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Source of document:	FOIA Officer Office of Inspector General U.S. Department of the Interior 1849 C Street, NW MS-4428 Washington, DC 20240 Fax: 202-219-1944 (Attn: FOIA Officer) Email: FOIA@doioig.gov

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OFFICE OF
INSPECTOR GENERAL
U.S. DEPARTMENT OF THE INTERIOR

VIA EMAIL

September 20, 2017

Re: OIG-2017-00180

This is in response to your Freedom of Information Act (FOIA) request dated July 8, 2017, which was received by the Office of Inspector General (OIG) on the same date. You requested the following information under the FOIA, 5 U.S.C. § 552: requested records are at the Quick Links section of the The DOI OIG HUB intranet employee only web site homepage.

1. The page-Organization Strategy
2. The page-Records Disposition Schedule
3. The page-Employee Tools and Forms
4. The Manuals
5. The page-OIG Wide Annual Tasks
6. The page-Report Status

In response to your request, the OIG located 158 pages which we are providing to you in their entirety. We do not bill requesters for FOIA processing fees when their fees are less than \$50.00, because the cost of collection would be greater than the fee collected. *See [43 C.F.R. § 2.49\(a\)\(1\)](#)*. Therefore, there is no billable fee for the processing of this request.

If you disagree with this response, you may appeal this response to the OIG's FOIA/Privacy Act Appeals Officer. If you choose to appeal, the FOIA/Privacy Act Appeals Officer must receive your FOIA appeal **no later than 90 workdays** from the date of this letter. Appeals arriving or delivered after 5 p.m. Eastern Time, Monday through Friday, will be deemed received on the next workday.

Your appeal must be made in writing. You may submit your appeal and accompanying materials to the FOIA/Privacy Act Appeals Officer by mail, courier service, fax, or email. All communications concerning your appeal should be clearly marked with the words: "FREEDOM OF INFORMATION APPEAL." You must include an explanation of why you believe the OIG's response is in error. You must also include with your appeal copies of all correspondence between you and the OIG concerning your FOIA request, including your original FOIA request

and the OIG's response. Failure to include with your appeal all correspondence between you and the OIG will result in the OIG's rejection of your appeal, unless the FOIA/Privacy Act Appeals Officer determines (in the FOIA/Privacy Act Appeals Officer's sole discretion) that good cause exists to accept the defective appeal.

Please include your name and daytime telephone number (or the name and telephone number of an appropriate contact), email address and fax number (if available) in case the FOIA/Privacy Act Appeals Officer needs additional information or clarification of your appeal. The OIG FOIA/Privacy Act Appeals Office Contact Information is the following:

Office of the Inspector General
U.S. Department of the Interior
1849 C Street, NW
MS-4428
Washington, DC 20240
Attn: FOIA/Privacy Act Appeals Office

Telephone: (202) 208-1644
Fax: (202) 219-1944
Email: oig_foiaappeals@doioig.gov

For your information, Congress excluded three discrete categories of law enforcement and national security records from the requirements of FOIA. *See* [5 U.S.C. 552\(c\)](#). This response is limited to those records that are subject to the requirements of FOIA. This is a standard notification that is given to all our requesters and should not be taken as an indication that excluded records do, or do not, exist.

The 2007 FOIA amendments created the Office of Government Information Services (OGIS) to offer mediation services to resolve disputes between FOIA requesters and Federal agencies as a non-exclusive alternative to litigation. Using OGIS services does not affect your right to pursue litigation. You may contact OGIS in any of the following ways:

Office of Government Information Services
National Archives and Records Administration
8601 Adelphi Road - OGIS
College Park, MD 20740-6001

E-mail: ogis@nara.gov
Web: <https://ogis.archives.gov>
Telephone: 202-741-5770
Facsimile: 202-741-5769
Toll-free: 1-877-684-6448

Please note that using OGIS services does not affect the timing of filing an appeal with the OIG's FOIA & Privacy Act Appeals Officer.

However, should you need to contact me, my telephone number is 202-208-0954, and the email is foia@doioig.gov.

Sincerely,

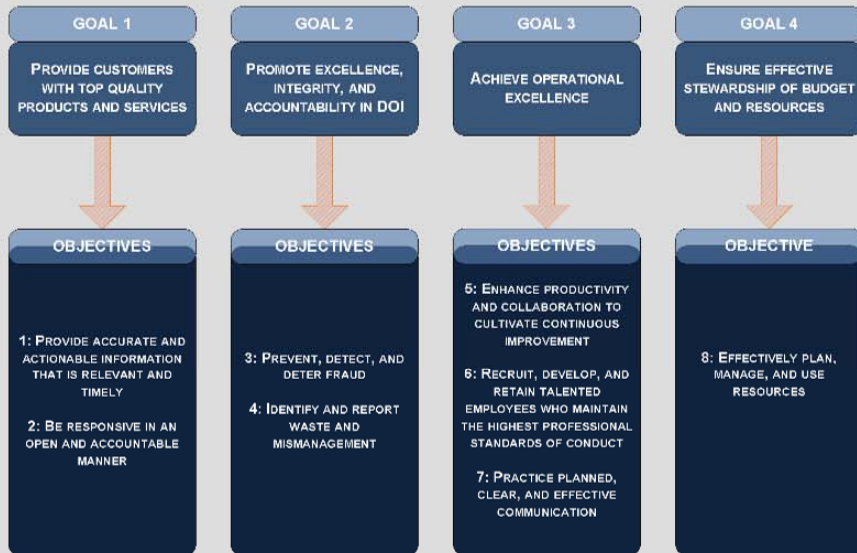
Stefanie Jewett

Stefanie Jewett
FOIA Officer

Enclosures



OIG STRATEGY



OFFICE OF THE SECRETARY RECORDS MANUAL

Records Disposition Schedules - Full

Updated 3-19-2013

Black Text – Final—signed or GRS

Blue Text – In process at NARA

Red Text – Planned/Drafted

1000 – Administration, Planning, and Performance

1100 – Records Common to Most Offices (N1-048-08-06, except where otherwise noted)

1101 – Program Correspondence. Incoming and outgoing correspondence concerning the actions, plans, and initiatives of an office.

1101.1 High-level Officials. Correspondence maintained by high-level officials, including the Secretary, Deputy Secretaries, Assistant Secretaries, the Inspector General, Solicitor, and Deputy Solicitor.

Disposition: Permanent. Cut off when official's tenure is over. Transfer to NARA 5 years after cut-off.

1101.2 All Others. Correspondence maintained in all other offices.

Disposition: Temporary. Cut off at close of calendar year. Destroy 5 years after cut-off.

1102 – General Administration Files. Files relating 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; the expenditure of funds; day-to-day administration of office personnel, including travel; supplies and office equipment requests, and receipts and the use of office space and utilities. These may include copies of reports (including work progress, statistical, and narrative reports) which are prepared in the office and forwarded to the requesting office, and other materials that do not serve as official documentation of the program or office.

Disposition: Temporary. Cut off at close of calendar year. Destroy 2 years after cut-off. (GRS 23-1, N1-GRS-98-2 item 43)

1103 – Suspense Files. Papers arranged in chronological order as a reminder that an action is required on a specific date.

Disposition: Temporary. Cut off when reply is received. Destroy when no longer needed for agency business. (GRS 23-6a, N1-GRS-80-8 item 3a)

1104 – Chronological Files. Copies of outgoing communications, arranged by date, and maintained for periodic review by staff members and as a convenience file.

Disposition: Temporary. Cut off at close of calendar year. Destroy 1 year after cut-off.

1105 – Transitory Files. Copies of correspondence, messages, and other documents maintained for reference; copies of documents which require no official action; letters of transmittal; routing requests for information and replies thereto involving no administrative or policy decisions and no special compilations or research.

Disposition: Temporary. Destroy when no longer needed for agency business. (GRS 23-7, N1-GRS-04-5, item 1)

1106 – Tracking and Control Files. Logs, Registers, and other records used to control or document the status of correspondence, reports, or other records.

Disposition: Temporary. Cut off at date of last entry. Destroy 2 years after cut-off. (GRS 23-8, N1-GRS-98-2 item 45)

1107 – Finding Aids/Index files. Electronic spreadsheets, card indexes, or other documents generated to track and locate documents through work flow, case status, subject files, or other pertinent information.

Disposition: Temporary. Cut-off when superseded, or when records listed in the aid/index are disposed. Destroy when no longer needed (if superseded), or dispose with related records (if not superseded). (GRS 23-9, N1-GRS-98-2 item 46)

1108 – General Reading Files. Documents that contain copies of reports, correspondence, or other information that concerns a specific subject or group of subjects, maintained solely as a reference copy.

Disposition: Temporary. Destroy when no longer needed for agency business.

1109 – Daily Schedules, Calendars, and Appointment Books. Calendars, appointment books, schedules, logs, diaries, and similar records relating to meetings, appointments, trips, visits, and similar activities.

1109.1 Secretary, Dep. Secretary, Asst. Secretaries, Solicitor, Inspector General. Daily schedules for the Secretary, Deputy Secretary, Solicitor, Inspector General, and Assistant Secretaries.

Disposition: Permanent. Cut off when official's tenure is over. Transfer to NARA 5 years after cut-off.

1109.2 Dep. Asst. Secretaries, Directors, Staff Assistants. Daily schedules for all other officials whose schedule warrants retention, such as Deputy Assistant Secretaries, Office Directors, and Staff Assistants.

Disposition: Temporary. Cut off when official's tenure is over. Destroy 3 years after cut-off.

1109.3 All Others. Daily schedules maintained by all other department employees and contractors.

Disposition: Temporary. Destroy when no longer needed for agency business. (GRS 23-5b, N1-GRS-87-19 item 5b)

1110 – Routine Procurement Files. Contract, requisition, purchase order, lease, and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment. This item also includes credit card statements, receipts, and supporting documentation such as account requisitions, packing slips, specific approvals, etc.

1110.1 Transactions at or below the simplified acquisition threshold (\$150,000) and all construction contracts at or below \$3,000.

Disposition: Temporary. Cut off at close of fiscal year in which final payment is made. Destroy 3 years after cut-off. (GRS 3-3a1b, N1-GRS-95-4 item 3a1b)

1110.2 Transactions that exceed the simplified acquisition threshold (\$150,000) and all construction contracts exceeding \$3,000.

Disposition: Temporary. Cut off at close of fiscal year in which final payment is made. Destroy 6 years and 3 months after cut-off. (GRS 3-3a1a, N1-GRS-95-4 item 3a1a)

[NOTE: "Simplified acquisition threshold" means \$150,000, except for acquisitions of supplies or services that, as determined by the head of the agency, are to be used to support a contingency operation or to facilitate defense against or recovery from nuclear, biological, chemical, or radiological attack (41 U.S.C. 428a)]

1111 – Working Papers/Drafts. Drafts, notes, correspondence, and other working papers generated during program business. Drafts that show substantive changes should be filed in accordance with the final document's disposition instructions.

Disposition: Temporary. Cut off when final version is produced, or at close of calendar year if no final version will be created. Destroy when no longer needed for agency business.

1112 – Cobell Email Backup Notifications. (N1-048-05-06) These files document the receipt of agency guidance instructing employees to “print and file e-mail messages that relate to the Three Functional Areas of 1) American Indian trust reform, including the High-Level Implementation Plan or any of its subprojects; 2) the Cobell v. Salazar litigation; or 3) administration of Individual Indian Money (IIM) accounts.” Messages reminding employees of this guidance are received weekly in electronic format, printed out, and maintained in paper format by each Office of the Secretary employee with email access.

Disposition: Permanent. Retain in individual files of each agency employee with email access for length of service of employee with employing office, or until no longer needed, whichever is sooner. Retire to office files upon departure of employee from office, or to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

1200 – General Management Records (N1-048-08-22, except where otherwise noted)

1201 – Policy and Manual Files. Records documenting formal Government and Departmental policy, including policies, directives, standards, technical bulletins, guidelines, and other processes and procedures.

1201.1 Final Publication. Official issuances and final versions maintained as the record copy by the office that developed the policy.

Disposition: Temporary. Cut off on date of issue. Destroy 15 years after superseded/revoked.

1201.2 Policy Development. Records documenting the development of the final publication. They include, but are not limited to: policy drafts, as may be issued for review and comment during the development cycle; transmittal cover sheets, which include distribution information and instructions for commenters; correspondence regarding the resolution and/or interpretation of comments; minutes of meetings; copies of applicable laws, statutes, and regulations, as well as directives issued by other federal agencies; and notes from telephone calls, teleconferences, and e-mails relating to policy development or policy revision.

Disposition: Temporary. Cut off on date of issue. Destroy 3 years after cut-off.

1202 – Program Planning. Records documenting the implementation of new and ongoing program initiatives. Records include, but are not limited to: analyses of new program requirements and recommendations related to the Department and/or bureau and office programs; records relating to staffing and organization; communications, in the forms of e-mail and memoranda regarding plans to ensure program compliance; strategic and tactical plans; and final and draft plans with supporting documents.

Disposition: Temporary. Cut off at close of calendar year. Destroy 4 years after cut-off.

1203 – Technical Advice/Guidance Files. Records providing technical advice, direction, and guidance to or by Departmental officials. The advice or guidance is often in response to one-time questions or is routine in nature and does not establish new policy. These files include, but are not limited to: records documenting the advice or guidance provided, typically in the form of e-mail or memoranda; correspondence with bureau and office records officials or contacts; and any other similar documents.

Disposition: Temporary. Cut off at close of calendar year. Destroy 5 years after cut-off.

1204 – Routine Reports. Reports that are issued or received on a one-time or recurring basis. Contents of the files include draft and final reports, and any supporting documents.

Disposition: Temporary. Cut off when report is made. Destroy 2 years after cut-off, or when no longer needed for agency business (whichever is later).

1205 – Routine Review Files. Correspondence, reports, action copies of audit findings, and other records that serve to review program functions, including potential weaknesses and corrective actions taken to resolve such problems. This also includes review of program areas for susceptibility to loss or unauthorized use of resources, errors in reports and information, and illegal and unethical actions.

Disposition: Temporary. Cut off at end of review cycle (either calendar year or fiscal year). Destroy 5 years after cut-off. (GRS 16-14f(1), N1-GRS-91-5 item 1f1)

1206 – Project/Issue Files. Files contain records relating to minor, non-recurring issues, action items, or projects arising from initiatives related to an agency. They include correspondence, notes, project plans and strategies, milestone charts, briefing materials, and other related documents. This item does not include any projects or program files covered elsewhere in the OS Records Schedule.

Disposition: Temporary. Cut off upon closure or completion of project or issue. Destroy 3 years after cut-off or when no longer needed for agency business, whichever is later.

1207 – Committees/Meetings Files. Records documenting participation in meetings and committees, both internal and external.

1207.1 Committee Management Files. Records relating to the establishment, organization, membership, and policy of internal committees (excluding those outlined in 1207.4).

Disposition: Temporary. Cut off at end of committee/meeting cycle. Destroy 6 years after cut-off.

1207.2 Meetings Records. Agendas, minutes, final reports, and related records documenting the accomplishments of official boards or committees (excluding those outlined in 1207.4).

Disposition: Temporary. Cut off at end of committee/meeting cycle. Destroy 6 years after cut-off.

1207.3 Other Committee/Meeting Files. Notes, correspondence, and other documents related to meetings not covered elsewhere in this schedule. Also includes copies of items scheduled under 1207.1 and 1207.2 not maintained by the sponsor or secretariat.

Disposition: Temporary. Cut off at end of committee/meeting cycle.
Destroy 3 years after cut-off. (GRS 26-3, N1-GRS-04-1 item 3)

1207.4 Executive Committee and Board Membership Records.
Consists of minutes, agendas, directives, meetings, lists of members, and reports covering operation of committees and boards which involve high-level officials within the Office of the Secretary.

Disposition: Permanent. Cut off at end of committee/meeting cycle.
Transfer to NARA 20 years after cut-off.

1208 – Budget Files. Records generated or utilized in formulating budget for a program office. Does not include official functions of the Office of Budget.

1208.1 Budget Estimates. Estimates prepared by a program office, comprising appropriation language sheets, narrative statements, and related schedules and data. This does not include the official consolidated Department budget.

Disposition: Temporary. Cut off when final, consolidated budget is produced. Destroy 1 year after cut-off.

1208.2 Budget Justifications. Documents produced by program offices to explain components of the budget and justify the cost of proposed work and expenditures. This does not include the final, official version submitted to Congress.

Disposition: Temporary. Cut off when final, official version is produced.
Destroy 1 year after cut-off.

1208.3 Periodic Budget Reports. Periodic reports on the status of appropriation accounts and apportionment.

Disposition: Temporary. Cut off at close of fiscal year. Destroy 3 years after cut-off. (GRS 5-3b)

1208.4 Annual Budget Reports. Annual budget report made at the end of the fiscal year.

Disposition: Temporary. Cut off at close of fiscal year. Destroy 5 years after cut-off. (GRS 5-3a, GRS 5, 1952, item 5a)

1208.5 Budget Apportionment Files. Apportionment and reapportionment schedules, proposing quarterly obligations under each authorized appropriation.

Disposition: Temporary. Cut off at close of fiscal year. Destroy 2 years after cut-off. (GRS 5-4, GRS 5, 1952, item 6)

1208.6 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 offices.

Disposition: Temporary. Cut off at close of fiscal year covered by the budget. Destroy 1 year after cut-off. (GRS 5-2, NC1-GRS-81-13 item 2)

1209 – Records Management Files. Records created during the course of creating and managing government records.

1209.1 Records Disposition Schedules. Record copy of records schedules submitted to NARA in the form of SF 115's, and supporting documents generated for the schedule (such as a file plan).

Disposition: Temporary. Cut off when schedule is superseded or revised. Destroy 2 years after cut-off. (GRS 16-2a(1), N1-GRS-98-2 item 16)

1209.2 Records Retirement/Destruction Files. Documents generated for the purpose of authorizing and tracking the disposal or destruction of government records, including SF 135's, SF 258's, chain of custody forms, and supporting documentation.

Disposition: Temporary. Cut off at close of calendar year in which records are disposed. Destroy 6 years after cut-off. (GRS 16-2a(2), N1-GRS-98-2 item 17)

1209.3 Records Inventories. Inventories produced by program offices to document records maintained by that program office. Includes information identifying where specific records are located.

Disposition: Temporary. Cut off when superseded. Destroy when no longer needed. (NOTE: Inventories included with Records Transfer/Destruction files must be filed by that item.)

1209.4 Vital Records Plans. (N1-048-10-04) A vital records plan identifies and protects records and information necessary for the agency to continue its key functions and activities in an emergency. These plans include specific measures for storing and periodically cycling copies of those records.

Disposition: Temporary. Cut off when current plan is superseded. Destroy 10 years after cut-off.

1209.5 Background Documentation for Vital Records Plans. Files contain records relating to the creation of final Vital Records plans. Records include background documents such as correspondence, reports, instructions, charts, plans as well as any other documents used in crafting vital records plans.

Disposition: Temporary. Cut off when current plan is superseded. Destroy 3 years after cut-off. (GRS 18-27, NC1-GRS-81-1 item 1b)

1209.6 Other Records Management Files. Correspondence, reports, forms, and other records that concern the management and maintenance of agency records. Included in this item are internal transfer authorizations, records management surveys, and all other aspects of records management not covered elsewhere in this schedule.

Disposition: Temporary. Cut off at end of fiscal year in which document is created or action referred to is taken (such as truck moves, survey or assessment deadlines, and records transfers). Destroy 6 years after cut-off. (GRS 16-7, N1-GRS-98-2 item 19)

1210 – Audit Files. Records created as a result of audits or during the course of generating an audit.

1210.1 GAO Final Report. Final report of Interior activities produced by the General Accounting Office (GAO).

Disposition: Temporary. Cut off when report is made. Destroy 5 years after cut-off.

1210.2 GAO Copies/Drafts/Working Papers. Correspondence, draft reports, and comments by the Department concerning a GAO audit.

Disposition: Temporary. Cut off when final report is made. Destroy 3 years after cut-off.

1210.3 Other Audits. Audit reports by Interior or state auditors, other agencies, and Independent Public Accountants, and any supporting documents.

Disposition: Temporary. Cut off when final audit report is made. Destroy 7 years after cut-off.

1211 – Litigation Files (non-SOL). Copies of litigation maintained by program offices for reference or as an informational copy. Does not include official litigation maintained by the Office of the Solicitor.

Disposition: Temporary. Destroy when no longer needed for agency business.

1212 – Freedom of Information Act (FOIA) Files. Records created in administering the Freedom of Information Act program.

1212.1 FOIA Requests. Files created in response to requests for information under FOIA, consisting of the original request, a copy of the reply thereto, and all related supporting files, such as a copy of the requested record(s).

Disposition: Temporary. Cut off on date of reply. Destroy 2 years after cut-off, or 6 years if request is denied (in full or in part). Appealed requests should be disposed of in accordance with 1212.2. (GRS 14-11a, NC1-64-77-1 item 16a2a)

1212.2 FOIA Appeals. Files created in responding to administrative appeals under FOIA for the release of information denied to the requester, consisting of the appellant's letter, a copy of the reply thereto, and related supporting documents, such as a copy of the record(s) under appeal.

Disposition: Temporary. Cut off when final determination on the records is made (when the agency has decided, the requester can no longer file suit, or the final adjudication by the courts). Destroy 6 years after cut-off. (GRS 14-12a, N1-GRS-87-4 item 17a)

1212.3 FOIA Control Files. Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature, and purpose of request and name and address of requester.

Disposition: Temporary. Cut off after date of last entry. Destroy 6 years after cut-off. (GRS 14-13a, NC1-64-76-3, item 11a)

1212.4 FOIA Reports. Recurring reports and one-time informational requirements relating to implementation of FOIA, excluding annual reports to Congress.

Disposition: Temporary. Cut off when report is made. Destroy 2 years after cut-off. (GRS 14-14, N1-GRS-98-2 item 11)

1213 – Privacy Act Files. Records created in administering the Privacy Act program.

1213.1 Privacy Act Requests. Files created in response to requests from individuals to gain access to their records or to any information in the records pertaining to them. Files contain original request, copy of the reply thereto, and all related supporting documents, such as a copy of the record(s) requested.

Disposition: Temporary. Cut off on date of reply. Destroy 2 years after cut-off, or 5 years if denied (in full or in part). Appealed requests should be disposed of in accordance with 1213.2. (GRS 14-21a, NC1-64-77-1 item 25a1)

1213.2 Privacy Act Amendment Case Files. Files relating to an individual's request to amend a record pertaining to that individual; to the individual's request for a review of an agency's refusal of the individual's request to amend; and any civil action brought by the individual against the refusing agency.

Disposition: Temporary. Dispose of in accordance with the approved disposition instructions for the related subject individual's records, 4 years after final determination by the agency, or 3 years after final adjudication by the courts, whichever is later. (GRS 14-22, NC1-64-77-1 item 26a)

1213.3 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.

Disposition: Temporary. Cut off on date of last entry. Destroy 5 years after cut-off. (GRS 14-24, NC1-64-77-1 item 28a)

1213.4 Privacy Act Reports. Recurring reports and one-time informational requirements relating to agency implementation, including biennial reports to the Office of Management and Budget (OMB), System of Records Notices (SORNs), and the Report on New Systems at all levels.

Disposition: Temporary. Cut off when report is made. Destroy 2 years after cut-off, or when no longer needed (whichever is later). (GRS 14-25, N1-GRS-89-4 item 1 note)

1213.5 Privacy Act Accounting of Disclosure Files. Files maintained for an accurate accounting of the date, nature, and purpose of each disclosure of a record to any person or to another agency, including forms for showing the subject individual's name, requester's name and address, purpose and date of disclosure, and proof of the subject individual's consent when applicable.

Disposition: Temporary. Dispose of in accordance with the approved disposition instructions for the related subject individual's records, or 5 years after the disclosure for which the accountability was made, whichever is later. (GRS 14-23, NC1-64-77-1 item 27)

1214 – Indian Trust Management Reform. (N1-048-06-07) Documents directly relating to departmental efforts to revise, reorganize, and restructure existing Indian Trust Management practices and procedures, consisting of legislative proposals, congressional and other correspondence, notes, reports, emails, meeting minutes, budget working files, and other files concerning projects and initiatives to improve or reform Trust Management. Some of these projects and initiatives include the Trust Management Improvement Project (TMIP), High Level Implementation Plan (HLIP), OST and BIA data cleanup, Fractionated Heirship, Indian Land Consolidation, Historical Trust Accounting, Probate Backlog, and the Trust Management Improvement Steering Committee. This item also includes circulations of pleading and correspondence between DOI and DOJ officials concerning litigation that directly addresses Trust Management, such as the Cobell civil case (note that this does not include the official record copy of these litigation files, maintained with the Office of the Solicitor).

Disposition: Permanent. Cut off at close of calendar year when received or generated. Retain for a maximum of 4 years after cut-off, and then retire to the Federal Records Center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

1215 – Congressional/Discovery Document Production Certification Files. Records certifying participation and compliance with document production orders by Congress or in response to discovery for litigation (interrogatories, requests for production, subpoenas, depositions). This does not include any other data, such as guidance, coordination plans, reports, or copies of records produced.

Disposition: Temporary. Cut off when litigation or Congressional inquiry has ended. Destroy 4 years after cut-off.

1216 – Paperwork Reduction Act Files. Records that document compliance with the Paperwork Reduction Act of 1995. Included are copies of monthly reports, directives, and forms issued/created by the Office of Management and

Budget (OMB) relating to the agency's responsibilities under that Act; copies of bureau submission packages requesting permission from OMB to collect information from the public; OMB Notices of Action approving bureau submissions; guidance related to Information Collection Budget (ICB) actions and issues; and the annual ICB report to OMB. Also included is correspondence with the bureaus and OMB relating to ICB expiration schedules and individual information collections and submission packages, ICB statistical compilation, and ICB training materials.

Does not include the record copy of bureau submission packages, which are retained by the bureaus that created them.

Disposition: Temporary. Cut off files at close of fiscal year. Destroy 7 years after cut-off. (GRS 16-12)

1217 – Website Files. Files utilized in updating, maintaining, and displaying information on a government website. Includes documents produced while drafting or developing web content, and the electronic data on the website itself. Websites should not include original research or information that is not preserved through alternate means.

Disposition: Temporary. Cut-off when data is superseded. Destroy when no longer needed for agency business.

1218 – Accountable Officers' Files. Files pertaining to 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. 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. Included are agency forms that document the basic financial transactions as described above.

Disposition: Temporary. Cut off at end of period covered by account. Destroy 6 years and 3 months after cut-off. (GRS 6-1, N1-GRS-91-3)

1219 - Memorandums of Understanding (MOUs). (N1-048-10-04) MOUs established between either the Department of the Interior and other agencies, or between offices and bureaus within the Department. This item pertains only to the final version of an MOU after acceptance by the applicable parties.

Disposition: Temporary. Cut off when agreement is superseded or otherwise invalidated. Destroy 10 years after cut-off.

1220 - Inter-Agency Agreements. Inter-agency agreements established between the Department of the Interior and other federal agencies. This item pertains only to the final version of inter-agency agreements after acceptance by the applicable parties.

Disposition: Temporary. Cut off when agreement is superseded or otherwise invalidated, destroy 10 years after cut-off.

1221 - Continuity of Operations (COO) Plans. (N1-048-10-04) COO plans and directives are guidelines for the continued operation of an agency in times of an emergency or disaster. COO plans are an essential component of a vital records program.

1221.1 Final Continuity of Operations Plans or Directives. (N1-048-10-04) Final versions of COO plans or directives maintained within the originating office.

Disposition: Temporary. Cut off when plan or directive is superseded. Destroy 10 years after cut-off.

1221.2 Continuity of Operations Plans or Directives Background Documentation. (N1-048-10-04) Files contain records relating to the creation of final COO plans or directives. Includes background documents such as correspondence, reports and instructions, charts and plans used in defense mobilization planning, evacuation shelters, emergency relocation and the vital records protection program.

Disposition: Temporary. Cut off at end of year in which plan is issued. Destroy 3 years after plan is superseded by issuance of a new plan or directive. (GRS 18-27, NC1-GRS-81-1 item 1b)

1300 – General Personnel Records (N1-048-08-13, except where otherwise noted)

1301 – Routine Personnel Files. Personnel files utilized by a program office or agency for routine administration and reference. Includes personnel files maintained by supervisors and duplicate personnel documents from the Official Personnel Folder (OPF).

1301.1 Supervisory Personnel Files. Correspondence, forms, and other records relating to positions, authorizations, pending actions, position descriptions, requests for personnel action, and records on individual employees duplicated or not appropriate for the OPF.

Disposition: Temporary. Review files at close of calendar year. Cut off superseded or obsolete files. Documents relating to an employee should be destroyed 1 year after separation or transfer. (GRS 1-18a, NC1-64-77-10 item 18a)

1301.2 Duplicate Personnel Files. Other copies of documents duplicated in OPFs not provided for elsewhere in this schedule.

Disposition: Temporary. Cut off at close of calendar year. Destroy 6 months after cut-off. (GRS 1-18b, NC1-64-77-10 item 18b)

1302 – Time and Attendance Records. Records used to input official time and attendance information with the personnel office. Include source documents and leave applications maintained in the program office or agency.

1302.1 Source Records. All time and attendance records upon which leave input is based, such as time or sign-in sheets; timecards; flextime records; and similar records.

Disposition: Temporary. Cut-off at close of pay-period. Destroy after GAO Audit or 6 years after cut-off, whichever is sooner. (GRS 2-7, N1-GRS-92-4 item 7)

1302.2 Leave Application Files. SF 71 or equivalent plus any supporting documentation of requests and approvals for leave.

Disposition: Temporary. Cut off at the end of the pay-period. Destroy after the end of the following pay-period. If employee has not initialed time card or equivalent, destroy after GAO audit, or when 3 years old, whichever is sooner. (GRS 2-6a, GRS 2-6b, N1-GRS-92-4 item 6a & 6b)

1303 – Travel Files. Copies of records such as travel orders, per diem vouchers, and other documents showing approval and payment for employee travel. This

item covers travel files maintained by a program office for its own reference and does not include the official record copy maintained by the financial branch.

Disposition: Temporary. Cut off at close of fiscal year in which travel is approved and paid for. Destroy 2 years after cut-off. (GRS 9-4a, N1-GRS-91-3, item 4a)

1304 – Training Files. Documents pertaining to training organized and administrated by an agency, and training undertaken by individual employees within the agency.

1304.1 Agency Training. Correspondence, memoranda, agreements, authorizations, reports, requirement reviews, plans, and objectives relating to the establishment and operation of training courses and conferences.

Disposition: Temporary. Cut off after training is completed. Destroy 5 years after cut-off. (GRS 1-29a(1), NC1-64-77-10 item 30b1)

1304.2 Employee Training. Correspondence, memoranda, reports, and other records relating to the availability of training and employee participating in training programs sponsored by other government agencies or non-Government institutions.

Disposition: Temporary. Cut off when training is complete. Destroy 5 years after cut-off, or when superseded/obsolete, whichever is sooner. (GRS 1-29b, NC1-64-77-10 item 30c)

1304.3 Curriculum Material Used in Training Courses. (N1-048-09-11) Files consist of current course materials used in the training of employees. Includes manuals, PowerPoint slide handouts, CDs, Web-Based Training and Web-Based Training CDs generated by the office.

Disposition: Temporary. Cut off when material is superseded or obsolete, whichever is sooner. Destroy one year after cut-off.

1305 – Employee Awards Files. Length of service and sick leave awards; letters of commendation and appreciation; and other general awards, excluding those relating to department-level awards.

1305.1 Agency Awards. General awards pertaining to agency-sponsored cash and noncash awards, such as incentive awards, within-grade merit increases, suggestions, and outstanding performance. Files include recommendations, approved nominations, correspondence, and other pertinent documents.

Disposition: Temporary. Cut off when award is approved or disapproved. Destroy 2 years after cut-off. (GRS 1-12a(1), NC1-64-77-10 item 12a1)

1305.2 Awards from Other Agencies/Organizations. Correspondence concerning awards from other Federal agencies or non-Federal organizations.

Disposition: Temporary. Cut off when award is made. Destroy 2 years after cut-off. (GRS 1-12a(2), NC1-64-77-10 item 12a2)

1305.3 Length of Service and Sick Leave Awards. Records including correspondence, reports, computations of service and sick leave, and lists of awardees.

Disposition: Temporary. Cut off when award is issued. Destroy 1 year after cut-off. (GRS 1-12b, NC1-64-77-10 item 12b)

1305.4 Letters of Commendation and Appreciations. Copies of letters recognizing length of service and retirement and letters of appreciation and commendation for performance, excluding copies filed in the Official Personnel Folder (OPF).

Disposition: Temporary. Cut off on date of issue. Destroy 2 years after cut-off. (GRS 1-12c, NC1-64-77-10 item 12c)

1305.5 Department Level Honor Awards. Secretary's awards for employees or organizations, i.e. Distinguished Service, Meritorious Service, Interior Conservation, Outside, Safety, Valor, or Presidential, and Foreign.

Disposition: Temporary. Cut off when award is given. Destroy 5 years after cut-off (excluding copies filed in employee's Official Personnel Folder).

1306 – Position Descriptions. Record copy of position descriptions that include information on title, series, grade, duties and responsibilities, and related records.

Disposition: Temporary. Cut off when position is abolished or description is superseded. Destroy 2 years after cut-off. (GRS 1-7b, N1-GRS-88-4 item 1)

1307 – Interview Records. Correspondence, reports, and other records relating to interviews with employees.

Disposition: Temporary. Cut off when employee is transferred or departs. Destroy 6 months after cut-off. (GRS 1-8, NC1-64-77-10 item 8)

1308 – Notifications of Personnel Actions. Standard Form 50, documenting all individual personnel actions such as employment, promotions, transfers, separation, exclusive of the copy in the Official Personnel File.

1308.1 Chronological File Copy. Includes fact sheets.

Disposition: Temporary. Cut off when action is completed. Destroy when 2 years old. (GRS 1-14a, NC1-64-77-10 item 14a)

1308.2 Other Copies. All other copies of notifications.

Disposition: Temporary. Cut off when action is completed. Destroy when 1 year old. (GRS 1-14b, NC1-64-77-10 item 14b)

1309 – Equal Employment Opportunity (EEO) Files Originating agency's file 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 1614. Cases resolved within the agency, by Equal Employment Opportunity Commission, or by a U.S. Court.

Temporary: Cut off when case is resolved. Destroy 4 years after cut-off. (GRS 01-25a, N1-GRS-80-9 item 1)

1400 – General System Records General records common to most systems, including backup tapes, planning files, maintenance files, security files, system documentation, and other materials. Items are used in conjunction with records dispositions for system data files and other system-specific items, established elsewhere in this schedule (with the appropriate program office).

1401 – Tape Backups. System backup tapes maintained for potential system restoration in the event of a system failure or other unintentional loss of data.

1401.1 Routine Backups. Incremental backup tapes created routinely for system recovery in the event of an emergency.

Disposition: Temporary. Destroy when superseded by a full back-up, or when no longer needed for system restoration, whichever is later. (GRS 24-4a(1), N1-GRS-03-1 item 4a1)

1401.2 Annual Backups. Full backups generated on an annual basis for long-term recovery.

Disposition: Temporary. Cut off at close of calendar year. Destroy 10 years after cut-off, or when no longer needed to backup data, whichever is later. (GRS 24-4a(2), N1-GRS-03-1 item 4a2)

1401.3 Indian Trust Backups. Backups made of Indian Trust data stored on a system.

Disposition: Permanent. Cut off at close of calendar year. Transfer to NARA 10 years after cut-off. (GRS 24-4a(1), GRS 24-4b(2), N1-GRS-03-1)

1402 – Planning and Development. Design specifications, system authorizations, functional requirements, and documents generated for the installation and implementation of a system, including documents used to create master data files (does not include the data itself).

Disposition: Temporary. Cut off when system is discontinued or terminated. Destroy 10 years after cut-off. (GRS 20-1b, N1-GRS-87-5 item 1b)

1403 – Management and Maintenance Files. Documents created to test system performance, monitor system usage, update master data files, and any related or supporting documents. Files should not contain actual data included in master data files.

Disposition: Temporary. Cut off at close of calendar year. Destroy 2 years after cut-off, or when no longer needed for agency business, whichever is later. (GRS 20-1a, GRS 20-1c, N1-GRS-87-5)

1404 – Security Files. Records relating to system security, risk analysis, and disaster and continuity planning.

1404.1 System Security Plans. System Security Plans, Disaster Recovery Plans, and related records.

Disposition: Temporary. Cut off when system is superseded/obsolete. Destroy 1 year after cut-off. (GRS 24-5a)

1404.2 IT Risk Analysis/Assessment. 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.

Disposition: Temporary. Cut off when system is superseded/obsolete. Destroy 1 year after cut-off. (GRS 24-5b, N1-GRS-03-1 item 5b)

1404.3 User Identification Files (Routine Systems). User identification, profiles, authorizations, and password files that do not pertain to systems requiring special accountability.

Disposition: Temporary. Cut off when account is terminated. Destroy 1 year after cut-off. (GRS 24-6b, N1-GRS-03-1 item 6b)

1404.4 User Identification Files (Other Systems). User identification, profiles, authorizations, and password files for systems requiring special accountability, such as those containing information needed for audit of investigative purposes and those that contain classified or sensitive information.

Disposition: Temporary. Cut off when account is terminated or password is altered. Destroy 6 years after cut-off, or when no longer needed for investigative or security purposes, whichever is later. (GRS 24-6a, N1-GRS-03-1 item 6a)

1404.5 Incident Files. Computer security incident handling, reporting, and follow-up records.

Disposition: Temporary. Cut off when all necessary follow-up actions have been completed. Destroy 3 years after cut-off. (GRS 24-7, N1-GRS-03-1 item 7)

1404.6 Other Security Files. All other files concerning the security of a system not covered elsewhere in this schedule. Includes Privacy Impact

Assessments (PIA), Asset Valuations, Certification Statements, Accreditation Statements, and other records.

Disposition: Temporary. Cut off when system is superseded/obsolete. Destroy 1 year after cut-off. (GRS 24-5a, GRS 24-5b, N1-GRS-03-1)

1405 – User Manuals and Documentation. Records providing information on systems, such as system and file specifications, codebooks, record layouts, user guides, output specifications, training documents, and other related information.

1405.1 Temporary. Manuals and documentation for temporary systems.

Disposition: Temporary. Cut off at end of calendar year in which superseded or obsolete. Destroy 1 year after cut-off. (GRS 20-11a(1), N1-GRS-07-4 item 11a1)

1405.2 Permanent. Manuals and documentation for permanent systems.

Disposition: Permanent. Cut off when superseded or obsolete. Transfer to NARA in accordance with the master data file(s)'s disposition instructions. (GRS 20-11a(2), N1-GRS-07-4 item 11a2)

1406 – Input Files. Documents utilized solely in creating, updating, or modifying data within a system, and not required for audit or legal purposes.

Disposition: Temporary. Cut off when data is entered into the system. Destroy when no longer needed to support or serve as a backup for the master data file. (GRS 20-2a through GRS 20-2d, N1-GRS-07-4)

1407 – Output Files. Information extracted, exported, or printed from the master data file, such as reports, tabulations, ledgers, registers, and statistical information. This excludes any documents produced by an extraction process which changes the informational content of the source data file, or any reports or extracted information created to allow public access to the data (these must be scheduled separately).

Disposition: Temporary. Destroy when no longer needed for administrative, legal, audit, or other agency business. (GRS 20-5, GRS 20-6, N1-GRS-95-2)

1408 – Social Media Records. Under revision.

1409 - DOI Data Loss Prevention (DLP) System Data Files. (N1-048-11-03)
DOI Data Loss Prevention Systems monitor email and web traffic within DOI to ensure that personally identifiable information (PII) and other sensitive personal data is not released to unauthorized parties, and to record communications and activity that violate the department's Acceptable Use policy (as outlined in the

DOI Information Technology Security Policy Handbook). Systems may also be designed to detect and/or respond to other specific incidents, such as known malware/viruses and other computer threats.

Data files contain a record of incidents that match the above criteria, classed into three categories for PII/Accept Use each: Minor, Major, and Critical. They are tracked for statistical reporting and, in the case of Major and Critical incidents, maintained for possible use in Human Resources or Law Enforcement investigations.

Information in an incident file includes: server where the message/traffic originated; date and time of the incident; sender's email and/or IP address; recipient's email and/or IP address; and the message/data that was sent (subject line, attachments, body of message).

1409.1 – Minor Incidents. These incidents constitute violations that are unintentional and/or represent minimal consequences to the bureau or agency. They are tracked primarily for statistical reporting purposes only, or as an indication that employees lack proper training in the appropriate use of government equipment.

Minor PII incidents include, but are not limited to: Incidents which involve an individual sending his/her own PII information out of the DOI network. This can include family members such as spouses as well as children. Examples include; SSN's, CCN's, Username/Password, W2's, New hire paperwork, etc.

Minor Acceptable Use incidents include, but are not limited to: Incidents which involve an individual using inappropriate language in a personal, non-professional conversation or environment. Incidents which show poor taste or judgment.

Disposition: Temporary. Cut off when the incident is classified/recorded. Destroy 6 months after cut-off, or when no longer needed for agency business, whichever is later. Do not preserve records longer than 1 year.

1409.2 – Major Incidents. These incidents constitute severe violations of policy and represent a danger to the security of an individual (in the case of PII) or to the bureau or office (for Acceptable Use).

Major PII incidents include, but are not limited to: Incidents which involve an individual sending several other individual's information, or an individual sending his/her government assigned credit card, username/password, etc. out of the DOI network. Examples include; Payroll worksheets, Government related username/password, Government related credit card, etc.

Major Acceptable Use incidents include, but are not limited to: Incidents which involve an individual using inappropriate language for: solicitation of sexual acts; sexually/racially derogatory comments; describing activities which are deemed to be inappropriate or offensive to fellow employees, partners, contractors or the public; or adult rated/pornographic authoring.

Disposition: Temporary. Cut off when all necessary follow-up actions have been completed. Destroy 3 years after cut-off.

[Note: Though this disposition resembles that provided for in GRS 24-7, that chapter indicates that a system's data files should be separately scheduled. As the incident files comprise this system's data, a separate records schedule is believed necessary.]

1409.3 – Critical Incidents. These incidents constitute a severe, widespread, and/or time-sensitive compromise of information and security, constituting an immediate and dangerous risk to individuals or to the bureau/agency. Incidents may include: the compromise of a computer system with employee data being maliciously sent to an outside party or parties; the description or discussion of illegal activities.

Critical incidents are escalated to the proper authorities.

Disposition: Temporary. Cut off when incident data is transferred to the investigating organization. Destroy data immediately upon successful transfer.

2000 – Program Offices Directly Under The Office of the Secretary

2100 – Secretary’s Immediate Office; Assistant Secretary / Deputy Secretary / Assistant Deputy Secretary Files

2101 – Policy Development and Support Files for High-Level Officials. (N1-048-10-01, Item 1.1) These files contain documents received, generated and maintained, in the Office of the Secretary (OS), to support the review, analysis and development of policy on issues of significance to the Department at the level at which they are collected. Typically, they consist of files, organized alphabetically by issue or topic, containing copies of documents including, but not limited to, the following: correspondence; reports; legal analyses and court documents; briefing papers and talking points; memoranda; meeting agenda, handouts, and summaries; email communications; and hand-written notes.

Generally, these files reflect the broad scope of issues on which the primary official on whose behalf they are collected and maintained was consulted or engaged during his/her tenure with the Department. They do not include the development of policy on single issues (e.g., Privacy Act policy) or groups of closely-related issues (e.g., policies issued by the Chief Information Officer) maintained by agency officials charged with managing these programs; these records are covered by subject-specific schedules.

2101.1 Secretary’s Files. (N1-048-10-01, Item 1.1.1) These files are maintained on behalf of the DOI Secretary.

Disposition: Permanent. Cut off at end of Secretary’s tenure. Maintain in office of record for 4 years after cut-off; and then retire to Records Center. Transfer to the NARA 10 years after cut-off.

2101.2 Deputy Secretary’s, Assistant Secretaries’ Files. (N1-048-10-01, Item 1.1.2) These files are maintained on behalf of the DOI Deputy Secretary and Assistant Secretaries within the DOI.

Disposition: Permanent. Cut off at end of agency official’s tenure. Maintain in office of record for 4 years after cut-off, and then retire to Records Center. Transfer to the NARA 8 years after cut-off.

2101.3 Secretary’s Counselors’ Files. (N1-048-10-01, Item 1.1.3) These files are maintained on behalf of the Secretary’s counselors in the Immediate OS.

Disposition: Permanent. Cut off at end of agency official’s tenure. Maintain in office of record for 4 years after cut-off, and then retire to Records Center. Transfer to the NARA 6 years after cut-off.

2101.4 Deputy Assistant Secretaries' Files. (N1-048-10-01, Item 1.1.4)

These files are maintained on behalf of the Deputy Assistant Secretaries within the DOI.

Disposition: Temporary. Cut off at end of the agency official's tenure. Maintain in office of record for 2 years after cut-off, then retire to Records Center. Destroy 6 years after cut-off.

2101.5 Other Senior Agency Officials' Files. (N1-048-10-01, Item 1.1.5)

These files are maintained on behalf of other senior agency officials who maintain similar broad, policy development and support files not covered by other subject-specific schedules.

Disposition: Temporary. Cut off at end of the agency official's tenure. Maintain in office of record for 2 years after cut-off, then retire to Records Center. Destroy four 4 years after cut-off.

2102 – RESERVED

2103 – RESERVED

2104 – Travel Files for High-Level Officials. (N1-048-08-05) Includes all documents related to travel for the Secretary of the Interior and other high-level officials. Records contain travel vouchers, itineraries, briefing books, travel books, invitations, and other travel-related documents.

2104.1 Secretary's Travel Files. Travel documents concerning the Secretary of the Interior.

Disposition: Permanent. Cut off at close of the Secretary's term. Retire to Federal Records Center when no longer needed after cut-off. Transfer to NARA 8 years after cut-off.

2104.2 Other High-Level Officials' Travel Files. Travel documents concerning other high-level officials, including Assistant Secretaries, Deputy Secretaries, Deputy Assistant Secretaries, and other high-level officials within the Secretary's Immediate Office.

Disposition: Temporary. Cut off at close of calendar year. Destroy records 20 years after cut-off.

2200 – Office of Congressional and Legislative Affairs (OCL) (Drafts Only – Not Yet Submitted)

2201 through 2202: These files contain records that document the Department's position on legislative proposals introduced by Members of Congress, and actions taken by the Department in response to these proposals. Included in these files are copies of legislative proposals; correspondence referring them to the Department for review by the Office of Management and Budget; routing slips referring them to Departmental and Bureau employees and their offices for comment; individual comments of employees, bureaus and offices; and documents communicating the Department's official views on these proposals. Also included are communications from Congress requesting the testimony of Departmental employees at hearings related to legislative proposals; copies of notices announcing hearings to be held on these proposals; testimony of Departmental employees at these hearings; and answers to questions posed by Members of Congress related to the Department's policies and programs at these hearings ("Q's and A's"). Also included, as applicable, are copies of statutory reports related to legislative proposals introduced by Members of Congress.

2201 – Legislative History Files (Senate). These files contain records that document the Department's position on legislative proposals introduced by Members of the Senate. These records are stored in file folders and organized chronologically by Congress.

Disposition: Permanent. Cut off at end of final calendar year of each Congress. Retire to Records Center 2 years after cut-off. Transfer to the National Archives 20 years after cut-off.

2202 – Legislative History Files (House). These files contain records that document the Department's position on legislative proposals introduced by Members of the House of Representatives. These records are stored in file folders and organized chronologically by Congress.

Disposition: Permanent. Cut off at end of final calendar year of each Congress. Retire to Records Center 2 years after cutoff. Transfer to the National Archives 20 years after cut-off.

2203 – Daily Legislative Summary Files. These files contain daily schedules of Congressional hearings on legislative proposals introduced by Members of Congress, and announcements of sessions at which mark-ups of bills of interest to the Department are scheduled to take place. They also contain the names of Departmental officials scheduled to testify at these hearings. These files, which are updated daily or when new information is received, are distributed electronically to offices throughout the Department and to the Office of Management and Budget, and are posted on the Department's website at doi.gov.

Disposition: Temporary. Cut off at end of each Congressional session. Destroy six months after cut-off

2204 – Confirmation Files. These files contain records relating to individuals nominated by the President to fill positions within the Department of the Interior requiring confirmation by the Senate. They contain announcements of individual nominations; resumes and other records relating to the suitability of individuals for the positions for which they have been nominated; correspondence relating to Congressional confirmation hearings; statements of nominees and other witnesses at such hearings; and copies of confirmation hearing transcripts. They do not include financial disclosure statements or letters to the Senate or United States Office of Ethics regarding recusals as mandated by Sec. 101(b)(1) of the Ethics Reform Act of 1989.

Disposition: Temporary. Cut off at end of tenure with the Department of Interior for individuals confirmed by the Senate, or at end of nomination process for individuals not confirmed. Destroy 2 years after cutoff.

2205 – White House Legislative Reports. These files contain weekly reports prepared for the White House Legislative Affairs Office by the Office of Congressional and Legislative Affairs advising on the status of Congressional legislation of interest to the Department of the Interior and summarizing the Department's official position on it. These reports deal with legislative actions (hearings, mark-ups of bills, etc.) taken by the House of Representatives and by the Senate both during the course of the past calendar week and scheduled for future weeks. They also contain a narrative summarizing selected public travel by and Congressional meetings of the Secretary of the Interior for that same week.

Disposition: Temporary. Cut off at end of calendar year. Destroy 2 years after cut-off.

2206 – Electronic Legislative Tracking System Files. These electronic files track legislative requests received in the Office of Congressional and Legislative Affairs for each Congress, beginning with the 103rd. Includes requests for the Department of the Interior's positions on legislative proposals introduced by Members of Congress. They serve as an electronic index to the paper files covered by 2201 and 2202.

Disposition: Permanent. Cut off at end of final calendar year of each Congress. Transfer to the National Archives 20 years after cut-off in accordance with 36 CFR 1228.270.

2300 – Communications (OCO)

2301 – Public Information Releases. (N1-048-10-01, Item 3.1) These files contain records issued by the Office of the Secretary (OS) to keep the public informed of the activities of the Department through the news media. They contain press and news releases, press conference transcripts, biographical sketches, guest editorials, letters to the editors and other similar materials. They do not include the Spanish-language versions of the more significant of these documents, which are posted to the Department's website at doi.gov, and are covered by item 2305 DOI Internet Website Files. They also do not include press releases and other similar materials issued by the Department's component bureaus and offices, which are covered by their respective bureau and office schedules.

These records are organized chronologically and maintained in binders by calendar year.

Disposition: Permanent. Cut off at end of each presidential term, e.g. January 2009. Transfer to NARA after cut-off.

2302 – DOI Speeches. (N1-048-10-01, Item 3.2) These files contain copies of speeches and talking points prepared for the Secretary of the Interior and other senior Departmental officials to present at official events. These speeches cover the full spectrum of the Department's programs and activities. Files contain two versions of some speeches: a text as prepared for delivery, and a text as actually delivered, representing the precise words spoken by the Secretary on the official occasion. They do not include the Spanish-language versions of the more significant of these documents, which are posted to the Department's website at doi.gov, and are covered by item 2305 DOI Internet Website Files. They also do not include speeches and talking points prepared for delivery by officials of the Department's component bureaus and offices, which are covered by their respective bureau and office schedules.

These records are organized chronologically and maintained in file folders by calendar year.

Disposition: Permanent. Cut off at end of each presidential administration. Transfer to NARA after cut-off.

2303 – Historically Significant Audio/Visual Recordings and Indexes. (N1-048-10-01, Item 3.3) These files contain audio and audio/visual documents recorded/filmed by or for OS. These records document significant moments in the Department's history and/or noteworthy Departmental accomplishments, or contain information that is unique in substance, arrangement, or manner of presentation and unavailable in another form. They may be accompanied by written materials (in paper or electronic format) related to the subject of the

recording; such documents may include programs prepared for and distributed at the official screening of a film, lists of individuals invited to attend the screening of a film, letters inviting them to the screening, and press releases announcing the screening of a film; documents illuminating the historical background of the subject of a recording; documents addressing the historical significance of a recording; and/or documents providing a word-for-word text transcription of the audio contents of a recording. Films and video recordings included in these files may be recorded, edited, and produced by OS employees or by outside parties, such as motion picture or television studios.

Records also include any finding aids, logs, or indexes, including an electronic log of video and motion picture recording sessions, indicating date, subject, videographer, requesting Interior office, and assignment number of session.

Disposition: Permanent. Cut off at end of fiscal year. Transfer to NARA 2 years after cut-off.

2304 – Routine Audio/Video Recordings and Indexes. These files contain audio/visual documents, such as training films, that were made to assist Departmental offices in performing routine business functions or to commemorate routine occasions. Typical examples of such recordings are films of retirement ceremonies, films explaining benefit packages for health and life insurance plans, films used in ethics training courses, and recordings of talks delivered by speakers sponsored by the DOI University or the Departmental Museum. Films included in these files may be recorded, edited, and produced by OS employees or by outside parties, such as motion picture or television studios.

Records also include any finding aids, logs, or indexes pertaining to recordings.

2304.1 Routine Departmental Functions.

Disposition: Temporary. Cut off at end of fiscal year. Destroy 2 years after cut-off. (GRS 21-20, N1-GRS-98-2, item 41)

2304.2 Other (non-Departmental) Routine Functions.

Disposition: Temporary. Cut off at end of fiscal year. Destroy 1 year after cut-off. (GRS 21-17, N1-GRS-81-9, item IV-4)

2305 – DOI Internet Website Files. (N1-048-10-01, Item 3.4) These files contain records prepared for and promulgated on the Department of the Interior's website at doi.gov by OS to acquaint the public with the Department's managers, policies, and programs. They include a brief history of the Department, a photograph and biographical sketch of the current Secretary of the Department, photographs and biographical snapshots of all former Secretaries of the Interior, an explanation of the Department's mission, a listing of key Departmental

officials, and a welcome to individuals visiting the website from the current Secretary of the Interior. They also include Spanish-language versions of the more significant of these documents as well as Spanish-language versions of selected speeches and public information releases. They do not include English-language speeches, which are covered by 2302, or English-language public information electronic releases, which are covered by 2301, or *People, Land and Water on the Web*, which is covered by 2306.

Disposition: Temporary. Cut off at end of each presidential administration. Delete 4 years after cut-off or when obsolete, whichever is later.

2306 – Newsmagazine Files. (N1-048-10-01, Item 3.5) These files contain copies of the newsmagazine, *People, Land and Water*, published by OS. Established in October of 1994 as the official employee newsmagazine of the Department of the Interior, *People, Land and Water* aims to share information across bureau lines in order to build on the work done by employees, recognize employees for outstanding work, convey policy decisions to employees and promote a better understanding of Interior’s roles and responsibilities. Its news content is developed by the Department’s component bureaus and offices and coordinated by the Office of Communications. It is issued approximately 9 times a year, numbered by fiscal year in annual volumes and issues, and is distributed in bulk and through the U.S. Postal Service to employees nationwide.

Disposition: Permanent. Cut off at end of the fourth annual volume in each presidential term. Transfer to NARA after cut-off.

2307 – DOI Press Clippings. (N1-048-10-01, Item 3.6) These files contain daily compilations of news articles and editorials relating to activities of the Department and its policies and programs of interest to senior Departmental employees, extracted from local, National, and international news sources. Files are archived annually by calendar year.

Disposition: Permanent. Cut off at end of each presidential administration. Transfer to NARA after cut-off in accordance with 36 CFR 1228.270.

2308 – Interior Radio Department News Service Files. (N1-048-10-01, Item 3.7) These files contain clusters of brief audio clips (“sound bites”) prepared to accompany OS press releases, and made available as a free public service from the Department’s website or from a toll-free telephone line. On the Department’s website, each cluster is identified by date and title, e.g., “10/15/2003 Secretary Norton Signs Historic Colorado River Water Pact,” and accompanied by an indication of the length (in playing time) of each included sound bite, a summary of its contents, and a text transcription of the actual audio recording. Files and accompanying text (index and transcriptions) are stored in CD/DVD format. Includes reel-to-reel sound recordings accumulated prior to adoption of the current digital system.

Disposition: Temporary. Cut off files at the end of each Secretarial administration. Destroy 2 years after cut-off or when no longer needed by agency, whichever is later.

2400 – External and Intergovernmental Affairs (OEI)

2500 – Executive Secretariat and Regulatory Affairs (OES)

2501 – Document Production Files

2501.1 – Congressional Document Production Files. (N1-048-10-01, Item 4.1.1) These files consist of Department of the Interior documents collected from bureaus and offices within the Department of the Interior in response to formal requests from Congressional Committees and Subcommittees. Their extent varies with the scope of the individual request and degree of Departmental involvement in the issue in question. They do not include the original copy of these documents, which remains within the originating bureau or office.

Disposition: Temporary. Cut off files at the end of each document production. Destroy 8 years after cut-off or at end of Administration, whichever is sooner.

2501.2 – Litigation Document Production Files. (N1-048-10-01, Item 4.1.2) These files consist of Department of the Interior documents collected from bureaus and offices within the Department of the Interior in response to subpoena from the courts. Their extent varies with the scope of the individual request and degree of Departmental involvement in the issue in question.

Files do not include the original copy of these documents, which remain within the originating bureau or office.

Disposition: Temporary. Cut off files at end of each document production. Destroy 6 years after final settlement of lawsuit.

2501.3 – Miscellaneous Collections. (DAA-0048-2012-0003) These files consist of Department of the Interior documents collected for the purpose of maintaining a record of the activities of particular officials, or for unique subject matters or issues not covered by items 2501.1 and 2501.2. Collections are created at the request of the Secretary, the Director of the Executive Secretariat, or the Office of the Solicitor when there is a

reasonable expectation that there may be a request for records about a particular issue, senior official, or political appointee.

Typically these collections consist of: correspondence, reports, reading files, briefing papers, committee/meeting files, daily calendars/appointment books, leases, contracts, grants, audits, permits, and notes. These collections are compiled for quick retrieval, response, and reference; original records of all files remain in the office of origin following duplication in the collection.

Disposition: Temporary. Cut off files at the end of the administration in which the official serves, or when subject is deemed resolved/closed. Destroy 8 years after cut-off, or when no longer needed for reference, whichever is sooner.

2502 Document Production Administrative Files.

2502.1 – Congressional Document Production Administrative Files.

(N1-048-10-01, Item 4.2.1) These files contain records relating to the collection and production of documents in response to Congressional document production requests. They include, but are not limited to: guidance memoranda, coordination plans, adequacy of search certifications, and reports generated by the document indexing system.

Disposition: Temporary. Cut off files at end of each document production. Destroy 8 years after cut-off or at end of Administration, whichever is sooner.

2502.2 – Litigation Document Production Administrative Files. (N1-

048-10-01, Item 4.2.2) These files contain records relating to the collection and production of paper documents in response to subpoena from the courts. They include, but are not limited to: guidance memoranda, coordination plans, adequacy of search certifications, and reports generated by the document indexing system.

Disposition: Temporary. Cut off at the end of each document production. Destroy 6 years after final settlement of lawsuit.

2503 – DOI Regulatory Actions Semi-Annual Update Files. (N1-048-10-01, Item 4.3) These files contain the Department’s semi-annual submissions to the “Unified Agenda” for the Office of Information and Regulatory Affairs (OIRA), within the Office of Management and Budget (OMB). The Unified Agenda provides uniform reporting of data on regulatory and deregulatory activities under development throughout the Federal Government, in the fall and the spring of each calendar year. The fall edition of the Unified Agenda also contains each agency’s Regulatory Plan.

Files contain printouts from the OMB's automated regulatory planning system and bureau and office "markups" (containing corrections/updates to the data contained in the OMB system). They may also contain documents from OMB providing guidance to federal agencies relating to the semi-annual update of their data, and documents from the Office of Executive Secretariat to the bureaus and offices conveying or providing similar guidance.

Disposition: Temporary. Cut off files semi-annually. Destroy 6 months after submission to OIRA or until receipt of next semi-annual print-outs, whichever is later.

2504 – DOI Regulations Development/Approval Files. (N1-048-10-01, Item 4.4) These files contain documents relating to the development and approval of regulations proposed by bureaus and offices within the Department. They include drafts of proposed regulations developed within the individual bureaus and offices, comments on these drafts made by OS offices and/or reviewing officials, and communications with the Office of Management and Budget regarding these proposals (to obtain a regulatory identification number, etc.). They do not include the record copy of these proposals, which remains within the originating bureau or office.

Disposition: Temporary. Cut off upon final publication in the Federal Register. Destroy 6 months after cut-off.

2505 – Federal Register Chief of Staff Review Files. (N1-048-10-01, Item 4.5) These files contain records documenting the Chief of Staff's review of regulations proposed by bureaus and offices within the Department. They are surname copies of the final documents submitted, and may also contain a copy of clearance sheets documenting their approval by the originating bureau or office. They do not include the record copy of the bureau or office clearance sheets or regulations proposals (which remain within the originating bureau or office). They generally do not contain a copy of the signed Federal Register submission or of the notice as published in the Federal Register.

Files are maintained in notebooks organized by bureaus and offices originating regulations proposals. This series also includes copies of the above files maintained in electronic or other formats.

Disposition: Temporary. Cut off at end of calendar year. Destroy 4 years after cut-off or upon change of administration, whichever is sooner.

2506 – E-Rulemaking Files. (N1-048-10-01, Item 4.6) These files contain records documenting the Department's participation in the eRulemaking Initiative, a cross-agency E-Government effort (managed by the U.S. Environmental Protection Agency) that aims to transform the Federal rulemaking

process by enhancing the public's ability to participate in the process electronically, e.g., in the development of a website that provides a way for the public to search, view and comment on proposed federal regulations open for comment. Included in these files are copies of documents distributed at eRulemaking Initiative meetings, documents summarizing or analyzing the outcome of such meetings, and documents prepared for distribution at such meetings, as well as communications relating to the scheduling of such meetings. Also included in these files are documents relating to the Department's interest in and involvement with e-rulemaking programs and systems developed by bureaus and offices within the Department, as, for example, those of the Bureau of Land Management and Minerals Management Service.

2506.1 E-Rulemaking Initiative Meetings. (N1-048-10-01, Item 4.6.1)

Documents directly related to eRulemaking Initiative meetings.

Disposition: Temporary. Cut off at end of fiscal year. Destroy 1 year after cut-off.

2506.2 Other E-Rulemaking Records. (N1-048-10-01, Item 4.6.2)

Documents related to the e-Rulemaking program and systems within bureaus and offices.

Disposition: Temporary. Cut-off upon implementation. Destroy 2 years after cut-off.

2507 and 2508: These files contain records relating to the Department's compliance with the Regulatory Flexibility Act of 1980 (5 USC 601-612), which requires federal agencies to consider the effects of their regulatory actions on small businesses and other small entities and to minimize any undue disproportionate burden.

2507 – Regulatory Flexibility Act Complaint Files. (N1-048-10-01, Item 4.7)

These files contain communications from small businesses, small not-for-profit organizations, or small governments filing complaints about the burden imposed upon their business, organization, or governmental operation because of specific Departmental regulations, and records documenting the Department's efforts to resolve these complaints.

Disposition: Temporary. Cut-off upon closure of complaint file. Destroy 2 years after cut-off, unless followed by court action. In case of lawsuit, destroy 6 years following resolution of the lawsuit.

2508 – Regulatory Flexibility Act Report Files. (N1-048-10-01, Item 4.8)

These files contain annual reports submitted to the Small Business Administration (SBA), for inclusion into the Annual Report of the Chief Counsel for Advocacy of

the SBA on Implementation of the Regulatory Flexibility Act, to Congress. This report documents the Department's efforts to comply with the act, including but not limited to an analysis of the Department's response to complaints filed under the Act. These files may also contain documents collected or compiled in preparing the report.

Disposition: Temporary. Cut off at end of calendar year. Destroy 4 years after cut-off or upon change of administration, whichever is sooner.

2600 – Office of Indian Water Rights (OIW)

2700 – Office of the Solicitor

These files contain records pertaining to the Department of Interior, Office of the Solicitor (SOL) files. Documents primarily concern litigation proceedings that involve the Department of the Interior, legal advice given to DOI bureaus and offices, and the management of those offices. This records schedule applies to any Federal records received/created in any component within the Office of the Solicitor to include all divisions, field and regional offices.

7501 - Litigation Files. These files contain records concerning administrative and judicial litigation involving the Department of Interior. Records include, but are not limited to: briefs, pleadings, decisions, correspondence, and other case-related information. Litigation files are classified as either permanent or temporary -all records concerning a given case must be classified the same. Litigation case files are not closed until a final decision has been rendered. A Final decision is the final action for that case, which may be final settlement, exhaustion or denial of appeal, and/or court decision. The final decision is determined by the laws and regulations governing the process.

7501(a) - Litigation Files (Temporary). This includes the majority of litigation files handled by the Office of the Solicitor. These files do not contain information deemed necessary by senior officials and NARA as necessary for permanent reference and retention. These are EEO, MSPB, and other litigation case files.

Disposition: Temporary. Cut off files at close of calendar year in which final decision is made. Retire to Federal Records Center (FRC) within 1 year of cut-off. Destroy records 20 years after cut-off.

7501(b) - Litigation Files (Permanent). This includes documents pertaining to a particular case that are determined to be necessary for permanent retention by senior officials and NARA. These files contain information concerning historical and/or landmark decisions or high public profile made in cases that involve the intervention or interaction of the Office of the Solicitor.

Disposition: Permanent. Cut off files at close of calendar year in which final decision is made. Retire to Federal Records Center (FRC) within 1 year of cut-off. Transfer records to NARA 20 years after cut-off.

7502 - Opinions. These files contain M Opinions and other signed legal opinions issued by the Solicitor or the Immediate Office of the Solicitor. These are determined to be of permanent value by senior management, generally including opinions that serve to make changes in procedures, to alter departmental practices, or to establish departmental law or rulemaking, or concerning legislative proposals or initiatives.

Disposition: Permanent. Cut off files at close of calendar year in which final opinion is issued. Retire to Federal Records Center (FRC) within 1 year of cut-off. Records may be sent to NARA 5 years after retired to FRC.

7503 - Legal Advice Files. These files contain legal advice issued by officials in the Solicitor's Office on matters, financial transactions involving the Department and outside sources, and other routine advice, including those issued through surname files. Advice would be issued by the Associate Solicitor, Field and Regional Solicitors and SOL attorneys except for the Immediate office. Files do not include opinions that create major changes in procedure or departmental practices. [Files that lead to litigation will be covered under 7501 litigation files and all corresponding documents will be part of the litigation.]

Disposition: Temporary. Cut off files at close of calendar year in which subject matter is resolved. Retire to Federal Records Center (FRC) within 1 year of cut-off. Delete/Destroy documents 5 years after cut-off.

7504 - Program records. These consist of correspondence, memos, and other related documents for managing the program activities of the Divisions, field and regions. [Files that lead to litigation will be covered under item 7501 litigation files and all corresponding documents will be part of the litigation.]

Disposition: Temporary. Cutoff at the end of the fiscal year. Destroy 7 years after cutoff.

7505 - Solicitor's Subject Files. These files include documents received, generated, and maintained by the Solicitor, Deputy Solicitor and the Special Assistants of the Immediate Office and used for review, analysis, and policy development on matters of significance to the Office of the Solicitor. Included are correspondence, reports, copies of legal analyses and court documents, briefing papers, memoranda, summaries, email communications, and notes.

Disposition: Permanent. Cut off at end of the official's tenure. Retire records to the Federal Records Center (FRC) within 1 year of cut-off. Transfer documents to the National Archives 20 years after cut-off.

7506 - Solicitor's Reading/Chronological files. These files include communication to and from the Solicitor, Deputy Solicitor and their special assistants on behalf of the Immediate Office.

Note: If these files include Trust records, then they will use disposition N1-048-07-03 item (i) IFT SOL Chronological files.

Disposition: Permanent. Cut off at end of the official's tenure. Retire records to the Federal Records Center (FRC) within 1 year of cut-off. Transfer documents to the National Archives 20 years after cut-off.

7507 - Trust Documents. These files include any documents possessed by the Solicitor's Office which have been identified as Indian Fiduciary Trust records. The files include but are not limited to litigation files, opinions, legal advice, drafts, and working papers. Files include Indian Fiduciary Trust (IFT) records.

Disposition: PERMANENT. Cut off at end of calendar year in which file is closed. Retire to an approved offsite storage facility. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

(a) IFT Litigation Files -These files contain documents concerning administrative and judicial litigation involving the Department of Interior. Records include, but are not limited to: briefs, pleadings, decisions, correspondence, and other case-related information. Litigation files are classified as either permanent or temporary -all records concerning a given case must be classified the same.

Disposition: PERMANENT. Cut off at end of calendar year in which file is closed. Retire to an approved offsite storage facility. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

(b) IFT Legal Advice Files -These files contain legal advice issued by officials in the Solicitor's Office on matters, legislative proposals or initiatives, financial transactions involving the Department and outside sources, and other routine advice or opinions, including those issued through surname files. Files do not include opinions that create major changes in procedure or departmental practices.

Disposition: PERMANENT. Cut off at end of calendar year in which file is closed. Retire to an approved offsite storage facility. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

(c) IFT 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.

Disposition. PERMANENT. Retire with the related records to an approved offsite storage facility. Transfer to the National Archives and Records Administration when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

(d) IFT Program files -These files include records assembled from copies of other documents, such as briefs or decisions, chosen for their relevance in tracking a specific subject matter or subject matters. Records do not include original documents, and may be maintained electronically or in paper format.

Disposition. PERMANENT. Retire with the related records to an approved offsite storage facility. Transfer to the National Archives and Records Administration when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

(e) IFT Solicitor's Subject Files -These files include documents received, generated, and maintained by the Solicitor, Deputy Solicitor and their Special Assistants of the Immediate Office and used for review, analysis, and policy development on matters of significance to the Office of the Solicitor. Included are correspondence, reports, legal analyses and court documents, briefing papers, memoranda, summaries, email communications, and notes.

Disposition: PERMANENT. Cut off at end of calendar year in which file is closed. Retire to approved offsite storage. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

(f) IFT Tribal collections. These records consist of designated Indian tribe records that have been removed and collected for litigation purposes. These records are usually organized by the tribe. These records had been segregated to ensure proper control and handling for ongoing litigation. These record collections consist of records that would have been covered under GRS or other NARA approved SF-IIS authorities, but these are trust documents and deemed permanent.

Disposition: PERMANENT. Cut off at end of calendar year in which file is closed. Retire to an approved offsite storage facility. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed

to between the United States Department of Interior and the National Archives and Records Administration.

(g) IFT E-mail notification. Standardized periodic e-mail printed as part of the periodic notification of SOL employees responsibilities regarding three functional areas of I) American Indian trust reform, including the High-Level Implementation Plan or any of its subprojects; 2) the Cobell v. Norton litigation; or 3) administration of Individual Indian Money (IIM) accounts.

Disposition: **PERMANENT**. Cut off at end of calendar year in which file is closed. Retire to an approved offsite storage facility. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

(h) **IFT Land Case files** -These records consist of appraisals, memos, briefs, and other land case file records that qualify as trust records.

Disposition: **PERMANENT**. Cut off at end of calendar year in which file is closed. Retire to an approved offsite storage facility. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

(i) **IFT SOL Chronological files** -These records consist of chronological files from any component within the Office of the Solicitor including the Immediate Office.

Disposition: **PERMANENT**. Cut off at end of calendar year in which file is closed. Retire to an approved offsite storage facility. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

7508 - Claims records and civil penalties. These records consist of claims made by and against the government, organized by the claimant. Claims such as personal injury, property damage and other related records. These records consist of correspondence, memoranda, final administrative determination and other documents. [Claims files that lead to litigation will be covered under 7501 litigation files and all corresponding documents will be part of the litigation.]

Disposition: Temporary. Cutoff at end of the fiscal year of the resolution of the claim or the collection of the penalty. Destroy 7 years after cutoff.

7509 - Chronological/Reading files. Division, field and regional correspondence arranged by date and maintained for periodic review by staff members and as

convenience files. These records consist of divisional chronological files that are maintained by the Divisions, Field and Regional levels.

- (a) Records generated prior to the creation of centralized files. These records consist of divisional, field, and regional chronological files that are maintained at the Division's Associate Solicitor level.

Disposition. Temporary. Cutoff at the end of the fiscal year. Retire to offsite storage in 4 year blocks. Destroy 20 years after cutoff

- (b) Records generated after the creation of centralized files. These records consist of divisional, field and regional chronological files. This does not include the Immediate Office, which is covered under item 7505.

Disposition. Temporary. Cutoff at the end of the fiscal year. Retire to offsite storage. Destroy 5 years after cutoff.

7510 - Land Case files. These records consist of appraisals, reports, copies of title evidence, correspondence, allotment decisions, and other related documents. [Files that lead to litigation will be covered under 7501 litigation files and all corresponding documents will be part of the litigation.]

Disposition: Temporary. Cutoff at the resolution of the issue. Destroy 20 years after cutoff.

2800 – Office of the Inspector General (OIG)

2801 – Policy Development and Support Files, Inspector General’s Files. (N1-048-10-01, Item 5.1) These files contain documents received, generated and maintained, in OS, to support the review, analysis and development of policy on issues of significance to the Department at the level at which they are collected. Typically, they consist of files, organized alphabetically by issue or topic, containing copies of documents including, but not limited to: correspondence; reports; legal analyses and court documents; briefing papers and talking points; memoranda; meeting agenda, handouts, and summaries; email communications; and hand-written notes.

Generally, these files reflect the broad scope of issues on which the primary official on whose behalf they are collected and maintained was consulted or engaged during his/her tenure with the Department. They do not include the development of policy on single issues (e.g., Privacy Act policy) or groups of closely-related issues (e.g., policies issued by the Chief Information Officer) maintained by agency officials charged with managing these programs; these records are covered by subject-specific schedules.

These files are maintained on behalf of the Inspector General.

Disposition: Permanent. Cut off at end of agency official's tenure. Maintain in office of record 4 years after cut-off, then retire to Records Center. Transfer to NARA 8 years after cut-off.

2802 – Investigative Records. (N1-048-10-03) These files consist of investigative reports and material pertaining to allegations of violation of regulations, Departmental policy, and law such as misconduct by employees, irregularities involving integrity of policies and practices of the Department of the Interior and real and personal property under its jurisdiction.

2802.1 (N1-048-10-03) Investigative records selected for their continuing historical value. Cases are selected if the investigation attracts substantial attention from the media, receives a congressional inquiry, or results in substantive changes in agency policies and procedures.

Permanent: Cut off at end of fiscal year in which investigation is concluded. Transfer to NARA 25 years after cut-off.

2802.2 (N1-048-10-03) All other investigative records.

Temporary: Cut off at end of fiscal year in which investigation is concluded. Destroy 10 years after cut-off.

2803 – Ethics Program Files. (N1-048-10-03) Records maintained by 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. Includes 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; determinations, including advice and counseling to individual employees, and supporting records; and records relating to requests under agency supplemental standards of ethical conduct for prior approval of outside employment and activities.

Temporary: Cutoff at end of year in which documents are created. Destroy 6 years after cut-off or when superseded or obsolete, whichever is later. (GRS 25-1b)

2804 – Financial Disclosures. (N1-048-10-03) 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.

Temporary: Cutoff at end of fiscal year in which documents are submitted. Destroy 6 years after cut-off; EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation. (GRS 25-2a(2), N1-GRS-01-1 item 2a2)

2805 – Final Coding Sheets. (N1-048-10-03) A compliance review report summary provides input data from the Office of Federal Contract Compliance, which will develop printouts for agencies, indicating status and progress of EEO program administration.

Temporary: Cutoff at end of year in which records are created. Destroy 4 years after cut-off.

2806 – Title VI Action Files. (N1-048-10-03) Records accumulated in reviewing Department of Justice reports of pending action against private organization, educational institutions and state and local governments that have received grants or loans but which have not complied with Title VI of the Civil Rights Act. Included are pending actions reports, coordination, and related papers.

Temporary: Cutoff at end of year in which documents are acquired. Destroy 4 years after cut-off.

2807 – Title VI Compliance Reviews (State Files). (N1-048-10-03) Records accumulated in making compliance reviews to determine the extent to which grant and loan recipients comply with the Title VI of the Civil Rights Act. Included are reports submitted by Interior compliance officers, follow-up reports, recommendations and final action plans.

Temporary: Cutoff at end of year in which review is completed. Destroy 17 years after cut-off.

2808 – Title VI Reports. (N1-048-10-03) Reports prepared by the Department that document its compliance with Title VI of the Civil Rights Act of 1964. These reports are forwarded to the Department of Justice, Office of Management and Budget, and other agencies.

Temporary: Cutoff at end of year in which report is completed. Destroy 5 years after cut-off.

2900 – Interagency Records

2901 – Records of the Illinois and Michigan Canal National Heritage Corridor (IMCNHC) Commission. (N1-048-05-09, Item 9130) Records pertaining to the commission, as established by the IMCNHC Act of 1984, and its amendments. The records cover the commission's existence from 1985-2004.

2901.1 Commission Minutes. (N1-048-05-09, Item 9130.1) This series is the official record of the proceedings of the Commission maintained by the Executive Director.

Disposition: Permanent. Transfer to NARA immediately upon termination of the Commission.

2901.2 Commission Meeting Correspondence. (N1-048-05-09, Item 9130.2) This series comprises correspondence to and from Commission members pertaining to Commission meetings and actions maintained by the Executive Director.

Disposition: Permanent. Transfer to NARA immediately upon termination of the Commission.

2901.3 Committee Records. (N1-048-05-09, Item 9130.3) This series includes minutes of meetings, reports, and correspondence of members of standing and special committees of the Commission.

Disposition: Permanent. Transfer to NARA immediately upon termination of the Commission.

2901.4 Policy and Bylaws. (N1-048-05-09, Item 9130.4) This series consists of statements, directives, and memoranda approved by the Commission that document the organization and functions of the Commission and its components.

Disposition: Permanent. Transfer to NARA immediately upon termination of the Commission.

2901.5 Commission Member Nominations and Appointments. (N1-048-05-09, Item 9130.5) This series includes records maintained by the Executive Director of Nominations and appointments of members of the Commission and consist of membership rosters, requests for approval of committee nominees, appointment documents for individual Commission members, and financial disclosure documents.

Disposition: Temporary. Destroy records 6 years after termination of Commission.

2901.6 Reports. (N1-048-05-09, Item 9130.6) This series is composed of copies of reports and studies produced by or for the Commission.

Disposition: Permanent. Transfer to NARA immediately upon termination of the Commission.

2901.7 Official Photographs. (N1-048-05-09, Item 9130.7a) This series comprises a collection of formal photographs of special events sponsored by the Commission and the Commission's meetings. This schedule covers only the official record copy of photographs, and not duplicates.

Disposition: Permanent. Transfer to NARA immediately upon termination of the Commission.

2901.8 Duplicate Photographs. (N1-048-05-09, Item 9130.7b) Duplicate copies of the photographs identified in 2901.7.

Disposition: Temporary. Destroy immediately.

2901.9 Web Content Records. (N1-048-05-09, Item 9130.8) This series is a snapshot of the Commission's web site prior to the sunset of the Commission.

Disposition: Temporary. Delete immediately.

2901.10 Executive Director Subject Files. (N1-048-05-09, Item 9130.9) This series includes correspondence, program subject and other files maintained by the Executive Director documenting functions of the Commission.

Disposition: Permanent. Transfer to NARA immediately on termination of the Commission.

2901.11 Publications. (N1-048-05-09, Item 9130.10) This series includes pamphlets, posters, news releases and other publications produced by or for the Commission.

Disposition: Permanent. Transfer to NARA immediately upon termination of the Commission.

2901.12 through 2901.14: These records reflect the Commission's actions as a recipient of an Economic Development Administration Revolving Loan Fund grant to stimulate economic activity associated within the canal corridor. Included are administrative records maintained to manage the loan program, audit reports and case files of loans awarded by the Commission.

2901.12 Grant Administrative Records. (N1-048-05-09, Item 9130.11a)

The administrative records include copies of board resolutions and management plans; loan review committee minutes and correspondence between the Commission and the Economic Development Administration (EDA), and loan application inquiries.

Disposition: Temporary. Destroy 6 years after close of the Federal Loan Fund (FLF) grant.

2901.13 Grant Audit Records. (N1-048-05-09, Item 9130.11b) The audit reports are for the financial statements of the IMCNHC Revolving Loan Fund.

Disposition: Temporary. Destroy 3 years after all issues resolved.

2901.14 Closed Loan Files. (N1-048-05-09, Item 9130.11c) The loan case files may include loan applications, loan agreements, promissory notes, security agreements, deeds of trust or mortgage agreements of prior lien holders, personal guaranty agreements for officers or owners of corporate borrowers, and related records.

Disposition: Temporary. Destroy 6 years after final payment of the principal, interest, fees, penalties and other costs associated with the loan.

2902 – Records of the Trans-Alaska Pipeline Liability Fund. (N1-048-01-01, Item 9140) Section 204(c) of the Trans-Alaska Pipeline Authorization Act (TAP Act), Pub. L. 93-153, 87 Stat. 576, 586 (1973), codified at 43 U.S.C. § 1653(c), created the Trans-Alaska Pipeline Liability Fund (Fund), a non-profit corporation governed by a Board of Trustees. Regulations issued by OS, DOI under 43 Code of Federal Regulations Part 29 authorize its specific activities. The TAP Act, as amended, established the Fund to pay certain claims for damages caused by discharges of Alaska Pipeline oil from ships transporting the oil from the pipeline's terminals to ports within the jurisdiction of the United States that occurred before August 18, 1990. The Fund is strictly liable for covered oil spill damages in excess of \$14 million up to \$100 million, or \$86 million, per incident [43 U.S.C. § 1653(c)(3)]. The Board of Trustees of the Fund determined that the Fund was liable for damages caused by three oil spills that occurred before August 18, 1990: the *Glacier Bay* spill in the Upper Cook Inlet in July 1987, the *Exxon Valdez* spill in Prince William Sound, Alaska in March 1989, and the *American Trader* spill off Huntington Beach, California in February, 1990.

Pursuant to section 8102(a)(2)(A) of the Oil Pollution Act of 1990, the Board of Trustees of the Fund reserved amounts within the fund necessary to pay claims under section 204(c) of the TAP Act and administrative expenses necessary for and incidental to the implementation of 204(c). The Comptroller General certified

to the Congress on December 23, 1994 that the trustees had established the required reserve. On December 22, 1995, after the trustees reduced the amounts in reserve, the Comptroller General certified to the Congress that the new reserve satisfied requirements of section 8102(a)(2)(A).

The Comptroller General certified the Fund's final payment of claims and administrative expenses on July 5, 2000. Under section 8102 of the Oil Pollution Act of 1990 the Fund was extinguished on September 5, 2000. It ceased operation on September 15, 2000.

2902.1 Annual Reports of the Board of Trustees. (N1-048-01-01, Item 9140.1) These contain summary information on the activities of the Board of Trustees, the membership of the Board for a given year, background information on the Fund, and statements on the financial position of the Fund. Dates range from 1978 through 1998, inclusive. Arranged chronologically.

Disposition: Permanent. Transfer to NARA immediately.

2902.2 Minutes of the Board of Trustees of the Fund. (N1-048-01-01, Item 9140.2) The Board conducted 129 meetings during its existence. The files include at least one legal memorandum for the Administrator and the Board that is marked "Privileged and Confidential/Attorney-Client Communication." This relates to the Exxon Valdez claim. Inclusive dates are from August 1977 through November 1999. Arranged chronologically.

Disposition: Permanent. Transfer to NARA immediately.

2902.3 Corporate Tax Returns. (N1-048-01-01, Item 9140.3) As a non-profit corporation governed by a Board of Trustees, the Fund was required to submit tax returns. The files include corporate tax returns prepared for the Fund by Arthur Anderson that include a client's copy and, in some instances, a public inspection copy. Form 990, US Return of Organization Exempt from Income Tax and related papers comprise the returns filed with the Internal Revenue Service. Other documentation includes forms filed with the County of Arlington, VA claiming exemption from business taxes and some Biennial Reports to the State of Alaska. Inclusive dates range from January 1989 through February 2000. The records are arranged chronologically, more or less.

Disposition: Temporary. Retire to the Washington National Records Center. Destroy when 7 years old.

2903 – Records of the Southwestern Pennsylvania Heritage Preservation Commission (SPHPC). (N1-048-09-07) These records concern the SPHPC, which existed from 1988-2008. The Commission sunset on November 18, 2008.

2903.1 Executive Director Subject Files. (N1-048-09-07) Correspondence, program subject, meetings, and other files maintained by the Executive Director documenting his activities.

Disposition: Temporary. Cut off at termination of Commission. Destroy 6 years after cut-off.

2903.2 Grant Files. (N1-048-09-07) Official record of grants issued by Commission, including application, project description and studies, economic impact statements, correspondence, photos, drawings and description of building restorations, and documentation of payments. Includes State Grant Files, which were jointly funded by State of Pennsylvania and the Commission.

Disposition: Temporary. Cut off at final payment of grant. Destroy 7 years after cut-off.

2903.3 Project Files. (N1-048-09-07) Working papers of the project managers at SPHPC, documenting oversight of projects run by or funded by the Commission. Includes proposals and descriptions of projects, correspondence, meeting records, cost and progress reports, newspaper clippings and similar materials necessary to manage projects. Some contain copies of final products.

Disposition: Temporary. Cut off at completion of project. Destroy 10 years after cut-off.

2903.4 Minutes. (N1-048-09-07) Official record of recurring Commission meetings.

Disposition: Permanent. Cut off at termination of Commission. Transfer to National Archives immediately after cut-off.

2903.5 Policy and Bylaws. (N1-048-09-07) Directives, policy statements and memoranda approved by SPHPC that documents the organization and functions of its components.

Disposition: Permanent. Cut off at termination of Commission. Transfer to National Archives immediately after cut-off.

2903.6 Reports. (N1-048-09-07) Reports and studies produced by or for the Commission.

Disposition: Permanent. Cut off at termination of Commission. Transfer to National Archives immediately after cut-off.

2903.7 Publications. (N1-048-09-07) Books, pamphlets, posters, news releases, and other publications produced by or for the Commission.

Disposition: Permanent. Cut off at termination of Commission. Transfer to National Archives immediately after cut-off.

2903.8 Commission Member Nominations. (N1-048-09-07) Records of nominations of members of the commission, including membership rosters, appointment documents, and financial disclosure documents.

Disposition: Temporary. Cut off at termination of Commission. Destroy 6 years after cut-off.

2903.9 Meeting Correspondence. (N1-048-09-07) Correspondence between SPHPC members pertaining to commission meetings and actions.

Disposition: Permanent. Cut off at termination of Commission. Transfer to National Archives immediately upon cut-off.

2903.10 Executive Committee Records. (N1-048-09-07) Minutes of meetings, reports, and correspondence of members of standing and special committees.

Disposition: Permanent. Cut off at termination of Commission. Transfer to National Archives immediately upon cut-off.

2903.11 Other Committee Meeting Files. (N1-048-09-07) Correspondence, agendas, meeting notes, travel arrangements and expenses and other records of committees or organizations on which the Commission was represented but did not sponsor.

Disposition: Temporary. Cut off at termination of Commission. Destroy 6 years after cut-off.

2903.12 Survey and Field Notes. (N1-048-09-07) Interviews, sometimes recorded and sometimes transcribed, notes of meetings, public events and historical research gathered during cultural surveys for publications about geographic, industrial/economic, social and ethnic life in Southwest Pennsylvania. The cultural surveys resulted in a series of publications about significant aspects of Southwest Pennsylvania heritage.

Disposition: Temporary. Cut off at completion of survey. Destroy 10 years after publication.

2903.13 Photographs. (N1-048-09-07) Formal photographs of meetings and special events sponsored by the Commission.

Disposition: Permanent. Cut off at termination of the Commission. Transfer to the National Archives immediately after cut-off.

3000 – Program Offices: Policy, Management, & Budget

3100 – Office of the Chief Information Officer (OCIO).

The Office of the Chief Information Officer (OCIO) at DOI is responsible for providing policy, guidance, advice and oversight for IT security, while the senior official for IT systems at each bureau is responsible for the security and protection of bureau IT systems.

OCIO Director's Office Files.

The OCIO Director's Office provides leadership to the OCIO divisions for the following functional areas: IT investment and portfolio management, enterprise architecture, cyber-security, information resources management (including Freedom of Information Act, Privacy Act, records management, and DOI's web presence) and telecommunications services (including voice, data, and radio communication systems and services.) Authorities for the organization are: the Paperwork Reduction Act, the Clinger-Cohen Act (formerly known as the Information Technology Management Reform Act of 1996), the Government Paperwork Elimination Act, the Federal Records Act, the Freedom of Information Act, the Privacy Act, the Federal Information Security Management Act, and the E-Government Act of 2002.

The Director's Office responsibilities include: policy and policy development; program planning; committees/meetings; monitoring legal matters and projects/issues; and submitting and receiving reports and presentations.

3101 OCIO Reports & Presentations Files. (N1-048-08-01) These files contain reports related to the OCIO that are issued or received by the OCIO on a one-time or recurring basis for informational purposes. (Reports requiring formal review or action should be filed with the appropriate Program or project.) Files contain supporting documentation for reports issued, including, but not limited to bureau and office submissions for inclusion in Departmental reports, along with correspondence, e-mails and other communications necessary for the development of the report.

3101.1 Reports and presentations received by the OCIO. (N1-048-08-01)

Disposition: Temporary. Cut-off files at the end of the fiscal year in which the report is issued. Destroy when no longer needed for agency business.

3101.2 Reports and presentations issued by the OCIO and their supporting documentation. (N1-048-08-01)

Disposition: Temporary. Cut-off files at the end of the fiscal year in which the report is issued. Destroy 5 years after cut-off.

3102 OCIO Legal Matters Files. (N1-048-08-01) These files contain copies of court or litigation-related documents affecting the OCIO and the Director's Office's related records. Records include but are not limited to: copies of injunctions, pleadings, correspondence, notes, reports, and depositions. Files are organized by case or subject name.

Disposition: Temporary. Cut-off files at the end of the fiscal year in which an individual court order expires or the related case or any related appeals are closed, whichever is later. Destroy 3 years after cut-off.

3103 OCIO Project Planning Files. (N1-048-08-01) These files contain project plans for the OCIO. The project plan file elements and artifacts include, but are not limited to: project authorization (charter), scope of work (product scope and solution architecture), integrated management control plan, project baselines and supporting documentation.

Disposition: Temporary. Cut-off files at the end of the fiscal year in which the related capital investment is terminated, or when it is determined that the project will not be implemented. Destroy 15 years after cut-off.

IT Capital Planning and Investment Control (IT CPIC) Program Files.

The OCIO is responsible for defining roles and responsibilities for all aspects of the DOI Information Technology Capital Planning and Investment Control (IT CPIC) Program, and facilitating and coordinating the process for the Department, bureaus and offices. The IT CPIC process is a systematic approach to select, manage, and evaluate IT investments as mandated by the Clinger-Cohen Act of 1996 and prescribed by the Office of Management and Budget (OMB) Circular A-130. The process strives to assist management in ensuring that IT investments are well thought out, cost-effective, and support the missions and business goals of the organization.

3104 IT CPIC Program, OMB Submission Files (e.g. Exhibit 300s and Exhibit 53s). (N1-048-08-01) These files contain Departmentally approved records submitted to OMB, such as Exhibit 300s and Exhibit 53s, along with supporting information including subject matter expert (SME) reviews. The contents of the files include, but are not limited to: drafts, business cases, correspondence, and the final documents submitted to OMB.

3104.1 Final OMB Submissions and Supporting Documentation. (N1-048-08-01)

Disposition: Temporary. Cut-off files at the end of the fiscal year in which the related capital investment is terminated, or when it is

determined that the project will not be implemented. Destroy 15 years after cut-off.

3104.2 Drafts (N1-048-08-01)

Disposition: Temporary. Cut-off files at the end of the fiscal year in which the submission is approval. Destroy when no longer needed for agency business.

3104.3 SME Reviews (N1-048-08-01)

Disposition: Temporary. Cut-off files at the end of the fiscal year in which the related capital investment is terminated, or when it is determined that the project will not be implemented. Destroy 15 years after cut-off.

3105 Electronic Capital Planning & Investment Control (E-CPIC) System Data Files. (N1-048-08-01) The E-CPIC System is a government owned technology system (GOTS) implemented at the Department in 2004. E-CPIC manages and controls the Department of Interior's initiatives, portfolios, and investment opportunities. E-CPIC is also a tool to help prepare, budget and submit required reports to the Office of Management and Budget (OMB), such as the OMB Exhibit 300s and is a repository for retaining records related to the Department's IT planning and investments.

Information in the system is input from the Department and bureaus. Information includes system information, such as: agency name, business cases, resource library records, cost benefit analysis (CBA), performance measurements and financial related data.

Disposition: Temporary. Cut-off files at the end of the fiscal year in which the related capital investment is terminated, or when it is determined that the project will not be implemented. Destroy 15 years after cut-off.

3106 RESERVED.

Enterprise Resource Management (ERM) Program Files

The OCIO is responsible for facilitating and coordinating Department-wide efforts for ensuring that the IT products and services procured for the Department are cost-efficient, and consistent with the established technical architecture standards and IT security guidelines. The ERM Program coordinates and consolidates the acquisition and management of commonly used IT hardware and software products and services across the organization that best support the Department's key missions and programs. Program files include policy, policy development, guidance, agreement project files and training.

3107 IT-Related Licensing/Purchasing Agreement Project Files. (N1-048-08-01) These files contain the Department's enterprise licensing/purchasing agreement project files, such as the development of software licensing agreements (e.g. the Oracle Enterprise Agreement and Microsoft Enterprise Agreement). Typical project components include: defining product requirements; vendor competition; technical consultation related to product selection, integration, and deployment; and marketing and outreach to the ERM Program's users. These files include: project planning records, meeting documentation, contact information, and training/outreach products related to specific agreements. Project planning records include, but are not limited to: correspondence; e-mail; memoranda; notes; project plans; milestone charts; and strategy and briefing papers. Project planning records include, but are not limited to: analysis of new program requirements; communications, in the form of e-mail and memoranda to and from those involved in the planning process; and final and draft plans with supporting documents. Meeting records relating to specific projects include, but are not

limited to: correspondence, planning documents; sign-in sheets; meeting notes; official meeting minutes; handouts; presentations; and reports. Contact records include, but are not limited to: contact lists and non-substantive communications in the forms of e-mail, correspondence, and memoranda. Training/outreach products include, but are not limited to: instructions; tips; PowerPoint training slides; and general educational/outreach information.

Disposition: Temporary. Cut-off files at the end of the fiscal year in which project closes. Destroy 10 years after cut-off.

Interior Enterprise Architecture (IEA) Program Files

The IEA Program of OCIO is responsible for facilitating and coordinating Department-wide efforts for compliance with Clinger-Cohen Act of 1996; Office of Management and Budget (OMB) Circular A-130; and other Federal and Interior Enterprise Architecture (FEA and IEA) requirements. Each bureau and office is responsible for developing and implementing a program that is compliant with the laws and regulations related to the FEA. The OCIO's IEA Program includes: issuing regulations and general guidance; documenting and promulgating approved practices and procedures; coordinating the required activities; reporting; providing Departmental training; and providing technical advice on the IEA Program and its related laws and regulations.

3108 DOI Enterprise Architecture Repository (DEAR) System Data Files.

(N1-048-08-01) The DEAR system is a dynamic repository of integrated Department, bureau and office enterprise architecture data. DEAR is an enterprise modeling and reporting tool used by the Department's capital planning, security, and procurement areas.

These files contain metadata (information) relating to Departmental, bureau, and program office systems, subsystems and system components. Information includes diagrams, system architecture, department loads (e.g. investment Exhibit 300 data, certification and accreditation attributes), and inventory data. General system information is entered into the system while more technical system information is typically imported into DEAR via spreadsheets and/or through an interface with individual Bureau Enterprise Architecture Repository (BEAR) systems. The general system information includes, but is not limited to: the system name, version, acronym, operational status, system description, any 'also known as' names, and estimated end of system life. The technical system information includes but is not limited to: data on investment architecture, system architecture, and deployment architecture.

The DEAR Master Data Files contain metadata about Trust systems, but no actual Indian Trust data is managed in DEAR.

Disposition: Temporary. Destroy data files and any related metadata 20 years after the data is input, updated, created within the system, or when no longer needed for agency business, whichever is longer.

3109 DEAR Reports. (N1-048-08-01) These files contain information output from the system, which includes: DEAR model reporting, reference model reporting, validation reporting, and analysis reporting typically in the form of methodologies. Information is output in the form of ad-hoc and standard reports, encyclopedias, and models based on the Federal Enterprise Architecture (FEA), which in some cases have an extension of data specific to the Department. The primary models include: the Performance Reference Model (PRM), which links the DOI Strategic Plan to the OMB FEA PRM as well as the Department activity based costing work activities; the Business Reference Model (BRM), which links the activity based costing work activities to the FEA BRM as well as extending them for specific lines of business: law enforcement, financial management, recreation, and wildland fire management; the Service Reference Model (SRM), which adds domain principles and best practices, but no new extensions to the FEA SRM; the Technical Reference Model (TRM), which adds standard and technical service/product specifications used at the Department to the FEA TRM; and the Data Reference Model (DRM), which is for specific lines of business, based on principles of the FEA DRM (saved in a separate encyclopedia).

This record series includes reports on systems that contain Indian Fiduciary Trust data, but no actual Trust data is in the DEAR system.

3109.1 Short-term Reports. (N1-048-08-01) Includes ad-hoc report files created by users on a one-time or routine basis.

Disposition: Temporary. Cut-off files at the end of the fiscal year in which the report is created. Destroy when no longer needed for agency business.

3109.2 Long-term Reports. (N1-048-08-01) Includes reference models, blueprints, strategies, and any standard report files.

Disposition: Temporary. Cut off files at the end of the fiscal year in which reports are produced. Destroy 15 years after cut-off, or when no longer needed for agency business, whichever is later.

DOI Website Management Program Files

The OCIO is responsible for facilitating and coordinating Department-wide efforts for compliance with web site standards. Each bureau and office is responsible for developing and implementing a program that is compliant with the Website Management Program's standards. The OCIO's Program includes: issuance of policies relating to the program, program planning, and technical advice on website management standards and requirements.

3110 Website Review/Approval. (N1-048-08-01) These files contain records relating to the DOI's review and approval of Department, bureau and office website content, format, and structure. Files include, but are not limited to: communications, in the form of e-mails and memoranda, and copies of proposed or actual content, format, and structure.

Disposition: Temporary. Cut-off files at the end of the fiscal year. Destroy 2 years after cut-off.

3111 Website Compliance. (N1-048-08-01) These files contain records relating to the DOI's website compliance with federal and DOI standards, such as the Privacy Act, Section 508, and Freedom of Information Act. Files include, but are not limited to: spreadsheets tracking compliance, communications, in the form of e-mails and memoranda, and regulations, information and research relating to compliance requirements.

Disposition: Temporary. Cut-off files at the end of the fiscal year. Destroy 3 years after cut-off.

Enterprise Network and Computer Services Programs

These files contain records of major enterprise network and computer services initiatives and related projects that enable the Department to improve network and computer services' performance, minimize redundancies throughout the Department, reduce total costs of ownership, and improve reliability. Some of the major projects/initiatives include the Active Directory (AD) and the Enterprise Services Network (ESN), which is a phased approach to one common enterprise network.

3112 Change and Configuration Management (CCM) Files. (N1-048-08-01)

These files contain records of configuration management and change management, including the planning, follow-up, and impact assessment of operational networks and systems. The content of the files include, but are not limited to: data and detailed reports on implementation of systems, applications and modifications; application sizing, resource and demand management; and documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting implementation of changes, such as the "ESN Operational Change Management Request for Change (RFC) Form". Note:

Records such as the "CCM Policies and Responsibilities" policy, the Connection Approval Process (CAP), and the CCM strategy recommendations report are included in the policy and planning sections of this schedule. Files are organized by the type/device being changed.

Disposition: Temporary. Cut-off files when type/device or system terminates. Destroy 1 year after cut-off.

3113 Major Projects/Initiatives Files. (N1-048-08-01) These files contain records relating to non-routine, long-term, substantive issues or projects, such as the Enterprise Services Network (ESN), the Interior Enterprise Access Control Services (EACS) initiative, the Active Directory (AD) project, and the Enterprise Messaging Services (EMS) project. Files are organized by major project/initiatives, and the file plan will be further broken down to address individual project components/tasks at a future date. Typical project structures will include type of project categories: statements of work (SOWs), requests for proposals (RFP), and lessons learned documentation. In addition, the following standard categories of project planning, meeting information and contact information may apply to each project/initiative. Project planning records include, but are not limited to: correspondence; e-mail; memoranda; notes; project plans; milestone charts; and strategy and briefing papers. Project planning records include, but are not limited to: analysis of new program requirements; communications, in the form of e-mail and memoranda to and from those involved in the planning process; and final and draft plans with supporting documents. Meeting records relating to specific projects include, but are not limited to: correspondence, planning documents; sign-in sheets; agendas; meeting notes; official meeting minutes; handouts; presentations; and reports. Contact records include, but are not limited to: contact lists and non-substantive communications in the forms of e-mail, correspondence, and memoranda.

Disposition: Temporary. Cut-off files at the end of the fiscal year after planning process ends. Destroy 5 years after cut-off.

3114 RESERVED.

Enterprise Radio/Spectrum Program Files

The OCIO is responsible for facilitating and coordinating Department-wide efforts related to the Enterprise Radio/Spectrum Program to ensure compliance with laws, regulations and standards from regulators such as the National Telecommunication Information & Administration (NTIA). The Program establishes policy, provides technical advice/guidance, manages projects, and manages the Department's radio frequency assignments.

3115 Enterprise Radio/Spectrum Program, Radio Frequency Assignment Files. (N1-048-08-01) These files contain a record of the management and engineering of the Department's licenses, which includes the requesting,

processing, certifying, tracking of radio frequency proposal information, and assigning of radio frequency authorizations. Records include, but are not limited to copies of MOUs, requests, drawings, and any other information required to be submitted with the Department's proposals.

Disposition: Temporary. Cut-off files at the end of the fiscal year in which assignment is cancelled. Destroy 3 years after cut-off.

3116 – Cyber Security Program. (N1-048-06-08) The OCIO's Computer Security Program is responsible for ensuring bureau and office compliance with Federal system and program IT security requirements, collaborating with the Department's enterprise architecture to ensure the implementation of sound security infrastructure for all DOI IT systems, and creating IT security policies, directives, standards, technical bulletins, guidelines, processes, and procedures for compliance with Federal Information Security Management Act (FISMA), OMB Memorandums and Circulars, Government Accountability Office (GAO), and industry standards and best practices.

3116.1 Critical Infrastructures. (N1-048-06-08) These files concern the identification, prioritization, and protection of critical infrastructures in the Cyber Security Division, as outlined by the December 17, 2003 Homeland Security Presidential Directive/Hspd-7 (Critical Infrastructure Identification, Prioritization, and Protection).

Disposition: Temporary. Cut off files on the formal conclusion of the project or issue. Destroy 5 years after cut-off or when no longer needed for agency business, whichever is later.

3116.2 through 3116.4: The OCIO is responsible for maintaining Certification and Accreditation (C&A) on DOI systems and the accompanying documentation such as system inventory, system security plans, C&A packages, contingency plans, assessments, and authorizations for the system to operate.

3116.2 System Certification & Accreditation (C&A) Files. (N1-048-06-08) These files include documents created in the process of generating official C&A documents, such as C&A packages and Command Center System Files. Records include: Presentations, graphs, charts; memos, emails, faxes; meeting notes, meeting agendas, C&A summary reports; methodology, checklists, frameworks, C&A process; systems inventories; and Privacy Impact Assessments.

Disposition: Temporary. Destroy 7 years after the end of each system's life-cycle or when the files are no longer needed for agency business, whichever is later.

3116.3 C&A Documentation Files. (N1-048-06-08) Consists of C&A packages created by OCIO. These files include copies of records relating to system security, including records documenting periodic audits or review and re-certification of sensitive applications, disaster and continuity plans, and risk analysis, as described in OMB Circular No. A-130.

Arranged by bureau, then by system.

Disposition: Temporary. Destroy 7 years after the end of each system's life-cycle or when the files are no longer needed for agency business, whichever is later.

3116.4 – C&A “Command Center” System. (N1-048-06-08) These files contain documents regarding the C&A Command Center System, for the coordination and management of C&A data.

These files contain the master copy of data held by the C&A Command Center for the maintenance and administration of C&A functions.

Disposition: Temporary. Cut off at the end of the system's (Command Center's) life-cycle if all other active data has been migrated to any replacement information management system. Destroy 7 years after cut-off or when no longer needed for agency business, whichever is later.

3116.5 through 3116.7: The CSD covers all activities that contribute to the delivery of Plan of Action & Milestones (POA&M) reports to OMB and provides support to Bureau IT Security Managers (BITSMS) to assist in their effort to manage and remediate weaknesses and vulnerabilities to IT systems. CSD provides a consolidated quarterly package to the Chief Information Officer for submission to OMB.

3116.5 Quarterly POA&M Package. (N1-048-06-08) These files contain supporting information for the Cyber Security Program quarterly POA&M report.

Arranged by fiscal year then OMB reporting quarter.

Disposition: Temporary. Cut off on the date of report. Destroy when no longer needed for agency business.

3116.6 POA&M Bureau/Office Data Files. (N1-048-06-08) These files include data and information from bureaus and program offices supporting POA&M reports.

Arranged by fiscal year, OMB reporting quarter, bureau, then by system.

Disposition: Temporary. Cut off on the date of report. Destroy when no longer needed for agency business.

3116.7 POA&M Exhibit 300's. (N1-048-06-08) These files contain reviews for compliance with Exhibit 300 (Capital Asset Plan and Business Case Summary) of OMB Circular A-11, PART 7-PLANNING, BUDGETING, ACQUISITION, AND MANAGEMENT OF CAPITAL ASSETS.

Arranged by fiscal year then OMB reporting quarter.

Disposition: Temporary. Cut off on the date of report. Destroy when no longer needed for agency business.

3116.8 through 3116.11: The Cyber Security Division (CSD) Enterprise Security Architecture (ESA) aligns security with DOI's business mission and IT mission priorities. ESA validates its recommendations according to these parameters and ensures that the recommendations and guidance are consistent with IT security policies and Secure Technical Implementation Guidelines (STIG). The ESA is responsible for maintaining enterprise architecture files such as waiver requests, e-authentication files, and STIGs.

3116.8 ESA Waiver Requests Files. (N1-048-06-08) Files include waiver requests to ESA and all supporting documentation.

Disposition: Temporary. Cut off on the date of issue. Destroy 5 years after superseded, or when no longer needed for agency business, whichever is later.

3116.9 ESA E-Authentication Files. (N1-048-06-08) Files include electronic and paper copies of e-authentication files for security maintenance and monitoring.

Disposition: Temporary. Cut off on the date of issue. Destroy 5 years after superseded, or when no longer needed for agency business, whichever is later.

3116.10 ESA STIG. (N1-048-06-08) Files contain documents generated by ESA for compliance with STIG and any documents relating to the formulation or analysis of those and related guidelines.

Disposition: Temporary. Cut off on the date of issue. Destroy 5 years after superseded, or when no longer needed for agency business, whichever is later.

3116.11 ESA Standards. (N1-048-06-08) Files contain correspondence, guidance, and other files pertaining to ESA Standards and requirements, including final documents for release.

Disposition: Temporary. Cut off on the date of issue. Destroy 5 years after superseded, or when no longer needed for agency business, whichever is later.

3116.12 through 3116.14: The OCIO is responsible for maintaining incident coordination center files such as incident monitoring and reporting documentation. 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.

3116.12 Computer Incident Files. (N1-048-06-08) Files contain records of incidents and incident management within the Cyber Security Program. These include weekly teleconference minutes concerning incident reports and analyses; weekly vulnerability notices and alert; annual analyses of system vulnerability and proposed prevention for future incidents; and incident reports and summary reports generated on a weekly, monthly, and annual basis.

Disposition: Temporary. Cut off when the agency determines they are no longer needed for administrative, legal, audit, or other operational purposes. Destroy 3 years after all necessary follow-up actions have been completed.

3116.13 Incident Files – Supporting Documents. (N1-048-06-08) These files contain general records generated as supporting documents and working files for the creation of incident reports, summaries, and other official documents; included are correspondence via email or memoranda, notes, charts and graphs, and other miscellaneous documents.

Disposition: Temporary. Cut off when the agency determines they are no longer needed for administrative, legal, audit, or other operational purposes. Destroy 3 years after all necessary follow-up actions have been completed.

3116.14 – Cyber Security Program, Incident Tracking System. (N1-048-06-08) Files contain documents relating to the Incident Tracking System, which tracks and monitors incidents and incident trends. Includes master copy of data used and maintained by the system.

Disposition: Temporary. Cut off when the agency determines they are no longer needed for administrative, legal, audit, or other operational

purposes. Destroy 3 years after all necessary follow-up actions have been completed.

3116.15 Cyber Security Program Reports. (N1-048-06-08) The primary objective of the CSD program reports is to ensure bureau and office compliance with Federal System and Program IT Security requirements and prepare them for external audits through consistent assessment and feedback. Compliance reporting assures regulatory agencies (e.g., Congress, OMB, GAO) that the Agency continually maintains security on their IT systems.

CSD is responsible for maintaining program reports files including (but not limited to): monthly Congressional scorecards, annual FISMA reports, monthly Interior IT scorecards and presentations, Internal Control Reviews (ICR), Performance Accountability Reports (PAR) and Assurance Statements, OIG test, evaluation, and compliance reports, and annual assurance statements.

Reports received:

Disposition: Temporary. Cut off on the date of report. Destroy when no longer needed for agency business.

Reports issued and supporting documentation:

Disposition: Temporary. Cut off on the date the report is issued. Destroy 5 years after cut-off.

3116.16 – 3116.19: The OCIO is responsible for maintaining documentation of pending court cases relevant to the CSD. These files include court orders, court actions, and reports to the court. These files contain copies of court or litigation-related documents affecting the security posture of the Department.

These files are classified as Indian Fiduciary Trust (IFT) records.

3116.16 Court Order Files. (N1-048-06-08) These files contain CSD copies of court orders that directly impact Cyber Security policy and procedures. These files also include site visits to ensure compliance with court orders.

Arranged by Bureau.

Disposition: Permanent. Cut off files upon the expiration of an individual court order or upon closure of the related case or any related appeals. Retire to Federal Records Center 6 years after cut-off of final court action or when no longer needed for agency business. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between DOI and NARA.

3116.17 Court Action Files. (N1-048-06-08) These files CSD copies of court actions affecting Cyber Security policy and procedures.

Arranged by Bureau.

Disposition: Permanent. Cut off files upon the expiration of an individual court order or upon closure of the related case or any related appeals.

Retire to Federal Records Center 6 years after the cut-off of final court action or when no longer needed for agency business. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between DOI and NARA.

3116.18 Reports to the Court. (N1-048-06-08) These files contain CSD reports to the court on cyber security progress and development, as required by court orders and actions. These files also include requests to reconnect and other associated requests.

Arranged by Bureau.

Disposition: Permanent. Cut off files upon the expiration of an individual court order or upon closure of the related case or any related appeals.

Retire to Federal Records Center 6 years after the cut-off of final court action or when no longer needed for agency business. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between DOI and NARA.

3116.19 Input to Workings of the Court. (N1-048-06-08) These files contain working copies and supporting documents used for the generation of quarterly reports to the court. Included are reports from bureaus and offices to be included in the quarterly report.

Arranged sequentially according to court assigned quarters.

Disposition: Permanent. Cut off files upon the expiration of an individual court order or upon closure of the related case or any related appeals.

Retire to Federal Records Center 6 years after the cut-off of final court action or when no longer needed for agency business. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between DOI and NARA.

3117 – Year 2000 (Y2K) Computer Century Conversion Activities. (N1-048-01-03) Exclusions: Y2K documentation for a specific computer system (file and dispose of with specific system documentation; see 1400); record copy of directives issued (General Records Schedule 16/1a, NC1-GRS-81-5).

3117.1 Y2K Policy and Planning Records, Official Copy. (N1-048-01-03) Records created or approved by the agency head or by the heads of program offices that document efforts taken to identify potential problems, assess risks, and implement strategies for agency Y2K compliance and contingency. Records include reports outlining overall strategies, project plans, risk assessments, priority listings, disaster recovery plan/continuity of operations plan covering this time period, system identification criteria, minutes of meetings and discussions, checklists, and summary progress reports.

Records are maintained by office managing overall agency Y2K compliance effort, arranged alphabetically by subject.

Disposition: Temporary. Cut off at end of year of project completion. Retire to WNRC 1 year after cut-off. Destroy 15 years after cut-off.

3117.2 Y2K Policy and Planning Records, Other copies. (N1-048-01-03) Other Copies of records covered by 3117.1, as well as detailed background records, routine emails and drafts of guidance.

Disposition: Temporary. Cut off at end of year of project completion. Retire to WNRC 1 year after cut-off. Destroy 8 years after cut-off.

3117.3 – 3117.5: Records associated with all administrative aspects of Y2K projects, including budgeting, resource allocation, logistics, unit level project management, feeder status and progress reports, status tracking documentation, system inventories, training and briefings and related materials.

3117.3 Y2K Budget and Supplemental Funding Documents. (N1-048-01-03) Includes Budget estimates, documents tracking resource allocation and expenditures for Year 2000 supplemental funding, and all associated guidance and justification. Documents are arranged alphabetically by bureau or office name within two categories: budget estimates, and allocation/expenditure documents.

Disposition: Temporary. Cut off at end of year after project completion. Retire to WNRC 1 year after cut-off. Destroy 15 years after cut-off.

3117.4 Y2K Planning and Implementation Materials for Day One Period. (N1-048-01-03) For awareness and public affairs projects; and for interagency working groups of which agency was a member, but was not the lead agency.

Disposition: Temporary. Cut off at end of year after project completion. Retire to WNRC 1 year after cut-off. Destroy 3 years after cut-off.

3117.5 Other Y2K Administrative Records. (N1-048-01-03) Includes copies and supplemental records to those contained in 3117.3 and 3117.4.

Disposition: Temporary. Cut off at end of year after project completion. Retire to WNRC 1 year after cut-off. Destroy 3 years after cut-off.

3117.6 & 3117.7: Records that document analyzing, modifying, testing, compliance, and verifying systems for Y2K compliance. Includes certificates of verification and approvals.

3117.6 Actions Taken for Systems. (N1-048-01-03) These records include summary records pertaining to the analysis of actions taken for specific systems, such as: configuration and design analyses, application of selection criteria, changes made to system, revisions or additions to systems documentation, and final reports or audits of system status. Typically document justifications to repair, retire, or replace system in relation to Y2K concerns.

Disposition: Temporary. Cut off files at project completion. Retire to WNRC 1 year after cut-off. Destroy 10 years after cut-off.

3117.7 Revision, Testing, and Validation of Systems. (N1-048-01-03) Includes detailed records of the revision, testing, and validation of a specific system or group of systems, such as: listings of potential problems, test plans, test data, test procedures and results, final validation results, and quality assurance reviews.

Disposition: Temporary. Cut off at project completion. Retire to WNRC 1 year after cut-off. Destroy 3 years after cut-off.

3117.8 Y2K Audiovisual Materials. (N1-048-01-03) Posters prepared for and issued within DOI to inform employees of Y2K activities. Videotape of Y2K public awareness events.

Official record copy includes 2 copies each poster or videotape.

Disposition: Permanent. Transfer to NARA upon approval of this schedule. Item without enduring value will be destroyed during processing under appropriate GRS 21 authorities.

3117.9 Y2K Website Content Records. (N1-048-01-03) Electronic copies of documents such as press releases, directives, publications, Y2K planning documents, status updates, and list of responsible persons. The disposition of the recordkeeping copies of these is provided for elsewhere in this schedule or other agency records schedules.

Disposition: Temporary. Destroy/delete 3 years after removal from the Department of the Interior Home Page.

3117.10 Y2K Website Management Records. (N1-048-01-03)

Recordkeeping copies of correspondence, reports, studies, issuances, and graphic design records relating to the overall development, construction, and management of the site or those used to administer the site.

Disposition: Temporary. Cut off files at project completion. Retire to WNRC 1 year after cut-off. Destroy 3 years after cut-off.

3118 – Metric Conversion Act Files. (N1-048-06-05) The OCIO within the Office of the Secretary was responsible for facilitating and coordinating Department-wide efforts for compliance with the Metric Conversion Act of 1975. This Act, and its related amendments, mandated a voluntary conversion of the Federal Government to the metric system. The contents of these files, dating from approximately 1990 through 1998, total less than 1.0 cubic foot and include, but are not limited to: copies of the Metrics Conversion Act and amendments; Department Manuals; submissions for the Annual Report to Congress; meeting records of the "Interior Metric Work Group" and the "Interagency Council on Metric Policy"; communications in the form of e-mails, memoranda, and letters; plans; training records; and research.

Disposition: Temporary. Cut off upon program closure or on the last date of program activity. Destroy 5 years after file cut-off.

3119 Section 508 (Electronic Information Technology Accessibility)

Complaint Files. (N1-048-06-05) The OCIO is responsible for facilitating and coordinating Department-wide efforts for compliance with Section 508 of the Rehabilitation Act (29 U.S.C. 794D), as amended. Under Section 508, Federal agencies are required to ensure that they develop, procure, maintain and use accessible electronic information technology. Each bureau and office within the Department is responsible for developing and implementing a program that is compliant with Section 508.

These files contain records relating to the adjudication of Section 508 complaints, which are processed by the OCIO. Case file records include, but are not limited to: formal communications to and from complainants; e-mail messages to and from electronic information technology providers and operators; notes regarding findings; and any other records pertinent to the resolution of Section 508 complaints.

Disposition: Temporary. Cut off at issuance of final agency letter issued in response to complaint. Destroy years after cut-off.

3120 – Section 515 (Quality of Government Information) Files. (N1-048-06-05) The Office of the Chief Information Officer (OCIO) within the Office of the Secretary is responsible for facilitating and coordinating Department-wide compliance with Section 515 of the Treasury and General Government Appropriations Act for Fiscal Year 2001, Public Law 106-554, which requires federal agencies to issue procedures to ensure and maximize the quality, utility, objectivity, and integrity of government information disseminated to the public. Each bureau and office within the Department is responsible for developing and implementing a program that is compliant with Section 515.

3120.1 Section 515 Complaint Files. (N1-048-06-05) These files contain records relating to the adjudication of Section 515 complaints received by the OCIO. Case file records include, but are not limited to: formal communications to and from complainants; communication to and from program office(s) disseminating the information being challenged; documents detailing findings; and any other records pertinent to the appeal and/or resolution of Section 515 complaints.

Disposition: Temporary. Cut off at issuance of final agency letter issued in response to complaint. Destroy 5 years after cut-off.

3120.2 Section 515 Annual Information Quality Reports. (N1-048-06-05) Information Quality Reports submitted annually to OMB.

Disposition: Temporary. Cut off upon submission of report. Destroy 15 years after cut-off.

3121 – FOIA Annual Report to Congress. (N1-048-10-06) Files concern annual FOIA report to Congress and DOJ as required by the Freedom of Information Act. Files include official version of report with supporting documents, excluding drafts and working papers.

Disposition: Permanent. Cut off at end of fiscal year in which report is made. Transfer to NARA 10 years after cut-off.

3151 Electronic FOIA Tracking System (EFTS) (N1-048-09-13) An administrative system used by the Department of the Interior's Freedom of Information Act offices to electronically store, track, and manage information related to FOIA and Privacy Act requests and responses. The data from the system is also used for generating the annual FOIA activity report to the Department of Justice.

The schedule also covers the FOIAXpress tracking system used by the Office of Inspector General.

Disposition: Temporary. Cut off at end of fiscal year in which the request is completed and/or closed. Destroy/delete 6 years after the cut-off date.

3200 – Take Pride in America

These files contain records documenting the Take Pride in America program. This program, originated in 1985 by Secretary Donald Hodel, and re-launched in 2003 by Secretary Gale Norton under the U.S.A. Freedom Corps, is a national partnership, coordinated by OS, that recruits, supports and recognizes volunteers who work to improve public parks, forests, grasslands, reservoirs, wildlife refuges, cultural and historic sites, local playgrounds, and other recreation areas. It involves federal, state and local governments; conservation, youth and recreation groups; and top national corporations and organizations in protecting and enhancing the public lands managed by federal, state, and local governments that together include more than one in every three acres of the United States.

3201 –Award Files. (N1-048-05-12, Item 9101) These files contain records on individuals and organizations nominated for Take Pride in America awards. Information contained in these files include the names of individuals/organizations being nominated, plus contact information; category of award, name and contact information for persons submitting nominations; description of project or activity which forms the basis for the award; location of project or activity, State, ownership, U.S. Congressional District; length of project or activity; subject area/type of project; total volunteer hours donated, total number of people involved; description, objective, results, outcomes; community or partnership references and sources of funding or materials donations; and other information necessary to manage the public awareness component of the Take Pride in America program.

Records relating to individuals in these files are covered by Privacy Act System of Records Interior/OS-14: “Take Pride in America System.”

3201.1 Records relating to nominees selected as winners and finalists for awards. (N1-048-05-12, Item 9101.a)

Disposition: Permanent. Cut off at end of award year. Transfer to NARA 10 years after cut-off.

3201.2 Records relating to nominees not selected for awards. (N1-048-05-12, Item 9101.b)

Disposition: Temporary. Cut off at end of award year. Destroy 10 years after cut-off.

3202 –Promotional Materials. (N1-048-05-12, Item 9102) These files contain materials produced for public distribution that have been designed to raise public awareness of the program. These files contain printed materials produced for public distribution that have been designed to raise public awareness of the program. These files also include outreach letters, packages and press kits.

Disposition: Permanent. Cut off at end of award year. Transfer record copy to NARA 10 years after cut-off.

3203 – History Files. (N1-048-05-12, Item 9107) These files contain records, primarily from the 1990s, documenting the early years of the Take Pride in America program. These records are organized by topic in three-ring binders.

Disposition: Permanent. Cut off at end of term of Secretary Manuel Lujan, Jr. (January 20, 1993). Transfer to NARA 20 years after cut-off.

4000 – Program Offices: Policy and International Affairs

4100 – Office of Environmental Policy and Compliance (N1-048-11-01, Items 1-15)

Section 1 – Environmental Policy and Special Projects.

4101 – Environmental Policy (9040.1). Includes (1) Policies, procedures, and guidance promulgated by OEPC pursuant to its government-wide leadership for the natural and cultural resources and historic properties protection (NCH) part of National Response Framework Emergency Support Function 11 and the Natural and Cultural Resources Recovery Support Function of the National Disaster Recovery Framework; (2) internal-DOI and OEPC All-Hazards Preparedness, Response, and Recovery policy and guidance, including the DOI and OEPC Environmental Safeguards Plans; and (3) documents conveying instructions and guidance on environmental quality and used for overseeing and coordinating the Department's compliance with the National Environmental Policy Act of 1969 (NEPA), CEQ regulations, CERCLA, and other environmental statutes, Executive Orders, and regulations. Records include Departmental Manual chapters, Environmental Statement Memorandums (ESM), Environmental Review Memorandums (ERM), Environmental Compliance Memorandums (ECM).

Environmental Administrative Memos (EAMs) should be filed under 1102 (GRS 23-1).

Disposition: Permanent. Cut off when canceled, superseded, or revoked. Transfer to NARA 5 years after cut-off, or when no longer needed for reference purposes, whichever is later.

4102 – Cross-cutting Environmental Activities and Special Projects (9040.2). These files relate to cross-cutting activities and unique, non-recurring projects on environmental policy, compliance, and/or resource protection and response. Records that pertain to special projects for which OEPC is not considered the official record holder are filed under 1206 Project/Issue Files (N1-048-08-22) or 1101 Program Correspondence (N1-048-08-06), as determined by supervisory staff.

REO Weekly and other reports (e.g. Weekly Highlights) are filed under 1204 Routine Reports (N1-048-08-22). EPA Quarterly Reports are filed under 4114.4 of this schedule.

Disposition: Temporary. Cut off upon completion of project. Destroy 10 years after cut-off, or when no longer needed for reference purposes, whichever is later.

Section 2 – Environmental Compliance. (9041) Files include reports and summaries of information received from the Bureaus on activities relating to the overall environmental compliance status of Bureau facilities for each fiscal year

4103 – Environmental Audits (9041.1a and b). These files include the number of environmental audits, facilities audited, summaries of major audit findings, and

summaries of corrective actions completed for the fiscal year. These records are used to generate the Annual DOI Summary of Bureau Environmental Auditing Programs, Annual Fiscal Year PMB Scorecard relating to environmental audits, Performance Measures on environmental audits for the DOI Strategic Plan, and other associated documents.

Disposition: Temporary. Cut off at end of fiscal year. Destroy 10 years after cut-off.

4104 – DOI Lands Cleanup and Remediation. (9041.2) Files pertaining to the cleanup of hazardous waste and hazardous materials on DOI-administered lands.

4104.1 Central Hazardous Materials Fund (CHF) Sites (9041.2b). Files pertaining to Central Hazardous Materials Fund (CHF) sites where OEPC is the official project manager. Files would include: site investigations, assessments, and cleanup actions on Department lands and facilities; the Department's efforts to seek cost recovery or cost sharing of cleanups from parties potentially responsible for contamination of DOI land and facilities.

Disposition: Permanent. Cut off after site cleanup is completed. Transfer to NARA 30 years after cut-off.

4104.2 CHF Contract Management Records. Includes all contract records for CHF projects, including all correspondence, requests for proposals, proposals, procurement award and administration, receipt, inspection and payment of any and all contracts, requisitions, purchase orders, leases, and bond and surety agreements to which OEPC is a party and that are maintained and used for contract documentation and for performance and financial monitoring and oversight activities.

Disposition: Temporary. Cut off after site cleanup is completed. Destroy 30 years after cut-off.

4104.3 Environmental and Disposal Liability (EDL) and Asbestos related Cleanup Cost Policies and Procedures. Files pertaining to the development of policies and procedures related to identifying, reporting, and documenting EDL sites and estimating the Department's liability associated with asbestos related cleanup costs.

Disposition: Temporary. Cut off when policy or procedure is issued. Destroy 5 years after cut-off, or when no longer needed for reference purposes, whichever is later.

4104.4 Department of Defense (DOD) Contamination Issues and Programs. Records include correspondence related to the Defense Environmental Restoration Program, Military Munitions Response Program, Formerly Used Defense Sites, and other sites contaminated by DOD.

Disposition: Temporary. Cut off upon closing of the case. Destroy 20 years after cut-off, or when no longer needed for reference, whichever is later.

4105 – Environmental Impact Statement (EIS) Files. Contains documents related to the filing of federal EISs submitted by the Department of the Interior in accordance with Council of Environmental Quality (CEQ) Regulations. EIS files include the final document, any supplemental materials, and substantive drafts that may be necessary to understand agency decisions or conclusions. All other drafts and working files should be filed in accordance with record series 1111 Working Papers/Drafts (N1-048-08-06).

Disposition: Temporary. Cut off when EIS finalized. Destroy 10 years after cut-off.

4106 – Environmental Justice (EJ) (9041.4a, c). Records related to DOI's compliance with E.O. 12898. Files include memos to heads of bureaus and offices and EJ coordinators disseminating information or requesting information.

Disposition: Temporary. Cut off at end of calendar year. Destroy 10 years after cut-off.

4107 – Land Acquisition/Disposal (9041.5). Materials documenting OEPC involvement and contribution in Land Acquisition/Disposal.

4107.1 Pre-Acquisition Activities (9041.5a-b). Files include approvals by the Assistant Secretary PMB for acquisition of interests in property contaminated by hazardous substances or petroleum products or where hazardous substances or wastes were released or placed (either by past Interior practices, third-party disposal practices, or activities of tenants). Hazardous substances, petroleum products and other environmental liability determinations are to be made prior to the acquisition of any land by DOI.

Disposition: Temporary. Cut off at end of calendar year. Destroy 25 years after cut-off or when no longer needed for reference, whichever is later.

4107.2 Base Realignment and Closures (BRAC) (9041.5c). Files include information on acquisition of and cleanup activities conducted on lands acquired from the Department of Defense during their BRAC initiatives.

Disposition: Temporary. Cut off upon closing of the case. Destroy 25 years after cut-off, or when no longer needed for reference, whichever is later.

4107.3 Land Acquisition/Disposal Policies and Procedures. Files pertaining to development of policies and procedures related to Department of the Interior land acquisition and disposal.

Disposition: Temporary. Cut off when policy or procedure is issued. Destroy 5 years after cut-off, or when no longer needed for reference purposes, whichever is later.

4108 – DOI NEPA Rulemaking. OEPC activities, comments, and input to development, promulgation, and implementation of the Department’s NEPA Rule (43 CFR 36).

4108.1 DOI NEPA Rule (43 CFR 46). The Federal Regulation setting forth Departmental requirements for compliance with the National Environmental Policy Act of 1969.

Disposition: Permanent. Cut off when canceled, superseded, or revoked. Transfer to NARA 5 years after cut-off, or when no longer needed for reference purposes, whichever is later.

4108.2 OEPC Activities Relating to Development and Promulgation of 43 CFR 46. Files include OEPC correspondence and other communication with governmental and non-governmental entities in development and promulgation of 43 CFR 46.

Disposition: Temporary. Cut off when rule is issued. Destroy 10 years after cut-off, or when no longer needed for reference, whichever is later.

4108.3 Post-Rulemaking Correspondence Files include non-project-specific OEPC correspondence and other communication with governmental and non-governmental entities relating to implementation of 43 CFR 46.

Disposition: Temporary. Cut off at end of calendar year. Destroy 10 years after cut-off, or when no longer needed for reference, whichever is later.

Section 3 – Environmental Stewardship and Partnerships (9042) Files pertaining to environmental conferences, environmental awards, and implementation of Environmental Management Systems and Sustainable Practices within DOI.

4109 – Environmental Conferences/Recognition (9042.1). Records include those relating to DOI environmental conferences, environmental awards programs, and Earth Day events. Includes all signed correspondence requesting approval, final approval, planning documents, and financial information pertaining to each subject area.

4109.1 The Department of the Interior Environmental Conferences

Disposition: Temporary. Cut off after each conference. Destroy after two consecutive events have occurred, or when no longer needed for reference, whichever is later.

4109.2 Environmental awards and Earth Day events. Includes, but is not limited to: DOI Environmental Achievement Award, GreenGov Awards, Earth Day Events, and Green DOI Challenge.

Disposition: Temporary. Cut off annually and destroy after 10 years.

4110 - Sustainability Program (9042.2). The Office of Environmental Policy and Compliance is responsible for overseeing, producing, and coordinating policy guidance and instructions to implement 515 DM 4, Executive Order 13514 (Federal Leadership in Environmental, Energy, and Economic Performance), and Executive Order 13423 (Strengthening Federal Environmental, energy, and Transportation Management). This includes records relating to systems used to improve environmental performance by providing a systematic way of managing DOI and Bureau's environmental affairs and reducing impacts on the environment and where continuous improvement of environmental performance accountability is integrated with day-to-day management across DOI and Bureau activities, missions, and practices.

Records under this heading are used in managing OEPC's Sustainability Program, including Departmental reports required by Executive Orders or established regulations, oversight and management of Bureau environmental management systems (EMS), and supporting documents used in the creation of Departmental reports.

Documents pertaining to the Department's Sustainability Council should be filed under Item 1207 of General Management Records (N1-048-08-22), in particular items 1207.1 and 1207.2.

4110.1 Environmental Management Systems (EMS). In accordance with Executive Order 13423 all Federal organizations are required to develop an EMS as a framework to prevent pollution, manage environmental compliance, and improve the implementation of sustainable practices, in consultation with the DOI Sustainability Council. OEPC, in consultation with the DOI Sustainability Council, is responsible for overseeing, producing, and coordinating policy guidance and instructions to implement EMS.

Records under this item include all documents identified in the Departmental EMS procedure and used to plan and implement the Departmental EMS program, except the Department's reports/plans submitted to other Federal entities (4110.2), Data Calls/Surveys conducted to support the EMS program (4110.3), and EMS audits (4103). These records include but are not limited to official correspondence with bureaus and offices; development of bureau goals and targets; oversight documents for tracking and measuring bureau progress towards EMS plans and objectives; bureau reports pertaining to greenhouse gas use, sustainable buildings, water, pollution prevention, sustainable acquisition, electronic stewardship, and other accomplishments; and other related documents not covered elsewhere in this schedule.

Disposition: Temporary. Cut off files at close of Calendar Year. Destroy 10 years after cut-off.

4110.2 Sustainability Reports and Plans. These records include final versions of Departmental submissions to Federal entities with oversight over environmental matters (e.g. OMB, CEQ, EPA, etc.), generally in the form of reports, scorecards, and plans. Some specific records include the Strategic Sustainability Performance

Plan (as required by Executive Order 13514) and the OMB Sustainability/Energy Scorecard.

Also included under this item are developmental files necessary to justify the information included in the final documents and drafts showing significant decisions. Other, less essential drafting materials should be filed under Item 1111 of Records Common to Most Offices (N1-048-08-06).

Disposition: Temporary. Cut off when document is submitted. Destroy 10 years after cut-off.

4110.3 Data Calls and Surveys. These records include all files created in issuing the data call or survey and the information collected from bureaus. Data calls and surveys are used to gather information to determine the success of sustainability goals and plans.

Disposition: Temporary. Cut off upon completion of action the data call or survey is supporting. Destroy 2 years after cut-off, or when no longer needed for agency reference, whichever is later.

Section 4 – Environmental Reviews (ERs) (9043). Includes records relating to the environmental review of non-DOI projects and proposals.

4111 – Review of Other Agency Projects, Proposals, Regulations, and NEPA Compliance Documents. Contains project-specific correspondence and OEPC review of environmental documents proposed/prepared by non-DOI agencies (Federal, state, local, foreign government, and non-government). Records include comments on EISs, proposed regulations, copies of associated documents for reference, draft and final document review assignment memos, Departmental comment letter, and Bureau input on comments.

Disposition: Temporary. Cut off at end of calendar year. Destroy 10 years after cut-off.

4112 – Federal Energy Regulatory Commission (FERC) Activities (9043.3). Files related to FERC activities other than individual project proposals covered in 4111.

4112.1 OEPC activities, comments, and input to development and promulgation of 7 CFR 1, 43 CFR 45, and 50 CFR 221. As part of the joint Department of Agriculture-DOI-Department of Commerce efforts to implement the FERC trial-type hearing/alternative process (codified in the Code of Federal Regulations, as referenced above), OEPC provides input and commentary throughout the rulemaking process. Files include: document review assignment memos, meeting minutes, Bureau input to OEPC for preparation of comments, and OEPC comments on draft rulemaking(s).

The Office of Hearings and Appeals, as the lead for the FERC rulemaking, is the official record holder of the final rule.

Disposition: Temporary. Cut off when rule is issued. Destroy 10 years after cut-off.

4112.2 FERC Cost-Tracking Activities. Files include guidance and related records developed in association with the Office of Financial Management. These records pertain to the tracking of Departmental costs for FERC-related activities.

Disposition: Temporary. Cut off when project is completed. Destroy 15 years after cut-off.

Section 5 – Resource Protection, Preparedness, and Response (9044).

4113 –Resource Protection Planning, Preparedness, Response, and Recovery. Files pertaining to planning and preparedness for, response to, and recovery from natural and technological disasters, oil spills, and hazardous substance releases.

4113.1 Input to Preparedness and Response Plans (9044.1b, 1c, 1d, 1i; 9044.2b, 2c). Records pertain to the development of Department of the Interior and national, international, regional, and subregional interagency plans for response to natural and technological disasters, oil spills, and hazardous substance releases. Files document OEPC activities, comments, and input, including but not limited to: the National Response Framework; and Emergency Support Functions (ESFs); Incident and Support annexes; National Incident Management System; National Disaster Recovery Framework; National Contingency Plan; international, regional, and subregional contingency plans; Federal Radiological Emergency Response Plan; individual nuclear power plant Radiological Emergency Response Plans.

Note: Policies, procedures, and guidance promulgated pursuant to (1) OEPC's government-wide leadership for the natural and cultural resources and historic properties protection (NCH) part of National Response Framework Emergency Support Function 11 and the Natural and Cultural Resources Recovery Support Function of the National Disaster Recovery Framework, and (2) the DOI Environmental Safeguards Plan are filed under 4101.

Disposition: Temporary. Cut off when plan is issued. Destroy 10 years after cut-off.

4113.2 Participation with Preparedness and Response Entities (9044.1c, 1g, 1j, 1k; 9044.2d). Records pertain to OEPC participation on Department of the Interior and national, international, regional, and subregional interagency planning and preparedness entities for response to natural and technological disasters, oil spills, and hazardous substance releases. Files document OEPC activities, comments, and input, including but not limited to: National Response Team; Joint Response Teams; Regional Response Teams; Area and SubArea

Committees; Emergency Support Function Leaders Group; Regional Interagency Steering Committees; Regional Assistance Committees; Environmental Safeguards Group, Emergency Management Council, and Interior Regional Emergency Coordination Councils.

Disposition: Temporary. Cut off at the end of the calendar year. Destroy 5 years after cut-off or when no longer needed for reference (whichever is later).

4113.3 Training and Exercises (9044.1f, 9044.2e). Files document OEPC activities, comments, and input to development of and participation in training and exercises conducted pursuant the National Response Framework, National Contingency Plan, and Federal Radiological Emergency Response Plan, including preparation and review of after-action reports.

Disposition: Temporary. Cut off at the end of the calendar year. Destroy 10 years after cut-off or when no longer needed for reference (whichever is later).

4113.4 Incidents (9044.1h, 9044.2f). Incident-specific records relating to DOI involvement in and input to emergency response and recovery activities conducted pursuant to the National Contingency Plan (NCP), National Response Framework (NRF), and National Disaster Recovery Framework, including specific activations of ESF 11/NCH. Also covers environmental response to incidents and emergencies that affect DOI lands, natural and cultural resources and historic properties, facilities, employees, or visitors that are not carried out under NCP or the NRF but require coordination of DOI assets or expertise to safeguard these people and resources.

Disposition: Temporary. Cut off when associated activity has been completed unless permanent retention is required (see note below). Destroy 15 years after cut-off, or until no longer needed, whichever is later.

[Note: Files that are deemed of historic value for their unique or precedent-setting nature should be filed under 4113.5, below.]

4113.5 Historically Significant Incident Response Files. These files are generated for emergency response and recovery activities of an unprecedented and/or widespread nature wherein OEPC acts in a decision-making role. Records should be of sufficient value to long-term research and understanding of an incident with lasting impact on the United States or its Insular Areas.

Records consist of unique organizational response to the incident, correspondence and meeting notes not preserved outside of the organization, material accumulated in creating reports that may increase understanding of the incident, and high-level financial summaries. Other financial records, reference material from other agencies and organizations, and documents maintained strictly for temporary

business purposes should not be included under this item, but preserved as per normal disposition instructions.

Records retired to the National Archives and Records Administration will be in electronic format only.

Disposition: Permanent. Cut off when incident response and recovery is complete. Transfer custody to NARA 10 years after cut-off.

4114 – Partnering for Environmental Cleanup (9044.3). Includes site-specific records of DOI input to non-time critical removal actions and remedial actions conducted by non-DOI entities not on DOI lands affecting DOI resources. These files also include DOI records on interagency and intradepartmental activities, DOI participation in development of interagency policy, guidance and regulations affecting the remedial and non-time critical removal action programs. Includes records on sites which were investigated for listing on the National Priorities List (NPL) and the Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) or CERCLA-like cases that have trans-boundary issues (e.g., Upper Columbia Basin).

4114.1 Site-Specific Records (9044.3a). DOI input to non-time critical removal actions and remedial actions conducted by non-DOI entities not on DOI lands affecting DOI resources. Files include: CERCLA 104(b) notice transmittals; PNRs review requests, CERCLA 122(j) notice transmittals; comments on removal/remedial planning documents; and Bureau input to comment letters. Also includes sites in the Brownfields/Portfields programs.

Disposition: Temporary. Cut off when site is cleaned up and/or deleted from NPL, whichever is later. Destroy 20 years after cut-off, or when no longer needed for reference, whichever is longer.

4114.2 CERCLA Regulations Development (9044.3b). DOI participation in development of CERCLA regulations affecting the remedial and non-time critical removal action programs. Files include: document review assignment memos, Bureau/Regional Office input to OEPC comments and OEPC comments on draft regulations.

Disposition: Temporary. Cut off when final regulation or policy/guidance is issued. Destroy 5 years after cut-off.

4114.3 Interagency Policy and Guidance (9044.3c). DOI participation in development of interagency policy and guidance affecting the remedial and non-time critical removal action programs. Files include: document review assignment memos, Bureau/Regional Office input to OEPC comments and OEPC comments on draft policies/guidance.

Disposition: Temporary. Cut off when final policy and/or guidance is issued. Destroy 5 years after cut-off.

4114.4 Interagency Budget Quarterly Reports. Reports from Regions to OEPC/HQ and from OEPC/HQ to EPA regarding OEPC activities conducted pursuant to the EPA-DOI CERCLA Interagency Agreement.

Disposition: Temporary. Cut off at end of fiscal year. Destroy 10 years after cut-off.

4114.5 National Priorities List Pre-listing Activities. Records relating to comments on sites before they are listed on the NPL.

Disposition: Temporary. Cut off when listing decision is made. If listed, transfer to 4114.1. Otherwise destroy 20 years after cut-off, or when no longer needed for reference, whichever is longer.

4115 - International Activities (9044.5). Records of international activities not falling into any previously scheduled categories. Files contain materials documenting OEPC involvement with: Commonwealth and Territories of the U.S; The Freely Associated States; US/Mexico Border Field Coordinating Committee; and Canada. Also includes records pertaining to Sustainable Borderlands Initiative associated with the North American Free Trade Agreement (NAFTA).

Disposition: Temporary. Cut off at end of calendar year. Destroy 20 years after cut-off.

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4151 – Environmental Database.(N1-048-08-23) The system warehouses all of the supporting information for evaluating the Department's environmental liabilities. This data includes site information, type of contaminants, internal data review, site prioritization, and cost estimate documentation. This database complements and provides supporting information to the liability figures submitted to the Office of financial Management in the preparation of the Departments annual financial statements.

Disposition. Temporary. Cut off when cleanup is declared complete by DOI or, if applicable, other designated agency-lead or when legal case is settled. Destroy 30 years after cut off.

4200 – Office of Restoration and Damage Assessment (DAA-0048-2012-0002, Items 1-4)

The Office of Restoration and Damage Assessment (ORDA) is responsible for managing and administering the Department's Natural Resource Damage Assessment and Restoration (NRDAR) Program to restore natural resources under the Department's trusteeship that are injured as a result of oil spills in waters of the U.S. or hazardous substances released into the environment. The Office manages the Department's Restoration Fund, develops guidance, policy and regulations to facilitate restoration and

works in partnership with other affected State, tribal, and Federal natural resource trustee agencies to assess injured resources and restore the public's use of these resources.

4201 – Administrative Records for Damage Assessment Regulations. Files contain literature and other research materials supporting the development of Departmental Damage Assessment regulations. Regulations are reviewed biennially and any research utilized in this review is added to the administrative records. Files are maintained until next review period to allow for reference in the event that any element of the proposed revisions is litigated or otherwise requires further evaluation or clarification.

Disposition: Temporary. Cut off two years after end of fiscal year in which the biennial review occurred. Destroy 2 years after cut-off or when no longer needed for agency business, whichever is later.

4202 – Authorized Official (AO) Designation Records. The Authorizing Official (AO) is the Departmental official delegated the authority to act on behalf of the Secretary to conduct natural resource damage assessments, restoration planning and project implementation. The AO is chosen by bureau consensus for a specific site or incident where injury to natural resources under the bureau's jurisdiction or management has, or may have, occurred. ORDA manages the AO designation process and the resulting records. These records include the official paperwork for AO designation, including supporting documents and excluding case files.

Disposition: Permanent. Cut off at end of fiscal year in which delegation is made. Transfer to NARA 10 years after cut-off.

4203 – Consent Decrees. Files consist of copies of consent decrees. A consent decree is a judicial decision that memorializes damages assessed as part of a voluntary agreement between parties in lieu of criminal charges. These records are necessary to justify and track collection of funds from Responsible Parties (defendants) either reimbursing the U.S. for assessment costs and/or funding restoration of the lost resources and uses.

Disposition: Temporary. Cut off at end of fiscal year in which all damages have been collected. Destroy 10 years after cut-off.

4204 – Annual Program Allocation Records. Records documenting program funding, program assets, resources allocated to litigation, funds collected, and funds disbursed. As program funding is derived from damage collections, these records are organized by case from which funds originate. Records include asset reports from an external stock manager.

Disposition: Temporary. Cut off at end of fiscal year in which liability is satisfied. Destroy 7 years after cut-off.

4300 – Office of Policy Analysis

4400 – Office of Hawaiian Relations. The Office of Native Hawaiian Relations was authorized by Congress in Public Law 108-199 on January 23, 2004, and in Public Law 104-42 on November 2, 1995. The office discharges the Secretary's responsibilities for matters related to Native Hawaiians and serves as a conduit for the Department's field activities in Hawaii.

4401 - Oversight Case Files. (N1-048-10-07) ONHR is responsible for the oversight and review of Land Exchanges, as outlined by 43 CFR Part 31 and the Hawaiian Homelands Recovery Act (HHRLA) of 1995. Land Exchange oversight is done in coordination with the Department of Hawaiian Homelands and regards the exchange of Native Hawaiian lands for other land parcels. ONHR also oversees amendments proposed to the Hawaiian Homes Commission Act (HHCA), as required by section 4 of the Hawaii Statehood Admissions Act, 73 Stat. 4. The HHLRA provides that the Department is to review State enactments proposing to amend the HHCA to determine whether congressional consent is required under section 4 of the Hawaii Statehood Admissions Act.

Records include but are not limited to: correspondence, land evaluations, exchange proposal agreements, notices of decision, NEPA review files, consultation meeting files, draft bills, comments, and supporting documents.

Disposition: Permanent. Cut off when case is closed. Transfer to NARA 3 years after cut-off.

5000 – Program Offices: Office of Insular Affairs

5100 – Office of Insular Affairs The Secretary of the Interior has administrative responsibility for coordinating federal policy in the territories of American Samoa, Guam, the U.S. Virgin Islands, and the Commonwealth of the Northern Mariana Islands, and the responsibility to administer and oversee U.S. federal assistance provided to the Freely Associated States of the Federated States of Micronesia, the Republic of the Marshall Islands, and the Republic of Palau under the Compacts of Free Association. The Office of Insular Affairs executes these responsibilities on behalf of the Secretary.

5101 – Grant Administrative Files. Included in this category are all records utilized for the routine operations, correspondence, and daily activities in the administration of OIA grants. This does not include any records that are kept with the case files, which must be scheduled under 5102 (see below).

Disposition: Temporary. Cut off at the end of the fiscal year in which the document is created. Destroy 2 years after cut-off. (GRS 3-14, NC1-64-77-5 item 17b)

5102 – Grant Case Files. (N1-048-10-05) This item pertains to all documents kept in a Grant Case File to track and manage its progress from beginning to end. Records included are accepted applications, substantive correspondence, subject files relating to grant programs, final product files, financial and progress reports, and other related documents.

Disposition: Temporary. Cut off when grantee submits its final expenditure report (if expenditure report has been waived, cut off when report would have been due). Destroy 3 years after cut-off.

6000 – Program Offices: Performance, Accountability, and Human Resources

6100 – Center for Competitive Sourcing Excellence

6200 – Office of Planning and Performance Management. The Office of Planning and Performance Management (PPP) provides leadership, guidance, and consulting services for the Department of the Interior on strategic planning, performance management, and organizational streamlining to improve programs, operate more efficiently, and provide better service to the Department's customers. It serves as a bridge between budgeting and financial management by using performance results for financial accountability. It also assists Interior offices and bureaus in conducting self-assessments using an adaptation of OMB's Executive Branch Scorecards. The Office develops Departmental directives policy and manages the Department's directives management program.

6201 – Departmental Manual Files. (N1-048-08-27) These are records documenting permanent policies approved by the Secretary or the Assistant Secretary –Policy Management and Budget. These include organization descriptions; delegations of authority; and policies, procedures and standards for administrative, legal, legislative, informational and program activities of the Department. Records are organized sequentially by release date.

Disposition: Permanent. Cut off at end of calendar year. Transfer to NARA 20 years after cut-off.

6202 – Succession Memoranda. (N1-048-08-27) Written notices to supervisors that identify who will act in the incumbent's absence. Includes general information describing the conditions for when one acts, what the person acting can do, including limitations, if any. The memorandum includes the hierarchical order of the positions and persons by name designated to act in the absence of an incumbent. Memoranda are updated as positions and/or individuals change.

Disposition: Temporary. Cut off when superseded. Destroy 6 years after cut-off.

6203 – Secretarial Order Files. (N1-048-08-27) These are records documenting temporary or interim policies approved by the Secretary of the Interior that expire after a specified period of time or are converted into permanent policies incorporated into the Departmental Manual. Records are filed by order number.

Disposition: Permanent. Cut off at end of calendar year. Transfer to NARA 20 years after cut-off.

6204 Strategic Planning Files (N1-048-09-10). Strategic Planning Files contain annual records for the creation, review, approval, and update of the Department's Five-Year Strategic Plan. Records include environmental scan study reports and papers describing emerging issues affecting strategic initiatives; executive

leadership correspondence reflecting the mission priorities of the Department; graphs, charts, and preliminary reports; Public, Departmental, and Bureau comments on the mission areas, outcomes, and performance measures contained within draft plans; and internal correspondence and text materials which document the entire strategic planning and review process. These records help determine the Mission Areas, End Outcomes, Intermediate Outcomes, and Performance Measures for the Department's Strategic Plan, as well as chronicle the review and approval process through the public and Department's executive leadership.

Disposition: Permanent. Cut off at end of fiscal year. Transfer to NARA 10 years after cut-off.

6205 Performance Accountability Report (PAR) Files (N1-048-09-10).

Performance Accountability Report (PAR) Files contain annual records for the creation review, and approval of the Performance Accountability Report, Citizens' Report, and Agency Budget, Performance and Financial Snapshot Report. Records include guidance from OMB to DOI and guidance from PPP to the Bureaus for submission of the performance information; graphs, charts, and tables included in the performance reports; funding information for Representative Performance Measures (a subset of 25 performance measures from the 204 defined strategic performance measures); draft reports; Departmental review comments; NBC Inter-Agency Agreement and supporting documentation for graphics support; final reports; and comments on the reports from the Mercatus Center at George Mason University (an education, research, and outreach organization that reviews and ranks all Agency Performance Accountability Reports on an annual basis) and the Association of Government Accountants (AGA) (AGA reviews and ranks all Agency Performance accountability Reports) and presents a Certificate of Excellent in Accountability Reporting (CEAR) to those Agencies that meet a standard set of criteria. These records are produced by bureau and departmental performance managers and document the annual performance of bureaus and the Department against established performance targets and indicate why performance exceeded or failed to meet those established targets. The records also document the performance trends and the relationship between funding and performance achievement.

Disposition: Permanent. Cut off at the end of the fiscal year. Maintain on site for five years. Archive to Washington National Records Center for five years. Transfer to NARA 10 years after cut-off.

6206 Performance Budget Files (N1-048-09-10). Performance Budget files contain annual records of the Bureau and Departmental budgets and associated performance information. Records include OMB, Office of Budget (POB), and PPP guidance; graphs, charts, and technical files linking budget to performance; draft and final Bureau Green Books; draft and final Departmental Budgets; and Congressional, OMB, and POB correspondence concerning approved budgets.

These records document the relationship between performance and budget, inform the budget planning process, and demonstrate the level of performance achieved for a given amount of budget money to stakeholders in a transparent and accountable manner.

Disposition: Permanent. Cut off at the end of the fiscal year. Maintain on-site for five years. Transfer to the Washington National Records Center for five years. Transfer to NARA 10 years after cut-off.

6207 President's Management Agenda Files (N1-048-09-10). President's Management Agenda (PMA) Files contain annual records on one of the management initiatives specified by OMB in 2001 at the beginning of the PMA program: Performance Improvement. Records include OMB, Department, and Bureau correspondence; graphs, charts, tables, and analysis of progress on performance improvement; and Department and Government-wide scorecards for the management initiative. These records document the progress that Bureaus and the Department have made in this management initiative and detail the planned work to be accomplished to further improve in this area.

Disposition: Permanent. Cut off at the end of the fiscal year. Maintain on-site for five years. Transfer to Washington National Records center for five years. Transfer to NARA 10 years after cut-off.

6208 Program Assessment Rating Tool (PART) Files (N1-048-09-10). The Program Assessment Rating Tool (PART) Files contains annual records of programs that have been rated using the OMB PART process. Records include OMB and Department guidance on selecting and evaluating programs; documentation supporting the ratings for each program evaluation; OMB, Department, and Bureau comments on program ratings; OMB guidance on updating information in the PARTWeb system; performance measures used to evaluate each program; and improvement plan detailing steps to improve performance. These records define and document the performance of 70 programs across the Department and track how Bureau program managers are improving their performance over time.

Disposition: Permanent. Cut off at the end of the fiscal year. Maintain on-site for five years. Transfer to Washington National Records Center for five years. Transfer to NARA 10 years after cut-off.

6209 Performance Initiatives Files (N1-048-09-10). Performance Initiatives Files contain annual records and correspondence concerning various commercial, government-wide, and Department-wide performance initiatives in which PPP is engaged. Such performance initiatives include, but are not limited to: OMB's PAR Pilot Program, AGA PAR Reviewer for Department of Labor, Performance Management Certification Program, Performance Management, and Performance Management Education and Awareness Program. For each initiative, records

include: governing body guidance; communications; technical work products on the initiative; draft products and review comments; and final products. These records document the purpose and expected benefits of the initiative, related financial expenditures to support the initiative, the work done for the initiative, and the actual results of the initiative.

Disposition: Permanent. Cut off at the end of the fiscal year. Maintain on-site for five years or until the initiative is complete, whichever is later. Transfer to Washington National Records Center for five years. Transfer to NARA 10 years after cut-off.

6210 Performance Management Governance Files (N1-048-09-10).

Performance Management Governance Files contain annual records and correspondence concerning the three main governing bodies overseeing all performance management activities within the Department: Performance Improvement Council (a Government-wide organization comprised of Agency Performance Improvement Officers), Performance Improvement Team (a planned Interior-only team of senior leaders to discuss and formulate performance management policy), and Performance Improvement council (an Interior-only body led by PPP and comprised of Bureau performance managers). Records include charter documents for the governing bodies; OMB and Department performance management guidance; and meeting agendas, handouts, and minutes. These records document the activities and results of the governing bodies which help to identify performance management strengths and weaknesses across the Department.

6210.1 Governance Charter Documents (N1-048-09-10)

Disposition: Permanent. Cut off at the end of the fiscal year. Maintain on-site for five years or until the initiative is complete, whichever is later. Transfer to Washington National Records Center for five years. Transfer to NARA 10 years after cut-off.

6210.2 All Other Governance Records (N1-048-09-10)

Disposition: Temporary. Cut off at the end of the fiscal year. Maintain on-site for five years. Destroy 10 years after cut-off.

6251 Management Information Tracking System. (N1-048-08-15). An interactive, web-based database designed to monitor Interior-wide bureaus and offices progress and performance. Additional features and capabilities are designed to reduce paperwork associated with monitoring these tasks. The system also contains copies of documentation of programs that have completed OMB's Program Assessment Rating Tool. These documents include the PART rating, supporting documentation, recommendations, action plans, milestones for completing action plans, status of milestones, appeals, and final ratings.

Disposition: Temporary. Cut off after the President's Budget is published.
Destroy 1 year after cut-off.

6252 Government Performance and Results Act (GPRA) System. (N1-048-08-24) A repository of information concerning the Department of the Interior's 205 GPRA performance measures. The system contains the definitions of each measure and tracks the targeted performance objective and actual performance over time. The system provides reports which help Bureaus and Department offices document their performance trends and to compare their cost of performance. The system also contains the performance target and actual data for each of 205 GPRA performance measure, as well as a brief narrative as to why a performance target was not met.

Disposition: Temporary. Cut off at end of fiscal year. Destroy six (6) years after cut off.

6300 – Office of Hearings and Appeals. (N1-048-07-04 unless otherwise noted)

These files consist of documents originating with the Office of Hearing and Appeals, which reports to the Assistant Secretary - Policy, Management, and Budget through the Deputy Assistant Secretary - Human Capital, Performance, and Partnerships. They include case files, decisions, judicial litigation files, reading files, reports, tracking information, rulemaking files, and other records pertaining to hearings and appeals. They include documents from the Office of the Director, Interior Board of Indian Appeals, Interior Board of Land Appeals, Departmental Cases Hearings Division, Probate Hearings Division, and White Earth Reservation Land Settlement Act Hearings Division.

6301 – General Files

6301.1 Rulemaking Files. These files contain both administrative record materials and working papers for rulemaking actions undertaken by OHA. Administrative record materials include the notice of proposed rulemaking, comments from the public on the proposed rule, final rule, and record of compliance. Working papers include drafts, notes, research, and internal agency communications.

a. Disposition: Temporary. Cut off upon publication of final rule (or decision not to issue final rule). Retain administrative record materials for 3 years, then send to Federal Records Center for 12 years; destroy 15 years after cut-off.

b. Disposition: Temporary. Delete/destroy working papers when no longer needed for agency business.

6301.2 Policy Files (Bureaus, Offices, and Other Agencies). These files contain copies of records from Departmental Bureaus and Offices and other agencies concerning hearings and appeals rights, practices, and procedures before OHA. Files include copies of applicable statutes, regulations, and directives issued by Bureaus, Offices, and other agencies.

Disposition: Temporary. Delete/destroy when superseded, obsolete, or no longer needed for agency business.

6301.3 Policy Files (OHA). These files contain directives generated by OHA for internal practices and procedures in the handling of hearings and appeals.

Disposition: Temporary. Delete/destroy when superseded, obsolete, or no longer needed for agency business.

6301.4 Policy Development Files. These files contain documentation of the development of policies covered by 6301.2 and 6301.3. Files include policy drafts issued for review and comment; transmittal cover sheets that contain distribution information and instructions; comments and responses for various drafts; and

notes from meetings, telephone calls, and teleconferences relating to policy development or revision.

Disposition: Temporary. Cut off at close of fiscal year in which policy is issued or work on policy is abandoned. Delete/destroy 3 years after cut-off or when no longer needed for agency business, whichever is later.

6301.5 Program Planning Files. These files contain OHA's strategic and tactical plans, such as Government Performance and Results Act plans, management improvement plans, continuity of operations plans, etc. They include analyses of new program requirements, presentations, reports, communications to and from those involved in the planning process, and draft and final plans with supporting documents.

Disposition: Temporary. Cut off on the last day of the period being planned. Delete/destroy 3 years after cut-off or when no longer needed for agency business, whichever is later.

6301.6 Committees/Meetings Files. These files contain records relating to any external or internal committees and meetings in which OHA officials participate. They include correspondence, agendas, meeting minutes and notes, handouts, presentations, plans, and reports.

Disposition: Temporary. Cut off on last day of the committee's cycle; if there is no regular cycle, cut off on last day of fiscal year. Delete/destroy 3 years after cut-off or when no longer needed for agency business, whichever is later.

6301.7 Audit Files. These files contain records related to audits and internal control reviews related to OHA, including Inspector General and Government Accountability Office audits and reports and OHA's compliance with DOI guidelines on audit processes and internal controls. They include audits, reports, reviews, findings, correspondence, plans, and notes.

Disposition: Temporary. Cut off files at end of audit or internal control review. Delete/destroy 3 years after cut-off or when no longer needed for agency business, whichever is later.

6301.8 Project/Issue Files. These files contain records relating to non-recurring substantive issues, action items, or projects arising from initiatives related to OHA. They include correspondence, notes, project plans and strategies, milestone charts, and briefing materials.

Disposition: Temporary. Cut off upon closure or completion of project or issue. Delete/destroy 3 years after cut-off or when no longer needed for agency business, whichever is later.

6301.9 Website Files. These files contain records, data, and electronic links to documents relating to OHA, as posted on the Department's or OHA's website. They include descriptions of OHA units and mission, contact information, and a decision database.

Disposition: Temporary. Delete or update information within 60 days after it has become obsolete or out of date, as appropriate.

6301.10 Network Security Files. These files contain all records relating to system security, risk analysis, and disaster and continuity planning for OHA's computer network, as described in OMB Circular No. A-130. They include the System Security Plan, Asset Valuation, Privacy Impact Assessment, Contingency Plan, Self-Assessment Checklist (NIST 800-26), Limited Technical Vulnerability Assessment, Configuration Management Plan, Risk Assessment Report, Security Testing and Evaluation Report, Certification Statement, and Accreditation Statement.

Disposition: Temporary. Cut off at close of fiscal year in which record is created. Delete/destroy when superseded, obsolete, or no longer needed for agency business.

6302 – Director's Office. These files specifically concern functions of the Office of the Director, OHA.

6302.1 Case Files. These files contain both administrative record materials and working papers for hearings and appeals handled by the Director's Office (other than those covered by 6302.3). The files cover such topics as property boards of survey, quarters rental rates, relocation assistance, acreage limitations, personnel grievances, National Indian Gaming Commission matters, and other administrative appeals that do not fall within the jurisdiction of an established appeals board. Administrative record materials include the originals or copies of the administrative record compiled by the Bureau, Office, or other agency involved, along with pleadings, correspondence, briefs, orders, decisions, return receipts, and other documents received or generated by the Director's Office. Working papers include drafts, notes, research, and internal communications.

Guidance: Send administrative record materials to district court if Director's Office decision is appealed. Otherwise, send administrative record materials to originating Bureau, Office, or other agency when case is closed and period for the parties to seek reconsideration (if applicable) has expired, for retention/disposition in accordance with its approved records schedule.

Disposition: Temporary. Delete/destroy working papers when no longer needed for agency business.

6302.2 Case Files (Trust). (N1-048-10-08) These files contain both administrative record materials and working papers for appeals handled by the Director's Office involving Indian trust matters (generally matters on review from the Interior Board of Indian Appeals under 43 CFR 4.5). The files cover such topics as Indian probate, various types of leases and rights of way on Indian lands, treaty rights, trespass actions, trust-related ISDA matters, and land sales, exchanges, and encumbrances. Administrative record materials include the originals or copies of the administrative record compiled by the Bureau, Office, or other agency involved, along with pleadings, correspondence, briefs, orders, decisions, return receipts, and other documents received or generated by IBIA. Working papers include drafts, notes, research, internal communications, and reference copies of selected administrative record materials.

The administrative record materials may include Indian Fiduciary Trust Records (IFTR).

Guidance: Send administrative record materials to district court if Director's Office decision is appealed. Otherwise, send administrative record materials to originating Bureau, Office, or other agency when case is closed and period for the parties to seek reconsideration has expired, for retention/disposition in accordance with its approved records schedule.

Disposition: Permanent. Cut off working papers when no longer needed for agency business and send to Federal Records Center. Subsequent legal transfer to the National Archives of the United States will be as jointly agreed to between DOI and NARA.

6302.3 Case Files (Waiver of Overpayment and Debt Collection Act). These files contain both administrative record materials and working papers for hearings and appeals handled by the Director's Office involving the waiver of overpayments made to or debts incurred by agency employees. Administrative record materials include the originals or copies of the administrative record compiled by the Bureau or Office involved, along with pleadings, correspondence, briefs, orders, decisions, return receipts, and other documents received or generated by the Director's Office. Working papers include drafts, notes, research, and internal communications.

a. Disposition: Temporary. Delete/destroy administrative record materials 7 years after case is closed.

b. Disposition: Temporary. Delete/destroy working papers when no longer needed for agency business.

6302.4 Decision Files. These files consist of recommended and final orders and decisions prepared by the Director's Office in the cases described in 6302.1 and 6302.2.

Disposition: Temporary. Cut off at close of fiscal year in which case is closed. Delete/destroy 7 years after cut-off or when no longer needed for agency business, whichever is later.

6302.5 Reading Files. These files consist of duplicate copies of notices and procedural orders issued during consideration of a case and maintained in a reading file by the Director's Office.

Disposition: Temporary. Cut off at close of fiscal year in which notice or order is issued. Delete/destroy 7 years after cut-off or when no longer needed for agency business, whichever is later.

6302.6 Monthly and Quarterly Caseload Reports. These files contain monthly and quarterly reports prepared by the Director's Office concerning caseload activity (cases received, closed, and pending). They also contain working papers including drafts, notes, and internal correspondence.

a. Disposition: Temporary. Cut off at close of fiscal year to which report pertains. Delete/destroy monthly and quarterly reports 3 years after cut-off or when no longer needed for agency business, whichever is later.

b. Disposition: Temporary. Delete/destroy working papers when no longer needed for agency business.

6302.7 Judicial Litigation Files. These files contain copies of documents (pleadings, orders, decisions, etc.) pertaining to judicial litigation involving cases decided by the Director's Office. They are duplicate copies of information maintained by the Solicitor's Office and/or Department of Justice and the courts.

Disposition: Temporary. Delete/destroy when no longer needed for agency business.

6302.8 Case Tracking/Docketing Files. These files consist of docket cards, logs, and other records used to control, track, and monitor the status of cases filed with the Director's Office.

Disposition: Temporary. Cut off when last case within fiscal year is closed and period for the parties to seek reconsideration (if applicable) has expired. Delete/destroy 7 years after cut-off or when no longer needed for agency business, whichever is later.

6302.9 Docket Management System. Electronic database of information contained in physical case tracking/docketing files.

6302.9a Master Data Files. These files contain the master copy of information created and compiled by the system for the purpose of electronic docketing and case tracking.

Disposition: Temporary. Delete/destroy when system superseded, if all data transferred to successor system. Otherwise, retain for life of system plus 3 years, then delete/destroy.

6302.9b Output Files. These files contain reports and other documents generated by the system from data contained within it, e.g., for the purpose of statistical reports and analysis.

Disposition: Temporary. Destroy/delete when no longer needed for agency business.

6302.9c Documentation Files. These files contain system documentation and manuals created for the management and operation of the electronic docketing system. Files also include working papers created in the process of drafting system documentation.

a. Disposition: Temporary. Delete/destroy system documentation and manuals 3 years after superseded or obsolete.

b. Disposition: Temporary. Delete/destroy working papers when no longer needed for agency business.

6303 – Interior Board of Indian Appeals (IBIA). These files specifically concern functions of the Interior Board of Indian Appeals.

6303.1 Case Files. These files contain both administrative record materials and working papers for appeals handled by IBIA, other than appeals involving Indian trust matters.¹ The files cover such topics as tribal acknowledgment, tribal government disputes, economic development matters, taking land into trust, and non-trust Indian Self-Determination and Education Assistance Act (ISDA) matters. Administrative record materials include the originals or copies of the administrative record compiled by the Bureau, Office, or other agency involved, along with pleadings, correspondence, briefs, orders, decisions, return receipts, and other documents received or generated by IBIA. Working papers include drafts, notes, research, and internal communications.

¹ Examples of Indian trust matters include Indian probates, various types of leases and rights of way on Indian lands, treaty rights, trespass actions, trust-related ISDA matters, and land sales, exchanges, and encumbrances.

Guidance: Send administrative record materials to district court if IBIA decision is appealed. Otherwise, send administrative record materials to originating Bureau, Office, or other agency when case is closed and period for the parties to seek reconsideration has expired, for retention/disposition in accordance with its approved records schedule.

Disposition: Temporary. Delete/destroy working papers when no longer needed for agency business.

6303.2 Case Files (Trust). (N1-048-10-08) These files contain both administrative record materials and working papers for appeals handled by IBIA involving Indian trust matters. The files cover such topics as Indian probate, various types of leases and rights of way on Indian lands, treaty rights, trespass actions, trust-related ISDA matters, and land sales, exchanges, and encumbrances. Administrative record materials include the originals or copies of the administrative record compiled by the Bureau, Office, or other agency involved, along with pleadings, correspondence, briefs, orders, decisions, return receipts, and other documents received or generated by IBIA. Working papers include drafts, notes, research, internal communications, and reference copies of selected administrative record materials.

The administrative record materials may include Indian Fiduciary Trust Records (IFTR).

Guidance: Send administrative record materials to district court if IBIA decision is appealed. Otherwise, send administrative record materials to originating Bureau, Office, or other agency when case is closed and period for the parties to seek reconsideration has expired, for retention/disposition in accordance with its approved records schedule.

Disposition: Permanent. Cut off working papers when no longer needed for agency business and send to Federal Records Center. Subsequent legal transfer to the National Archives of the United States will be as jointly agreed to between DOI and NARA.

6303.3 [Reserved]

6303.4 Decision Files. These files consist of duplicate copies of final orders and decisions prepared by IBIA in the cases described in 6303.1.

Disposition: Temporary. Cut off at close of fiscal year in which case is closed. Delete/destroy 7 years after cut-off or when no longer needed for agency business, whichever is later.

6303.5 Reading Files. These files consist of duplicate copies of notices and procedural orders issued during consideration of a case and maintained in a

reading file by IBIA. They also include IBIA's record of final decision (name of case, docket number, decision title, citation, and distribution list, but not the final decision itself).

Disposition: Temporary. Cut off at close of fiscal year in which notice, order, or decision is issued. Delete/destroy 7 years after cut-off or when no longer needed for agency business, whichever is later.

6303.6 Monthly and Quarterly Caseload Reports. These files contain monthly and quarterly reports prepared by IBIA concerning caseload activity (cases received, closed, and pending). They also contain working papers including drafts, notes, and internal correspondence.

a. Disposition: Temporary. Cut off at close of fiscal year to which report pertains. Delete/destroy monthly and quarterly reports 3 years after cut-off or when no longer needed for agency business, whichever is later.

b. Disposition: Temporary. Delete/destroy working papers when no longer needed for agency business.

6303.7 Judicial Litigation Files. These files contain copies of documents (pleadings, orders, decisions, etc.) pertaining to judicial litigation involving cases decided by IBIA. They are duplicate copies of information maintained by the Solicitor's Office and/or Department of Justice and the courts.

Disposition: Temporary. Delete/destroy when no longer needed for agency business.

6303.8 Case Tracking/Docketing Files. These files consist of docket cards, logs, and other records used to control, track, and monitor the status of cases filed with IBIA.

Disposition: Temporary. Cut off when last case filed within the fiscal year is closed and period for the parties to seek reconsideration has expired. Delete/destroy 7 years after cut-off or when no longer needed for agency business, whichever is later.

6303.9 Docket Management System. Electronic database of information contained in physical case tracking/docketing files.

6303.9a Master Data Files. These files contain the master copy of information created and compiled by the system for the purpose of electronic docketing and case tracking.

Disposition: Temporary. Delete/destroy when system superseded, if all data transferred to successor system. Otherwise, retain for life of system plus 3 years, then delete/destroy.

6303.9b Output Files. These files contain reports and other documents generated by the system from data contained within it, e.g., for the purpose of statistical reports and analysis.

Disposition: Temporary. Destroy/delete when no longer needed for agency business.

6303.9c Documentation Files. These files contain system documentation and manuals created for the management and operation of the electronic docketing system. Files also include working papers created in the process of drafting system documentation.

a. Disposition: Temporary. Delete/destroy system documentation and manuals 3 years after they become superseded or obsolete.

b. Disposition: Temporary. Delete/destroy working papers when no longer needed for agency business.

6303.10 Return Receipts. U.S. Postal Service return receipts (green cards) documenting receipt of administrative records that are returned to the Bureau, Office, or other agency following a final decision by IBIA.

Disposition: Temporary. Cut off when last case filed within the fiscal year is closed and administrative record is returned to agency. Delete/destroy 7 years after cut-off or when no longer needed for agency business, whichever is later.

6304 – Interior Board of Land Appeals (IBLA). These files specifically concern functions of the Interior Board of Land Appeals.

6304.1 Case Files. These files contain both administrative record materials and working papers for appeals handled by IBLA, other than appeals involving Indian trust matters.² The files cover such topics as mining, grazing, energy development, royalty management, timber harvesting, wildfire management, recreation, wild horse and burro management, cadastral surveys, Alaska land conveyances, rights of way, land exchanges, and trespass actions. Administrative record materials include the originals or copies of the administrative record compiled by the Bureau, Office, or other agency involved, along with pleadings, correspondence, briefs, orders, decisions, return receipts, and other documents received or generated by IBLA. Working papers include drafts, notes, research, and internal communications.

² Examples of Indian trust matters include Native allotments (where the claim is upheld) and royalty matters involving Indian lands.

Guidance: Send administrative record materials to district court if IBLA decision is appealed. Otherwise, send administrative record materials to originating Bureau, Office, or other agency when case is closed and period for the parties to seek reconsideration has expired, for retention/disposition in accordance with its approved records schedule.

Disposition: Temporary. Delete/destroy working papers when no longer needed for agency business.

6304.2 Case Files (Trust). (N1-048-10-08) These files contain both administrative record materials and working papers for appeals handled by IBLA involving Indian trust matters. The files cover such topics as Native allotments (where the claim is upheld) and royalty matters involving Indian lands. Administrative record materials include the originals or copies of the administrative record compiled by the Bureau, Office, or other agency involved, along with pleadings, correspondence, briefs, orders, decisions, return receipts, and other documents received or generated by IBLA. Working papers include drafts, notes, research, internal communications, and reference copies of selected administrative record materials.

The administrative record materials may include Indian Fiduciary Trust Records (IFTR).

Guidance: Send administrative record materials to district court if IBLA decision is appealed. Otherwise, send administrative record materials to originating Bureau, Office, or other agency when case is closed and period for the parties to seek reconsideration has expired, for retention/disposition in accordance with its approved records schedule.

Disposition: Permanent. Cut off working papers when no longer needed for agency business and send to Federal Records Center. Subsequent legal transfer to the National Archives of the United States will be as jointly agreed to between DOI and NARA.

6304.3 [Reserved]

6304.4 Decision Files. These files consist of duplicate copies of final decisions prepared by IBLA in the cases described in 6304.1.

Disposition: Temporary. Cut off at close of fiscal year in which case is closed. Delete/destroy 7 years after cut-off or when no longer needed for agency business, whichever is later.

6304.5 Reading Files. These files consist of duplicate copies of notices, procedural orders, and final orders issued during consideration of a case and maintained in a reading file by IBLA.

Disposition: Temporary. Cut off at close of fiscal year in which notice, order, or decision is issued. Delete/destroy 7 years after cut-off or when no longer needed for agency business, whichever is later.

6304.6 Monthly and Quarterly Caseload Reports. These files contain monthly and quarterly reports prepared by IBLA concerning caseload activity (cases received, closed, and pending). They also contain working papers including drafts, notes, and internal correspondence.

a. Disposition: Temporary. Cut off at close of fiscal year to which report pertains. Delete/destroy monthly and quarterly reports 3 years after cut-off or when no longer needed for agency business, whichever is later.

b. Disposition: Temporary. Delete/destroy working papers when no longer needed for agency business.

6304.7 Judicial Litigation Files. These files contain copies of documents (pleadings, orders, decisions, etc.) pertaining to judicial litigation involving cases decided by IBLA. They are duplicate copies of information maintained by the Solicitor's Office and/or Department of Justice and the courts.

Disposition: Temporary. Delete/destroy when no longer needed for agency business.

6304.8 Case Tracking/Docketing Files. These files consist of docket cards, logs, and other records used to control, track, and monitor the status of cases filed with IBLA.

Disposition: Temporary. Cut off when last case filed within the fiscal year is closed and period for the parties to seek reconsideration has expired. Delete/destroy 7 years after cut-off or when no longer needed for agency business, whichever is later.

6304.9 Docket Management System. Electronic database of information contained in physical case tracking/docketing files.

6304.9a Master Data Files. These files contain the master copy of information created and compiled by the system for the purpose of electronic docketing and case tracking.

Disposition: Temporary. Delete/destroy when system superseded, if all data transferred to successor system. Otherwise, retain for life of system plus 3 years, then delete/destroy.

6304.9b Output Files. These files contain reports and other documents generated by the system from data contained within it, e.g., for the purpose of statistical reports and analysis.

Disposition: Temporary. Destroy/delete when no longer needed for agency business.

6304.9c Documentation Files. These files contain system documentation and manuals created for the management and operation of the electronic docketing system. Files also include working papers created in the process of drafting system documentation.

a. Disposition: Temporary. Delete/destroy system documentation and manuals 3 years after they become superseded or obsolete.

b. Disposition: Temporary. Delete/destroy working papers when no longer needed for agency business.

6304.10 Return Receipts. U.S. Postal Service return receipts (green cards) documenting receipt of decisions and other documents sent to parties involved in a case.

Disposition: Temporary. Cut off when last case filed within the fiscal year is closed and period for the parties to seek reconsideration has expired. Delete/destroy 7 years after cut-off or when no longer needed for agency business, whichever is later.

6304.11 Appeals Case Control Cards. These files consist of index cards and docketing files for cases filed with the Department prior to creation of IBLA in 1970.

Disposition: Temporary. Delete/destroy when no longer needed for agency business.

6305 – Departmental Cases Hearings Division (DCHD). These files specifically concern functions of the Departmental Cases Hearings Division.

6305.1 Case Files. These files contain both administrative record materials and working papers for hearings handled by DCHD, other than hearings involving Indian trust matters³ and hearings covered by 6305.3. The files cover such topics

³ Examples of Indian trust matters include Native allotments (where the claim is upheld), trust-related ISDA matters, and royalty matters involving Indian lands.

as mining, grazing, royalties, non-trust ISDA matters, and other administrative hearings that do not fall within the jurisdiction of another OHA unit (see schedules 6302, 6306, and 6307). Administrative record materials include the originals or copies of the administrative record compiled by the Bureau, Office, or other agency involved, hearing transcripts, evidence, pleadings, correspondence, briefs, orders, decisions, return receipts, and other documents received or generated by DCHD. Working papers include drafts, notes, research, and internal communications.

Guidance: Send administrative record materials to appropriate appeals board if DCHD decision or order is appealed. Otherwise, send administrative record materials to originating Bureau, Office, or other agency when case is closed, for retention/disposition in accordance with its approved records schedule.

Disposition: Temporary. Delete/destroy working papers when no longer needed for agency business.

6305.2 Case Files (Trust). (N1-048-10-08) These files contain both administrative record materials and working papers for hearings handled by DCHD involving Indian trust matters. The files cover such topics as Native allotments (where the claim is upheld), trust-related ISDA matter, and royalty matters involving Indian lands. Administrative record materials include the originals or copies of the administrative record compiled by the Bureau, Office, or other agency involved, hearing transcripts, evidence, pleadings, correspondence, briefs, orders, decisions, return receipts, and other documents received or generated by DCHD. Working papers include drafts, notes, research, internal communications, and reference copies of selected administrative record materials.

The administrative record materials may contain Indian Fiduciary Trust Records (IFTR).

Guidance: Send administrative record materials to appropriate appeals board if DCHD decision or order is appealed. Otherwise, send administrative record materials to originating Bureau, Office, or other agency when case is closed, for retention/disposition in accordance with its approved records schedule.

Disposition: Permanent. Cut off working papers when no longer needed for agency business and send to Federal Records Center. Subsequent legal transfer to the National Archives of the United States will be as jointly agreed to between DOI and NARA.

6305.3 Case Files (Surface Mining). These files contain both administrative record materials and working papers for hearings handled by DCHD under the Surface Mining Control and Reclamation Act of 1977. Administrative record materials include the originals or copies of the administrative record compiled by the Office of Surface Mining Reclamation and Enforcement, hearing transcripts,

evidence, pleadings, correspondence, briefs, orders, decisions, return receipts, and other documents received or generated by DCHD. Working papers include drafts, notes, research, and internal communications.

Guidance: Send administrative record materials to IBLA if DCHD decision or order is appealed. Otherwise, delete/destroy administrative record materials 7 years after case is closed or when no longer needed for agency business, whichever is later.

Disposition: Temporary. Delete/destroy working papers when no longer needed for agency business.

6305.4 Decision Files. These files consist of duplicate copies of final orders and decisions prepared by DCHD in the cases described in 6305.1 and 6305.3.

Disposition: Temporary. Cut off at close of fiscal year in which case is closed. Delete/destroy 7 years after cut-off or when no longer needed for agency business, whichever is later.

6305.5 Reading Files. These files consist of duplicate copies of notices, procedural orders, and final orders issued during consideration of a case and maintained in a reading file by DCHD.

Disposition: Temporary. Cut off at close of fiscal year in which notice, order, or decision is issued. Delete/destroy 7 years after cut-off or when no longer needed for agency business, whichever is later.

6305.6 Monthly and Quarterly Caseload Reports. These files contain monthly and quarterly reports prepared by DCHD concerning caseload activity (cases received, closed, and pending). They also contain working papers including drafts, notes, and internal correspondence.

a. Disposition: Temporary. Cut off at close of fiscal year to which report pertains. Delete/destroy monthly and quarterly reports 3 years after cut-off or when no longer needed for agency business, whichever is later.

b. Disposition: Temporary. Delete/destroy working papers when no longer needed for agency business.

6305.7 Judicial Litigation Files. These files contain copies of documents (pleadings, orders, decisions, etc.) pertaining to judicial litigation involving cases decided by DCHD. They are duplicate copies of information maintained by the Solicitor's Office and/or Department of Justice and the courts.

Disposition: Temporary. Delete/destroy when no longer needed for agency business.

6305.8 Case Tracking/Docketing Files. These files consist of docket cards, logs, and other records used to control, track, and monitor the status of cases filed with DCHD.

Disposition: Temporary. Cut off at close of fiscal year in which case is closed. Delete/destroy 7 years after cut-off or when no longer needed for agency business, whichever is later.

6305.9 Docket Management System. Electronic database of information contained in physical case tracking/docketing files.

6305.9a Master Data Files. These files contain the master copy of information created and compiled by the system for the purpose of electronic docketing and case tracking.

Disposition: Temporary. Delete/destroy when system superseded, if all data transferred to successor system. Otherwise, retain for life of system plus 3 years, then delete/destroy.

6305.9b Output Files. These files contain reports and other documents generated by the system from data contained within it, e.g., for the purpose of statistical reports and analysis.

Disposition: Temporary. Destroy/delete when no longer needed for agency business.

6305.9c Documentation Files. These files contain system documentation and manuals created for the management and operation of the electronic docketing system. Files also include working papers created in the process of drafting system documentation.

a. Disposition: Temporary. Delete/destroy system documentation and manuals 3 years after they become superseded or obsolete.

b. Disposition: Temporary. Delete/destroy working papers when no longer needed for agency business.

6305.10 Attorney Working Files. These files consist of attorney drafts, notes, research, background material, reference copies of documents, and other materials related to a specific case or category of cases.

Disposition: Temporary. Delete/destroy when no longer needed for agency business.

6306. Probate Hearings Division (PHD). These files specifically concern functions of the Probate Hearings Division.

6306.1 [Reserved]

6306.2 Case Files (Trust). (N1-048-10-08) These files contain both administrative record materials and working papers for hearings handled by PHD involving Indian probate matters. Administrative record materials include the originals or copies of death certificates, property inventories, heirship information, wills, hearing transcripts, evidence, pleadings, correspondence, briefs, orders, decisions, and other documents received or generated by PHD. Working papers include drafts, notes, research, internal communications, and reference copies of selected administrative record materials.

The administrative record materials contain Indian Fiduciary Trust Records (IFTR).

Guidance: Send administrative record materials to IBIA if PHD decision or order is appealed. Otherwise, send administrative record materials to originating Bureau, Office, or other agency when case is closed, for retention/disposition in accordance with its approved records schedule.

Disposition: Permanent. Cut off working papers when no longer needed for agency business and send to Federal Records Center. Subsequent legal transfer to the National Archives of the United States will be as jointly agreed to between DOI and NARA.

6306.3 [Reserved]

6306.4 Decision/Reading Files. These files consist of duplicate copies of orders, decisions, and other documents prepared or used by PHD.

Disposition: Temporary. Cut off at close of fiscal year in which case is closed. Delete/destroy 7 years after cut-off or when no longer needed for agency business, whichever is later.

6306.5 [Reserved]

6306.6 Monthly and Quarterly Caseload Reports. These files contain monthly and quarterly reports prepared by PHD concerning caseload activity (cases received, closed, and pending). They also contain working papers including drafts, notes, and internal correspondence.

a. Disposition: Temporary. Cut off at close of fiscal year to which report pertains. Delete/destroy monthly and quarterly reports 3 years after cut-off or when no longer needed for agency business, whichever is later.

b. Disposition: Temporary. Delete/destroy working papers when no longer needed for agency business.

6305.7 Judicial Litigation Files. These files contain copies of documents (pleadings, orders, decisions, etc.) pertaining to judicial litigation involving cases decided by PHD. They are duplicate copies of information maintained by the Solicitor's Office and/or Department of Justice and the courts.

Disposition: Temporary. Delete/destroy when no longer needed for agency business.

6306.8 Case Tracking/Docketing Files. These files consist of docket cards, logs, and other records used to control, track, and monitor the status of cases filed with PHD.

Disposition: Temporary. Cut off at close of fiscal year in which case is closed. Delete/destroy 7 years after cut-off or when no longer needed for agency business, whichever is later.

6306.9 Docket Management System. Electronic database of information contained in physical case tracking/docketing files.

6306.9a Master Data Files. These files contain the master copy of information created and compiled by the system for the purpose of electronic docketing and case tracking.

Disposition: Temporary. Delete/destroy when system superseded, if all data transferred to successor system. Otherwise, retain for life of system plus 3 years, then delete/destroy.

6306.9b Output Files. These files contain reports and other documents generated by the system from data contained within it, e.g., for the purpose of statistical reports and analysis.

Disposition: Temporary. Destroy/delete when no longer needed for agency business.

6306.9c Documentation Files. These files contain system documentation and manuals created for the management and operation of the electronic docketing system. Files also include working papers created in the process of drafting system documentation.

a. Disposition: Temporary. Delete/destroy system documentation and manuals 3 years after they become superseded or obsolete.

b. Disposition: Temporary. Delete/destroy working papers when no longer needed for agency business.

6307 – White Earth Reservation Land Settlement Act (WELSA) Hearings Division (WHD). These files specifically concern functions of the WELSA Hearings Division.

6307.1 Case Files. These files contain (a) administrative record materials for hearings handled by WHD involving heirship determinations under WELSA, (b) duplicate copies of such materials for use within WHD and related documents that are not part of the administrative record, and (c) working papers. Administrative record materials for each case include the case docket sheet and originals or copies of death certificates, heirship information, hearing transcripts, evidence, pleadings, correspondence, briefs, orders, and decisions. Related documents that are not part of the administrative record include telephone contact memos and correspondence pertaining to procedural issues not in dispute. Working papers include drafts, notes, research, and internal communications.

Guidance: Send administrative record materials to IBIA if WHD decision is appealed. Otherwise, send administrative record materials to Bureau of Indian Affairs when case is closed and period for the parties to seek reconsideration or rehearing has expired, for retention/disposition in accordance with its approved records schedule.

a. Disposition: Temporary. Delete/destroy duplicate copies of administrative record materials and related documents after 7 years or when no longer needed for agency business, whichever is later.

b. Disposition: Temporary. Delete/ destroy working papers when no longer needed for agency business.

6307.2 [Reserved]

6307.3 [Reserved]

6307.4 Correspondence Files. These files consist of originals or copies of administrative correspondence between the Bureau of Indian Affairs and WHD pertaining to implementation of WELSA.

Disposition: Temporary. Cut off at close of fiscal year in which correspondence is sent or received. Delete/destroy 7 years after cut-off or when no longer needed for agency business, whichever is later.

6307.5 Chronological/Reading Files. These files consist of duplicate copies, filed chronologically, of documents created and issued by WHD in the course of its work. (These are duplicates of either original documents or copies found in the other categories of this schedule.)

Disposition: Temporary. Cut off at close of fiscal year. Delete/destroy when no longer needed for agency business.

6307.6 Monthly and Quarterly Caseload Reports. These files contain monthly and quarterly reports prepared by WHD concerning caseload activity (cases received, closed, and pending). They also contain working papers including drafts, notes, and internal correspondence.

a. Disposition: Temporary. Cut off at close of fiscal year to which report pertains. Delete/destroy monthly and quarterly reports 3 years after cut-off or when no longer needed for agency business, whichever is later.

b. Disposition: Temporary. Delete/destroy working papers when no longer needed for agency business.

6307.7 [Reserved]

6307.8 [Reserved]

6307.9 Docket Management System. Electronic database of information contained in physical case files.

6307.9a Master Data Files. These files contain the master copy of information created and compiled by the system for the purpose of electronic docketing and case tracking.

Disposition: Temporary. Delete/destroy when system superseded, if all data transferred to successor system. Otherwise, retain for life of system plus 3 years, then delete/destroy.

6307.9b Output Files. These files contain reports and other documents generated by the system from data contained within it, e.g., for the purpose of statistical reports and analysis.

Disposition: Temporary. Destroy/delete when no longer needed for agency business.

6307.9c Documentation Files. These files contain system documentation and manuals created for the management and operation of the electronic docketing system. Files also include working papers created in the process of drafting system documentation.

a. Disposition: Temporary. Delete/destroy system documentation and manuals 3 years after they become superseded or obsolete.

b. Disposition: Temporary. Delete/destroy working papers when no longer needed for agency business.

6308 – Integrated Electronic Docket Management System. These files concern OHA's development and implementation of an integrated Docket Management System to replace the unit-specific systems used in the Director's Office, IBIA, IBLA, DCHD, and WHD.

6308.1 Planning and Development. These files contain records relating to the planning and development of the system, as well as its ongoing modification and enhancement. They include documents relating to functional requirements and technical specifications; plans, timetables, and milestone charts for system development; system design and screen mock-ups; system installation and testing; and system acceptance.

Disposition: Temporary. Cut off at end of fiscal year in which initial system or any new version or enhancement to the system was successfully installed and accepted. Delete/destroy 3 years after cut-off or when no longer needed for agency business, whichever is later.

6308.2 Management and Maintenance. These files contain records relating to the routine management and day-to-day maintenance of the system. Management documents include administrative documents (e.g., documents relating to system costs and funding) and system-function documents (e.g., system business rules, guidelines, and rules of behavior). Maintenance documents include electronic and hard-copy documents created to monitor system usage (e.g., log-in files, password files, audit trail files, and system usage files), identify and correct system problems, back up system data, and perform other functions associated with system maintenance and support.

Disposition: Temporary. Destroy/delete when superseded/obsolete or when no longer needed.

6308.3 Input Files. These files contain information entered into the integrated docket management system for the purpose of tracking or documenting cases and case history, as well as producing reports or statistical data.

Disposition: Temporary. Delete/destroy after input and verification of data into master files or when no longer needed to support the reconstruction of the master files, whichever is later.

6308.4 Master Data Files. These files contain the master copy of information created and compiled by the system for the purpose of electronic docketing and case tracking.

Disposition: Temporary. Retain for life of system plus 3 years, then delete/destroy.

6308.5 Output Files. These files contain hard copy or exportable (electronic) reports and other documents generated by the system from data contained within it, e.g., for the purpose of statistical reports and analysis.

Disposition: Temporary. Delete/destroy when no longer needed for agency business.

6308.6 Documentation Files. These files contain all records needed to interpret (read and understand) the data in the system. They include the system's program code and code translation tables (codebooks); data element definitions and dictionary; table descriptions; file specifications; and record layout.

Disposition: Temporary. Cut off at end of fiscal year in which superseded or obsolete. Delete/destroy 3 years after cut-off.

6308.7 User Manual and Training Files. These files contain records created to train or assist employees in using the system, and records relating to such training. They include printed and electronic user guides, electronic "Help Screen" instructions, PowerPoint presentations, handouts prepared for system demonstrations and user training, announcements of and schedules for user training sessions, sign-in sheets documenting users trained, and other related records.

Disposition: Temporary. Cut off at end of fiscal year in which superseded or obsolete. Destroy/delete 3 years after cut-off.

6400 – Office of Human Resources

6401 – Firefighter and Law Enforcement Retirement Team (FLERT) Files. (N1-048-06-02, Item 3701) The Firefighter and Law Enforcement Retirement Team (FLERT) was established by the Department of the Interior in 1997 to review and make recommendations concerning the eligibility of individual claims and position descriptions for special Firefighter and Law Enforcement Officer (FF/LEO) retirement coverage for the BLM, the National Park Service, the U.S. Fish and Wildlife Service, the BIA, the Aircraft Management Directorate of the National Business Center (NBC), the Bureau of Reclamation, the Office of the Inspector General, and OS. FLERT manages the FF/LEO Special Retirement Program for the Department's Office of Human Resources.

6401.1 - 6401.3: Special Retirement Claims for Firefighters and Law Enforcement Officers.

FF/LEOs covered by the Civil Service Retirement System (CSRS) and the Federal Employees Retirement System (FERS) are eligible for voluntary retirement or an immediate annuity upon meeting certain requirements defined in 5 U.S.C. 8331 (21); 8335(b); 8336(c); 8401 (14); 8412(d); 8425. These files document the status of claimants' requests for coverage and retirement under special provisions for FF/LEOs covered by the above laws.

Note: these records are subject to the provisions of the Privacy Act

6401.1 Special Retirement Claims Case Files. (N1-048-06-02, Item 3701.2a) Records documenting the status of claimant's request, judicial proceedings, and appeal status including: all correspondence, memoranda, final administrative determinations and documents relating to further judicial proceedings.

Disposition: Temporary. Cut off case files at end of the fiscal year in which they are closed. Transfer to Federal Records Center 5 years after cut-off. Destroy 5 years after claimant's death or 50 years after cut-off, whichever occurs first.

6401.2 Special Retirement Claims Appeals Files. (N1-048-06-02, Item 3701.2c) Case files of denied claims that have been appealed but not overturned. In addition to the original case file documents, these files contain correspondence and documents relating to further judicial proceedings and appeals that result from the denial of a claim.

Disposition: Temporary. Cut off appeal case files at the end of the fiscal year in which appeals are closed. Transfer to Federal Records Center 5 years after cut-off. Destroy 5 years after claimant's death or 50 years after cut-off, whichever occurs first.

6401.3 Special Retirement Claims Court Decisions. (N1-048-06-02, Item 3701.2d) Records of judicial proceedings regarding individual case files.

Disposition: Temporary. Cut off court decisions case files at the end of the fiscal year in which final court decisions are issued. Transfer to Federal Records Center 5 years after cut-off. Destroy 5 years after claimant's death or 50 years after cut-off, whichever occurs first.

6401.4 – 6401.6: FF/LEO Position Description Files.

These files contain correspondence and other records relating to the development of approved position descriptions for jobs within DOI covered by the provisions of special retirement provisions for FF/LEOs. They include background information, job descriptions and duties, and documentation acknowledging their official approval by FLERT.

6401.4 Standard Position Descriptions Files. (N1-048-06-02, Item 3701.3a) Standard job descriptions that apply for persons covered under the provisions of special retirement for FF/LEOs.

Disposition: Temporary. Destroy 2 years after position is abolished or description is superseded.

6401.5 Non-Standard Position Descriptions Files. (N1-048-06-02, Item 3701.3b) Approved submissions by bureaus and offices within the Department of the Interior covering non-standard job descriptions for work covered by the special retirement provisions for FF/LEOs.

Disposition: Temporary. Destroy 2 years after position is abolished or description is superseded.

6401.6 Denied Position Descriptions Files. (N1-048-06-02, Item 3701.3c) Job descriptions submitted by bureaus and offices within DOI that have been disapproved by FLERT.

Disposition: Temporary. Destroy 3 years after position is denied or when no longer needed for agency business, whichever is longer.

6401.7 FLERT Newsletters. (N1-048-06-02, Item 3701.4a) “Quarterly” newsletter, *The Extra 1/2%*, providing information on FLERT programs including issues, decisions, and training programs available to FF/LEOs.

This series covers only the official record copy.

Disposition: Permanent. Cut off at end of fiscal year. Transfer to NARA 5 years after cut-off.

6401.8 & 6401.9: FLERT Advisory Board Files.

These files contain records created by and for the FLERT Advisory Board. The FLERT Advisory Board is composed of members from each serviced bureau/office within the DOI, e.g., BLM, National Park Service, U.S. Fish and Wildlife Service, BIA, Aircraft Management Directorate of NBC, Bureau of Reclamation, Office of the Inspector General, and OS. The FLERT Advisory Board provides program guidance to FLERT and makes decisions on organizational and operational issues.

6401.8 FLERT Advisory Board Decisions. (N1-048-06-02, Item 3701.6a) These files contain records documenting significant decisions made on organizational and operational issues, and other records constituting the official record of the FLERT Advisory Board.

Disposition: Permanent. Cut off at end of fiscal year. Transfer to the NARA 5 years after cut-off.

6401.9 FLERT Advisory Board Administrative Files. (N1-048-06-02, Item 3701.6b) These files contain records documenting meetings and other activities/actions of the FLERT Advisory Board. They include, but are not limited to: routine correspondence, agendas and minutes of meetings, records documenting routine decisions on organizational and operational issues, scheduling and attendance records, and Board Member appointment records.

Disposition: Temporary. Cut off at end of fiscal year. Delete/destroy 5 years after cut-off.

6451 – Firefighter and Law Enforcement Retirement System (FLERS) Files. (N1-048-06-02, Item 3701.5b) FLERS is an electronic database that captures statistical data documenting the activities related to the operation of the FLERT office. The database is used to compile statistical data on the claimants and on the job descriptions processed. It is composed of two parts: the claimants' records and the list of positions for which the special retirement provisions for FF/LEOs apply. The FLERS database system is a custom application of a commercial, off-the-shelf database system.

The master data file is composed of claimants' records and the list of positions for which the special retirement provisions apply. The claimant section contains personal information about individual claimants (name, Social Security Number, birth date, address, etc.) and their status within the FF/LEO Retirement System (eligibility, retirement date, agency, CSD number, retirement plan, other claims, etc.) The position description section contains detailed information about specific positions within FLERS including: position name, official title, organization title, pay plan, job series, grade, position status, retirement group, retirement plan, bureau, subunit, coverage, approved by, and position reference file.

Note: These records are subject to the provisions of the Privacy Act.

6451.1 FLERS Master File Personal Data (in Claimant Records). (N1-048-06-02, Item 3701.5b(1))

Disposition: Temporary. Cut off at the end of the fiscal year in which claimant's records are first input into the system. Destroy 5 years after claimant's death or 50 years after cut-off, whichever occurs first.

6451.2 FLERS Master File Statistical Data and Position Data. (N1-048-06-02, Item 3701.5b(2))

Disposition: Temporary. Retain for the life of the FF/LEO Special Retirement Program plus 5 years.

6452 – Employee Labor Relations Tracking System (ELERTS). (N1-048-09-08) This system is used to track all disciplinary actions. performance-based actions, appeals. grievances. and all labor relations issues/actions (negotiations. arbitrations. etc.) Human Resource Specialists input the information into the system and run reports for their serviced activities. Office of Human Resources will be able to view the system for the entire department and run statistical reports.

Disposition: Temporary. Cut off at the end of calendar year. Destroy 10 years after cut-off

6500 – Office of Civil Rights

6501 – Equal Employment Opportunity (EEO) Reports and Analysis. The Office of Civil Rights (OCR) is responsible for providing an annual agency self-assessment to the Equal Employment Opportunity Commission (EEOC) per Management Directive 715, and also reports on workforce demographics as needed (at minimum, quarterly throughout the year). This self-assessment must include demographic data for the department to enable statistical analysis and determination as to whether EEO Program objectives have been met.

6501.1 Electronic Reports. (N1-048-11-02) This item covers electronic records generated for workforce analysis, barrier identification, management, and reporting, as required by MD 715 on an annual basis. Currently, OCR utilizes the eVersity web application from MicroPact to create and maintain these records, with demographic data imported from the FPPS system (see N1-048-08-03, item 7551.1).

Disposition: Temporary. Cut off records at the end of the fiscal year in which the report is issued. Destroy 5 years after cut-off.

6501.2 Paper Reports. This item covers paper records created and maintained for workforce analysis and EEO statistical reporting, including any necessary supporting information.

Disposition: Temporary. Cut off records at the end of the fiscal year in which the report is issued. Destroy 5 years after cut-off. (GRS 1-25f, NC1-64-77-10 item 26f)

6502 – EEO Compliance Reports.

Disposition: Temporary. Cut off at end of fiscal year. Destroy 3 years after cut-off. (GRS 1-25d2, NC1-64-77-10 item 26d2)

6503 – EEO General Files. General correspondence and copies of regulations with related records pertaining to the Civil Rights Act of 1964, the EEO Act of 1972, and any pertinent later legislation, and agency EEO Committee meeting records, including minutes and reports.

Disposition: Temporary. Cut off at end of fiscal year. Destroy 3 years after cut-off, or when superseded or obsolete, whichever is applicable. (GRS 1-25g, NC1-64-77-10 item 26g)

6551 – iComplaints. Equal Employment Opportunity (EEO) Complaint files that are stored in electronic format consisting of correspondence, reports, exhibits, withdrawal notices, copies of decisions, records of hearings and meetings, and other records.

Disposition: Temporary. Cut off at resolution of case. Destroy one year after cutoff. (GRS 1-25b, NC1-64-77-10 item 26b)

6600 – Office of Occupational Health and Safety

6651 – Safety Management Information System (SMIS). Safety Management Information System is an automated system for reporting accidents which involve DOI employees, volunteers, contractors or visitors to DOI facilities. The application can only be used by authorized DOI employees, Supervisors and Safety Managers. Includes accident reporting, reference library, DOI SafetyNet, DOI Safety Statistics, Safety Smart – online and DOI Home Page.

Disposition: Temporary. Cut off on termination of compensation or when deadline for filing a claim has passed. Destroy 3 years after cut-off. (GRS 1-31, N1-GRS-86-4 item 32)

6700 – Office of Strategic Development of Human Capital

6800 – Office of Collaborative Action and Dispute Resolution

6900 – Indian Arts and Crafts Board

7000 – Program Offices: Business Management

7100 – Office of Financial Management

7151 – Consolidated Financial System (CFS). (N1-048-08-12) The primary system used by the Department, bureaus and the Office of Financial Management (PFM) to prepare monthly, quarterly and annual financial statements. Financial data is obtained from the Federal Financial System (FFS) and Financial and Business Management System (FBMS) to accomplish the necessary reporting.

Disposition: Temporary. Cut off at the end of the annual report cycle. Destroy 7 years after cut-off.

7200 – Office of Budget (N1-048-10-2, except as otherwise noted)

POB is responsible for directing and coordinating the development, presentation, execution and control of the budget of the Department of the Interior through the individual budget offices of its major bureaus and offices.

7201 – Administrative Files

7201.1 Budget Correspondence. Correspondence files pertaining to routine administration, internal procedures and other matters not covered elsewhere in the schedule, excluding files related to agency policy and procedures.

Disposition: Temporary. Cut off at end of current year. Destroy 2 years after cut-off. (GRS 5-1, GRS 5, 1952, items 1 and 3)

7201.2 Budget Background Files. Cost statements, rough data and similar materials accumulated in the preparation of annual budget estimates and justifications and related appropriation language sheets, narrative statements, and related schedules and originating offices' copies of reports submitted to budget offices.

Disposition: Temporary. Cut off at end of fiscal year. Destroy 1 year after cut-off. (GRS 5-2, NC1-GRS-81-13 item 2)

7202 – Budget Report Files. Periodic reports on the status of appropriation accounts and apportionment.

7202.1 Budget Annual Reports. End of fiscal year reports maintained by the budget office.

Disposition: Temporary. Cut off at end of fiscal year. Destroy 5 years after cut-off. (GRS 5-3a, GRS 5, 1952, item 5a)

7202.2 Budget Report Files-Other. Budget reports other than annual reports.

Disposition: Temporary. Cut off at end of fiscal year. Destroy 3 years after cut-off. (GRS 5-3b, NC-64-75-2 item 5b)

7203 – Budget Apportionment Files. Apportionment and re-apportionment schedules, proposing quarterly obligations under each authorized appropriation.

Disposition: Temporary. Cut off at end of fiscal year. Destroy 4 years after cut-off. (GRS 5-4, GRS 5, 1952, item 6)

7204 – Budget Technical Guidance. Files pertaining to Technical Budget Guidance, Effect Statement Guidance, and Capability Statement Guidance for budget development and exercises throughout the year, excluding Policy guidance on budget development.

Disposition: Temporary. Cut off at end of current year. Destroy 10 years after cut-off.

7205 – Budget Publications and Public Releases

7205.1 Permanent. Green Books for each DOI component and the Budget in Brief, press conference documents, briefing books for press conferences, for hearings, Effect Statements, similar documents used in presentation of the President's budget requests to Congress.

Disposition: Permanent. Cut off at end of budget year. Transfer to NARA in 5 year blocks after a retention of 20 years.

7205.2 Temporary. Drafts of Green Books for all bureaus, specified budget documents, capability statements, hearing record development, question and answers, inserts, transcripts, testimonies, Congressional action seminars, State and Congressional Reports, supplemental for Congress, maintenance and construction 5 year plans, and similar documents used in presentation of the President's budget requests to Congress.

Disposition: Temporary. Cut off at end of budget year. Destroy 5 years after cut-off.

7206 – Budget Formulation Files. Budget formulation guidance, briefing materials, the Secretary's decisions, and formal submissions, including: OMB's submission, bureau submissions to the Department, and to OMB, OMB's pass back, appeals, final settlement numbers.

Disposition: Temporary. Cut off at end of budget year. Destroy 5 years after cut-off.

7207 – Budget Presentation Files. Records associated with development of formal budget requests to the Department, OMB and Congress of the senior executives in POB. These include Director/Deputy Director Budget formulation records and budget files of similar nature.

7207.1 High Level Officials. Files belonging to the Director, Deputy Director, and Division Chief of Budget and Program Review (BPR).

Disposition: Temporary. Cut off at end of budget year. Destroy 8 years after cut-off.

7207.2 Other Office Staff. Files belonging to the Chief, Deputy Chief, and Budget Analysts.

Disposition: Temporary. Cut off at end of budget year. Destroy 3 years after cut-off.

7208 – Budget Execution Files. Records directing bureau and office budget execution, such as quarterly programming reports to Congress, continuing resolution guidance, calculations, apportionments and impact statements, and DS 520s. Also included are files pertaining to Reimbursable Support Agreements (RSAs), projections, Workman's Compensation, and FEAR (whistleblowing).

Disposition: Temporary. Cut off at end of budget year. Destroy 3 years after cut-off or when no longer needed for agency business, whichever is later.

7209 – Congressional Correspondence Files. Copies of incoming and outgoing congressional correspondence of a substantive nature, reflecting policy issues and program functions, but excluding transmittal of documents to appropriations committee staff.

Disposition: Temporary. Cut off at end of current year. Destroy 5 years after cut-off.

7210 – Budget Program Files (Subject Files). Documents that are program specific in nature generated by other offices or bureaus. These include documents associated with PART evaluations, reprogramming requests requiring congressional approval, reorganizations, bureau specific issues, and budget administration team files on specific IT investments. They are maintained to enhance program knowledge and assist in response to enquiries.

Also included are files pertaining to budget technical, process, system or management issues that have broader budgetary or management policy

implications. These include budget formulation and execution line of business, Financial and Business Management System (FBMS), and Appropriation Language issues.

Disposition: Temporary. Cut off when program is initiated, or if not initiated, when it is cancelled. Destroy 8 years after cut-off or when no longer needed, whichever is later.

7211 – Budget Significant Event Files. Subject files that involve a significant budgetary event that has an immediate impact upon the budget (such as a national emergency, natural disaster, etc.), for which a special stipulation of funds is required. Some files may start out as program files or budget and management policy files, but the subject matter and/or task evolves to a significant nature, warranting placement in this item. Files include budgeting scoring/laws and government shut down guidance.

Disposition: Temporary. Cut off at end of budget year when final funds are assigned in response to the event. Destroy 10 years after cut-off or when no longer needed, whichever is later.

7212 – IT Capital Investment Files. Records maintained by office related to the decision-making process needed to approve and/or authorize funding for IT Capital Investments. Records include routine and periodic reports on IT capital investments; capital asset plans; business cases for major investments, systems, acquisitions, or operational assets identified in the agency's capital investment portfolio; and clearance and review records.

Disposition: Temporary. Cut off at end of budget year. Destroy 7 years after cut-off. (GRS 27-3, N1-GRS-04-4 item 3)

7213 – Appropriations/Congressional Travel. Documents that pertain to travel of Appropriations committee staff coordinated and/or funded by the Office of Budget.

Disposition: Temporary. Cut off when elected officials are no longer in office. For committee staff, cut-off when no longer on Appropriations committee. Destroy 2 years after cut-off.

7214 – Payment in Lieu of Taxes (PILT) Files. Compensation for county governments whose jurisdiction contains tax-exempt federal lands.

7214.1 Annual Payment Book.

Disposition: Permanent. Cut off at end of fiscal year. Transfer to NARA 6 years after cut off or when no longer needed for agency business, whichever is later.

7214.2 Supporting Documents. Records used to generate Payment In Lieu of Taxes for various programs.

Disposition: Temporary. Cut off at end of fiscal year. Destroy 6 years after cut-off.

7251 – Budget Electronic System. These files incorporate the Budget Electronic System, which provides automation support for the budget formulation and execution processes of the Office of the Secretary. The system supports the development of budget estimates, allocation of resources by fund, program and office and assists in tracking resource use. The outcome of the process is the Office of the Secretary Green Book, also known as the President's Budget.

Disposition: Temporary. Cut off at end of budget year. Destroy 3 years after cut-off or when no longer needed for agency business, whichever is later.

7300 – Office of Acquisition & Property Management

7301 - Office of Acquisition and Property Management (PAM) Annual Reports. (Draft Only – Not Yet Submitted) Annual Reports submitted by PAM, including but not limited to the following categories: Real Property Reports; Personal Property Reports; Energy Conservation Reports; and Museum Management Reports. Records may incorporate individual bureau reports and supporting documents.

Disposition: Temporary. Cut off one year following submission by PAM to the required Federal agency. For reports requiring submissions fewer than once per year (i.e. biennial, triennial, etc.), cut off after 4 years or when superseded, whichever is sooner. Destroy 15 years after cut-off.

7302 – Grant Files (Drafts Only – Not Yet Submitted)

7302.1 Grant Case Files. Includes accepted applications among many other documents, substantive correspondence and subject files relating to grant programs, and final product files

Disposition: Temporary. Cut off at end of year. Destroy ??? after cut-off.

7302.2 Unsuccessful Grant Application Files. Applications, correspondence, and other records relating to unsuccessful (rejected or withdrawn) applications.

Disposition: Temporary. Cut off upon rejection or withdrawal. Destroy 3 years after cut-off. (GRS 3-13)

7302.3 Grant Administrative Files. Correspondence and/or subject files relating to routine operations and daily activities in administration of the grant program.

Disposition: Temporary. Cut off at end of calendar year. Destroy 2 years after cut-off. (GRS 3-14, NC1-64-77-5 item 17b)

7303 Suspension and Debarment Files. (N1-048-11-04) Files relating to individuals, businesses, or organizations that have been suspended, proposed for debarment, or debarred from Federal procurement and assistance programs, and individuals, businesses, or organizations that have been the subject of debarment or suspension action referral memorandum on which an official case file was opened but action has been declined. Files include copies of Inspector General action referral memorandums, and their attachments, Debarring and Suspending Official action notices, action scheduling correspondence by letter and email, tape recordings of presentations of matters in opposition, written case submissions, evidentiary documents presented for the record, fact finding hearing transcripts,

action determinations, administrative agreements entered to resolve debarment and suspension cases, and other related documents.

Disposition: Temporary. Cut off when the period of debarment or voluntary exclusion expires, all provisions of the compliance agreement have been completed, or an action is otherwise concluded. Destroy 6 years and 3 months after cut-off.

7351 – Interior Department Electronic Acquisition System (IDEAS). A procurement system that integrates acquisition practices and facilitates the process of purchase requisitions. The system replaces the manual Purchase Requisition/Oral Order Form (1510-18).

Procurement desktops in the various agencies of the DOI are also covered under this schedule.

Disposition: Temporary. Cut off at end of the fiscal year in which final payment is made.

For transactions that exceed the simplified acquisition threshold and all construction contracts exceeding \$2,000, destroy 6 years and 3 months after final payment. (GRS 3-3a1a, N1-GRS-95-4 item 3a1a))

For transactions at or below the simplified acquisition threshold and all construction contracts at or below \$2,000. (GRS 3-3a1b, N1-GRS-95-4 item 3a1b)

7352 – Interior Collection Management System (ICMS)

7400 – Office of Small & Disadvantaged Business Utilization. (Drafts Only – Not Yet Submitted) The Interior's OSDBU was created as part of the Small Business Act (SBA) to ensure that small and disadvantaged businesses are provided maximum practicable opportunity to participate in the agency's contracting process. Pursuant to Public Law 95-507, every federal agency is required to have an OSDBU. The Office provides outreach and assistance for procurement and contracting opportunities to Small Businesses (SB), Small Disadvantaged Businesses (SDB), 8(a) firms, Woman-Owned Businesses (WOB), Veteran-Owned Small Businesses (VOSB), Service Disabled Veteran-Owned Small Businesses (SDVOSB) and businesses located in Historically Underutilized Business Zones (HUBZone) areas and guidance to the Interior's contracting and management officials on small business.

The primary responsibility of the OSDBU is to ensure that small businesses are treated fairly and have an opportunity to compete and be selected for a fair amount of the agency's contracting and subcontracting dollars.

7401 – Forecast of Contract Opportunities. This is a web-based database located on the OSDBU website that bureaus use to input contract opportunities for

the fiscal year. It is an annual report that aids small businesses in locating procurement opportunities within DOI.

Disposition: Temporary. Cut off at end of fiscal year. Destroy 1 year after cut-off.

7402 – Company Profiles/Capability Statement. These files are the names of small businesses who have met with OSDBU seeking business opportunities with DOI. The capability statement gives a general overview of a business.

Disposition: Temporary. Cut off after 1 month. Destroy 1 year after cut-off.

7403 – Business and Economic Development Program (BEDP) files. These are responses to congressional and small business inquiries regarding socio-economic programs. The report tracks the goals and accomplishments of DOI with regard to the Small Business Act, as amended.

Disposition: Temporary. Cut off at end of fiscal year. Destroy 7 years after cut-off.

7404 – Reports from Electronic Subcontracting Reporting System (ESRS). A system used for tracking the goals and accomplishments of the bureaus. Prime contractors submit their subcontracting goals into the ESRS and OSDBU generates a report on prime contractor accomplishments and produces a directory of its prime contractors. Records include the ESRS reports and listings of Interior Prime contractors for small businesses to contact for subcontracting opportunities.

Disposition: Temporary. Cut off at end of calendar year. Destroy 1 year after cut-off.

7500 – National Business Center (NBC)

7501 – Secretary's Reading Files

7502 – Office of Indirect Cost Services (ICS) Files. (N1-048-06-06, Item 5301)

The ICS office of NBC, within OS, negotiates indirect cost rates and provides guidance on indirect cost proposals submitted by contractors and grant recipients on behalf of non-Federal entities (such as Native American tribal governments, state and local governments, territorial governments, and non-profit organizations) for which the DOI is their cognizant agency, i.e., entities that receive the majority of their funding through the DOI. The indirect cost rate is the percentage of indirect costs (overhead/administrative costs) that a contractor or grantee can recover for administering programs that are mandated or authorized by the federal government.

7502.1 Negotiated Agreements. (N1-048-06-06, Item 5301.2a(1))

Submissions and original copies of the signed Indirect Cost Agreement negotiated by the ICS, including applicable exhibits, schedules and certificates. Identified by name of organization, assignment number, and year or years rates were negotiated.

Disposition: Temporary. Cut off on date of signing. Retain for 3 fiscal years or until superseded by new agreement, whichever is longer, provided that no litigation, claim or audit is initiated. In the event of litigation, claims or audits, retain for 3 fiscal years after final settlement of legal or investigative action, or until superseded by new agreement, whichever is longer.

7502.2 Supporting Documentation. (N1-048-06-06, Item 5301.2b)

Documents submitted to the ICS to support the Indirect Cost Agreement including, but not limited to, audited financial statements, accounting schedules, and applicable certificates.

Disposition: Temporary. Cut off on date of (or yearly anniversary of date of) signing of agreement to which documents are applicable. Retain for 3 fiscal years or until superseded by new agreement, whichever is longer, provided that no litigation, claim or audit is initiated. In the event of litigation, claims or audits, retain for 3 fiscal years after final settlement of legal or investigative action, or until superseded by new agreement, whichever is longer.

7503 – Valuation Services. (N1-048-10-01, Section 10) These files contain records maintained by Office of Valuation Services that document the work of OVS in providing real property appraisal services both to internal agency clients (the bureaus and offices that comprise the Department of the Interior) and to external clients (e.g., other Federal agencies). They contain the signed record (or “true”) copy of all valuation products prepared by and for the OVS. They do not

contain the signed copies (or “originals,” typically 3 in number) of valuation products that are provided to client agencies. These records are covered by the client agencies’ respective records schedules, and are generally filed with other records relating to the actions for which the real property appraisal services were requested and performed.

7503.1 Valuation Services Policy and Guidance Files. (N1-048-10-01, Item 10.1) These files contain the record copy of formal real property appraisal services policy and guidance documents issued by the Office of the Chief Appraiser. Policy and guidance documents are numbered chronologically in accordance with established conventions and remain in effect until formally superseded or deleted.

Informal or routine guidance is covered by 1203 Technical Advice/Guidance Files (N1-048-08-22).

Disposition: Permanent. Cut off at end of fiscal year. Transfer to NARA 5 years after cut-off.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY N1-048-06-01

7503.2 Service-Level-Agreements Files. (N1-048-10-01, Item 10.2) These files contain *copies* of service level agreements negotiated with client agencies (both within and outside of the Department of the Interior) for the provision of real property appraisal (and other) services. These agreements are generally in effect for a period of no longer than three years, and are filed in the Office of the Chief Appraiser, and in Regional Offices of the OVS, as applicable, by customer name and/or number. (Note: This schedule does not cover the record copy of these agreements, which is maintained elsewhere.)

Disposition: Temporary. Cut off at expiration of agreement. Destroy 3 years after cut-off.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY N1-048-06-01

7503.3 Case/Work Files. (N1-048-10-01, Item 10.3) Case/work files contain paper and electronic records documenting real property appraisal services prepared by and for OVS. They contain a complete history of the requested actions, along with all other data, information, and documentation necessary to support the appraiser’s opinions and conclusions and to show compliance with all Uniform Standards of Professional Appraisal Practice (USPAP) applicable to the specific type of

appraisal service and valuation product provided, along with any other applicable standards, regulations, or legal requirements, e.g., the Uniform Appraisal Standards for Federal Land Acquisitions (UASFLA). Case/work files include, but are not limited to: copies of client requests for appraisal services; instructions for agency staff appraisers, contract appraisers, or 3rd party appraisers; invoices for vendor services; pre-appraisal conference (and other meeting) notes; field notes; subject data from realty specialists (legal descriptions, title reports, maps, zoning, land use descriptions etc.); correspondence with realty specialists, owners/proponents, and/or appraisers; analyses; supplemental data; summaries of any written reports or testimony, or a transcript of testimony; and final signed (true) copies of valuation products, e.g., appraisal services reports, reviews, and consulting reports. They are numbered organized and filed by ARRTS number in central files in OVS offices.

Disposition: Temporary. Cut off files upon completion of final report or other valuation product/service requested. Destroy 5 years after cut-off, or 2 years after final disposition of any judicial proceeding in which the appraiser provided testimony related to the assignment, or until no longer needed for official business, whichever is longer.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY N1-048-06-01

7503.4 Records Compliance Files. These files contain records maintained by the ASD Records Compliance Officer documenting compliance audits of records management practices at headquarters, regional and field offices of the ASD. They include, but are not limited to, cyclical (periodic) and special (occasional) audits, reports and studies detailing the results of off-site and on-site reviews; recommendations for corrective action and detailed action plans; schedules for follow-up actions; procedural manuals; operational and internal control checklists and guidelines; and materials developed for presentations and briefings for senior agency management.

Disposition: Temporary. Cut off at end of fiscal year. Destroy 6 years after cut-off (GRS 16-7, N1-GRS-98-2 item 19), or when no longer needed for official ASD business, whichever is longer.

7503.5-7503.7: Minerals Evaluations. (DAA-0048-2012-0001, Items 1.1-1.3) Case files consist of records accumulated in the evaluation of lands to ascertain worth or potential worth of mineral resources. Records generally include the following:

- 1. The request for minerals evaluation or minerals product/service**
- 2. The manuscript review form**
- 3. Approved minerals evaluation report or product**

4. Correspondence (emails, letters, etc.), author's notes, calculations, and miscellaneous working files
5. References cited in the report

Filing instructions: Case files are stored in an expandable folder with five divider tabs per project, organized by the above criteria (1-5). All of the above tabs may not be applicable in every case/work file.

7503.5 – Reservation-Wide Minerals Evaluations. Case files pertain to minerals evaluations for lands on Indian Reservations. Evaluations requested under this heading include the following reports: Minerals Assessment & Market Analysis, and Review of Existing Minerals Data report. Records are filed by reservation number.

This item contains Indian Fiduciary Trust Records (IFTR)

Disposition: Permanent. Cut off files at completion of final report or other valuation product/service requested. Transfer records to Federal Records Center 5 years after cut-off, or when no longer needed for agency business, whichever is later. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of the Interior and the National Archives and Records Administration.

7503.6 – Other Indian Minerals Evaluations. Case files pertain to minerals evaluations for lands owned by Individual Indian Allottees and their heirs. Evaluations requested under this heading fall into 5 different report types:

1. Selected Tract ID/Parcel Evaluation – Leasing
2. Selected Tract ID/Parcel Evaluation – Title Transfer
3. Probate Case#(s)/Parcel Evaluation – Probate
4. Selected Tract ID/Parcel Evaluation – Other
5. Consultation Service

Leasing, Title Transfer, Other and Consultation Service records are filed by individual.

Probate records are filed by Probate Case# and Fiscal Year.

This item contains Indian Fiduciary Trust Records (IFTR)

Disposition: Permanent. Cut off files at completion of final report or other valuation product/service requested. Transfer records to Federal Records Center 5 years after cut-off, or when no longer needed for agency business, whichever is later. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of the Interior and the National Archives and Records Administration.

7503.7 – Non-Indian Minerals Evaluations. Case files pertain to minerals evaluations on lands owned by the United States Government. Evaluations requested under this heading generate 3 different types of reports:

1. Minerals Evaluation (where OME actually performs the evaluation in house)
2. Review of Minerals Report (where OME reviews a report done by a contractor)
3. Consultation Services (where OME answers specific minerals questions or assists with Statements of Work for minerals contracts, etc.)

Disposition: Temporary. Cut off at end of fiscal year in which report is finalized. Destroy 5 years after cut-off.

7504 Federal Consulting Group. (N1-048-09-09) The Federal Consulting Group provides consultation services aimed at overcoming the organizational challenges of client offices. This is accomplished through assessment and construction of organizational logic models, amongst other methods. The Federal Consulting group consists of three divisions: Consulting, Executive Coaching, and Performance Measurement & Customer Satisfaction. The Consulting and Coaching divisions provide the services indicated by their titles, while the Performance Measurement & Customer Satisfaction division provides clients with access to the American Customer Satisfaction Index (ACSI). The ACSI allows federal offices to demonstrate compliance with the President's Management Agenda and the Government Performance and Results Act to the Administration and Congress.

7504.1 Federal Consulting Group Case Files. (N1-048-09-09)

Documents created for specific clients and sorted as such. Files include both final work product created for the client, as well as documents utilized in the creation of final work product. Files contain Leadership assessment files, post coaching assessment documents and any other materials relating to consulting or coaching services rendered.

Disposition: Temporary. Cut off at end of fiscal year in which business with client is concluded. Destroy ten years after cut off.

7504.2 American Customer Satisfaction Index (ACSI) Reports. (N1-048-09-09) Consists of ACSI reports generated for the clients of the Federal Consulting Group.

Disposition: Temporary. Cut off at end of fiscal year in which business with client is concluded. Destroy ten years after cut off.

7505 – Aviation Management Directorate The Aviation Management Directorate of the National Business Center, provides Aviation Safety Services, Aviation Program Management Services, Aviation User Training, as well as Flight Scheduling and Coordination Services.

7505.1 Routine Aircraft Operations. Records that pertain to the day-to-day operation of aircraft operated by Federal agencies. Included are records documenting departures, takeoffs, and destinations, passengers on board, requests for flights, flight orders, aircraft flight logs, flight plans, and similar records.

Disposition: Temporary. Cut off at end of fiscal year in which records are created. Destroy when 2 years old. (GRS 10-9, N1-GRS-04-6, item 1)

7505.2 Logistical Support for Flight Operations. Records that document logistical support relating to flying activities, such as furnishing supplies, equipment, administrative assistance, and other needed logistics services. Also included are comments on regulations, directives or other publications that relate to logistics matters, program and budget information, management improvement reports, cost reduction reports, and requests for substantive information that relate to logistics matters.

Disposition: Temporary. Cut off at end of fiscal year in which documents are created. Destroy when 6 years old or when superseded, whichever is later. (GRS 10-10, N1-GRS-04-6, item 2)

7505.3 Unique Aircraft Maintenance and Airframe Modifications Records. Recordkeeping copies of maintenance manuals for unique or customized aircraft. Included in this category are maintenance manuals for aircraft that have been customized from the standard production model design in order to meet agency-specific needs or manuals that have been annotated and are different from those issued by the manufacturer.

Disposition: Permanent. Cut off when manual is superseded or obsolete. Transfer to National Archives in 5-year blocks after cut-off. (GRS 10-11a, N1-GRS-04-6, item 3a)

7505.4 General Aircraft Maintenance and Modifications Records. Records relating to fleet-wide general maintenance activities, modifications, or improvements designed to meet programmed requirements (as opposed to maintenance activities performed on a specific aircraft; see item 7505.5 for records relating to maintenance activities involving specific aircraft). Included are records related to servicing, manufacturing, rebuilding and testing of equipment and classifying the condition status of materiel, non-technical correspondence that pertains to aircraft maintenance and related organizational matters and

overhaul and rework projects as well as technical correspondence pertaining to aircraft, aircraft components, engines, propellers, instruments, accessories, and their maintenance. Additionally, this category includes preventive maintenance records; aircraft inventories that account for the aircraft held by, or assigned to, an agency or agency component, especially as counted and classified into categories; and bulletins that direct a one-time inspection to determine whether a given condition exists and specify what action should be/has been taken.

Disposition: Temporary. Cut off at end of fiscal year in which records are created. Destroy when 6 years old or when superseded or obsolete, whichever is later. (GRS 10-11b, N1-GRS-04-6, item 3b)

7505.5 Individual Aircraft Maintenance and Airframe Modifications Records. Records relating to maintenance activities performed on specific aircraft. Included are aircraft logbooks, aircraft engine records, inspection and maintenance records, preventive maintenance inspections, diagnostic checkouts, spot check inspections, and maintenance requests. Also included are records relating to configuration change to a specific aircraft that is a material change, modification, or an alteration in the characteristics of the equipment.

Disposition: Temporary. Cut off at end of fiscal year in which related maintenance or modifications are performed. Destroy 6 years after aircraft disposal or clearance of related equipment from the program. (GRS 10-12, N1-GRS-04-6, item 4)

7505.6 Records Required for Accident/Incident Reports. Records requested by authorities conducting the investigation of accidents/incidents involving aircraft used by Federal agencies, including leased aircraft used by Federal agencies.

Disposition: Temporary. Cut off when investigation and required reports are completed. Destroy 1 year after cut-off. (GRS 10-13, N1-GRS-04-6, item 4)

7506 – RESERVED

7507 – Photographic Records. (N1-048-10-01, Item 9.3) These files document the work of Departmental officials in OS and provide a photographic record of OS events, facilities and programs. The files contain images and accompanying finding aids.

7507.1 Historically Significant Photographs. (N1-048-10-01, Item 9.3.1) Images encompassing portrait views of the Secretary, Deputy Secretary, Assistant Secretaries, Directors of Interior Bureaus, and other

leading Department officials; photographs documenting swearing-in events, confirmation hearings, press conferences, Congressional testimony, policy meetings and conferences, program launchings, official inspection and investigation trips, historic ceremonies, and other major events featuring such officials; photographs documenting Departmental facilities construction, renovation, and expansion; photographs documenting visits to Departmental sites of political, military, and cultural dignitaries; photographs documenting program implementation in the field, and other subjects bearing on the unique responsibilities of the Department and its component bureaus and offices.

Arranged first by Secretary's tenure, and secondly, by assignment number sequence corresponding to coverage chronology.

Disposition: Permanent. Cut off at the end of fiscal year in which photo/image is created. Transfer to NARA 1 year after cut-off in accordance with 36 CFR 1237.28.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY N1-048-05-04

7507.2 Routine Photographs. Black-and-white and color negatives, contact sheets, prints, slides and digital images relating to non-significant subjects, including portraits of low-level Interior staff; images of employee awards events and retirement ceremonies; and images of workshops, campaigns, or commemorations common to most federal agencies (for example, Combined Federal Campaigns, savings bond campaigns, blood drives, health fairs, ethnic history month events). These records do not pertain to the mission of the agency.

Disposition: Temporary. Cut off files at the end of each year. Destroy 1 year after cut-off. (GRS 21-1, N1-GRS-98-2, item 32)

7507.3 Photography Logs. (N1-048-10-01, Item 9.3.2) Logs of each photography session, including date, subject, photographer, requesting office and assignment number.

Disposition: Permanent. Cut off at the end of fiscal year in which photo/image is created. Transfer to NARA 1 year after cut-off in accordance with 36 CFR 1237.28

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS PROVIDED BY N1-048-05-04

7508 – Financial Management Directorate, Accounting Operations Division. The Accounting Operations Division of the National Business Center, within the

Office of the Secretary, provides accounting services and support for client agencies with a staff of accountants, financial specialists and accounting technicians.

7508.1 Financial Transactions Records. Client accounting files sorted by batch, collected daily. Collated immediately after collection. Collation sorts by Julian date, Prep Unit, and Sequence Number.

Disposition: Temporary. Cut off at end of fiscal year in which collection and collation occur. Destroy 6 years, 3 months after cut-off. (GRS 6-1a, N1-GRS-91-3)

7508.2 Accounting Technician's Records. Records maintained by Technicians assigned to clients, in the course of their work. Not included with batched and collated Financial Transaction Records. Maintained in locked and labeled "filing systems" when not in use.

Disposition: Temporary. Cut off at end of fiscal year in which records become inactive. Destroy after 6 years, 3 months after cut-off. (GRS 6-1a, N1-GRS-91-3)

7509 – RESERVED

7510 – RESERVED

7511 Human Resources Directorate The Human Resources Directorate of the National Business center, provides all OPM core human resources services (i.e., personnel action processing, time and attendance, payroll processing, labor cost distribution, benefits processing, and workforce analytics), as well as optional human resources functional cross servicing and an employee-based, web-enabled time and attendance system, Quicktime.

7511.1 Individual Payroll Records Files consisting of employee's individual pay data maintained by the National Business Center. Records contain transaction information related to: payments, to include but not limited to rate of pay, overtime, differential pay, danger pay, salary (gross and net pay amounts), etc.; deductions to include but not limited to state and federal taxes, charity, union, health insurance, life insurance, etc.; "subject-to" amounts for computation, including but not limited to TSP (Thrift Savings Plan), OASDI (Old Age, Survivors, and Disability Insurance, also known as Social Security), Retirement and other deductions, voluntary or involuntary indebtedness; Government contribution amounts, including but not limited to FEHB (Federal Employee Health Benefits), FEGLI (Federal Employee Group Life Insurance), TSP matching, etc; Adjustments, to include any changes affecting an employee's pay. These records will be reported with quarterly

and year-to-date (YTD) summary totals. Documentation supporting payroll records will be held by the appropriate agency.

Disposition: Temporary. Cut off at end of fiscal year in which documents are created. Records are to be sent to National Personnel Center immediately following cut-off and destroyed 56 years after cut-off. (GRS 2.1.b, N1-GRS-92-4 item 1b)

7511.2 Corrective and Preventive Action Review Files. (N1-048-09-12)

Consist of Monthly Analysis Review files Corrective Action Reports, Preventive Action Reports, logs, and other documentation showing compliance with corrective and preventive action procedures.

Disposition: Temporary. Cut off when no further corrective action necessary. Destroy 3 years after cutoff or at the next ISO full audit, whichever is sooner.

7551 – Federal Personnel Payroll System. (N1-048-08-03) The purpose of the FPPS application is to process personnel and payroll transactions including time and attendance data used to generate salary payments and perform required reporting. This system supports personnel/payroll processing for numerous unique client agencies, including independent agencies, government corporations, commissions, panels, councils and foundations.

7551.1 – Master Data Files. (N1-048-08-03) Integrated Personnel and Pay Records containing data for both NBC personnel and for clients served by NBC. Information is maintained in multiple databases. Data includes personnel; position; payroll; time & attendance; debt collection; retirement; health insurance; benefits; transactions through employee self-service entities, such as TSP, Employee Express, Benefeds, FSAFeds, and others; external reporting (Treasury, OPM, IRS); and other personnel and payroll information.

Disposition: Temporary. Records are maintained electronically within the system until transfer or migration to new system. Data is copied to tape each pay period and transferred to offsite records storage facility. Cut off at end of the pay year. Destroy/Delete 56 years after cutoff.

7551.2 – Change Management Software Application Requests (SARs). (N1-048-08-03) Configuration and change management documentation tracked in the QuickSAR system. Contains detailed documentation that identify, request, analyze possible changes; authorize changes; document implementation of changes, and release management.

Disposition: Temporary. Cut off at the end of the calendar year. Destroy 7 years after cutoff.

7551.3 – Predict Files. (N1-048-08-03) Record layouts and data elements pertaining to FPPS which are included within the system itself.

Disposition: Temporary. Cut off when system is terminated or superseded. Destroy 1 year after cutoff.

7552 – Quicktime Time and Attendance System. (N1-048-08-03) The Quicktime system is used to input, validate, and certify time and attendance data for transmission to the FPPS payroll system. Quicktime permits employees to enter time and leave requests, allows timekeepers to enter time and attendance data, and requires certifiers to certify the data.

7552.1 Time and Attendance Data Files. Includes cost structure information based on employee work effort during a pay period, and employee leave and profile data. Data in Quicktime is manipulated and

used to update FPPS (and the Financial and Business Management System—FBMS).

Disposition: Temporary. Delete/Destroy after GAO audit or when 6 years old, whichever is sooner. (GRS 2-8, N1-GRS-92-4 item 8)

7552.2 Change Management Software Application Requests (SARs).

(N1-048-08-03) Configuration and change management documentation tracked in the QuickSAR system. Contains detailed documentation that identify, request, analyze possible changes; authorize changes; document implementation of changes, and release management.

Disposition: Temporary. Cut off at the end of the calendar year. Destroy 7 years after cutoff.

7553 – Retirement Subsystem. (N1-048-08-03) The Retirement Sub System falls within the Federal Personnel Payroll System (FPPS) C&A boundary. It retains personnel and payroll transactions from an interface with the Federal Personnel and Payroll System (FPPS), which are used to generate and store retirement card information. The information is then passed to the Office of Personnel Management (OPM) upon the employee's retirement.

7553.1 Retirement System Files. (N1-048-08-03) Includes personnel and payroll transactions, which are used to generate and store retirement card information for individual employees. The information is transferred to the Office of Personnel Management (OPM) upon the employee's retirement.

Disposition: Temporary. Cut off at the end of the calendar year. Destroy after information is transferred to OPM, and when no longer needed for agency business.

7553.2 Change Management Software Application Requests (SARs).

(N1-048-08-03) Configuration and change management documentation tracked in the QuickSAR system. Contains detailed documentation that identify, request, analyze possible changes; authorize changes; document implementation of changes, and release management.

Disposition: Temporary. Cut off at the end of the calendar year. Destroy 7 years after cutoff.

7554 – NBC Datamart. (N1-048-09-06) A data warehouse environment using an Oracle Records Database Management System and a variety of web-based applications for front-end access. The system is populated with source data from FPPS, FFS, agency managed data, agency historical HR/pay data, casual hire data, DOI charge card data, and other auxiliary data. The NBC Datamart provides

off-line access to data through its core product and other customized auxiliary applications designed to serve the particular needs of individual clients.

7554.1 Datamart Data Files. (N1-048-09-06) Contains historical payroll and transactions data from FPPS and other sources used for day-to-day reference, compilations of statistical data, exporting data, creating reports and presentations, and performing other routine functions that existing systems are ill-suited or unable to do.

Disposition: Temporary. Cut off files at end of pay year. Destroy 30 years after cut-off.

7554.2-7554.10: Auxiliary Systems.

These files include all records generated for the servicing of a specific client to NBC Datamart and their particular requirements for such data.

7554.2 Bank Card Training. (N1-048-09-06) Bank Card Training is a web-based computer training application that allows DOI charge card holders to register and take mandatory credit card training. This system assists with administering and monitoring department-wide training. This data is to be retained the same period as the Charge Card Report Distribution System 7554.3, both of which match the GSA Smart Pay Program which administers the charge card program for the federal government.

This application was developed for NBC's Charge Card Support Center.

Disposition: Temporary. Cut off records when training is complete. Destroy 10 years after cut-off.

7554.3 Charge Card Report Distribution System (CRDS). (N1-048-09-06) CRDS is a web-based tool used by DOI management and financial administrators for reporting charge card transactions. This system assists with quality assurance, financial forecasting, and fraud tracking when reviewing credit card transactions.

This application was developed for NBC's Charge Card Support Center.

Disposition: Temporary. Cut off records at end of fiscal year. Destroy when 10 years old.

7554.4 Executive Information System (EIS). (N1-048-09-06) EIS is a web-based tool used by NBC management for tracking and managing information about NBC products and services. This system assists with tracking customer products and services.

This application was developed for the NBC.

Disposition: Temporary. Cut off at close of calendar year in which product or service is no longer in use. Destroy 1 year after cut-off, or when no longer needed (whichever is later).

7554.5 Indirect Cost System (ICS). (N1-048-09-06) ICS is a web-based tool used for managing indirect cost proposals (ICP) submitted to DOI by non-Federal entities wishing to recover indirect costs incurred for the operation and administration of Native American organizations. This system allows staff to monitor the progress of ICPs from submission to the final issuance of the negotiated rate and to perform historical research.

This application was developed for NBC's Indirect Cost Section.

Disposition: Temporary. Cut off files at end of fiscal year. Destroy 20 years after cut-off.

7554.6 Inter-Governmental Personnel Act (IPA). (N1-048-09-06)). IPA is a web-based tool used by HR staff for tracking inter-governmental personnel assignments. Developed for the National Science Foundation (NSF), it allows this client to input and report on both incoming and temporary assignments that exist between NSF and other agencies. While assignment details are managed through this application, master employee and position records are updated through file updates from FPPS.

This application was developed for the National Science Foundation (NSF).

Disposition: Temporary. Cut off at the end of the year in which assignment is finished. Destroy 30 years after cut-off.

7554.7 Position Control System (PCS). PCS is a web-based tool used by HR staff for managing position data outside of FPPS. Initially developed for the Security Exchange Commission (SEC), it allows this FPPS client to input and report on position data. While position details are managed within this system, master employee and position records are updated through file updates from FPPS.

This application was developed for the Security Exchange Commission (SEC).

Disposition: Temporary. Cut off when position is abolished or superseded. Destroy 5 years after cutoff. (GRS 1-7a2a, NC1-64-77-10 item 7a2a)

7554.8 Procurement Tracking System (PTS). PTS is a web-based tool used by the Dept. of Interior/NBC Acquisitions offices. The system assists with the tracking and management of procurements.

Disposition: Temporary. Cut off files when procurement is finished. Destroy 6 years and 3 months after cut-off. (GRS 3-3c, NC1-64-77-5 item 4c, extended retention)

7554.9 Web Survey. (N1-048-09-06) Web Survey is a web-based tool available for all NBC projects and external clients. It allows administrators to develop surveys and publish online surveys for any purpose. Input is provided with anonymous access with back-end reporting.

Disposition: Temporary. Cut off when survey is concluded. Destroy 1 year after cut-off, or when no longer needed for agency business.

7554.10 Equal Employment Opportunity / Management Directive 715 (EEO/MD715). (N1-048-09-06) EEO/MD715 is a web-based application used by all NBC clients to produce EEOC compliant reports for the MD-715 Directive. These reports complement the standard NBC Datamart EEO Reporting catalog which is also available to all EEO role based users.

Disposition: Temporary. Cut off files when report is finalized. Destroy 10 years after cut-off.

7555 – FPPS Backups. Copies of the master data files contained in the above-mentioned systems (items 7551 through 7554), retained in case the master file or database is damaged or inadvertently erased.

Disposition: Temporary. Delete when replaced by a subsequent backup file. Follow established backup protocols. Transfer tapes to offsite storage and rotate every 6 pay periods (every 12 weeks). (GRS 20-8b, N1-GRS-95-2 item 8b)

7556 – Alpha Database Server. (N1-048-08-04) Acts as a database server storing data for several client/server applications related to payroll processes, such as benefits, debt management, accounting, pay research, and records management for payroll-related documents.

7556.1 BIA Public Law (BPL). (N1-048-08-04) Contains benefits data for employees under the Indian Self-Determination Act (PL-93-638), received and entered into the system for benefits staff to access and review.

Disposition: Temporary. Cut off at the end of the fiscal year. Destroy 56 years after cut-off.

7556.2 Retirement System Data Files. (N1-048-08-04) Contains comprehensive retirement data on all employees. Information is transmitted to the Office of Personnel Management.

Disposition: Temporary. Cut off when OPM acceptance of annual summary and destroy 15 years after cut-off.

7556.3 Thrift Reporting. (N1-048-08-04) Thrift data received and loaded into the application for review and correction, and subsequent transmission to the current payroll system.

Disposition: Temporary. Cut off at close of pay year. Destroy 15 years after cut-off.

7556.4 Credit Card Debt (CCD). Processes delinquent credit card debts for the Department of the Interior, interfacing with a bank issuing the charge cards for use in travel, fleet, and purchases. All delinquency issues and eventual repayment processes are handled through the system.

Disposition: Temporary. Cut off at the end of the fiscal year in which final payment is made. Destroy 3 years after cut-off. (GRS 2-18, N1-GRS-92-4 item 18)

7556.5 Debt Management System. (N1-048-08-04) Tracks debts and collections data related to salary overpayments of active federal employees. Data is used to issue bills, accumulate interest, and provide reports to client accounting offices.

Disposition: Temporary. Cut off at close of pay year in which debt collection is settled. Destroy 15 years after cut-off.

7556.6 Interface Pay System. Travel Offset data (employee overpayments and advances) received from the Department of Transportation for placement into the Department of the Interior payroll system for the Human Resources Office.

Disposition: Temporary. Cut off at close of calendar year. Destroy 3 years after cut-off. (GRS 2-23a, N1-GRS-92-4 item 23a)

7556.7 Treasury Offset Program. A centralized debt collection program designed to assist agencies in the collection of delinquent debts owed to the Federal Government. Includes federal debt, child support and tax levies.

Disposition: Temporary. Cut off after garnishment is terminated. Destroy 3 years after cut-off. (GRS 2-18, N1-GRS-92-4 item 18)

7556.8 Collection Sub-System (CSS). Contains incoming payments which are received and tracked in the application for review purposes.

Disposition: Temporary. Cut off at end of fiscal year. Destroy 6 years and 3 months after cut-off. (GRS 6-1a, N1-GRS-91-3)

7556.9 Electronic Certification System (ECS). Contains payment certifications for disbursements (payroll). ECS provides a mechanism by which government agencies can review and certify and/or create and modify payment schedules.

Disposition: Temporary. Cut off when final payment is made. Destroy 6 years, 3 months after cut-off. (GRS 6-1a, N1-GRS-91-3)

7556.10 Limited Pay System (LPS). Contains record of checks issued by the government but not cashed by employees. The system also generates individual memoranda that are sent to the respective employees regarding uncashed checks.

Disposition: Temporary. Cut off at the end of the month. Destroy 6 years and 3 months after cut-off. (GRS 6-1a, N1-GRS-91-3)

7556.11 Retirement and Insurance Transfer System (RTS). (N1-048-08-04) System automates the transfer of Federal employee health benefits, retirement, and life insurance program information, payments and adjustments. Reports generated by this system are sent biweekly to OPM.

Disposition: Temporary. Cut off when information is transmitted to OPM. Destroy 6 years 3 months after cut-off.

7556.12 Treasury Memo System (TMS). Treasury Memo System receives and tracks payments returned from the Department of Treasury that were unable to be disbursed.

Disposition: Temporary. Cut off when payment is made. Destroy 6 years and 3 months after cut-off. (GRS 6-1a, N1-GRS-91-3)

7556.13 W2 Corrections. (N1-048-08-04) The application is used to issue corrected employee W2 information and to send corrections to the Social Security Administration (SSA).

Disposition: Temporary. Cut off when corrected W2 is sent. Destroy 15 years after cut-off.

7556.14 Social Security Administration / Fair Labor Standard Act W2 & 1099 (SSA FLSA W2 & 1099). (N1-048-08-04) Contains W2 & 1099 forms generated for transmission to the payroll system. Data pertains to SSA separated employees who have received FLSA back-pay settlements (see 7556.17). This application is out of commission with the final generation of forms made in 2005.

Disposition: Temporary. Cut off at the end of the fiscal year in which forms are transmitted. Destroy 15 years after cut-off.

7556.15 Leave and Earnings Statements. (N1-048-08-04) Contains a record of earnings, leave information, and deductions tailored to each employee using their social security number. Information is loaded into the application for viewing and printing.

Disposition: Temporary. Cut off at close of pay year. Destroy records 15 years after cut-off.

7556.16 Pay Audit. Contains pay and leave data maintained for conducting individual audits of employee pay.

Disposition: Temporary. Cut off when audit is finished. Destroy 15 years after cut-off. (GRS 2-2, N1-GRS-92-4 item 2)

7556.17 Social Security Administration / Fair Labor Standard Act Back Pay (SSA FLSA). (N1-048-08-04) Contains historical leave and pay data maintained for access and review as required by benefits staff. Data pertains to SSA separated employees who are due FLSA back-pay settlements. This data is a copy of the official information at the Department of Health and Human Services. (See also item #7556 for W-2s and 1099s concerning this issue). This application is out of commission with the final generation of forms made in 2005.

Disposition: Temporary. Cut off at the end of the fiscal year in which back pay is made. Destroy 15 years after cut-off.

7556.18 Document Imaging System (DIS). (N1-048-08-04) Contains copies of records sent to NARA, maintained as a reference. All records are previously scheduled.

Disposition: Temporary. Destroy when no longer needed.

7556.19 Retirement Card Imaging. (N1-048-08-04) Contains scanned copies of retirement packets used for reference purposes. The original

documents are sent to the Office of Personnel Management to maintain the official record.

Disposition: Temporary. Cut off when records are sent to OPM. Destroy when no longer needed.

7557 – Wildland Fire Safety and Health Reporting System (Safenet). (N1-048-08-07) Safenet is a reporting system that collects data regarding safety concerns and issues from the Interagency wildland fire community, and provides statistics regarding these safety issues, including reporting agency, jurisdiction, incident type, incident activity, management level and contributing factors, and correction of unsafe situations. Provides a means of sharing safety information throughout the fire community.

Disposition: Temporary. Cut off when system is at the end of its lifecycle. Destroy 10 years after cut-off

7558 – Aviation Electronic Systems.

7558.1 Aviation Management Financial System. (AMFS) (N1-048-08-10) AMFS manages aviation costs within the Department, tracks vendor payments, and generates bills to aviation users. System includes payroll records, travel records, records for accountability for government-owned property, safety records, government identification cards, government drivers' licenses, and other administrative and fiscal management records.

Disposition: Temporary. Cut off when funds are obligated. Destroy 6 years and 3 months after cut-off.

7558.2 KATIE (Property System). (N1-048-08-11) The system is a property inventory system that stores current information on the personal property of the NBC-Aviation Management, including aircraft, floats, skis, and other business/operation equipment of a capitalized, sensitive, or accountable nature. This may include: the property number; location; region assigned; cost; acquisition date; description; model; serial number; purchase order or contract number; who the property is assigned to; division responsible; other miscellaneous comments about the item that might be of importance; and the depreciation schedule (if it is a capitalized item).

Disposition: Temporary. Cut off when transferred to new custodian upon completion of sale, trade, or donation proceedings. Destroy 10 years after cut-off.

7558.3 Interior Aviation Fleet Management System (IAFMS) This system tracks and schedules maintenance on Department of Interior

owned aircraft. Inventory control and pilot tracking are also part of the functions executed by the system.

Disposition: Temporary. Cut off at the end of the fiscal year. Destroy 6 years after cut-off or when superseded or obsolete, whichever is later. (GRS 10-11, N1-GRS-04-6)

7558.4 Master Data Files of the Interagency Aviation Training System (IAT) (N1-048-09-02) IAT is a system developed for the establishment of aviation training standards and records for natural resource and firefighting employees of the Department of the Interior, U.S. Forest Service and their cooperators. The system provides standardized required aviation training, tracks student training records, instructor qualifications, and training schedules. Interagency aviation qualification, certification and documentation are other functions that are integral parts of the system.

Disposition: Temporary. Cut-off at the end of the fiscal year. Destroy 7 years after cut-off or when no longer needed, whichever is later.

7558.5 Aviation Safety Communiqué (SAFECON). (N1-048-09-01) The SAFECON database fulfills the Aviation Mishap Information System (AMIS) requirements for aviation mishap reporting DOI and the U.S. Forest Service. Categories of reports include airspace, incidents, hazards, maintenance, management and mishap prevention. The system uses the SAFECON Form AMD-34 or FS-5700-14 to report any condition, observation, act, maintenance problem, or circumstance with personnel or aircraft that has the potential to cause an aviation-related mishap. Data is stored in a central database that is shared on an interagency basis. The database is used as a tool to help identify, document, track and correct safety related issues. Data is also used to perform aircraft mishap trend analysis and develop statistical data for use in the Interior Aircraft Accident Prevention Program.

This disposition schedule only applies to Department of the Interior related data maintained in the SAFECON system.

Disposition: Temporary. Cut off at the end of the fiscal year following aircraft disposal or removal of related equipment from use by the Department of the Interior's aviation program; or after completion of an appropriate investigation and preparation of required reports. Destroy data 10 years after cut-off.

7559 – Customer Agreement System (CAS). CAS maintains records of reimbursable service agreements where NBC is the provider of service. It maintains scanned images of customer signed agreements. These records are

considered the final/official product. CAS does not maintain working papers or drafts.

Disposition: Temporary. Cut off when agreement ends. Destroy 6 years, 3 months after cut-off. (GRS 6-1a, N1-GRS-91-3)

7560 – Federal Financial System (FFS). (N1-048-08-26) This system supports all aspects of federal accounting, including budget execution; project cost; cost allocation; general ledger; external reporting; accounts receivable; obligations (purchasing); accounts payable; annual close; automated disbursements; travel payments; etc. FFS fulfills responsibilities for federal government accounting and reporting. The financial transactions processed within FFS are the basis for financial management information provided to managers and the financial statements issued to OMB, Congress, and the public.

Disposition: Temporary. Cut off at end of fiscal year. Destroy 6 years and 3 months after cut-off or when no longer needed, whichever is later.

7561 – Smart Card System (SCS). (N1-048-08-20) A security management system that is smart card enabled, authorizing and recording the entry of individuals into DOI facilities. SCS contains personally identifiable information (PII), including Social Security numbers, height, weight, hair color, etc. and paper ID request forms containing identity proof of an individual- copies of driver's licenses, passports, birth certificates, etc. The system is currently fully operational in the Main Interior Building (MIB), South Interior Building (SIB) and is expected to cover over 70 DOI facilities across the country.

Client PCs for data entries (badging computers) and access monitoring guard stations form part of the larger smart card system and are covered under this schedule.

Disposition: Temporary. Cut off upon expiry of the ID Card. Destroy 3 years after cut-off.

7562 – Facilities Management System (FMS), aka Maximo Advantage. (N1-048-08-14). The FMS is a relational database used to track work request orders. It tracks repair requests, repair expenses, labor hours and related information. This system also contains information such as the type, size, location and purpose of equipment and systems. The Prime Key is the project, structure or equipment that is the subject of the case file. FMS allows multiple users simultaneous access to update open work orders with labor hours, materials, and tool usage and closeout the work orders when completed per project, structure or equipment. This system can generate reports and provide summaries of data tools for facilities management senior personnel. It schedules preventative maintenance for all equipment based on frequency and level of effort established by the General

Services Administration (GSA) and provides reports on the status of completion, labor used and cost.

Disposition: Temporary. Cut off at end of fiscal year when case file is closed out. Destroy 10 years after cut-off or when no longer needed for reference, whichever is later.

7563 – OS Travel Management System. (N1-048-08-17) The Travel Management System provides users with current per diem rates. It contains policy and guidance for dealing with official travel, as well as documents for arranging and managing official government travel, such as travel vouchers, car rentals, lodging, other travel forms, and related records pertaining to commercial and noncommercial agency travel and transportation.

Disposition: Temporary. Cut off when funds obligated. Destroy 6 years and 3 months after cut-off.

7564 – Quarters Management Information System (QMIS). (N1-048-08-18) A rental rate setting application, with functions including: calculating current rental rates for all government-owned or leased civilian housing, in accordance with OMB Circular A-45; setting rental rates specific to any city in the U.S. or its territories; setting rates for government provided utilities, appliances and services; calculating isolation and other A-45 administrative adjustments; calculating rental rates to be paid by government employees through payroll deduction; providing a user interface to enable users to record all physical features of government housing; providing printed documents, such as government housing inventories, rent calculations, lease agreements, and current or historical tenant or rent reports for management; estimating heating and cooling costs where no utility meters exist; and updating rental and utility rates for annual inflation.

7564.1 Local System. (N1-048-08-18) Official record copy kept by individual bureaus/offices with the Local QMIS data. Local records include the QMIS database, Tenant Rent Notices, Quarters Assignment Agreements, payroll deduction forms, and related records. This schedule only covers Office of the Secretary records.

Disposition: Temporary. Cut off at end of calendar year. Destroy 6 years after cut-off.

7564.2 Interagency Database. (N1-048-08-18) Data is centralized and compiled on a yearly basis with voluntary participation from bureaus and office using QMIS systems. Data is used to create private rental market sampling plans, to determine the percentage each agency will contribute to the Quarters Operations Budget, and to fulfill other reporting requirements.

Disposition: Temporary. Cut off at the end of fiscal year. Destroy when superseded/obsolete.

7565 – DOI Learn / TMS. (N1-048-08-16) A system used to develop, manage, and monitor online training and testing. It provides course title, class name, class status, beginning and end dates, completion status, certification requirements, test scores and acquired skills. Includes validated training records for certification purposes, class rosters, transcript listings, students or personnel transcripts, budget estimates related to training requirements, reports on mandatory training compliance and exact dates of registration in order of acceptance.

This item covers data pertaining to individual employees and their coursework history, certifications, test scores, credits, and related information. Course content and materials are instead covered by 1304.3 Curriculum Material Used in Training Courses (N1-048-09-11).

Disposition: Temporary. Cut off records upon separation of employee. Destroy 65 years after cut-off.

7566 – RESERVED

7567 – DOI Museum System. (N1-048-09-4). The Interior Museum catalog contains an individual record of each object held in the collection. Data is used to identify objects, record condition of objects, and track locations (including loans of objects to bureaus/offices within DOI or outside museums/institutions).

Disposition: Temporary. Cut off when system is obsolete and data is transferred to a new system. Destroy when no longer needed.

7568 – DOI Library. (N1-048-09-3). The system provides a record of all materials in the DOI Library collection, allowing the viewing of items via the Library's Internet website (<http://library.doi.gov>). The system maintains a record of titles, authors, subject headings, call numbers, and other bibliographic entries. The records are used by Library users to search for materials within the collection.

Disposition: Temporary. Cut off when records are transferred to a new system. Destroy when no longer needed.

7569 – Appraisal Request & Review Tracking System (ARRTS). (N1-048-10-01, Item 10.4) These files contain records relating to the Appraisal Request & Review Tracking System (ARRTS), the Department of the Interior's web-based application to provide a common form for submission of real property appraisal services requests to OVS. The system also provides a process for forwarding requests for valuation products for approval and assignment (to the appropriate staff in OVS), a mechanism for tracking and reporting on these requests, and a vehicle for capturing the results of the real property appraisal services provided.

Master data files contain data identifying the client agency requesting real property appraisal services from OVS, and the OVS approving and reviewing officials for the request in question; data relating to the owner and location (state, county and legal description) of real property at issue; specification of property rights to be appraised; appraisal results; revenue source and funding code for payment of services rendered; and cost of services rendered. Master files also contain metadata related to request records, e.g., unique ARRTS number assigned to each individual request. Image files linked with master data files contain images of documents associated with requests for services and images of valuation products provided to client agencies in response to requests.

Disposition: Temporary. Cut off at final updating of record. Archive to inactive storage media 25 years after cut-off. Destroy 75 years after cut-off.

NOTE: THIS SUPERSEDES THE DISPOSITION INSTRUCTIONS
PROVIDED BY N1-048-06-01

8000 – Program Offices: Law Enforcement and Security

8100 – Office of Law Enforcement and Security

8151 – Incident Management, Analysis, & Reporting System (IMARS). (N1-048-09-05) IMARS is a system that collects and maintains incident reports for the department relating to law enforcement, homeland security, security (physical, personnel and stability, information, and industrial). It also collects emergency management, sharing and analysis activities of the department, and related information.

The system contains privacy act and sensitive, non-classified information.

8151.1 Incident Data. Data that has been specifically applied for and preserved as part of an incident/investigation, to include incident, offense descriptions and dispositions, as well as relationships of persons to the incident or case. Data collected as part of an incident/investigation that is indexed for sharing across multiple incidents to include the Master Vehicle Index (MVI), Master Name Index (MNI), and evidence information is also considered incident data.

Disposition: Temporary. Cut off when incident is closed off. Archive 20 years after cut-off. Destroy 50 years after archiving.

8151.2 Non-Incident Data. Data related to the user/officer and their unit of assignment, badge number, training, qualifications, etc.

Disposition: Temporary. Cut off after the user/officer retires, resigns, leaves the DOI, or is assigned to a position that will no longer require access to IMARS. Archive 3 years after cut-off. Destroy 50 years after archiving.

8200 – Office of Emergency Management

8300 – Office of Wildland Fire Coordination

8351 – National Fire Plan Operations and Reporting System (NFPORS). (N1-048-08-19, Item 7651) An inter-departmental, inter-agency automated data management and reporting system funded jointly by DOI and USDA. The system is used to manage the National Fire Plan, a mandated program that provides accountability for hazardous fuel reduction, burned area rehabilitation and community assistance activities. Reporting is in real time, used by managers and field employees throughout the country, providing crucial information for decision making and funding of the national wildfire program.

Disposition: Temporary. Cut off at end of fiscal year. Destroy 4 years after cut-off.

9000 – Other OS Program Offices

9001 – Museum Office (DAA-0048-2011-0001, unless otherwise noted)

Item 1 – Collection Management Records Contains all files relevant to specific collection objects. This includes: accession or catalog records, loan records, research, documentation of preventive conservation performed, deaccession records and any other record tied to a collection object.

Disposition: Temporary. Cut off when the object that the records refer to is deaccessioned or otherwise alienated. Files transition to non-records 10 years after cut off, to be maintained on site in perpetuity per departmental manual.

Item 2 – Exhibit Records Files created in the course of planning, designing and installing an exhibit. May consist of exhibit scripts, design planning, lists of objects to be displayed, lender lists, background research, and other related materials.

Disposition: Temporary. Cut off when exhibit is retired. Destroy 10 years after cut-off, or when no longer needed for agency business, whichever is later.

Item 3 – Public Programming Records Files created in the process of planning and implementing public programming such as lectures, conferences, and similar activities.

Disposition: Temporary. Cut off at conclusion of individual program and any necessary follow-up actions. Destroy 7 years after cut off, or when no longer needed for agency business, whichever is later.

Item 4 – Annual Inventory Reports Files consist of collection inventories conducted yearly and all documents supporting the inventories. These reports are used to respond to audits, and provide statistics necessary to program planning.

Disposition: Temporary. Cut off when superseded. Destroy 10 years after cut-off, or when no longer needed for agency business, whichever is later.

Item 5 – Research Requests Files consist of requests from the public for access to, or information about, collections materials for the purposes of academic or personal research.

Disposition: Temporary. Cut off when request is resolved. Destroy 5 years after cut-off, or when no longer needed for agency business, whichever is later.

Item 6 – Rights and Reproductions Requests Files consist of requests for usage of, or rights to, archival materials held by the museum. These documents are either proprietary or otherwise in the museum's possession.

Disposition: Temporary. Cut off when request is resolved. Destroy 5 years after cut-off, or when no longer needed for agency business, whichever is later.

Item 7 – Museum Storage Sign-in Logs Files tracking individual's access to museum storage facilities for the purpose of inventory control.

Disposition: Temporary. Cut off at close of calendar year in which log entry is created. Destroy 3 years after cut-off. (GRS 18.17b)

Item 8 – Environmental Monitoring Records Documents recording environmental conditions within exhibit and collections storage areas. Includes: hygrothermic data, integrated pest management reports, and any other observations impacting the administration of the museum environment.

Disposition: Temporary. Cut off at end of calendar year in which record is created. Destroy 5 years after cut-off, or when no longer needed for agency business, whichever is later.

Item 9 – Visitor Evaluation Records Files consist of evaluations solicited from museum visitors. These evaluations assess public satisfaction with the exhibits and the general museum going experience.

Disposition: Temporary. Cut off at end of calendar year in which record is created. Destroy 5 years after cut-off, or when no longer needed for agency business, whichever is later.

Item 10 – Museum Publication Records Files consist of promotional materials or other published works, and material created in the process of creating promotional materials, that are not related to a specific exhibit or program.

Disposition: Temporary. Cut off at end of calendar year in which publication is released. Destroy 5 years after cut-off, or when no longer needed for agency business, whichever is later.

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Employee Tools and Forms

This page contains all the resources and forms for the Office of the Inspector General. If you have questions, contact the appropriate point of contact; Travel: [Nadine Valentine](#) at 703-487-5367, Human Resources: [Jacqueline Ruley](#) at 703-487-5349, Training: [Robert Ponce](#) at 703-487-3666.

Travel Forms

[Tax Exempt Form](#)
[Multiple Conference Attendee Questionnaire](#)

Useful Links

[Awards and Recognition](#)
[Code For Federal Regulations](#)
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Training Forms and Links

Administrative

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[OPM Forms](#)

Award Forms

Benefit Forms

[Public Transportation Subsidy Application](#)
[SF-1152 Designation of Beneficiary Unpaid Compensation of Deceased Civilian Employee](#)
[SF-2803 Application to Make Deposit or Redeposit](#)
[SF-2808 Designation of Beneficiary Civil Service Retirement System](#)
[SF-2809 Health Benefits Election Form CSRS and FERS](#)
[SF-2823 Designation of Beneficiary Federal Employees' Group Life Insurance Program](#)
[SF-3102 Designation of Beneficiary Federal Employees' Retirement System](#)
[SF-3108 Application to Make Service Credit Payment](#)

DHR Forms

[Master Tour of Duty List - BLANK](#)
[Performance Appraisal Form](#)
[Work Schedule Request Form](#)
[Recruitment Request Form](#)
[Employee Exit Clearance Form](#)
[Employee Expectation Form](#)

Charge Card Links

[DOI Charge Card Program](#)

Financial Resources

[Bureau of Labor Statistics](#)
[SEC EDGAR Archives](#)
[SEC EDGAR Database](#)

Leave Forms

[OPM-630 Application Leave Recipient](#)
[OPM-630A Request to Donate Annual Leave to Leave Recipient Under the Voluntary Leave Transfer Program Within Agency](#)
[OPM-630B Request to Donate Annual Leave to Leave Recipient Under the Voluntary Leave Transfer Program Outside Agency](#)
[OPM-630C Transfer to Leave records for Leave Recipient Covered by the Voluntary Transfer Leave Program](#)
[OPM-71 Request for Leave or Approved Absence](#)
[Overtime Holiday Work Request Form](#)
[Request and Authorization Form-Comp Time for Travel](#)

Manuals and Handbooks

[OIG Manual](#)
[Employee Self-Assessment Form](#)
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[Hiring Toolkit for Supervisors](#)
[Mentoring Handbook](#)
[Pandemic Influenza Preparedness and Response Plan](#)
[DOI Manual](#)
[Continuity of Operations Plan](#)
[Correspondence Manual 2012](#)
[U.S. Government Manual](#)
[Style Guide](#)

Law and Congressional Information

Security Forms

[Intranet Information on e-QIP](#)
[Recruitment Request Form](#)
[SF-85 Questionnaire for Non-Sensitive Positions](#)
[SF-85P Questionnaire for Public Trust Positions](#)
[SF-86 Questionnaire for National Security Positions](#)
[SF-86C Standard Form 86 Certification](#)

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[U.S. GPO Style Manual](#)

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OIG Annual Tasks/ Activities

JANUARY	Tasks to START		Start date	Due date
	Description			
	AIE	Semi-Annual FWS Grant Audit Planning	1/1	2/15
	AIE	DOI Compliance with Improper Payments Elimination and Recovery Act (IPERA)	1/1	5/31
	DFM	Budget Execution Data to POB - 1st Quarter	1/1	1/14
	DFM	FACTS II Reporting/SF 133 Reports - 1st Qtr	1/1	1/29
	OI	Review & deactivation confidential sources	1/1	1/8
	OIG	FISSA Training [CISO]	1/28	5/26
	OIG	Financial Disclosure OGE-450 [OGC]	1/1	2/15
	OIG	Financial Disclosure OGE-278e [OGC]	1/1	5/15
	OIG	Annual Ethics Training [OGC]	1/1	12/31

JANUARY	Tasks that are DUE		Start date	Due date
	Description			
	AIE	Status of Government Charge Card Recs	12/1	1/31
	DFM	Budget Execution Data to POB - 1st Quarter	1/1	1/14
	DFM	FACTS II Reporting/SF 133 Reports - 1st Qtr	1/1	1/29
	DFM	Exhibit 52	10/1	1/30
	DFM	MAX Opens	11/15	1/30
	DFM	Budget in Brief	12/1	1/30
	DFM	Congressional District Report	12/1	1/30
	HR	Annual Perf. Review Board Appraisal Review	12/3	1/31
	OI	Review & deactivation confidential sources	1/1	1/8
	OGC	Input to the Chief FOIA Officer Report to the Attorney General Bureau/Office Input	12/1	1/4

FEBRUARY	Tasks to START		Start date	Due date
	Description			
	AIE	FISMA - Report	2/4	2/24
	FOS	Kaw Nation of Oklahoma Document Preservation Order Semiannual Reminder	2/1	2/28
	FOS	Seminole Nation of Oklahoma Document Preservation Order Semiannual Reminder	2/1	2/28

FEBRUARY	Tasks that are DUE		Start date	Due date
	Description			
	AIE	Financial Audit - Subsequent Changes Email	11/15	2/2
	AIE	Semi-Annual FWS Grant Audit Planning	1/1	2/15
	AIE	FISMA - Report	2/4	2/24
	AIE	Charge Card Risk Assessment	12/1	2/28
	DFM	President's Budget to Congress	12/1	2/15
	FOS	Kaw Nation of Oklahoma Document Preservation Order Semiannual Reminder	2/1	2/28
	FOS	Seminole Nation of Oklahoma Document Preservation Order Semiannual Reminder	2/1	2/28
	OIG	Financial Disclosure OGE-450 [OGC]	1/1	2/15

MARCH	Tasks to START		Start date	Due date
	Description			
	AIE	Annual FWS Grants Fiscal/Audit Workshop	3/1	4/30
	CRU	Semiannual Report to Congress [spring]	3/1	5/31
	DFM	Budget Justification to DOI	3/1	6/12
	FOS	Exhibit 54 Facility and Space Budget Forecast	3/1	6/1

MARCH	Tasks that are DUE		Start date	Due date
	Description			
	HR	OPM Annual Data Call on SES Performance	11/30	3/13

OIG Annual Tasks/ Activities

APRIL	Tasks to START		Start date	Due date
	Description			
	AIE	Semi-Annual Report to Congress	4/1	4/30
	AIE	Announce Financial Statement Audit	4/1	4/30
	AIE	OST Financial Audit Report	4/1	11/10
	AIE	Agreed-Upon Procedures Report (Financial)	4/15	10/1
	AIE	FISMA - Cyber-Scope submission	4/27	11/15
	AIE	Submission of Interim Legal Representation Letter and Management Schedule (Financial)	4/30	8/31
	DFM	Budget Execution Data to POB - 2nd Quarter	4/1	4/14
	DFM	FACTS II Reporting/SF 133 Reports - 2nd Qtr	4/1	4/29
	OIG	Semiannual Report of Pymts Accepted from a Non-Federal Source - Spring OGE-1353 [OGC]	4/1	4/30
	OIG	Mid-Term Appraisals [HR]	4/1	5/30
	OIG	CIGIE Award Nominations	4/1	5/31
	OIG	Annual Inventory of Property [FOS]	4/1	9/30

APRIL	Tasks that are DUE		Start date	Due date
	Description			
	AIE	Semi-Annual Report to Congress	4/1	4/30
	AIE	Announce Financial Statement Audit	4/1	4/30
	AIE	Annual FWS Grants Fiscal/Audit Workshop	3/1	4/30
	DFM	Budget Execution Data to POB - 2nd Quarter	4/1	4/14
	DFM	FACTS II Reporting/SF 133 Reports - 2nd Qtr	4/1	4/29
	OIG	Semiannual Report of Pymts Accepted from a Non-Federal Source - Spring OGE-1353 [OGC]	4/1	4/30

MAY	Tasks to START		Start date	Due date
	Description			
	AIE	Top Management Challenges	5/1	10/15
	SMO	Employee Survey	5/1	11/15

MAY	Tasks that are DUE		Start date	Due date
	Description			
	CRU	Semiannual Report to Congress [spring]	3/1	5/31
	OGC	Financial Disclosure OGE-278e	1/1	5/15
	OIG	FISSA Training [CISO]	1/28	5/26
	OIG	Mid-Term Appraisals [HR]	4/1	5/30
	OIG	CIGIE Award Nominations	4/1	5/31
	AIE	DOI Compliance with Improper Payments Elimination and Recovery Act (IPERA)	1/1	5/31

JUNE	Tasks to START		Start date	Due date
	Description			
	AIE	Cybersecurity Act Report	6/1	8/15
	OIG	Role-Based IT Security Training [CISO]	6/1	7/31
	OI	Johnson-Grassley Data Request	6/1	6/30
	SMO	Organizational Assessment	6/1	10/1

JUNE	Tasks that are DUE		Start date	Due date
	Description			
	DFM	Budget Justification to DOI	3/1	6/12
	FOS	Exhibit 54 Facility and Space Budget Forecast	3/1	6/1
	OI	Johnson-Grassley Data Request	6/1	6/30

JULY	Tasks to START		Start date	Due date
	Description			
	AIE	Review of required CPE's (20 hours by FY)	7/1	7/31
	AIE	Semi-Annual FWS Grant Audit Planning	7/1	8/15
	DFM	FACTS II Reporting/SF-133 Reports - 3rd Qtr	7/1	7/14
	DFM	Budget Execution Data to POB - 3rd Quarter	7/1	7/21
	DFM	Budget Justification Passback from DOI	7/24	7/31
	OI	Review & deactivation confidential sources	7/1	7/8

JULY	Tasks that are DUE		Start date	Due date
	Description			
	AIE	Review of required CPE's (20 hours by FY)	7/1	7/31
	DFM	FACTS II Reporting/SF-133 Reports - 3rd Qtr	7/1	7/14
	DFM	Budget Execution Data to POB - 3rd Quarter	7/1	7/21
	DFM	Budget Justification Passback from DOI	7/24	7/31
	OI	Review & deactivation confidential sources	7/1	7/8
	OIG	Role-Based IT Security Training [CISO]	6/1	7/31

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OIG Annual Tasks/ Activities

AUGUST	Tasks to START		Start date	Due date
	Description			
	DFM	Budget Justification and Briefing to OMB	8/1	9/8
	DFM	Budget Justification to OMB	8/1	9/8
	DFM	Operating Plans	8/1	9/30
	FOS	Kaw Nation of Oklahoma Document Preservation Order Semiannual Reminder	8/1	8/31
	FOS	Seminole Nation of Oklahoma Document Preservation Order Semiannual Reminder	8/1	8/31
	FOS	Annual Assurance Statement	8/1	9/30
	OIG	Employee self-assessments [HR]	8/1	8/30
	OIG	Preliminary appraisals prior to calibration sessions- Non-Supervisory Emp [HR]	8/17	9/11
	OIG	Calibration sessions - Non-supervisory Emp	8/24	9/18

AUGUST	Tasks that are DUE		Start date	Due date
	Description			
	AIE	Cybersecurity Act Report	6/1	8/15
	AIE	Semi-Annual FWS Grant Audit Planning	7/1	8/15
	AIE	Submission of Interim Legal Representation Letter and Management Schedule (financial)	4/30	8/31
	FOS	Kaw Nation of Oklahoma Document Preservation Order Semiannual Reminder	8/1	8/31
	FOS	Seminole Nation of Oklahoma Document Preservation Order Semiannual Reminder	8/1	8/31
	OIG	Employee self-assessments [HR]	8/1	8/30

SEPTEMBER	Tasks to START		Start date	Due date
	Description			
	AIE	DOI Conferences report - AI & E	9/1	TBD
	AIE	Focus Areas	9/15	10/1
	CRU	Semiannual Report to Congress [fall]	9/1	11/30
	FOS	Archiving External Audits Files	9/1	10/31
	OI	Intake Mgmt Unit Activity	9/30	10/31
	OIG	IG Award Nominations	9/1	9/23
	OIG	Prepare appraisals & present to reviewing officials - Non-supervisory Emp [HR]	9/1	9/30
	OIG	Prepare appraisals & present to reviewing officials - Supervisory Emp [HR]	9/18	9/30
	OIG	Hold appraisal discussions with direct reports - Non-supervisory Emp [HR]	9/30	10/30
	OIG	Hold appraisal discussions with direct reports - Supervisory Emp [HR]	9/30	10/30
	OIG	Submit final rating of record to DHR - Non-supervisory Emp [HR]	9/30	11/13
	OIG	Submit final rating of record to DHR - Supervisory Emp [HR]	9/30	11/13

SEPTEMBER	Tasks that are DUE		Start date	Due date
	Description			
	CISO	Website Security Certification	10/1	9/30
	DFM	Budget Justification and Briefing to OMB	8/1	9/8
	DFM	Budget Justification to OMB	8/1	9/8
	DFM	Operating Plans	8/1	9/30
	FOS	Annual Assurance Statement	8/1	9/30
	OIG	IG Award Nominations	9/1	9/23
	HR	Performance Cycle	10/1	9/30
	OIG	Preliminary appraisals prior to calibration sessions- Non-Supervisory Emp [HR]	8/17	9/11
	OIG	Calibration sessions - Non-supervisory Emp	8/24	9/18
	OIG	Annual Inventory of Property [FOS]	4/1	9/30
	OIG	Prepare appraisals & present to reviewing officials - Non-supervisory Emp [HR]	9/1	9/30
	OIG	Prepare appraisals & present to reviewing officials - Supervisory Emp [HR]	9/18	9/30

OIG Annual Tasks/ Activities

OCTOBER	Tasks to START		Start date	Due date
	Description			
	AIE	Semi-Annual Report to Congress	10/1	10/30
	AIE	FY Independence Statements	10/1	10/31
	AIE	Submission of Opinion on Closing Package (Financial)	10/1	11/15
	AIE	Review of required CPE's (end of CY)	10/1	11/30
	CISO	Website Security Certification	10/1	9/30
	DFM	Exhibit 52	10/1	1/30
	DFM	FACTS II Reporting/SF 133 Reports - 4th Qtr	10/1	10/14
	DFM	Budget Execution Data to POB - 4th Qtr	10/1	10/29
OCTOBER	DFM	FTE Pay and Health Costs to POB/OMB	10/1	11/30
	OIG	Semiannual Report of Payments Accepted from a Non-Federal Source - Fall [OGC]	10/1	10/31
	OIG	Notification of Performance Standards & Expectations - Supervisory Emp [HR]	10/1	11/20
	OIG	Notification of Performance Standards & Expectations- Non Supervisory Emp [HR]	10/1	11/20
	OIG	IDPs [HR]	10/1	12/1
	OIG	Performance Cycle [HR]	10/1	9/30

OCTOBER	Tasks that are DUE		Start date	Due date
	Description			
	AIE	Agreed-Upon Procedures Report (Financial)	4/15	10/1
	AIE	Focus Areas	9/15	10/1
	AIE	Top Management Challenges	5/1	10/15
	AIE	Semi-Annual Report to Congress	10/1	10/30
	AIE	FY Independence Statements	10/1	10/31
	DFM	FACTS II Reporting/SF 133 Reports - 4th Qtr	10/1	10/14
	DFM	Budget Execution Data to POB - 4th Qtr	10/1	10/29
	FOS	Archiving External Audits Files	9/1	10/31
OCTOBER	OI	Intake Mgmt Unit Activity	9/30	10/31
	OIG	Hold appraisal discussions with direct reports - Non-supervisory Emp [HR]	9/30	10/30
	OIG	Hold appraisal discussions with direct reports - Supervisory Emp [HR]	9/30	10/30
	OIG	Semiannual Report of Payments Accepted from a Non-Federal Source - Fall [OGC]	10/1	10/31
	SMO	Organizational Assessment	6/1	10/1

NOVEMBER	Tasks to START		Start date	Due date
	Description			
	AIE	Submission of Final Legal Representation Letter and Management Schedule (Financial)	11/1	11/15
	AIE	Subsequent Changes Email (Financial)	11/15	2/2
	DFM	MAX Opens	11/15	1/30
	DFM	OMB Passback	11/26	12/3
	HR	OPM Annual Data Call on SES Performance	11/30	3/13
	OI	CIGIE Annual Report to the President	11/15	12/15
	OIG	Schedule Use or Lose Annual Leave [HR]	11/3	11/26
	OIG	Health Benefits Open Season [HR]	11/9	12/15
NOVEMBER	OIG	IG Award Nominations [HR]	11/11	12/9

NOVEMBER	Tasks that are DUE		Start date	Due date
	Description			
	AIE	OST Financial Audit Report	4/1	11/10
	AIE	Submission of Opinion on Closing Package (Financial)	10/1	11/15
	AIE	Submission of Final Legal Representation Letter and Management Schedule (Financial)	11/1	11/15
	AIE	FISMA - Cyber-Scope submission	4/27	11/15
	AIE	Review of required CPE's (end of CY)	10/1	11/30
	CRU	Semiannual Report to Congress [fall]	9/1	11/30
	DFM	FTE Pay and Health Costs to POB/OMB	10/1	11/30
NOVEMBER	OIG	Submit final rating of record to DHR - Non-supervisory Emp [HR]	9/30	11/13
	OIG	Submit final rating of record to DHR - Supervisory Emp [HR]	9/30	11/13
	OIG	Notification of Performance Standards & Expectations - Supervisory Emp [HR]	10/1	11/20
	OIG	Notification of Performance Standards & Expectations- Non Supervisory Emp [HR]	10/1	11/20
	OIG	Schedule Use or Lose Annual Leave [HR]	11/3	11/26
	SMO	Employee Survey	5/1	11/15

OIG Annual Tasks/ Activities

DECEMBER	Tasks to START		Start date	Due date
	Description			
	AIE	Status of Government Charge Card Rec's	12/1	1/31
	AIE	Charge Card Risk Assessment	12/1	2/28
	AIE	CIGIE Annual Report to the President	12/1	12/15
	DFM	Budget in Brief	12/1	1/30
	DFM	Congressional District Report	12/1	1/30
	DFM	President's Budget to Congress	12/1	2/15
	HR	Annual Perf. Review Board Appraisal Review	12/3	1/31
	OGC	Input to the Chief FOIA Officer Report to the Attorney General Bureau/Office Input	12/1	1/4

DECEMBER	Tasks that are DUE		Start date	Due date
	Description			
	AIE	CIGIE Annual Report to the President	12/1	12/15
	DFM	OMB Passback	11/26	12/3
	HR	Health Benefits Open Season	11/9	12/15
	OGC	Annual Ethics Training	1/1	12/31
	OI	CIGIE Annual Report to the President	11/15	12/15
	OIG	IDPs [HR]	10/1	12/1
	OIG	IG Award Nominations [HR]	11/11	12/9

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