers' Accounts. Original or ribbon copy of accountable officers' accounts maintained in MMS for site audit by GAO auditors, consisting of statements of transactions, statements of accountability, collection schedules, collection vouchers, disbursement schedules, disbursement vouchers, and all other schedules and vouchers or documents used as schedules or vouchers, exclusive of commercial passenger transportation and freight records and payroll records, EXCLUDING accounts and supporting documents pertaining to American Indians. If operating under an integrated accounting system approved by GAO, certain required documents supporting vouchers and/or schedules are included in the site audit records. These records document only the basic financial transaction, money received and money paid out or deposited in the course of operation. All copies except the certified payment or collection copy, usually the original or ribbon copy, and all additional or supporting documentation not involved in an integrated system are covered by succeeding items in this chapter.	Destroy 6 years and 3 months after period covered by account. GRS 6.1a
- b	Others.	Cut off at close of fiscal year in which final payment is made. Destroy 2 years after cutoff. NC1-57-84-7
304 -	SECTION 4. ELECTRONIC 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 Chapter 3 of this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.	
304 - 01 a	Electronic Mail and Word Processing System Copies. 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 has been produced. GRS 6.12a
- b	Other Copies. 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. GRS 6.12b

Item No.	Description of Records	Disposal Instructions
400 -	CHAPTER 4. GENERAL ADMINISTRATIVE SUPPORT RECORDS The records described below relate to administrative support services including communications, printing and duplicating, building management and security, and travel and transportation services. These records are usually generated in the performance and coordination of administrative service operations and activities.	
401 -	SECTION 1. COMMUNICATIONS FILES	
401 - 01	Directory Service Files. Correspondence, forms, and other records relating to the compilation of directory service listings.	Destroy 2 months after issuance of listing. GRS 11.3
401 - 02	Post Office and Private Mail Company Records. Post Office and private mail company forms and supporting papers, exclusive of records held by the United States Postal Service.	Cut off at close of fiscal year.
- a	Records Relating to Incoming or Outgoing Registered Mail Pouches, Registered, Certified, Insured, Overnight, Express, and Special Delivery Mail Including Receipts and Return Receipts.	Destroy when 1 year old. GRS 12.5a
- b	Application for Registration and Certification of Declared Value Mail.	Destroy when 1 year old. GRS 12.5b
- c	Report of Loss, Rifling, Delayed or Late Delivery, Wrong Deliver, or Other Improper Treatment of Mail.	Destroy when 1 year old. GRS 12.5c
401 - 03	Communication Correspondence, Reports, and Reference Files.	Cut off at close of fiscal year.
- a	Correspondence and Related Records Pertaining to Internal Administration and Operation.	Destroy when 2 years old. GRS 12.2a
- b	Telecommunications General Files, Including Plans, Reports and Other Records Pertaining to Equipment Requests, Telephone Service, and Like Matters.	Destroy when 3 years old. GRS 12.2b
- c	Telecommunications Statistical Reports Including Cost and Volume Data.	Destroy when 1 year old. GRS 12.2c
- d	Telecommunications Voucher Files.	
- d(1)	Reference Copies of Vouchers, Bills, Invoices, and Related Records.	Destroy when 1 fiscal year old. GRS 12.2d(1)
- d(2)	Records Relating to Installation, Change, Removal and Servicing of Equipment.	Destroy 1 year after audit or when 3 years old, whichever is sooner. GRS 12.2d(2)

Item No.	Description of Records	Disposal Instructions
401 - 03 e	Copies of Agreements With Background Data and Other Records Relating to Agreements for Telecommunications Services.	Destroy 2 years after expiration or cancellation of agreement. GRS 12.2e
401 - 04	Telecommunications Operational Files.	
- a	Messages, Registers, Logs, Performance Reports, Daily Load Reports and Related and Similar Records.	Destroy when 6 months old. GRS 12.3a
- b	Copies of Incoming/ Original Copies of Outgoing Messages Including Standard Form (SF)14, Telegraphic Message Maintained by Communications Offices or Centers, and EXCLUDING the Copies Maintained by the Originating Program Office.	Destroy when 2 years old. GRS 12.3b
401 - 05	Reserved.	
401 - 06	Credentials File. Receipts, indexes, listings, and accountable records.	Destroy after all listed credentials are accounted for. GRS 11.4b
401 - 07	Metered Mail Files. Official metered mail reports and all related papers.	Cut off at close of fiscal year. Destroy when 6 years old. GRS 12.7
401 - 08	Mail and Delivery Service Control Files.	Cut off at close of fiscal year.
- a	Records of Receipt and Routing of Incoming and Outgoing Mail and Items Handled by Private Delivery Companies Such as United Parcel Service, EXCLUDING Both Those Covered by Item 5 and Those Used as Indexes to Correspondence Files.	Destroy when 1 year old. GRS 12.6a
- b	Statistical Reports of Postage Used on Outgoing Mail and Fees Paid for Private Deliveries (Special Delivery, Foreign, Registered, Certified, and Parcel Post or Packages Over 4 Pounds).	Destroy when 6 months old. GRS 12.6b
- c	Requisition for Stamps (Exclusive of Copies Used as Supporting Documents to Payment Vouchers).	Destroy when 6 months old. GRS 12.6c
- d	Statistical Reports and Data Relating to Handling of Mail and Volume of Work Performed.	Destroy when 1 year old. GRS 12.6d
- e	Records Relating to Checks, Cash, Stamps, Money Orders, or any Other Valuables Remitted to the MMS by Mail.	Destroy when 1 year old. GRS 12.6e
- f	Records of and Receipts for Mail and Packages Received Through the Official Mail and Messenger Service.	Destroy when 6 months old. GRS 12.6f

Item No.	Description of Records	Disposal Instructions
401 - 08 g	General Files Including Correspondence, Memoranda, Directives, and Guides Relating to the Administration of Mail Room Operations.	Destroy when 1 year old or when superseded or obsolete, whichever is applicable. GRS 12.6g
401 - 09	Postal Irregularities File. Memoranda, correspondence, reports and other records relating to irregularities in the handling of mail, such as loss or shortage of postage stamps or money orders, or loss or destruction of mail.	Cut off at close of fiscal year. Destroy 3 years after completion of investigation. GRS 12.8
402 -	SECTION 2. PRINTING, REPRODUCTION, AND DISTRIBUTION FILES	
402 - 01	Project Files. Files pertaining to the accomplishment of the job, containing requisitions, bills, samples, manuscript clearances, and related documents exclusive of (1) requisitions on the public printer and related records; and (2) records relating to services obtained outside the MMS.	Cut off at close of fiscal year. Destroy 1 year after completion of the job. GRS 13.2a
402 - 02	Mailing Lists. Correspondence, request forms, and other records relating to changes in mailing lists.	Destroy after appropriate revision of mailing list or after 3 months, whichever is sooner. GRS 13.4a
402 - 03	Internal Management Files. Records relating to internal management and operation of the unit.	Cut off at close of fiscal year. Destroy when 2 years old. GRS 13.6
402 - 04	Joint Committee on Printing (JCP) Reports Files. MMS report to JCP regarding operation of Class A and B plants and inventories of printing, binding, and related equipment in Class A and B plants or in storage.	Cut off at close of fiscal year. Destroy when 3 years old. GRS 13.5a
403 -	SECTION 3. BUILDINGS, GROUNDS, AND SPACE MANAGEMENT FILES	
403 - 01	MMS Space Files. Building plan files, surveys, and other records utilized in MMS space planning, assignment, and adjustment.	Cut off at close of fiscal year. Destroy 2 years after termination of assignment, or when lease is canceled, or when plans are superseded or obsolete. GRS 11.2a
403 - 02	Space and Maintenance General Correspondence Files. Correspondence files of the unit responsible for space and maintenance matters, pertaining to its own administration and operation, and related papers.	Cut off at close of fiscal year. Destroy when 2 years old. GRS 11.1
404 -	SECTION 4. SECURITY FILES	
404 - 01	Visitor Control Files. Registers or logs used to record names of outside contractors, service personnel, visitors, employees admitted to areas, and reports on automobiles and passengers.	

Item No.	Description of Records	Disposal Instructions
404 - 01 a	For Areas Under Maximum Security.	Destroy 5 years after final entry or 5 years after date of document, as appropriate. GRS 18.17a
- b	For Other Areas.	Destroy 2 years after final entry or 2 years after date of document, as appropriate. GRS 18.17b
404 - 02	Credentials Files. Identification credentials including cards, badges, parking permit, photographs, agency permits to operate motor vehicles, and property, dining room and visitors passes, and other identification credentials.	Destroy credentials 3 months after returning to issuing office. GRS 11.4a
404 - 03	Classified Document Files.	Cut off at close of fiscal year.
- a	Classified Documents Administrative Correspondence Files. Correspondence files pertaining to the administration of security classification, control, and accounting for classified documents, not covered elsewhere in this schedule.	Destroy when 2 years old. GRS 18.1
- b	Document Receipt Files. Records documenting the receipt and issuance of classified documents.	Destroy when 2 years old. GRS 18.2
- c	Classified Document Inventory Files. Forms, ledgers, or registers used to show identity, internal routing, and final disposition made of classified documents, but exclusive of classified document receipts and destruction certificates and documents relating to Top Secret material covered elsewhere in this schedule.	Destroy when 2 years old. GRS 18.4
- d	Destruction Certificates Files. Certificates relating to the destruction of classified documents.	Destroy 2 years after cutoff. GRS 18.3
404 - 04	Security and Protective Services Files.	Cut off at close of fiscal year.
- a	Security and Protective Services Administrative Correspondence Files. Correspondence files relating to administration and operation of the facilities security and protective services programs, not covered elsewhere in this schedule.	Destroy when 2 years old. GRS 18.8
- b	Facilities Security Plans.	Destroy when superseded or obsolete. N1-473-88-1
404 - 05	Survey and Inspection Files (Government- owned facilities). Reports of surveys and inspections of Government-owned facilities conducted to ensure adequacy of protective and preventive measures taken against hazards of fire, explosion, and accidents; and to safeguard information and facilities against sabotage and unauthorized entry.	Cut off at close of fiscal year. Destroy when 3 years old or upon discontinuance of facility, whichever is sooner. GRS 18.9

Item No.	Description of Records	Disposal Instructions
404 - 06	Survey and Inspection Files (Privately-owned facilities). Reports of surveys and inspections of privately owned facilities assigned security cognizance by Government agencies and related documents.	Cut off at close of fiscal year. Destroy when 4 years old or when security cognizance is terminated, whichever is sooner. GRS 18.10
404 - 07	Investigative Files. Investigative files accumulating from investigations of fires, explosions, and accidents, consisting of retained copies of reports and related documents when the original reports are submitted for review and filing in other agencies or organizational elements, and reports and related papers concerning occurrences of such a minor nature that they are settled locally without referral to other organizational elements.	Cut off at close of fiscal year. Destroy when 2 years old. GRS 18.11
404 - 08	Security Clearance Administrative Subject Files. Correspondence, reports, and other records relating to the administration and operation of the personnel security program, not covered elsewhere in this schedule.	Cut off at close of fiscal year. Destroy when 2 years old. GRS 18.21
404 - 09	Personnel Security Clearance Files. Personnel security clearance files and related indexes maintained by the personnel security offices.	
- a	Investigations on Applicants and Federal Employees. Case files documenting the processing of investigations on federal employees or applicants for federal employment, whether or not a security clearance is granted, and other persons, such as those performing work for a Federal agency under contract, who require an approval before having access to Government facilities or to sensitive data. These files include questionnaires, summaries of reports prepared by the investigating agency, and other records reflecting the processing of the investigation and the status of the clearance, exclusive of copies of investigative reports furnished by the investigating agency.	Destroy upon notification of death or not later than 5 years after separation or transfer of employee or no later than 5 years after contract relationship expires, whichever is applicable. GRS 18.22a
- b	Investigative Reports and Related Documents Furnished to MMS by Investigative Organizations for Use in Making Security/Suitability Determinations.	Destroy in accordance with the investigating agency instructions. GRS 18.22b
- c	Index to the Personnel Security Case Files.	Destroy with related case file. GRS 18.22c
404 - 10	Personnel Security Clearance Status Files. Lists or rosters showing the current security clearance status of individuals.	Destroy when superseded or obsolete. GRS 18.23
404 - 11	Security Violations Files. Files relating to investigations of alleged violations of Executive orders, laws, or Agency regulations for the safeguarding of national security information.	Cut off at close of fiscal year in which investigation is completed.
- a	Serious Violations. Files relating to alleged violations of a sufficiently serious nature that they are referred to the Dept. of Justice or Defense for prosecutive determination exclusive of files held by Dept. of Justice or Defense offices responsible for making such determinations.	Destroy 5 years after close of case. GRS 18.24a
- b	Others. - All other files, exclusive of documents placed in official personnel folders.	Destroy 2 years after completion of final action. GRS 18.24b

Item No.	Description of Records	Disposal Instructions
404 - 12	Emergency Planning Records.	Cut off at close of fiscal year.
- a	Correspondence Files Relating to Administration and Operation of the Emergency Planning Program, Not Covered Elsewhere in this Schedule.	Destroy when 2 years old. GRS 18.26
- b	Continuity of Operations Plan (COOP) (ADP).	Destroy when superseded or obsolete. N1-473-88-1
404 - 13	Top Secret Accounting and Control Files.	
- a	Registers Maintained at Control Points to Indicate Accountability Over Top Secret Documents, Reflecting the Receipt, Dispatch, or Destruction of the Documents.	Destroy 5 years after documents shown on forms are downgraded, transferred, or destroyed. GRS 18.5a
- b	Forms Accompanying Documents to Ensure Continuing Control, Showing Names of Persons Handling the Documents, Intra-office Routing, and Comparable Data.	Destroy when related document is downgraded, transferred, or destroyed. GRS 18.5b
404 - 14	Property Pass Files. Property pass files, authorizing removal of property or materials.	Destroy 3 months after expiration or revocation. GRS 18.12
404 - 15	Key Accountability Files. Files relating to accountability for keys issued.	
- a	For Areas Under Maximum Security.	Destroy 3 years after turn-in of key. GRS 18.16a
- b	For Other Areas.	Destroy 6 months after turn-in of key. GRS 18.16b
404 - 16	Security Incidents Reports. Reports relating to unusual incidents and the exercise of police functions.	
- a	Ledger Records of Arrest, Cars Ticketed, and Outside Police Contacts.	Destroy 3 years after final entry. GRS 18.14a
- b	Reports, Statements of Witnesses, Warning Notices, and Other Documents Relating to Arrest, Commitments, and Traffic Violations.	Cut off at close of fiscal year. Destroy when 2 years old. GRS 18.14b
- c	Reports on Contact of Outside Police with Building Occupants.	Cut off at close of fiscal year. Destroy when 1 year old. GRS 18.14b

Item No.	Description of Records	Disposal Instructions
404 - 17	Classified Document Container Security Files. Forms or lists used to record safe and padlock combinations, names of individuals knowing combinations, and comparable data used to control access into classified document containers.	Destroy when superseded by a new form or list, or upon turn-in of containers. GRS 18.7
405 -	SECTION 5. TRAVEL AND PASSENGER TRANSPORTATION FILES	
405 - 01	General Travel and Transportation Files. Routine administrative records including correspondence, forms, and related records pertaining to commercial and noncommercial agency travel and transportation and freight functions not covered elsewhere in this schedule.	Cut off at close of fiscal year in which final entries are made on all authorizations entered for that year. Destroy when 2 years old. GRS 9.4a
405 - 02	Travel Reimbursement Files. Documents concerning official travel of individual employees. Include copies of requests for travel, authorization, vouchers, justifications, advance of funds, and copies of training requests/authorization and/or attendance at meetings. Arrange alphabetically by employee name.	Cut off at close of fiscal year.
- a	Travel Administrative Office Files.	Destroy when 6 years old. GRS 9.3a
- b	Other Copies.	Destroy 2 years after cutoff. NC1-57-84-7
405 - 03	Accountability Records Documenting the Issue or Receipt of Accountable Documents.	Destroy 1 year after all entries on the register are cleared. GRS 9.4b
405 - 04	Reserved.	
406 -	SECTION 6. FREIGHT TRANSPORTATION FILES	
406 - 01	Commercial Freight and Passenger Transportation Files.	Cut off at close of fiscal year.
- a	Original Vouchers and Documents. Original vouchers and support documents covering commercial freight and passenger transportation charges of settled fiscal accounts, including registers and other control documents, but EXCLUDING those covered by item 406-01b of this schedule.	Destroy 6 years after the period of the account. GRS 9.1a
- b	Payment Records. Records covering payment for commercial freight and passenger transportation charges for services for which 1) notice of overcharge has been or is expected to be issued, or if a rail freight overpayment is involved, 2) deduction or collection action has been taken, 3) the voucher contains inbound transit shipment (s), 4) parent voucher has print of paid supplement bill associated, 5) the voucher has become involved in litigation, or 6) any other condition arises, such as detection of overcharge, that prevents the settling of the account, requiring the voucher to be retained beyond the 6 year retention period.	Destroy when 10 years old. GRS 9.1b

Item No.	Description of Records	Disposal Instructions
406 - 01 c	Issuing Office Copies. Issuing office copies of Government or commercial bills of lading, commercial passenger transportation vouchers (Standard Form (SF) 1113A) and transportation requests (SF 1169), travel authorizations, and supporting documents.	Destroy 6 years after the period of the account. GRS 9.1c
- d	Obligation Copy of Commercial Passenger Transportation Vouchers.	Destroy when funds are obligated. GRS 9.1d
- e	Unused Ticker Redemption Forms, Such as SF 1170.	Destroy 3 years after the year in which the transaction is completed. GRS 9.1e
406 - 02	Reserved.	
406 - 03	Lost or Damaged Shipments Files. Schedules of valuables shipped, correspondence, reports, and other records relating to the administration of the Government Losses in Shipment Act.	Cut off at close of fiscal year. Destroy when 6 years old. GRS 9.2
407 -	SECTION 7. MOTOR VEHICLES FILES The documents described below are accumulated in leasing/renting vehicles from GSA and in managing the use of MMS-owned vehicles.	
407 - 01	Motor Vehicle Correspondence Files. Correspondence in the operating unit responsible for maintenance and operation of motor vehicles not otherwise covered in this schedule.	Cut off at close of fiscal year in which vehicle is returned to GSA. Destroy 2 years after cutoff. GRS 10.1
407 - 02	Motor Vehicle Operating and Maintenance Files.	
- a	Operating Records Including Those Relating to Gas and Oil Consumption, Dispatching, and Scheduling.	Destroy when 3 months old. GRS 10.2a
- b	Maintenance Records Including Those Relating to Service and Repair.	Destroy when 1 year old. GRS 10.2b
407 - 03	Motor Vehicle Accident Files. Records relating to motor vehicle accidents, maintained by transportation offices, including SF 91, Motor Vehicle Accident Report, investigative reports, and SF 94, Statement of Witness.	Cut off at close of fiscal year in which case is closed. Destroy 6 years after case is closed. GRS 10.5
407 - 04	Motor Vehicle Correspondence Files. Correspondence in the operating unit responsible for maintenance and operation of motor vehicles not otherwise covered in this schedule.	Cut off at close of fiscal year in which vehicle is transferred or otherwise disposed of. Destroy 2 years after cutoff. GRS 10.1

Item No.	Description of Records	Disposal Instructions
407 - 05	Motor Vehicle Release Files. Records relating to transfer, sale, donation, or exchange of vehicles, including SF 97, The United States Government Certificate to Obtain Title to a Motor Vehicle.	Cut off at close of fiscal year in which vehicle is transferred or otherwise disposed of. Destroy 4 years after cutoff. GRS 10.6
407 - 06	Motor Vehicle Report Files. Reports on motor vehicles (other than accident, operating, and maintenance reports), including SF 82, Agency Report of Motor Vehicle Data.	Cut off at close of fiscal year. Destroy 3 years after date of report. GRS 10.4
407 - 07	Motor Vehicle Operator Files. Records relating to individual employee operations of government-owned vehicles, including driver tests, authorization to use, safe driving awards, and related correspondence.	Destroy 3 years after separation of employees or 3 years after recision of authorization to operate government-owned vehicle, whichever is sooner. GRS 10.7
408 -	SECTION 8. ELECTRONIC 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 Chapter 4 of this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.	
408 - 01 a	Electronic Mail and Word Processing System Copies. 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 has been produced. GRS 12.9a
- b	Other Copies. 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. GRS 12.9b
500 -	CHAPTER 5. PROCUREMENT AND PROPERTY MANAGEMENT RECORDS The records described in this chapter pertain to the initiation, obligation, administration, delivery, receipt, verification, and certification for payment of purchase transactions for equipment, supplies, and services; and records regarding the management, distribution, transfer, and disposal of personal property. Include purchase orders for small purchases, issued requisitions, FEDSTRIP, or requests for contract action by procurement offices. Protect personal data. See Chapter 6, Special Instructions, of this handbook.	
501 -	SECTION 1. GENERAL	
501 - 01	Vendor Reference Materials. Documents listing supplies and services offered by vendors. Include catalogs, brochures, pamphlets, and mailing lists. Arrange alphabetically by vendor name.	Destroy when superseded or obsolete. NC1-57-84-7
501 - 02	Equipment Technical Manuals & Operating Instructions. Parts lists and installation and maintenance instructions for various items of equipment that are owned by MMS. Arrange by type of equipment or vendor name.	Destroy when superseded, obsolete, or when related equipment is disposed. NC1-57-84-7

Item No.	Description of Records	Disposal Instructions
502 -	SECTION 2. PURCHASE TRANSACTION FILES The records described below relate to the initiation, obligation, administration, delivery, receipt, verification, and certification for payment of purchase transactions for equipment, supplies and services. The official file is maintained by procurement offices.	
502 - 01	Finding Aids (or Indexes). Indexes, lists, registers, and other finding aids used only to provide access to records authorized for destruction by the GRS or a NARA-approved SF 115, EXCLUDING records containing abstracts or other information that can be used as an information source apart from the related records.	Destroy or delete with the related records. GRS 23.9
502 - 02	Purchase Transaction Document Index Files. Other copies of records described above used by component elements of a procurement office for administrative purposes.	Destroy upon termination or completion. GRS 3.3c
502 - 03	Purchase Orders/Requisitions. Documents relating to the procurement of equipment, supplies, and services within procurement authority delegated to MMS Contracting Officers, i.e., purchases within the Small Purchase Limitation. Include purchase documents, initiating requisition, Form MMS-2016 or equivalent, quotations for purchases from commercial sources, justifications, receipt documents, copies of bills of lading or invoices, and supporting or related papers and correspondence. Arrange by purchase order number.	
- a	Transaction Dated On Or After July 3, 1995 (the effective date of the Federal Acquisition Regulations FAR) rule defining "simplified acquisition threshold").	GRS 3.3a(1)(a)
- b	Transactions Dated Earlier Than July 3, 1995.	Destroy 3 years after final payment. GRS 3.3a(1)(b)
- c	Other Copies.	Destroy when 2 years old. NC1-57-84-7
- d	ADP Equipment Approvals.	Destroy/Delete 3 years after control measures or procedures are superseded or terminated. GRS 3.9(b)
502 - 04	Reserved.	
502 - 05	Reserved.	
502 - 06	Recurring Services Invoice Files. Copies of paid monthly invoices, primarily from GSA, for recurring services such as motor pool services, GSA self service store purchases, telecommunications and commercial telephone services, printing and duplicating services performed by the GSA centralized printing facility. Include copies of invoices; vouchers, such as SF 1080; schedules, such as GSA Schedule 789; and related receipts and other records used in verifying invoices/vouchers for certification. Arrange by type of service and there under by billing period.	Cut off at close of fiscal year.

Item No.	Description of Records	Disposal Instructions
502 - 06 a	Accountable Officers' Files. Original or ribbon copy of accountable officers' accounts maintained in the agency for site audit by GAO auditors, consisting of statements of transactions, statements of accountability, collection schedules, collection vouchers, disbursement schedules, disbursement vouchers, and all other schedules and vouchers or documents used as schedules or vouchers, exclusive of commercial passenger transportation and freight records and payroll records, EXCLUDING accounts and supporting documents pertaining to American Indians. If an agency is operating under an integrated accounting system approved by GAO, certain required documents supporting vouchers and/or schedules are included in the site audit records. These records document only the basic financial transaction, money received and money paid out or deposited in the course of operating the agency. All copies except the certified payment or collection copy, usually the original or ribbon copy, and all additional or supporting documentation not involved in an integrated system are covered by succeeding items in this schedule.	Destroy 6 years and 3 months after period covered by account. GRS 6.1a
- b	Other Copies.	Destroy when 2 years old. NC1-57-84-7
502 - 07	Receiving Report Certification. Copies of purchase orders used to monitor the receipt of supplies and equipment. Arrange by delivery date and purchase order number.	Destroy upon termination or completion. GRS 3.3c
502 - 08	Real Property Files. Title papers documenting the acquisition of real property (by purchase, condemnation, donation, exchange, or otherwise).	Dispose 10 years after unconditional sale or release by the Government of conditions, restrictions, mortgages, or other liens. GRS 3.1a
503 -	SECTION 3. CONTRACT ADMINISTRATION RECORDS Records described in this section relate to the initiation and monitoring of contracts and interagency agreements awarded to support MMS programs. Include helicopter transportation contracts, drilling program contracts, etc.	
503 - 01	Contract/Grant Proposal Files. Documents accumulated in requesting contract/grant or agreement action. Include copies of technical specifications; evaluation documentation, notes, technical reviews; recommendation for award or denial; sole source justification and related correspondence.	
- a	Procurement Offices.	
- a(1)	Transactions of More Than \$25,000 and All Construction Contracts Exceeding \$2,000.	Destroy 6 years and 3 months after final payment. GRS 3.3a(1)(a)
- a(2)	Transactions of \$25,000 or Less and Construction Contracts Under \$2,000.	Destroy 3 years after final payment. GRS 3.3a(1)(b)
- b	Other Copies.	Dispose when no longer needed for reference. NC1-57-84-7

Item No.	Description of Records	Disposal Instructions
503 - 02	Contract/Grant Monitoring Files. Working files maintained by Contracting Officers and/or representatives responsible for monitoring MMS contracts/grants and agreements in support of MMS programs. Contracts are for helicopter transportation, drilling, radio communications, geological and geophysical data, ADP systems design, etc. Include contract agreements and documents, backup material such as notes and working papers concerning contractor proposals and deliverables, progress and technical reports, and routine communications pertaining to monitoring an individual contract or agreement. RECORDS CREATED UNDER TERMS OF A CONTRACT REMAIN IN THE JURISDICTION OF THE CONTRACTOR UNTIL CONTRACT COMPLETION; HOWEVER, THE RECORDS ARE THE PROPERTY OF MMS.	
- a	Procurement Offices.	
- a(1)	Transactions of More Than \$25,000 and All Construction Contracts Exceeding \$2,000.	Destroy 6 years and 3 months after final payment. EXCEPT that geological and geophysical contract files will be turned over to the sponsoring Offshore office for incorporation into disposition under item 503-02e. GRS 3.3a(1)(a).
- a(2)	Transactions of More Than \$25,000 or Less all Federal Supply Schedule Awards Regardless of Dollar Amount (up to the Maximum Order Limitation) and Construction Contracts Under \$2,000.	Destroy 3 years after final payment. EXCEPT: That geological and geophysical contract files will be turned over to the sponsoring Offshore office for incorporation into and disposition under Item 503-02e. GRS 3.3a(1)(b)
- b	Files Maintained by Contracting Officer's Representatives in the Sponsoring MMS Office.	Destroy upon termination or completion. GRS 3.3c
- c	Related Documents Maintained by Contracting Officer's Technical/Scientific Representatives.	Destroy upon termination or completion. GRS 3.3c
- d	All Other Copies.	Destroy upon termination or completion. GRS 3.3c
- e	Geological and Geophysical Contract Files. Maintained by sponsoring Offshore office. File augmented by records from Items 503-02a(1) and -02a(2), upon their eligibility. Transfer to FRC 15 years after cutoff.	Transfer to FRC 15 years after cutoff. Destroy 35 years after cutoff. N1-473-88-1
503 - 03	Solicited and Unsolicited Bids and Proposal Files.	
- a	Successful Bids and Proposals.	Destroy with related contract case files. GRS 3.5a
- b	Solicited and Unsolicited Unsuccessful Bids and Proposals.	

Item No.	Description of Records	Disposal Instructions
503 - 03	b(1) Relating to Small Purchases as Defined in the Federal Acquisition Regulation, 48 CFR Part 13. - b(2) Relating to Transactions Above the Small Purchase Limitations in 48 CFR Part 13. - b(2)a When Filed Separately From Contract Case Files. - b(2)b When Filed With Contract Case Files. - c Canceled Solicitation Files. - c(1) Opened Bids. Formal solicitations of offers to provide products or services (e.g., Invitations for Bids, Request for Proposals, Requests Quotations) which were canceled prior to award of a contract. Include presolicitation documentation on any offers which were opened prior to the cancellation, documentation on any Government action up to the time of cancellation, and evidence of the cancellation. - c(2) Unopened Bids. - d Lists or Card Files of Acceptable Bidders.	Destroy 1 year after date of award or final payment whichever is later. GRS 3.5b(1) Destroy when related contract is completed. GRS 3.5b(2)(a) Destroy with related contract case file. GRS 3.5b(2)(b) Destroy 5 years after date of cancellation. GRS 3.5c(1) Return to bidder. GRS 3.5c(2) Destroy when superseded or obsolete. GRS 3.5d
503 - 04	Unsuccessful Grant Application Files. Applications, correspondence, and other records relating to unsuccessful (rejected or withdrawn) applications.	Destroy 3 years after rejection or withdrawal. GRS 3.13
503 - 05	Grant Administrative File. Correspondence relating to the operation and daily activities in administration of the grant program.	Destroy when 2 years old. GRS 3.14
504 -	SECTION 4. SUPPLY AND PROPERTY MANAGEMENT RECORDS	
504 - 01	FEDSTRIP Requisition Files. Documents showing evidence of issue, delivery, and receipt of equipment and supplies.	Destroy 3 years after completion or cancellation of requisition. GRS 3.8a
504 - 02	Publications or Forms Requisition Files. Copies of purchase orders, transfer requests, and related documents accumulated in the process of requisitioning publications and accountable and nonaccountable blank forms from MMS or the Department's stock. Arrange by requisition number.	Destroy upon termination or completion. GRS 3.3c

Item No.	Description of Records	Disposal Instructions
504 - 03	Receiving Reports. Documents which reflect receipt of shipments of supplies and equipment. Include freight bills, packing slips, and supply room copies of purchase orders or requisitions.	Destroy when 2 years old. GRS 3.4a
504 - 04	Supply Room Requests. Requisitions or requests for supplies and equipment from supply room.	Destroy 2 years after completion or cancellation of requisition. GRS 3.8a
504 - 05	Publication or Forms Inventory Lists. Inventory maintained to reflect the status of supply of directives, publications, and blank forms.	Destroy 2 years from date of list. GRS 3.9a
504 - 06	Reserved.	
504 - 07	Reserved.	
504 - 08	Reserved.	
504 - 09	Reserved.	
504 - 10	Accountability Files. Documents accumulated in controlling and accounting for personal property. Include records which document the transfer and disposition of controlled property such as Forms MMS-064, -065, and annual property inventories.	Destroy 3 years after final entry. GRS 18.15a
504 - 11	Excess Personal Property Files. Reports of excess personal property such as SF 120 and similar documents.	Destroy when 3 years old. GRS 4.2
504 - 12	Personal Property Accountability Number Files. List of unique property identification numbers assigned and affixed to controlled property items on Form MMS-065.	Destroy when 2 years old. GRS 23.1
504 - 13	Survey Board Reports. Reports of action taken for items which are lost, stolen, damaged beyond repair, rendered obsolete or otherwise unserviceable.	Destroy when 2 years old. GRS 18.15b
504 - 14	Property Management Section ADP Files. Printouts and background information to change, add, delete, or correct property management ADP files.	Destroy when 2 years old. GRS 23.1
504 - 15	Employee Exit Clearance Report. Documentation submitted by an employee leaving the MMS, prepared on Form MMS-1090.	Destroy when 2 years old. GRS 23.1

Item No.	Description of Records	Disposal Instructions
505 -	SECTION 4. ELECTRONIC 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 Chapter 1 of this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.	
505 - 01 a	Electronic Mail and Word Processing System Copies. 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 has been produced. GRS 3.18a
- b	Other Copies. 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. GRS 3.18b
600 -	CHAPTER 6. PERSONNEL MANAGEMENT RECORDS The records described below pertain to the personnel management function. These records contain personal data and are subject to the provisions of the privacy act. See Chapter 6, Special Instructions, of this handbook.	
601 -	SECTION 1. PERSONNEL PROGRAM RECORDS	
601 - 01	Official Personnel Files (OPF). Official folders maintained by personnel offices having personnel management responsibilities, e.g. authority to request or take a personnel action, such as recruitment, promotion, evaluation, or disciplinary action. Include information required by Federal Personnel Manual (FPM) Supplement 293-31 recordkeeping requirements.	
- a	Official Personnel Folders.	
- a(1)	Separated Employees.	Transfer folder to National Personnel Records Center (NPRC), St. Louis, MO, 30 days after separation. The NPRC will destroy folder 65 years after separation from federal service. GRS 1.1b
- a(2)	Transferred Employees.	See Chapter 7 of "The Guide to Personnel Record Keeping" for instructions relating to folder of employees transferred to another Agency/Bureau. GRS 1.1a
- b	Supervisor's Personnel Files and/or Other Copies.	Review annually and destroy superseded or obsolete documents, or destroy file relating to an employee within 1 year after separation or transfer. GRS 1.18a

Item No.	Description of Records	Disposal Instructions
601 - 01 c	Staffing and Classification Files. Copies of documents not maintained in the OPF which relate to various employment aspects.	Cut off at close of fiscal year. Transfer to FRC 2 years after cutoff. Destroy 6 years after cutoff. NC1-57-84-7
601 - 02	Employee Record Cards. Cards such as SF 7B or other manual or automated systems, maintained for ready reference which show jobs, grades, and similar information relating to an individual's employment. Arrange alphabetically by employee name.	Destroy 3 years after separation or transfer of employee. EXCEPT: Cards for employees transferred within MMS will be forwarded to the gaining office. GRS 1.2b
601 - 03	Employee Locator Files. Information such as name, social security number, current residence, emergency locator information, office address, and telephone numbers.	Destroy when superseded or on separation or transfer of employee. GRS 1.6
601 - 04	Personnel Actions Report Files. Computer listings of personnel actions processed for servicing personnel office.	
- a	Paper.	Destroy paper when microform has been verified. N1-473-88-1
- b	Magnetic Tape.	Cut off at close of fiscal year. Erase/write over tape when microform has been verified. N1-473-88-1
- c	Master Microform.	Destroy when 2 years old. GRS 1.16
601 - 05	Reserved.	
602 -	SECTION 2. EMPLOYMENT, PERFORMANCE, AND CLASSIFICATION FILES	
602 - 01	OPM Certificates. Documents accumulated in obtaining from the OPM registers lists of certificates of eligibles and respective reports. Include copies of requests for certification, certificates of eligibles, statement of reasons for passing over eligibles, and related records.	Destroy when 2 years old. GRS 1.5
602 - 02	Application for Employment. Documents accumulated in receiving applications, conducting interviews, checking references, making selections, and requesting placement of applicants qualified and available for employment or determining that an applicant is not qualified, declines, or will not be selected for other reasons. Include applications, qualification rating sheets, applicant referrals for interviews, system records, and related records.	

Item No.	Description of Records	Disposal Instructions
602 - 02 a	Successful Applicants.	Forward application and related documents for inclusion in OPF. See Item 601-01. GRS 1.A and GRS 1.B
- b	Pending or Unsuccessful Applications.	Cutoff annually. Destroy 2 years after cutoff. GRS 1.33m
602 - 03	Reserved.	
602 - 04	Merit Promotion Files. Records relating to the promotion of an individual that document qualification standards, evaluation methods, selection procedures, and evaluations of candidates, EXCLUDING any records that duplicate information in the promotion plan, in the OPF's or in other personnel records.	Destroy 2 years after the personnel action or after the action has been audited by OPM, whichever is sooner. GRS 1.32
602 - 05	Employee Performance File System Records. Non-Senior Executive Service (SES) appointees (as defined in 5 U.S.C. 4301(2)). See Item 602-05f for SES appointees.	
- a	Appraisals of Unacceptable Performance, Where a Notice of Proposed Demotion or Removal is Issued but Not Effected, and All Related Documents.	Destroy after the employee completes 1 year of acceptable performance from the date of the written advance notice of proposed removal or reduction in grade notice. GRS 1.23a(1)
- b	Performance Records Superseded Through an Administrative, Judicial, or Quasi-Judicial Procedure.	Destroy when superseded. GRS 1.23a(2)
- c	Performance Related Records Pertaining to a Former Employee.	
- c(1)	Latest Ratings of Record 3 Years Old or Less, Performance Plan Upon Which it Was Based, and Any Summary Ratings Prepared When the Employee Changes Positions.	Transfer to OPF and forward to gaining Federal Agency upon transfer or to NPRC if employee separates. [See Item 601-01a(1)]. GRS 1.23a(3)(a)
- c(2)	All Other Performance Plans and Ratings.	Destroy when 4 years old. GRS 1.23(3)(b)
- d	Performance Related Records Pertaining to a Current Employee.	Destroy 4 years after date of appraisal. GRS 1.23a(4)
- e	Supporting Documents.	Destroy 4 years after date of appraisal. GRS 1.23a(5)

Item No.	Description of Records	Disposal Instructions
602 - 05 f	SES Appointees (as Defined in 5 U.S.C. 3132a(2)).	
- f(1)	Performance Records Superseded Through an Administrative, Judicial, or Quasi-Judicial Procedure.	Destroy when superseded. GRS 1.23b(1)
- f(2)	Performance-Related Records Pertaining to a Former SES Appointee.	
- f(2)a	Latest Rating of Record That is Less Than 5 Years Old, Performance Plan Upon Which it is Based, and Any Summary Rating.	Transfer to OPF and forward to gaining Federal Agency upon transfer or to NPRC if employee leaves Federal service. [See Item 601-01a(1)]. GRS 1.23b(2)(a)
- f(2)b	All Other Performance Rating Plans.	Destroy when 5 years old. GRS 1.23b(2)(b)
- f(3)	All Performance Documents Pertaining to a Current Employee, EXCLUDING Those for SES Appointees Serving on a Presidential Appointment.	Destroy 5 years after date of appraisal. GRS 1.23b(3)
- f(4)	Supporting Documents.	Destroy 5 years after date of appraisal. GRS 1.23b(3)
602 - 06	Reserved.	
602 - 07	Position Description Files. Descriptions maintained in MMS personnel offices which describe duties, responsibilities, and relationships of each position within the organization. Include position descriptions and amendments, certifications, and checklists or fill-in descriptions.	Destroy 5 years after position is abolished or description is superseded. GRS 1.7a
602 - 08	Incentive Awards Program Files. Documents pertaining to the operation of the Incentive Awards Program.	Destroy when 3 years old. GRS 1.13
602 - 09	Reserved.	
602 - 10	Employee Award Files.	
- a	General Awards Records. EXCLUDING those relating to departmental level awards. Case files including recommendations, approved nominations, correspondence, reports, and related handbooks pertaining to MMS-sponsored cash and noncash awards such as incentive awards, within grade merit increases, suggestions, and outstanding performance.	Destroy 2 years after approval or disapproval. GRS 1.12a(1)

Item No.	Description of Records	Disposal Instructions
602 - 10 b	Length of Service Award Files. Records including correspondence, reports, computations of service and sick leave, and list of awardees.	
- b(1)	Paper.	Destroy when 1 year old. GRS 1.12b
- b(2)	Paper When Information is Entered Into Automated System.	Destroy after the information has been converted to the automated system and verified, or when no longer needed to support the reconstruction of or serve as backup to the master file, whichever is later. N1-473-88-1
- b(3)	Magnetic Tape.	Delete 2 years after approval (or entry). N1-473-88-1
- c	Letters of Commendation and Appreciation. Copies of letters recognizing length of service and retirement and letters of appreciation and commendation for performance, EXCLUDING copies filed in the OPF.	Destroy when 2 years old. GRS 1.12c
- d	Lists or Indexes to MMS Award Nominations. Lists of nominees and winners and indexes of nominations.	Destroy when superseded or obsolete. GRS 1.12d
- e	Company Files.	Destroy when no longer needed for current business.
603 -	SECTION 3. TRAINING FILES	
603 - 01	Training Authorization Controls. Registers, log sheets, or similar documents created to control and record the assignment of document numbers to employee training.	Destroy when 5 years old or when superseded or obsolete, whichever is sooner. GRS 29.B
603 - 02	Training Record History Files. Training achievement records showing training history of individual employees.	
- a	Paper.	Destroy when 5 years old or when superseded or obsolete, whichever is sooner. GRS 1.29b
- b	Paper When Information Is Entered Into an Automated System.	Destroy after the information has been converted to the automated system and verified. N1-473-88-1
- c	Magnetic Tape.	Delete when 5 years old. N1-473-88-1

Item No.	Description of Records	Disposal Instructions
603 - 03	Training Reports. Documents reflecting proposed and actual training progress and accomplishments. Include monthly reports of projected status of training, reports of accomplished training, computer listings, and reports of individual employee training. Arrange by title of report.	Destroy when 3 years old. GRS 1.29a(2)
603 - 04	Training Records. General file of MMS-sponsored training. Include correspondence, memoranda, agreements, authorizations, reports requirement reviews, plans, and objectives relating to the establishment and operation of training, courses, and conferences.	Destroy when 5 years old or 5 years after completion of a specific training program. GRS 1.29a(2)
604 -	SECTION 4. LABOR MANAGEMENT RELATIONS FILES	
604 - 01	Labor Management Relations Records.	
- a	Labor Management Relations Files. Correspondence, memorandums, reports, and records relating to the relationship between management and employee unions or other groups:	
- a(1)	Office Negotiating Agreement.	Destroy 5 years after expiration of agreement. GRS 1.28a(1)
- a(2)	Other Offices.	Destroy when superseded or obsolete. GRS 1.28a(2)
- b	Labor Arbitration Files. Correspondence, forms, and background documents relating to labor arbitration cases.	Destroy 5 years after final resolution of case. GRS 1.28b
604 - 02	Reserved.	
604 - 03	Reserved.	
604 - 04	Reserved.	
605 -	SECTION 5. EMPLOYEE FILES	
605 - 01	Employee Confidential File. Employee certification, conflict of interest/standard of conduct submissions, worksheet/computer run, correspondence, and final determination.	Destroy when 6 years old or when superseded or obsolete, whichever is later. GRS 25b

Item No.	Description of Records	Disposal Instructions
605 - 01 a	Electronic Mail and Word Processing System Copies. 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 has been produced.
- b	Other Copies. 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.
605 - 02	Financial Disclosure Reports. Reports and related documents submitted by individuals as required under the Ethics in Government Act of 1978 (P.L. 95-521).	
- a	Records Including SF 278 for Individuals Filing According to Section 201b of the Act, and Not Subsequently Confirmed by the U.S. Senate.	Destroy 1 year after nominee ceases to be under consideration for appointment. EXCEPT: Documents needed in an ongoing investigation will be retained until no longer needed in the investigation. GRS 1.25a(1)
- b	All Other Records, Including SF 278.	Destroy when 6 years old. EXCEPT: Documents needed in an ongoing investigation will be retained until no longer needed in the investigation. GRS 1.25a(2).
- c	All Other Statements of Employment and Financial Interests and Related Records, Including Confidential Statements Files Under E.O. 11222.	Destroy when 6 years old. EXCEPT: Documents needed in an ongoing investigation will be retained until no longer needed in the investigation. GRS 1.25(2)b(2).
605 - 03	Equal Employment Opportunity (EEO) Records.	
- a	Official Discrimination Complaint Files. Files containing complaints, with related correspondence, reports, exhibits, withdrawal notices, copies of decisions, records of hearings and meetings, and other records as described in 29 CFR 1613.222. Cases resolved within MMS, by EEO Commission, or by a U.S. Court.	Destroy 4 years after resolution of case. GRS 1.25a
- b	Copies of Official Discrimination Complaint Files. Duplicates of files retained in official discrimination complaint files.	Destroy 1 year after resolution of case. GRS 1.25b
- c	Background Files. Background records not filed in the official discrimination complaint files and records documenting complaints that do not develop into official discrimination complaint cases.	Destroy 2 years after final resolution. GRS 1.25c(1)
- d	Compliance Records.	

Item No.	Description of Records	Disposal Instructions
605 - 03	d(1) Compliance Review Files. Reviews, background papers, and correspondence relating to contractor employment practices.	Destroy when 7 years old. GRS 1.25d(1)
-	d(2) EEO Compliance Reports.	Destroy when 3 years old. GRS 1.25d(2)
-	e Employment Statistics Files. Employment statistics relating to race and sex.	Destroy when 5 years old. GRS 1.25f
-	f EEO Affirmative Action Plans (AAP).	
-	f(1) Copy of Consolidated AAP.	Destroy 5 years from date of plan. GRS 1.25h(1)
-	f(2) Feeder Plan to Consolidated AAP.	Destroy 5 years from date of feeder plan or when administrative purposes have been served, whichever is sooner. GRS 1.25h(2)
-	f(3) Report of On-Site Reviews of Affirmative Action Programs.	Destroy 5 years from date of report. GRS 1.25h(3)
-	f(4) MMS Copy of Annual Report of the Affirmative Action Accomplishments.	Destroy 5 years from date of report. GRS 1.25h(4)
-	g Equal Opportunity Program Reports. Status reports of numbers of complaints by region, office, etc. accompanied by lists of names of complainants.	Cut off at close of fiscal year. Destroy 3 years after cutoff. N1-473-88-1
605 - 04	Personnel Counseling Records. Reports of interviews, analyses, and related records.	Destroy 3 years after termination of counseling by pulping or shredding, etc. GRS 1.26a
605 - 05	Reserved.	
605 - 06	Grievance, Disciplinary, and Adverse Action Files.	
-	a Grievance, Appeals Files (5 CFR 771). Records relating to grievances and appeals raised by MMS employees, except EEO complaints. Include statements of witnesses, reports of interviews and hearings, examiner's findings and recommendations, a copy of the original decision, related correspondence and exhibits, and records relating to a reconsideration request.	Destroy no sooner than 4 years but no later than 7 years after case is closed. GRS 1.30a

Item No.	Description of Records	Disposal Instructions
605 - 06 b	Adverse Action Files (5 CFR 752). Records created in reviewing an adverse action and performance-based action removal, suspension, leave without pay, reduction-in-force against an employee. Include a copy of the proposed adverse action with supporting documents, statements of witnesses, employee's reply, hearing notices, reports, and decisions, reversal of action, and appeal records, EXCLUDING letters of reprimand which are filed in the OPF under Item 601-01a.	Destroy no sooner than 4 years but no later than 7 years after case is closed. GRS 1.30b
605 - 07	Personal Injury Files. Forms, reports, correspondence, and related medical and investigator records relating to on-the-job injuries, whether or not a claim for compensation was made, EXCLUDING copies filed in the OPF and copies submitted to the Department of Labor.	Cut off on termination of compensation or when deadline for filing a claim has passed. Destroy 3 years after cutoff. GRS 1.31
605 - 08	Employee Medical Folder (EMF).	
- a	Long-Term Medical Records as Defined in the FPM, Chapter 293. (Full Time Employee.)	
- a(1)	Transferred Employees.	See 5CFR Part 293 Subpart E for instructions. GRS 1.21a(1)
- a(2)	Separated Employees.	Transfer to NPRC, St. Louis, MO, 30 days after birth date. NPRC will destroy 75 years after birth date of employee, 60 years after date of the earliest document in the folder if the date of birth cannot be ascertained, or 30 years after latest separation, whichever is later. GRS 1.21a(2)
- b	Temporary or Short-Term Records as Defined in the FPM. (Temporary or short-term employees.)	Destroy 1 year after separation or transfer of employee. GRS 1.21b
606 -	SECTION 6. TEMPORARY HELP SERVICES	
606 - 01	Temporary Help Services Use History Files. Records applicable to each instance where temporary help services are used. Include position description, information on all recruiting efforts undertaken to fill the position, name of the temporary help service and the person referred, cost, detailed description of the critical need which caused use of the service, and results in terms of individuals referred and their performance (satisfactory or unsatisfactory).	
- a	Personnel Offices.	Destroy 6 years and 3 months after final payment. GRS 3.a(1)(a)
- b	Other Copies.	Destroy upon termination or completion. GRS 3.a(1)c

Item No.	Description of Records	Disposal Instructions
607 -	SECTION 7. ETHICS PROGRAM RECORDS	
607 - 01	Ethics Program Implementation, Counseling, and Development Files. Records maintained by ethics program offices relating to the development, review, implementation, and interpretation of proposed or established executive branch standards of ethical conduct and other ethics regulations; conflict of interest and other ethics related statutes and Executive Orders; and any agency supplemental standards of ethical conduct and other agency ethics-related regulations and directives. Including (1) records documenting the review of proposed or established ethics-related statutes and regulations by ethics program officials, including copies of proposed legislation, comments, and all related records, (2) determinations, including advice and counseling to individual employees, and supporting records, and (3) records relating to requests under agency supplemental standards of ethical conduct for prior approval of outside employment and activities.	
- a	Records Regarding Attendance. Records such as determinations regarding attendance at widely-attended gatherings which appropriate agency ethics officials determine are related to the routine, non-precedential application of settled legal standards to common factual situations and are not interpretations of the conflict of interest statutes, 18 U.S.C. "202-209, and other ethics statutes the violation of which may result in criminal penalties or civil fines.	Destroy when 3 years old or when superseded or obsolete, whichever is later. GRS 25.1a
- b	All Other Records.	Destroy when 6 years old or when superseded or obsolete, whichever is later. GRS 25.1b
607 - 02	Financial Disclosure Reporting Files. Financial disclosure reports submitted by individuals as required or authorized under the Ethics in Government Act of 1978 (Pub. L. 95-521), as amended, and related records, including records of late filing fee payments or requests for public reporting waivers of late filing fees and responses; comment sheets by report reviewers and filer responses; filing extension requests and determinations; and copies of applications for public release of financial disclosure report.	
- a	Financial Disclosure Reports. All SF 278.	Destroy when 6 years old, EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation. GRS 25.2a
- b	Confidential Financial Disclosure Reports. All OGE Form 450 and OGE Optional Form 450-A.	Destroy when 6 years old; EXCEPT that documents needed in a ongoing investigation will be retained until no longer needed in the investigation. GRS 25.2b
- c	Alternative or Additional Financial Disclosure Reports and Related Records.	
- c1	Reports for Individuals not Subsequently Confirmed by the U.S. Senate.	Destroy 1 year after nominee ceases to be under consideration for the position; EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation. GRS 25.2c

Item No.	Description of Records	Disposal Instructions
607 - 02 c2	All Other Alternative or Additional Financial Disclosure Reports.	Destroy when 6 years old, EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation. GRS 25.2c
607 - 03	Ethics Agreement Records. Records documenting the review and issuance of ethics agreements used to remedy the appearance of potential or actual financial conflicts of interest, including: (1) records relating to the review and issuance of disqualifications, resignation, reassignments, and divestitures, (2) records relating to the determinations, authorizations, and waivers under 5 C.F.R. "2635.502 and 2635.503, and (3) records relating to the review and issuance of waivers of disqualifications under 18 U.S.C. '2.8 (b)(1) and (b)(3).	Destroy 6 years after the waiver or other agreed-upon determination or action has been issued or undertaken or is no longer in effect. whichever is later. GRS 25.3
607 - 04	Notifications of Violations of Criminal Conflict of Interest Statutes Files. Referrals and Notifications of Violations of Criminal Conflict of Interest Statutes and Other Potential Violations Files. Referrals made to Inspectors General or the Department of Justice and notifications of OGE concerning ethics violations or suspected violations. This item also covers related background materials, including copies of disciplinary and corrective actions and disposition documents such as declinations of prosecution.	Destroy when 6 years old. GRS 25.4
607 - 05	Non-Federally Funded Travel Files.	
- a	Agency Copies for Non-Federally Funded Travel. Agency copies of Semiannual Expense Reports for Non-Federally Funded Travel submitted by all Executive branch agencies to the Office of Government Ethics in accordance with guidance given at 31 U.S.C. ' 1353, as implemented by 41 C.F.R. chapter 304 and the use of Standard Form (SF) 326 and SF 326A. Reports summarize payments made to the agency from non-Federal sources for travel, subsistence, and related expenses of an employee who attends a meeting or similar function relating to official duties.	Destroy when 3 years old. GRS 25.5a
- b	Other Records. Statements, forms, and other records used to compile Semiannual Expense Reports for Non-Federally Funded Travel.	Destroy 1 year after submission of report to the Office of Government Ethics. GRS 25.5b
607 - 06	Ethics Program Review Files. Reports, correspondence, and other records relating to the OGE review of agency compliance with executive branch ethics laws and regulation in such areas as financial disclosure, education and training, and advice and counseling.	
- a	OGE Program Review Reports, Agency 60-Day Response Letters, and Other Follow-up Records Sent to the OGE on the Resolution of Program Deficiencies.	Destroy when 6 years old. GRS 25.6a
- b	All Other Records Produced During OGE Program Reviews, Including Notes and Background Materials.	Destroy 1 year after the date of the OGE program review report or, if there are recommendations, one year after they are closed. GRS 25.6b
607 - 07	Annual Agency Ethics Program Questionnaire Files.	

Item No.	Description of Records	Disposal Instructions
607 - 07 a	Questionnaire Completed by Ethics Officials on an Annual Basis in Compliance with Section 402(e)(1) of the Ethics in Government Act of 1978, as Amended, and Associated Records.	Destroy 3 years after submission. GRS 25.7a
- b	All Other Records Related to Responses to Annual Agency Ethics Program Questionnaires.	Destroy 1 year after submission of associated annual agency ethics program questionnaire. GRS 25.7b
607 - 08	Ethics Program Employee Training and Education Files.	
- a	Administration of New Employee Ethics Training and Education. Records relating to the administration of new employee ethics orientations, annual, and other types of ethics training and education. Records include, but are not limited to, annual plans, schedules of classes, rosters of employees required to attend, verification of training completion and other related records.	Destroy when 6 years old. GRS 25.8a
- b	Record Copies of Materials Used in Ethics Training and Education. Record copy of materials use in providing new employee ethics orientations, annual, and other types of ethics training and education including, but not limited to, instructors guides, handbooks, handouts and other materials used in training classes, bulletins, and newsletters.	Destroy when 6 years old or when superseded or obsolete, whichever is later. GRS 25.8b
607 - 09	Ethics Program Procedures. Procedures and related supporting records on the administration of ethics programs including, but not limited to, public and confidential financial disclosure reports systems, outside employment and activities approval systems, and referrals of violations of criminal conflict of interest statutes.	Destroy when 6 years old or when superseded or obsolete, whichever is later. GRS 25.9
608 -	SECTION 8. ELECTRONIC 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 Chapter 6 of this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.	
608 - 01 a	Electronic Mail and Word Processing System Copies. 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 has been produced. GRS 1.43a
- b	Other Copies. 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. GRS 1.43b
700 -	CHAPTER 7. INFORMATION SERVICES AND PUBLIC RELATIONS RECORDS The files described below pertain to information and public activities. Include congressional investigations, newspaper clippings, speeches, presentations, technical and informational publications, library control records, records maintained for public inspection under the Freedom of Information Act (FOIA), Privacy Act and legislative, legal, and litigation records. Routine requests for information or publications are maintained in a transitory correspondence file and destroyed in accordance with Item 101-05. See Item 202-05 for congressional reports. See Chapter 6, Special Instructions, of this handbook.	

Item No.	Description of Records	Disposal Instructions
701 -	SECTION 1. CONGRESSIONAL RELATIONS RECORDS	
701 - 01	Congressional Committee Investigation Hearing Files. Documents accumulated as a result of investigations and studies of activities by congressional committees. Include records relating to the conduct of the investigation, information on the activities of investigating committees, analyses of committee reports, committee recommendations, and MMS replies.	Place in inactive file when investigation is closed. Cut off inactive file at close of fiscal year. Destroy 10 years after cutoff. EXCEPTIONS: (1) Records on investigations which require extensive research projects or special geologic, geophysical, and engineering studies should be filed and destroyed in accordance with specific disposal instructions provided for that study or project in this schedule or (2) routine correspondence, reports, and other records accumulated in the course of preparing input for replies to routine congressional inquiries should be in the subject files and destroyed in accordance with instructions in Items 102-01 or 102-02. NC1-57-84-7
701 - 02	Legislative Programs. Records regarding legislative programs. Include legislation proposed for MMS, comments submitted by staff on bills proposed for MMS, comments on other bills, proposed local laws, etc.	
- a	MMS Program Legislation.	Place in inactive file when legislative process is completed. Cut off inactive file at close of fiscal year. Destroy 5 years after cutoff. NC1-57-84-7
- b	Other Legislation.	Cut off at close of fiscal year. Destroy 2 years after cutoff. NC1-57-84-7
702 -	SECTION 2. INFORMATIONAL PUBLICATION AND PROMOTION RECORDS	
702 - 01	Press Service Files. Press service teletype news and similar material such as newspaper, magazine, and press clippings regarding MMS programs, activities, and personnel.	Cut off monthly. Destroy 3 months after cutoff. GRS 14.3
702 - 02	Information Publications Master Files. Official file copy of each booklet, pamphlet, poster, monograph, or monthly and annual report, employee newsletter, or other issuance primarily of an informational character. Include publications for internal MMS use and publications for promotional or external use, clearance record sheets, comments, and all documents concerning the issuance of the publication. Official file copy maintained by the office responsible for preparation and issuance or the office requiring contractor preparation. Publications in this file will be distinctly marked "Record Set" and will not be charged out.	Permanent. Cut off when publication is superseded, canceled, or 5 years after issuance, whichever is earlier. Transfer to FRC 3 years after cutoff. Transfer to NARA in 5-year blocks when 20 years old. Volume 4 feet. Annual accumulation 2 feet. NC1-57-84-7

Item No.	Description of Records	Disposal Instructions
702 - 03	Public Relations Files. These files are created by MMS high-level officials.	
- a	Speeches, Addresses, and Comments. Remarks made at formal ceremonies and during interviews concerning MMS programs. The speeches and addresses may be presented to executives from other Federal Agencies, representatives of State and local governments, or private groups, such as college and university students, business associations, and cultural news media commentators. Form may be paper, audio or video tape, or motion picture film.	Permanent. Cut off when superseded, canceled, or 3 years after issuance, whichever is earlier. Transfer to NARA in 5-year blocks when 20 years old. Volume 4 feet. Annual accumulation 2 feet. NC1-57-84-7
- b	News Releases. One copy of each prepared statement or announcement issued for distribution to the news media. News releases announce events such as the adoption of new MMS programs, termination of old programs, major shifts in policy, and changes in senior MMS personnel and may be a textual record such as a formal press release or a nontextual record such a film and video or sound recordings.	
- b(1)	Public Affairs Office and Regional Offices.	Permanent. Cut off when superseded, canceled, or 3 years after issuance, whichever is earlier. Transfer to FRC 3 years after cutoff. Transfer to the NARA in 5-year blocks when 20 years old. Volume 4 feet. Annual accumulation 2 feet. NC1-57-84-7
- b(2)	Other Copies.	Destroy 2 years after issuance. N1-473-91-1
703 -	SECTION 3. ART, GRAPHICS, AND PHOTOGRAPH FILES	
703 - 01	Visuals, Exhibits, Art, and Graphic Files. Original art work, handbills, flyers, posters, letterhead, illustrations, and other visual aids.	Destroy 1 year after final publication or when no longer needed. EXCEPT: Artwork of continuing usefulness may be retained as non-record material until no longer needed. GRS 21.6
703 - 02	Video Recording and Motion Picture Files.	
- a	Motion Picture and Video Tapes Produced or Sponsored by MMS Activities and Used for Promotional, Educational, and Informational Purposes.	
- a(1)	Video Recordings. The original recording or the earliest generation of each recording.	Permanent. Transfer to FRC 2 years after cutoff. Transfer to NARA in 5-year blocks 5 years after cutoff. Volume 1 foot. Annual accumulation .5 foot. NC1-57-84-7

Item No.	Description of Records	Disposal Instructions
703 - 02	a(2) Motion Picture Films. The original negative or color original plus separate optical sound track, an intermediate master positive or duplicate negative plus optical sound track, and sound projection print for each motion picture. - a(3) Duplicate recording of "(1)" or Print of "(2)" Maintained by the Sponsoring Office. - a(4) Finding Aids and Production Documentation. Finding aids such as data sheets, shot lists, catalogs, indexes, and other textual documentation necessary for the proper identification, retrieval, and use of video recordings and motion pictures. Include production or similar files which contain copies of production contracts, scripts, or other documentation bearing on the origin, acquisition, release, or ownership of the production. - b Films Acquired from Outside Sources (not Sponsored by MMS) for Personnel and Management Training.	Permanent. Transfer to FRC 2 years after cutoff. Transfer to NARA in 5-year blocks 5 years after cutoff. Volume 1 foot. Annual accumulation .5 foot. NC1-57-84-7 Destroy 5 years after cutoff or when no longer needed, whichever occurs first. NC1-57-84-7 Permanent. Transfer to FRC 2 years after cutoff. Transfer to NARA in 5-year blocks 5 years after cutoff. Volume 1 foot. Annual accumulation .5 foot. NC1-57-84-7. Destroy 1 year after completion of training program or when no longer needed, whichever is later. N1-473-88-1
703 - 03	Photograph Files. The original negative and a captioned print for each black and white image and the original color transparency or color negative, a captioned print, and an internegative (if one exists) for each color image. Include the date, location, names of people, event, copyright owner, and other information as appropriate. - a Photographs of MMS Officials. Photographs of significant MMS Officials and other individuals and photographs resulting from significant MMS program responsibilities which constitute evidence of the organization, function, policy development, decisions, procedures, operations, or other activities. - b Photographs of Routine Award Ceremonies, Social E. Include photos reproduced in technical reports which are meaningless without text; duplicate copies; and photographs of local interest only.	Cut off at close of fiscal year. Permanent. Transfer to FRC 2 years after cutoff. Transfer to NARA in 5-year blocks 5 years after cutoff. Volume 1 foot. Annual accumulation .5 foot. NC1-57-84-7 Destroy 1 year after cutoff or when no longer needed. GRS 21.1
704 -	SECTION 4. TECHNICAL LIBRARY RECORDS	
704 - 01	Library Catalog Cards and Finding Aids (or Indexes). Indexes, lists, registers, and other finding aids used only to provide access to records authorized for destruction by the GRS or a NARA-approved SF 115, EXCLUDING records containing abstracts or other information that can be used as an information source apart from the related records.	Destroy or delete with the related records. GRS 23.9
704 - 02	Reserved.	

Item No.	Description of Records	Disposal Instructions
705 -	SECTION 5. PUBLIC INFORMATION RECORDS The records described in this section are accumulated and maintained in separate collections specifically for public inspection in accordance with local directives, the FOIA, Privacy Act, and related laws and regulations regarding public access to Government records. These regulations provide that certain information on active leases and wells, geological and geophysical data on expired leases, accident investigations, pollution and enforcement action reports, and mining development plans be available to the public. PROPRIETARY AND PERSONAL INFORMATION HAS BEEN DELETED FROM THESE RECORDS. The disposal criteria given below in Item 705-01 for records pertaining to leases and wells apply ONLY TO THE COPIES OF THESE DOCUMENTS MAINTAINED SPECIFICALLY FOR PUBLIC INSPECTION. See MMSM 316 and 383 for release of FOIA and Privacy Act records.	
705 - 01	Public Information Offices Records. Copies of all documents maintained for inspection/acquisition by the public, including certain information on active leases and wells, accident investigations, etc. Specific types of records include Forms MMS-330, -331, -1869, etc. Incorporates material formerly covered under Items 705-01 and 705-03 through 705-15, as well as additional public inspection records not previously described.	
- a	Paper Not Microfilmed.	Destroy when obsolete, superseded, or no longer needed for reference. N1-473-88-1
- b	Paper That Has Been Converted to Microform.	Destroy when microform has been verified in accordance with Chapter 5 of this handbook. N1-473-88-1
- c	Master Microform.	Destroy when obsolete, superseded, or no longer needed for reference. N1-473-88-1
705 - 02	Copy Fee Collection Register. Documents showing the receipt and disposition of funds received for copies of FOIA, Privacy Act, or records obtained from OCS Public Information Offices.	Cut off at close of fiscal year. Destroy 2 years after cutoff. GRS 14.15
705 - 03	Reserved.	
705 - 04	Reserved.	
705 - 05	Reserved.	
705 - 06	Reserved.	
705 - 07	Reserved.	

Records Management

MMSM 380.2 H

Item No.	Description of Records	Disposal Instructions
705 - 08	Reserved.	
705 - 09	Reserved.	
705 - 10	Reserved.	
705 - 11	Reserved.	
705 - 12	Reserved.	
705 - 13	Reserved.	
705 - 14	Reserved.	
705 - 15	Reserved.	
705 - 16	Freedom of Information Act (FOIA) Files. Files created in response to requests for information under the FOIA consisting of the original request, a copy of the reply, and all related supporting files which may include a copy of the requested record. - a Correspondence and Supporting Documents (Excluding the Official File Copy of the Records Requested). - a(1) Granting Access To All Of The Requested Records. - a(2) Responding to Requests for Nonexistent Records; to Requesters Who Provide Inadequate Description; and to Those Who Fail to Pay MMS Reproduction Fees. - a(2)a Request Not Appealed. - a(2)b Request Appealed.	Cut off at close of fiscal year. Destroy 2 years after date of reply. GRS 14.11a(1) Destroy 2 years after date of reply. GRS 14.11a(2)(a) Destroy 6 years after final determination, or 6 years after the time at which a requester could file suit, or 3 years after final adjudication by courts, whichever is later. GRS 14.11a(2)(b)

Item No.	Description of Records	Disposal Instructions
705 - 16	a(3) Denying Access to All or Part of the Records Requested.	
	- a(3)a Request Not Appealed.	Destroy 6 years after date of reply. GRS 14.11a(3)(a)
	- a(3)b Request Appealed.	Destroy 6 years after final determination, or 6 years after the time at which a requester could file suit, or 3 years after final adjudication by courts, whichever is later. GRS 14.11a(3)(b)
	- b Official File Copy of Requested Records.	Dispose in accordance with approved disposition instructions for related records or with the related FOIA requests, whichever is later. GRS 14.11b
705 - 17	FOIA Appeals Files. Files created in responding to administrative appeals under the FOIA for release of information denied by MMS. Include appellant's letter, copy of the reply, and related supporting documents, which may include a copy of the record under appeal.	
	- a Correspondence and Supporting Documents. Excluding the file copy of the records under appeal, maintained by the Departmental FOIA Appeals Officer.	Destroy 6 years after final determination by MMS, 6 years after the time at which a requester could file suit, or 3 years final adjudication by courts, whichever is later. GRS 14.12a
	- b Official File Copy of Records Under Appeal.	Dispose in accordance with approved disposition instructions for the related record or with the related FOIA request, whichever is later. GRS 14.12b
705 - 18	FOIA Reports Files. Recurring reports and one-time information requirements relating to the implementation of the FOIA.	Destroy when 2 years old. GRS 14.14
705 - 19	FOIA Administrative Files. Records relating to the general implementation of the FOIA, including notices, memorandums, routine correspondence, and related documents.	Destroy when 2 years old. GRS 14.15
705 - 20	Privacy Act Requests Files. Files created in response to requests from individuals to gain access to their records or to any information in the records pertaining to them, as provided for under 5 U.S.C. 552a(d)(1). Files contain original request, copy of reply, and all related supporting documents, which may include the official file copy of records requested or copy thereof.	

Item No.	Description of Records	Disposal Instructions
705 - 20 a	Correspondence and Supporting Documents (Excluding the Official File Copy of the Records Requested).	
-	a(1) Granting Access to All the Requested Records.	Destroy 2 years after date of reply. GRS 14.21a(1)
-	a(2) Responding to Requests for Nonexistent Records; to Requesters Who Provide Inadequate Descriptions; and to Those Who Fail To Pay MMS Reproduction Fees.	
-	a(2)a Requests Not Appealed.	Destroy 2 years after date of reply. GRS 14.21a(2)(a)
-	a(2)b Requests Appealed.	Destroy as authorized under Item 705-21. GRS 14.21a(2)(b)
-	a(3) Denying Access to All or Part of the Records Requested.	
-	a(3)a Requests Not Appealed.	Destroy 5 years after date of reply. GRS 14.21a(3)(a)
-	a(3)b Requests Appealed.	Destroy as authorized under Item 705-21. GRS 14.21a(3)(b)
-	b Official File Copy of Requested Records.	Dispose in accordance with approved disposition instructions for the related records, or with the related Privacy Act request, whichever is later. GRS 14.21b
705 - 21	Privacy Act Amendment Files. Files relating to an individual's request to amend a record pertaining to that individual as provided for under 5 U.S.C. 552a(d)(2); to the individual's request to amend a record as provided under 5 U.S.C. 552a(d)(3); and to any civil action brought by the individual against the MMS as provided under 5 U.S.C. 552a(g).	
-	a Requests to Amend Agreed to by MMS. Include individual's request to amend and/or review refusal to amend, copies of MMS' replies thereto, and related materials.	Dispose of in accordance with the approved disposition instructions for the related subject individual's record or 4 years after MMS agreement to amend, whichever is later. GRS 14.22a
-	b Requests to Amend Refused by MMS. Include individual's request to amend and to review refusal to amend, copies of MMS' replies thereto, statement of disagreement, MMS' justification for refusal to amend a record, and related materials.	Dispose of in accordance with approved disposition instructions for the related subject individual's record or 4 years after final determination by MMS, or 3 years after final adjudication by courts. GRS 14.22b

Item No.	Description of Records	Disposal Instructions
705 - 21 c	Appealed Requests to Amend. Include all files created in responding to appeals under the Privacy Act for refusal by MMS to amend a record.	Dispose of in accordance with approved disposition instructions for the related subject individual's record or 3 years after final adjudication by courts. GRS 14.22c
705 - 22	Privacy Act Accounting of Disclosure Files. Files maintained under the provisions of 5 U.S.C. 552a(c) for an accurate accounting of the date, nature, and purpose of each disclosure of a record to any person or to another Agency; include forms for showing the subject individual's name, requester's name and address, purpose and date of disclosure, and proof of subject individual's consent when applicable.	Dispose of in accordance with approved disposition instructions for the related subject individual's records or 5 years after the disclosure for which the accountability was made, whichever is later. GRS 14.23
705 - 23	Privacy Act Control Files. Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature of request, and name and address of requester.	
- a	Registers or Listings.	Destroy 5 years after date of last entry. GRS 14.24a
- b	Other Files.	Destroy 5 years after final action by MMS or final adjudication by courts, whichever is later. GRS 14.24b
705 - 24	Privacy Act Reports Files. Recurring reports and one-time information requirement relating to MMS implementation, including biennial reports to the Congress of the United States, the Office of Management and Budget, and the report on new or revised systems.	Cut off at close of fiscal year. Destroy 2 years after cutoff. GRS 14.25
705 - 25	Privacy Act General Administrative Files. Records relating to the general implementation of the Privacy Act, including notices, memoranda, routine correspondence, and related records.	Destroy when 2 years old. GRS 14.26
706 -	SECTION 6. TECHNICAL PUBLICATIONS MANAGEMENT The records described below are accumulated in providing basic editorial services and advice regarding publication of technical reports and maps. Include formal MMS publications, informal reports, and outside publications.	
706 - 01	Technical Publications Controls. Documents used to control the numbering of publications and record actions in processing publications. Include publication control number assignment and status cards, logs, registers, or similar records.	Cut off at close of fiscal year in which subject item (or all listed items) is published. Destroy 1 year after cutoff. NC1-57-84-7
706 - 02	Technical Publications Background Files. Copies of documents reflecting the preparation, review, clearance, approval, and issuance of technical reports and maps. Include records of clearances, approvals, and other coordinating actions; technical and editorial review reports and comments; abstracts; press releases; transmittal memoranda; and correspondence regarding the publication.	Destroy 6 months after final action on project or report or 3 years after completion of report if it is not published. NC1-57-84-7

Item No.	Description of Records	Disposal Instructions
706 - 03	Reserved.	
707 -	SECTION 7. CLAIMS, APPEALS, AND LITIGATION	
707 - 01	MMS Appeals Files. Records relating to formal appeals to the Director, MMS, from final orders or decisions by MMS. The appeals procedures are governed by 30 CFR 290. Include notices of appeals and documents showing argument of the facts by the appellant, reports in reply to the appellant's argument, requests for extension of time, records reflecting the final decision by the Director, and other related correspondence. Official file copies of these documents are maintained at the Headquarters level. Arrange numerically by appeal number.	Cut off upon issuance of final decision or withdrawal of appeal. Destroy 10 years after cutoff. NC1-57-84-7
707 - 02	Waiver/Departure Requests. Copies of approvals and denials of requests for waivers from operational directives for lessee compliance. Arrange by type and number. This is an extra copy (convenience file) maintained to prepare statistical reports. Official copies are maintained in appropriate case file.	Cut off at close of fiscal year or when no longer needed for reference. Destroy 2 years after cutoff. NC1-57-84-7
707 - 03	Mineral Leasing Claims And Litigation Files. Documents relating to claims or actual legal proceedings involving mineral leasing activities or lease operations on the OCS or on Federal and Indian lands in which MMS has an interest. Include advisory reports, investigation reports, litigation reports, statements of claims, copies of processes and pleadings, supporting documents, and related correspondence. Official file copies of these documents are maintained at the headquarters level.	Cut off at close of fiscal year in which claim is settled or disallowed or in which case is closed. Destroy 10 years after cutoff. NC1-57-84-7
707 - 04	Interior Board of Land Appeals (IBLA) Files. Documents related to formal appeals to the IBLA. Include notices of appeal, retained copies of MMS reports to IBLA, and copies of IBLA decisions. Include IBLA Decisions Index Book.	Permanent. Cut off upon issuance of final decision or withdrawal of appeal. Hold 7 years and transfer to FRC. Transfer to NARA in 5-year blocks when 25 years old. Volume 12 feet. Annual accumulation 2 feet. NC1-57-84-7
707 - 05	Hearing Files. Documents related to MMS civil penalty procedures. Include memoranda assigning cases to reviewing officers, reviewing officer notification of alleged violators, case records, hearing records, and case decisions.	Cut off upon payment of penalty or notice of non-violation. Hold 5 years after cutoff and transfer to FRC. Destroy 25 years after cutoff. NC1-57-84-7
707 - 06	Fishermen's Contingency Fund. Request from the National Marine Fisheries Service for identification of lessee/operator to recover revenue or equipment losses by fishermen as a result of leasing activities.	Cut off at the close of fiscal year. Destroy 5 years after cutoff. N1-473-88-1
708 - 01	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 Chapter 7 of this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.	

Item No.	Description of Records	Disposal Instructions
708 - 01 a	Copies That Have No Further Administrative Value. 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 has been produced.
- b	Other Copies. 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.
800 -	CHAPTER 8. ADP MANAGEMENT The records described in this chapter relate to the electronic data processing function including system documentation, machine readable records, and records associated with the operation of remote data terminals. These records may contain personal or proprietary data. See Chapter 6, Special Instructions, of this handbook.	
800 - 01	Systems Feasibility Files. Feasibility studies conducted before the installation of any technology or equipment associated with information management systems. Provide information on time, cost, and resources required related to the design, implementation, and operation of an ADP system. Accumulated by the office conducting the study or sponsoring the contract or interagency agreement to perform the study. Include 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, costs analyses, equipment requirements, tangible benefits, output requirements, and a schedule for implementing the proposed system; documents reflecting review and recommendations for acceptance or rejection of the proposal; and documents on major changes to these systems. Arrange by system title.	Cut off at close of fiscal year.
- a	Rejected Systems.	Destroy 5 years after cutoff. EXCEPT: Systems studies which may be of continuing value may be retained as nonrecord reference material. NC1-57-84-7
- b	Approved Systems.	Destroy 5 years after cutoff. EXCEPT: Systems studies which may be of continuing value may be retained as non-record material. NC1-57-84-7
800 - 02	System Documentation Files. Official documentation accumulated during development, testing, and operation of a specific automated data system. Include system life cycle and configuration management; general narrative description of the system with its capabilities and limitations; input/output specifications and flow data; file or data set descriptions; software license agreements; input collection instructions, instructions for encoding raw data into machine-readable media, samples of source documents; computer operating instructions; program specifications; and output preparation and distribution instructions. Arrange by system title and hereunder by system life cycle phases (i.e., development, testing). NOTE: If the system records are identified as permanent, transfer system documentation to appropriate records series item number.	
- a	Current Documentation.	Cut off when the system is terminated. Destroy when all related data have been destroyed. N1-473-88-1

Item No.	Description of Records	Disposal Instructions
800 - 02 b	Superseded Documentation.	Cut off at close of fiscal year. Transfer to FRC 1 year after cutoff. Destroy 10 years after cutoff or when all related magnetic data have been destroyed, whichever occurs first. N1-473-88-1
800 - 03	Reserved.	
800 - 04	Source Documents. Source documents forwarded to data processing activities for data conversion.	
- a	Source Documents for the Sole Purpose of Creating a Data Base Management System (DBMS) for an ADP System or Updating the DBMS.	Destroy 1 year after ADP program has been debugged and is stabilized or 1 year after input is verified, whichever occurs first. NC1-57-84-7
- b	Other Source Documents or Copies.	Return to user for disposition in accordance with the applicable disposal instructions. NC1-57-84-7
800 - 05	Error/Edit Listing Files. Computer printouts showing errors; used for program debugging purposes and report editing.	Destroy after corrections have been made and listings verified. NC1-57-84-7
800 - 06	ADP Source Program Files. Source code program, regardless of language used. Used with a processor or compiler program to produce an object code program.	
- a	Computer Simulation Applications, Such as Programs Used in Economic Evaluation of Lease Blocks, Reservoir Simulation, and Other Geologic Modeling; for Example, Monte Carlo Range of Values and Black Oil Simulation Systems.	Permanent. Cut off when program has been removed from system. Transfer to FRC 5 years after cut off. Offer to NARA in 5-year blocks when 7 years old. Volume 1 foot. Annual accumulation .5 foot. NC1-57-84-7
- b	Other Applications.	Destroy individual titles/listings when replaced by new ones. Destroy object code after program has been removed from the system; or if source code has been transferred to magnetic file, destroy after magnetic file has proved satisfactory as adequate backup, i.e., after second update cycle. NC1-57-84-7
800 - 07	Reserved.	

Item No.	Description of Records	Disposal Instructions
800 - 08	Raw Data Input Magnetic Tapes. Magnetic tapes used to temporarily store data to be transmitted to the host computer facility.	Erase after related magnetic file maintained at the host computer facility has proved satisfactory. NC1-57-84-7
800 - 09	Print and Plotter Tapes. Magnetic tapes containing output data transmitted to the data terminal by the host computer facility. Used for producing required printouts or card files.	Erase not later than 10 days after the output has been released and approved. NC1-57-84-7
800 - 10	Reserved.	
800 - 11	Data Processing Control Records. System used, regardless of medium, to record approved jobs, job numbers, requesting office, job description, date received, and date due, passwords, and related information.	Cut off at close of fiscal year in which related job is completed. Destroy 1 year after cutoff. NC1-57-84-7
801 -	Electronic Records. This schedule applies to disposable electronic records created or received by the MMS including those managed by contractors. It covers records created by computer operators, programmers, analysts, systems administrators, and all personnel with access to a computer. Disposition authority is provided for certain master files, including some tables that are components of data base management systems, and certain files created from master files for specific purposes. In addition, this schedule covers certain disposable electronic records produced by end users in office automation applications. This disposition applies to the records described in this chapter, regardless of the type of computer used to create or store these records.	
801 - 01	Files/Records Relating to the Creation, Use, and Maintenance of Computer Systems, Applications, or Electronic Records.	
- a	Electronic Files or Records Created Solely to Test System Performance, as Well as Hard-Copy Printouts and Related Documentation for the Electronic Files/Records.	Delete/destroy when no longer needed for administrative, legal, audit, or other operational purposes. GRS 20.1a
- b	Electronic Files or Records Used to Create or Update a Master File, Including, but Not Limited to, Work Files, Valid Transaction Files, and Intermediate Input/Output Records.	Delete after information has been transferred to the master file and verified. GRS 20.1b
- c	Electronic Files and Hard-Copy Printouts Created to Monitor System Usage, Including, but not Limited to, Log-in Files, Password Files, Audit Trail Files, System Usage Files, and Cost-Back Files Used to Assess Charges for System Use.	Delete/destroy when no longer needed for administrative, legal, audit, or other operational purposes. GRS 20.1c
801 - 02	Input/Source Records.	

Item No.	Description of Records	Disposal Instructions
801 - 02 a	Non-Electronic Documents or Forms. Designed and used solely to create, update, or modify the records in an electronic medium and not required for audit or legal purposes (such as need for signatures) and not previously scheduled for permanent retention in a NARA-approved MMS records schedule.	Destroy after the information has been converted to an electronic medium and verified, or when no longer needed to support the reconstruction of, or serve as the backup to, the master file, whichever is later. GRS 20.2a
- b	Electronic Records. Electronic records, except as noted in item 801-02c, entered into the system during an update process, and not required for audit and legal purposes.	Delete when data have been entered into the master file or database and verified, or when no longer required to support reconstruction of, or serve as back-up to, a master file or database, whichever is later. GRS 20.2b
- c	Other Agency Electronic Records. Electronic records received from another agency and used as input/source records by MMS. EXCLUDING records produced by another agency under the terms of an interagency agreement, or records created by another agency in response to the specific information needs of MMS.	Delete when data have been entered into the master file or database and verified, or when no longer needed to support reconstruction of, or serve as back-up to, a master file or database, whichever is later. GRS 20.2c
- d	Computer Files and Records. Computer files or records containing uncalibrated and unvalidated digital or analog data collected during observation or measurement activities or research and development programs and used as input for a digital master file or database.	Delete after the necessary data have been incorporated into a master file. GRS 20.2d
801 - 03	Electronic Versions of Records Scheduled for Disposal.	
- a	Electronic Versions of Records That are Scheduled For Disposal Under One or More Items in GRS 1-16, 18, 22, or 23; EXCLUDING Those That Replace or Duplicate the Following GRS Items: GRS 1, Items 21, 22, 25f; GRS 12, Item 3; and GRS 18, Item 5.	Delete after the expiration of the retention period authorized by the GRS or when no longer needed, whichever is later. GRS 20.3a
- b	Electronic Records That Support Administrative Housekeeping Functions When the Records are Derived From or Replace Hard Copy Records Authorized by NARA for Destruction in an Agency-Specific Records Schedule.	
- b(1)	When Hard Copy Records are Retained to Meet Recordkeeping Requirements.	Delete electronic version when MMS determines that it is no longer needed for administrative, legal, audit, or other operational purposes. GRS 20.3b(1)
- b(2)	When the Electronic Record Replaces Hard Copy Records That Support Administrative Housekeeping Functions.	Delete after the expiration of the retention period authorized for the hard copy file, or when no longer needed, whichever is later. GRS 20.3b(2)

Item No.	Description of Records	Disposal Instructions
801 - 03 b(3)	Hard Copy Printouts Created for Short-Term Administrative Purposes.	Destroy when MMS determines that they are no longer needed for administrative, legal, audit, or other operational purposes. GRS 20.3b(3)
801 - 04	Data Files Consisting of Summarized Information. Records that contain summarized or aggregated information created by combining data elements or individual observations from a single master file or data base that is disposable under a GRS item or is authorized for deletion by a disposition job approved by NARA after January 1, 1988, EXCLUDING data files that are created as disclosure-free files to allow public access to the data which may not be destroyed before securing NARA approval.	Delete when MMS determines that they are no longer needed for administrative, legal, audit, or other operational purposes. (NOTE: Data files consisting of summarized information which were created from a master file or data base that is unscheduled, or that was scheduled as permanent but no longer exists or can no longer be accessed, may not be destroyed before securing NARA approval.) GRS 20.4
801 - 05	Records Consisting of Extracted Information. Electronic files consisting solely of records extracted from a single master file or data base that is disposable under Item 800 of this schedule or approved for deletion by a NARA-approved disposition schedule, EXCLUDING extracts that are: (a) produced as disclosure-free files to allow public access to the data; or (b) produced by an extraction process which changes the informational content of the source master file or data base; which may not be destroyed before securing NARA approval. For print and technical reformat files see items 801-06 and 801-07.	Delete when MMS determines that they are no longer needed for administrative, legal, audit, or other operational purposes. GRS 20.5
801 - 06	Print File. Electronic file extracted from a master file or data base without changing it and used solely to produce hard-copy publications and or printouts of tabulations, ledgers, registers, and statistical reports.	Delete when MMS determines that they are no longer needed for administrative, legal, audit, or other operational purposes. GRS 20.6
801 - 07	Technical Reformat File. Electronic file consisting of data copied from a complete or partial master file or data base made for the specific purpose of information interchange and written with varying technical specifications, EXCLUDING files created for transfer to the National Archives.	Delete when MMS determines that they are no longer needed for administrative, legal, audit, or other operational purposes. GRS 20.7
801 - 08	Backups of Files. Electronic copy, considered by MMS to be a Federal record, of the master copy of an electronic record or file and retained in case the master file or data base is damaged or inadvertently erased.	
- a	File Identical to Records Scheduled for Transfer to the National Archives.	Delete when the identical records have been captured in a subsequent backup file or when the identical records have been transferred to the National Archives and successfully copied. GRS 20.8a
- b	File Identical to Records Authorized for Disposal in a NARA-Approved Records Schedule.	Delete when the identical records have been deleted, or when replaced by a subsequent backup file. GRS 20.8b

Item No.	Description of Records	Disposal Instructions
801 - 09	Finding Aids (or Indexes). Electronic indexes, lists, registers, and other finding aids used only to provide access to records authorized for destruction by the GRS or a NARA-approved SF 115, EXCLUDING records containing abstracts or other information that can be used as an information source apart from the related records.	Delete with related records or when MMS determines that they are no longer needed for administrative, legal, audit, or other operational purposes, whichever is later. GRS 20.9
801 - 10	Special Purpose Programs. Application software necessary solely to use or maintain a master file or data base authorized for disposal in a GRS item or a NARA-approved records schedule, EXCLUDING special purpose software necessary to use or maintain any unscheduled master file or data base or any master file or data base scheduled for transfer to the National Archives.	Delete when related master file or data base has been deleted. GRS 20.10
801 - 11	Documentation. NOTE: Documentation that relates to permanent or unscheduled master files and data bases is not authorized for destruction by this handbook. See 801-01a for documentation relating to system testing.	
- a	Master Files. Data systems specifications, file specifications, codebooks, record layouts, user guides, output specifications, and final reports. Reports (regardless of medium) relating to a master file or data base that has been authorized for destruction by the GRS or a NARA-approved disposition schedule.	Destroy or delete when superseded or obsolete, or upon authorized deletion of the related master file or data base, or upon destruction of the output of the system if the output is needed to protect legal rights, whichever is latest. GRS 20.11a
- b	Copies of Records Relating to System Security, Including Records Documenting Periodic Audits or Review and Recertification of Sensitive Applications, Disaster and Continuity Plans, and Risk Analysis, as Described in OMB Circular No. A-130.	Destroy or delete when superseded or obsolete. GRS 20.11b
801 - 12	Downloaded and Copied Data. Derived data and data files that are copied, extracted, merged, and/or calculated from other data generated within MMS, when the original data is retained.	
- a	Derived Data Used for Ad Hoc or One-Time Inspection, Analysis or Review, if the Derived Data is not Needed to Support the Results of the Inspection, Analysis or Review.	Delete when MMS determines that they are no longer needed for administrative, legal, audit, or other operational purposes. GRS 20.12a
- b	Derived Data That Provide User Access in Lieu of Hard Copy Reports That are Authorized for Disposal.	Delete when MMS determines that they are no longer needed for administrative, legal, audit, or other operational purposes. GRS 20.12b
- c	Metadata or Reference Data, Such as Format, Range, or Domain Specifications, Which is Transferred From a Host Computer or Server to Another Computer for Input, Updating, or Transaction Processing Operations. See 801-05 for Other Extracted Data.	Delete from the receiving system or device when no longer needed for processing. GRS 20.12c

Item No.	Description of Records	Disposal Instructions
801 - 13	Word Processing Files. Documents such as letters, memoranda, reports, handbooks, directives, and manuals recorded on electronic media such as hard disks or floppy diskettes after they have been copied to an electronic recordkeeping system, paper, or microform for recordkeeping purposes.	Delete from the word processing system when no longer needed for updating or revision. GRS 20.13
801 - 14	Electronic Mail Records. Senders' and recipients' versions of electronic mail messages that meet the definition of Federal records, and any attachments to the record messages after they have been copied to an electronic recordkeeping system, paper, or microform for recordkeeping purposes. NOTE: Along with the message text, the recordkeeping system must capture the names of sender and recipients and date (transmission data for recordkeeping purposes) and any receipt data when required.	Delete from the e-mail system after copying to a recordkeeping system. GRS 20.14
801 - 15	Electronic Spreadsheets. Electronic spreadsheets generated to support administrative functions or generated by an individual as background materials or feeder reports.	
- a	When Used to Produce a Hard Copy That is Maintained in Organized Files.	Delete when no longer needed to update or produce hard copy. GRS 20.15a
- b	When Maintained Only in Electronic Form.	Delete after the expiration of the retention period authorized for the hard copy by the GRS or a NARA-approved SF-115. If the electronic version replaces hard copy records with differing retention periods and MMS software does not readily permit selective deletion, delete after the longest retention period has expired. GRS 20.15b
802 -	Information Technology Operations and Management Records. This schedule provides disposal authorization for certain files created and maintained in the operation and management of information technology (IT) and related services. As defined in the Information Technology Management Reform Act of 1996 (now the Clinger-Cohen Act), "information technology" includes computers, ancillary equipment, software, firmware and similar procedures, services (including support services), and related resources.	
802 - 01	Oversight and Compliance Files. Records in offices with MMS-wide responsibility for managing IT operations relating to compliance with IT policies, directives, and plans including recurring and special reports, responses to findings and recommendations, and reports of follow-up activities.	Cut off at close of fiscal year.
- a	Performance Measurements and Benchmarks.	Destroy/delete when 5 years old or 1 year after responsible office determines that there are no unresolved issues, whichever is longer. GRS 24.1a

Item No.	Description of Records	Disposal Instructions
802 - 01 b	All Other Oversight and Compliance Records, Including Certification and Accreditation of Equipment, Quality Assurance Reviews and Reports, Reports on Implementation of Plans, Compliance Reviews, and Data Measuring or Estimating Impact and Compliance.	Destroy/delete when 3 years old or 1 year after responsible office determines that there are no unresolved issues, whichever is longer. GRS 24.1b
802 - 02	IT Facility, Site Management, and Equipment Support Services Records. Records maintained by offices responsible for the control and operation of buildings and rooms where IT equipment, systems, and storage media are located, including files identifying IT facilities and sites, and files concerning implementation of IT facility and site management and equipment support services provided to specific sites, including reviews, site visit reports, trouble reports, equipment service histories, reports of follow-up actions, and related correspondence.	Destroy/delete when 3 years old, or when superseded or obsolete, whichever is longer. GRS 24.2
802 - 03	IT Asset and Configuration Management Files.	
- a	IT Assets. Inventories of IT assets, network circuits, and building or circuitry diagrams, including equipment control systems such as databases of barcodes affixed to IT physical assets.	Destroy/delete 1 year after completion of the next inventory. GRS 24.3a
- b	Asset Management. Records created and retained for asset management, performance and capacity management, system management, configuration and change management, and planning, follow-up, and impact assessment of operational networks and systems. Includes, but is not limited to:	
- b(1)	System Implementation. Data and detailed reports on implementation of systems, applications and modifications; application sizing, resource and demand management; documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting implementation of changes; documentation of software distribution and release or version management.	Destroy/delete 1 year after termination of system. GRS 24.3b(1)
- b(2)	Network Infrastructure. Records of routine IT maintenance on the network infrastructure documenting preventative, corrective, adaptive and perfective (enhancement) maintenance actions, including requests for service, work orders, service histories, and related records.	Destroy/delete when 3 years old or 1 year after termination of system, whichever is sooner. GRS 24.3b(2)
802 - 04	System Backups and Tape Library Records.	
- a	Backup Tapes Maintained for Potential System Restoration in the Event of a System Failure or Other Unintentional Loss of Data.	
- a(1)	Incremental Backup Tapes.	Delete/destroy incremental backup tapes when superseded by a full backup, or when no longer needed for system restoration, whichever is later. GRS 24.4a(1)

Item No.	Description of Records	Disposal Instructions
802 - 04	a(2) Full Backup Tapes.	Delete/destroy full backup tapes when second subsequent backup is verified as successful or when no longer needed for system restoration, whichever is later. GRS 24.4a(2)
-	b Tape Library Records Including Automated Files and Manual Records Used to Control the Location, Maintenance, and Disposition of Magnetic Media in a Tape Library Including List of Holdings and Control Logs.	Destroy/delete when superseded or obsolete. GRS 24.4b
802 - 05	Files Related to Maintaining the Security of Systems and Data.	Cut off at close of fiscal year.
-	a System Security Plans and Disaster Recovery Plans.	Destroy/delete 1 year after system is superseded. GRS 24.5a
-	b Documents Identifying IT Risks and Analyzing Their Impact, Risk Measurements and Assessments, Actions to Mitigate Risks, Implementation of Risk Action Plan, Service Test Plans, Test Files and Data.	Destroy/delete 1 year after system is superseded. GRS 24.5b
802 - 06	User Identification, Profiles, Authorizations, and Password Files, EXCLUDING Records Relating to Electronic Signatures.	Cut off at close of fiscal year.
-	a Systems Requiring Special Accountability, e.g., Those Containing Information That May be Needed for Audit or Investigative Purposes and Those That Contain Classified Records.	Destroy/delete inactive file 6 years after user account is terminated or password is altered, or when no longer needed for investigative or security purposes, whichever is later. GRS 24.6a
-	b Routine Systems, i.e., Those not Covered by 802-06a.	See 801-01c.
802 - 07	Computer Security Incident Handling, Reporting and Follow-up Records.	Destroy/delete 3 years after all necessary follow-up actions have been completed. GRS 24.7
802 - 08	IT Operations Records.	Cut off at close of fiscal year.
-	a Workload Schedules, Run Reports, and Schedules of Maintenance and Support Activities.	Destroy/delete 1 year after problem is resolved. GRS 24.8a
-	b Problem Reports and Related Decision Documents Relating to the Software Infrastructure of the Network or System.	Destroy/delete 1 year after problem is resolved. GRS 24.8b

Item No.	Description of Records	Disposal Instructions
802 - 08 c	Reports on Operations, Including Measures of Benchmarks, Performance Indicators, and Critical Success Factors, Error and Exception Reporting, Self-Assessments, Performance Monitoring; and Management Reports.	Destroy/delete when 3 years old. GRS 24.8c
802 - 09	Financing of IT Resources and Services. NOTE: Copies of records needed to support contracts should be in procurement files which are scheduled under Chapter 5 of this schedule.	Cut off at close of fiscal year.
- a	Performance Criteria Agreements. Agreements formalizing performance criteria for quantity and quality of service, including definition of responsibilities, response times and volumes, charging, integrity guarantees, and non-disclosure agreements.	Destroy/delete 3 years after agreement is superseded or terminated. GRS 24.9a
- b	Third-Party Services. Files related to managing third-party services, including records that document control measures for reviewing and monitoring contracts and procedures for determining their effectiveness and compliance.	Destroy/delete 3 years after control measures or procedures are superseded or terminated. GRS 24.9b
- c	Service Operations. Records generated in IT management and service operations to identify and allocate charges and track payments for computer usage, data processing and other IT services.	Destroy/delete records with no outstanding payment issues when 3 years old. GRS 24.9c
802 - 10	IT Customer Service Files.	
- a	Customer Assistance. Records related to providing help desk information to customers, including pamphlets, responses to "Frequently Asked Questions," and other documents prepared in advance to assist customers.	Destroy/delete 1 year after record is superseded or obsolete. GRS 24.10a
- b	Help Desk Logs. Help desk logs and reports and other files related to customer query and problem response; query monitoring and clearance; and customer feedback records; and related trend analysis and reporting.	Destroy/delete when 1 year old or when no longer needed for review and analysis, whichever is later. GRS 24.10b
802 - 11	IT Infrastructure Design and Implementation Files. Records of individual projects designed to provide and support new MMS IT infrastructure (see Note), systems, and services. Includes records documenting (1) requirements for, and implementation of, functions such as maintaining network servers, desktop computers, and other hardware, installing and upgrading network operating systems and shared applications, and providing data telecommunications; (2) infrastructure development and maintenance such as acceptance/accreditation of infrastructure components, analysis of component options, feasibility, costs and benefits, and work associated with implementation, modification, and troubleshooting; (3) models, diagrams, schematics, and technical documentation; and (4) quality assurance reviews and test plans, data and results. (NOTE: IT Infrastructure means the basic systems and services used to supply the MMS and its staff with access to computers and data telecommunications. Components include hardware such as printers, desktop computers, network and web servers, routers, hubs, and network cabling, as well as software such as operating systems (e.g., Microsoft Windows and Novell NetWare) and shared applications (e.g., electronic mail, word processing, and database programs). The services necessary to design, implement, test, validate, and maintain such components are also considered part of MMS IT infrastructure. However, records relating to specific systems that support or document mission goals are not covered by this item and must be scheduled individually by MMS by submission of an SF 115 to NARA.)	Cut off at end of fiscal year.

Item No.	Description of Records	Disposal Instructions
802 - 11 a	Records for Projects That are not Implemented.	Destroy/delete 1 year after final decision is made. GRS 24.11a
- b	Records for Projects That are Implemented.	Destroy/delete 5 years after project is terminated. GRS 24.11b
- c	Installation and Testing Records.	Destroy/delete 3 years after final decision on acceptance is made. GRS 24.11c
802 - 12	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 this Chapter. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.	
- a	No Further Administrative Value. 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 has been produced.
- b	Maintained Copies. 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.