

Request for Records Disposition Authority

Records Schedule Number DAA-0095-2016-0003
Schedule Status Approved

Agency or Establishment Forest Service
Record Group / Scheduling Group Records of the Forest Service
Records Schedule applies to Agency-wide
Schedule Subject Forest Inventory Analysis (FIA) Database
Internal agency concurrences will be provided No

Background Information

The Forest Inventory and Analysis (FIA) research program of the U.S. Forest Service provides the information needed to assess America's forests, it is the Nation's forest census. The research program has been in existence since mandated by Congress in the McSweeney – McNary Forest Research Act of 1928 (P.L. 70-466), which initiated the first inventories starting in 1930. The FIA program's primary objective is to determine the extent, condition, volume, growth, and use of trees across all forest ownerships in the United States. Before 1999, all inventories were conducted on a periodic basis. The passage of the 1998 Farm Bill requires FIA to collect data annually on plots within each State. Section 1770 of Food Security Act of 1985 (Public Law 99-198, 99 Stat. 1657, Dec. 23, 1985; 7 U.S.C. 2276) protects from disclosure the exact coordinates of the sample plot locations.

The program projects how forests are likely to appear 10 to 50 years from now. This enables the Forest Service and others to evaluate whether current forest management practices are sustainable in the long run and to assess whether current policies will allow the next generation to enjoy America's forests as we do today.

The FIA program is managed by the Research and Development organization within the USDA Forest Service in cooperation with State and Private Forestry and National Forest Systems. FIA customers include National Forests and Grasslands, state forestry agencies, federal and state policy makers; corporations and consultants; researchers; environmental organizations; land managers; media; and anyone interested in reliable, current forest data.

Major components of FIA data include:

- o FIA Primary Data
- o Urban FIA Data
- o Forest Health Monitoring Data
- o FIA Library

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
6	6	0	0

GAO Approval

Outline of Records Schedule Items for DAA-0095-2016-0003

Sequence Number	
1	FIA Database
1.1	FIA Database (FIADB) - Master Data Files - Public Data Disposition Authority Number: DAA-0095-2016-0003-0001
1.2	FIA Database (FIADB) - Master Data Files - Restricted Data Disposition Authority Number: DAA-0095-2016-0003-0002
1.3	Urban Forest Inventory Analysis Database (UFIADB) - Public Data Disposition Authority Number: DAA-0095-2016-0003-0003
1.4	Urban Forest Inventory Analysis Database (UFIADB) - Restricted Data Disposition Authority Number: DAA-0095-2016-0003-0004
1.5	Forest Health Monitoring Database Disposition Authority Number: DAA-0095-2016-0003-0005
2	FIA Data not residing in FIA database - post 1986 Disposition Authority Number: DAA-0095-2016-0003-0006

Records Schedule Items

Sequence Number	
1	<p>FIA Database</p> <p>What this schedule covers: This schedule designates appropriate retention of USDA FS program-related electronic data of permanent value produced as a result of the Forest Inventory and Analysis program. This includes data gathered manually using electronic devices, via remote sensing and sampling used to track forest health and productivity, and previously gathered data retained in hard copy that has been manually entered into the FIA database. Data gathered includes tree cover, species ranges and diversity, forest land uses, and tree age, size, growth, mortality, and harvest. The database contains field measurements (tree diameter, tree height, plot latitude, plot longitude...) and computed variables (forest type, stand-size...). All the elemental data needed to populate the computed variables is included in the database. The Forest Service has significantly enhanced the FIA program by changing from a periodic survey to an annual survey, by increasing the Agency's capacity to analyze and publish data, and by expanding the scope of data collection to include soil, under story vegetation, tree crown conditions, coarse woody debris, and lichen community composition on a subsample of plots. FIA data are used for national forest carbon estimates, and to monitor and model indicators of the health and sustainability of U.S. forests. FIA reports on status and trends in forest area and location; in the species, size, and health of trees; in total tree growth, mortality, and removals by harvest; in wood production and utilization rates by various products; and in forest land ownership. The database provides a consistent framework for storing sample based forest inventory data across all ownerships for the entire United States with the exception of interior Alaska. While multiple inventories dating back to the late 1960s (or earlier) exist in hardcopy for some states, the database itself currently contains inventory data dating back to 1968. The current annual inventory system was developed in 1998 and new inventory data for each state is produced annually and added to the existing database. What this schedule does not cover: This schedule does not cover 1) FIA data retained in hardcopy that has not been entered into the FIA database; 2) data in systems and applications that are managed by other Federal agencies or non-Federal entities, even if the systems and applications are used by the Forest Service for natural resource management projects; 3) temporary-value data that supports FS administrative functions; 4) data covered by NARA-issued General Records Schedules (GRS); 5) data generated as a result of FS-wide functions beyond the management of FIA programmatic activities (e.g., procurement, financial management, property and supplies; personnel administration; and legal and litigation functions). Additional Information: The FIA Database (FIADB) is accessed and/or used by the following applications (which do not retain any discrete data): 1. EVALIDator web-application 2. FIDO (Forest Inventory Data Online) web-application 3. FIA DataMart is used to download raw data; Microsoft Access databases, FIADB User guides, and provides access to</p>

1.1

standard tables and recent data load history. 4. Data is used to create reports and maps using other online tools, including the Timber Products Output (TPO) Reporting tool, the National Woodland Owner Survey Table Maker, and the Forest Vegetation Simulator (FVS) pre-processor tool for FIA data. Field guides, methods, and procedure information can be found at <http://www.fia.fs.fed.us/library/field-guides-methods-proc/index.php>

FIA Database (FIADB) - Master Data Files - Public Data

Disposition Authority Number DAA-0095-2016-0003-0001

All the elemental data needed to calculate the computed variables included in the FIADB. This system does not link to or support any other system. Data is currently collected on portable data records by field crews and then moved to regional management systems. Once the data in the regional management system is compiled into FIADB format it is imported into the National FIADB. This database contains information from statistical, sample-based, rural forest surveys conducted at the state-level. Plot and tree information is collected and tracked from one inventory to the next. State level inventories are aggregated to produce national statistics. The database contains field data on land and tree measurements.

Final Disposition Permanent

Item Status Active

Is this item media neutral? No

Explanation of limitation Electronic data only.

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

Disposition Instruction

If this item has multiple sections, indicate here records to which this section apply Electronic Records

Cutoff Instruction Cutoff annually.

Transfer to Inactive Storage N/A

Transfer to the National Archives for Accessioning Data available on public website: <http://www.fia.fs.fed.us/tools-data/index.php> NARA archivists will download data annually from public website.

Additional Information

First year of records accumulation 1968

What will be the date span of the initial transfer of records to the National Archives? **From 1968 To 2016**

How frequently will your agency transfer these records to the National Archives? **Unknown
NARA will download data from public website annually**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	1 TB	
Paper		
Microform		
Hardcopy or Analog Special Media		

1.2

FIA Database (FIADB) - Master Data Files - Restricted Data

Disposition Authority Number **DAA-0095-2016-0003-0002**

There are two restricted tables associated with the FIADB. The 'SDS_PLOT' and 'SDS_COND' tables include exact plot locations and specific ownership codes. In order to protect the integrity of the FIA sample, the exact coordinates of the sample plot locations are kept confidential. This protects the privacy of landowners who allow FIA field crews on their land, as well as protects the plots from any tampering. Protection of location confidentiality is incorporated into law through the Fiscal Year 2000 Consolidated Appropriations Bill (PL 106-113) which amended the Food Security Act of 1985 (7 U.S.C. 2276(d)) to include FIA data on the list of items that require confidential treatment.

Final Disposition **Permanent**

Item Status **Active**

Is this item media neutral? **No**

Explanation of limitation **Electronic only**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data? **Yes**

Annual urban inventories use a common plot design and common data collection procedures nationwide, resulting in consistent data for all targeted urban areas.

Final Disposition Permanent

Item Status Active

Is this item media neutral? No

Explanation of limitation Electronic only

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

Disposition Instruction

Cutoff Instruction Annually at end of fiscal year

Transfer to Inactive Storage N/A

Transfer to the National Archives for Accessioning NARA archivist will download data annually from public website: <http://www.fia.fs.fed.us/tools-data/index.php> (or its successor)

Additional Information

First year of records accumulation 2014

What will be the date span of the initial transfer of records to the National Archives? From 2014 To 2016

**How frequently will your agency transfer these records to the National Archives? Unknown
NARA will download data from public website annually.**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	1 TB	
Paper		
Microform		
Hardcopy or Analog Special Media		

1.4

Urban Forest Inventory Analysis Database (UFIADB) - Restricted Data

Disposition Authority Number **DAA-0095-2016-0003-0004**

There are two restricted tables associated with the UFIADB. The 'SDS_PLOT' and 'SDS_COND' tables include exact plot locations and specific ownership codes. In order to protect the integrity of the FIA sample, the exact coordinates of the sample plot locations are kept confidential. This protects the privacy of landowners who allow FIA field crews on their land, as well as protects the plots from any tampering. Protection of location confidentiality is incorporated into law through the Fiscal Year 2000 Consolidated Appropriations Bill (PL 106-113) which amended the Food Security Act of 1985 (7 U.S.C. 2276(d)) to include FIA data on the list of items that require confidential treatment.

Final Disposition **Permanent**

Item Status **Active**

Is this item media neutral? **No**

Explanation of limitation **Electronic only**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data? **Yes**

Disposition Instruction

Cutoff Instruction **Annually at end of fiscal year**

Transfer to Inactive Storage **N/A**

Transfer to the National Archives for Accessioning **Transfer to the National Archives immediately after end of fiscal year**

Additional Information

First year of records accumulation **2014**

What will be the date span of the initial transfer of records to the National Archives? **From 2014 To 2016**

How frequently will your agency transfer these records to the National Archives? **Every 1 Years**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	1 GB	

Paper		
Microform		
Hardcopy or Analog Special Media		

1.5

Forest Health Monitoring Database

Disposition Authority Number **DAA-0095-2016-0003-0005**

Beginning in 2000, the FIA program, in addition to the conversion from periodic to annual surveys, added the suite of forest health measurements to a subset of the sample locations. This subset, referred to as the Phase 3 (P3) sample, consists largely of the measurements and plots which formerly comprised the plot component of the Forest Health Monitoring (FHM) program. The P3 forest health indicators include data on tree damage, crown condition, presence of ozone damage, lichen species diversity, soils, and down woody material. Additional measurements are being developed.

Final Disposition **Permanent**

Item Status **Active**

Is this item media neutral? **No**

Explanation of limitation **Electronic only**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data? **Yes**

Disposition Instruction

Cutoff Instruction **Annually at end of fiscal year**

Transfer to Inactive Storage **N/A**

Transfer to the National Archives for Accessioning **NARA representatives will download data annually from public website: <http://www.fia.fs.fed.us/tools-data/index.php> (or its successor)**

Additional Information

First year of records accumulation **2000**

What will be the date span of the initial transfer of records to the National Archives? **From 2000 To 2016**

How frequently will your agency transfer these records to the National Archives? **Every 1 Years**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	1 GB	
Paper		
Microform		
Hardcopy or Analog Special Media		

2

FIA Data not residing in FIA database - post 1986

Disposition Authority Number **DAA-0095-2016-0003-0006**

FIA data created after 1986 that has not been entered into the FIA database. Elemental data from the statistical, sample-based rural forest surveys conducted at the state level.

Final Disposition **Permanent**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **No**

Disposition Instruction

Cutoff Instruction **Records retention begins when individual survey completed.**

Transfer to Inactive Storage **Hard copy records may be transferred to Federal Records Center until eligible for accession to National Archives**

Transfer to the National Archives for Accessioning **Transfer to the National Archives 15 year(s) after survey completed**

Additional Information

First year of records accumulation **1987**

What will be the date span of the initial transfer of records to the National Archives? **From 1987 To 2004**

How frequently will your agency transfer these records to the National Archives? **Unknown**
Records may not be of sufficient dates or quantity to justify transfer every year. Transfers will occur 15 years after the survey has been completed.

	Estimated Current Volume	Annual Accumulation
Electronic/Digital		
Paper	11 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

Agency Certification

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

Signatory Information

Date	Action	By	Title	Organization
09/13/2016	Certify	Monica McGee	Records Officer	Forest Service - WO - ORMS - CRM
09/14/2016	Return for Revision	Tom Cotter	Appraiser	National Archives and Records Administration - Records Management Services
09/15/2016	Submit For Certification	Monica McGee	Records Officer	Forest Service - WO - ORMS - CRM
09/15/2016	Certify	Monica McGee	Records Officer	Forest Service - WO - ORMS - CRM
09/20/2016	Return for Revision	Tom Cotter	Appraiser	National Archives and Records Administration - ACRA
09/20/2016	Submit For Certification	Monica McGee	Records Officer	Forest Service - WO - ORMS - CRM
09/20/2016	Certify	Monica McGee	Records Officer	Forest Service - WO - ORMS - CRM
09/21/2016	Return for Revision	Tom Cotter	Appraiser	National Archives and Records Administration - ACRA
09/22/2016	Submit For Certification	Monica McGee	Records Officer	Forest Service - WO - ORMS - CRM
09/22/2016	Certify	Monica McGee	Records Officer	Forest Service - WO - ORMS - CRM
10/25/2016	Submit for Concurrence	Tom Cotter	Appraiser	National Archives and Records Administration - ACRA
10/25/2016	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services

10/25/2016	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
10/27/2016	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist