

# WITHDRAWN - RETURNED WITHOUT ACTION

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION  
Request for Records Disposition Authority

Records Schedule: DAA-0048-2014-0001

## Request for Records Disposition Authority

Records Schedule Number DAA-0048-2014-0001  
Schedule Status Returned Without Action  
Agency or Establishment Department of the Interior  
Record Group / Scheduling Group Records of the Office of the Secretary of the Interior  
Records Schedule applies to Department-wide  
Schedule Subject Department of the Interior Big Bucket Schedule 4 – Legal, Regulatory Compliance, and Enforcement  
Internal agency concurrences will be provided No

### Background Information

The U. S. Department of the Interior (DOI), Record Group 048, protects and manages the Nation's natural resources and cultural heritage; provides scientific and other information about those resources; and honors its trust responsibilities or special commitments to American Indians, Alaska Natives, and affiliated island communities. In accomplishing this mission, DOI records these activities; maintaining adequate and proper documentation of Department policies and transactions, through its comprehensive records management program. DOI serves its customers in the four broad areas of recreational uses, commercial uses, community services, and science for decision making. This service is reflected in the Department's Strategic Plan (2011-16), which identifies the following five mission areas:

1. Provide Natural and Cultural Resource Protection and Experiences
2. Sustainably Manage Energy, Water, and Natural Resources
3. Advance Government-to-Government Relationships with Indian Nations and Honor Commitments to Insular Areas
4. Provide a Scientific Foundation for Decision Making
5. Building a 21st Century Department of the Interior.

### Department Organization:

The Department is guided by the Office of the Secretary and includes the following Bureaus:

- Bureau of Indian Affairs
- Bureau of Land Management
- Bureau of Ocean Energy Management
- Bureau of Reclamation
- Bureau of Safety and Environmental Enforcement
- Fish and Wildlife Service

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- National Park Service
- Office of Surface Mining, Reclamation, and Enforcement
- US Geological Survey.

For a high-level departmental organizational chart, visit: <http://www.doi.gov/whoweare/orgchart.cfm>.

## Methodology:

The Department culled the Lines of Business applicable to its mission and operations; then added relevant categories from the Department's Strategic Plan and the Office of Budget's Accounting Business Codes. The resulting Lines of Business were then divided among the categories of policy, mission, legal, and administrative buckets. Each bureau was asked to map the existing records retention schedules to the Department's Lines of Business, which are listed below. The crosswalks showing this work are attached.

### I. Provide Natural and Cultural Resource Protection and Experiences

- a. Cultural and Heritage
- b. Disaster Management
- c. Economic Development
- d. Recreation
- e. Wilderness Management
- f. Wildland Fire

### II. Sustainably Manage Energy, Water, and Natural Resources

- a. Biological Resources
- b. Energy
- c. Land Management Planning, Environmental Management, Land Conservation, and NEPA
- d. Land Use
- e. Marine Conservation
- f. Minerals
- g. Water

### III. Advance Government-to-Government Relationships with Indian Nations and Honor Commitments to Insular Affairs

- a. Indian Trust
- b. International and Insular Affairs
- c. Tribal Government

### IV. Provide a Scientific Foundation for Decision Making

- a. General Science

### V. Building a 21st Century Department of Interior

- a. Community and Social Services
- b. Education
- c. Geospatial Services

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- d. Public Affairs
- e. Public Health and Safety
- f. Technology Development and Transfer
- g. Transportation
- h. Use Authorization.

This move to a department schedule, from individual bureau schedules, moves Record Groups 022 (FWS), 049 (BLM), 057 (USGS), 075 (BIA), 079 (NPS), 115 (BOR), 471 (OSMRE), 473 (BSEE), and 589 (BOEMRE) to 048. All FRC, Annual Move, and Direct Offer interactions with NARA will continue to be broken out according to the assigned Record Group number for the creating agency. The underlying authority for each interaction will be the approved DRS authority established by this schedule.

This disposal authority will only apply on a "day-forward" basis from date of approval, and does not require retroactive changes to existing accessions at the FRCs.

#### Automation:

As part of the DOI's comprehensive records management program, DOI developed the eMail Enterprise Records and Document Management System (eERDMS) program with the objective of providing the Department with a single cohesive integrated records and information governance platform, which directly supports M-12-18, the Presidential Directive on Records Management. The eERDMS program is designed to support and manage Departmental records, including email, documents, and related content information, independently, fixed or mobile. eERDMS consists of four major systems brought together to support records, content management, case management, forms management, and dash-boarding capabilities. Migrating DOI to the Departmental Records Schedule described above will enable a smoother and more consistent implementation of eERDMS.

#### Definitions

Throughout this document, certain terms are used to convey a specific meaning for the Department of the Interior. These include:

Indian Trust Assets (ITA) - Particular lands, natural resources, monies, or other assets held in trust by the Federal Government for an Indian Tribe, Alaskan native, or Indian individuals.

Indian Fiduciary Trust (IFT) Records - Records that reflect existence of ITA and: are used in the management of ITA; reflect the collection and/or disbursement of income from ITA; constitute a communication

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with a beneficiary (Individual or Tribe); or are created by or for BIA, OST, or a Tribe for the management of ITA.

Responsible Records Officer – The official designated with records responsibility for a bureau or major office of the Department of the Interior (e.g., National Park Service, Fish and Wildlife Service, Office of the Solicitor, Office of Hearings and Appeals, Office of Natural Resources Revenue, etc.).

## Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
0	0	0	15

## GAO Approval

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## Outline of Records Schedule Items for DAA-0048-2014-0001

Sequence Number	
1	Intelligence, Counterintelligence, and Security Records Disposition Authority Number: DAA-0048-2014-0001-0001
2	Investigations and Audits
2.1	Audits and Financial Disclosures Disposition Authority Number: DAA-0048-2014-0001-0002
2.2	Department Investigative Records Disposition Authority Number: DAA-0048-2014-0001-0003
2.3	Historically Significant Audits and Investigative Case Files Disposition Authority Number: DAA-0048-2014-0001-0004
3	Law Enforcement
3.1	General Law Enforcement Files Disposition Authority Number: DAA-0048-2014-0001-0005
3.2	Incident Investigation and Response Disposition Authority Number: DAA-0048-2014-0001-0006
3.3	Law Enforcement Case Files Disposition Authority Number: DAA-0048-2014-0001-0007
3.4	Departmental Incident Data Disposition Authority Number: DAA-0048-2014-0001-0008
3.5	Law Enforcement Files Required for Long-Term Preservation Disposition Authority Number: DAA-0048-2014-0001-0009
3.6	Historically Significant Law Enforcement Files Disposition Authority Number: DAA-0048-2014-0001-0010
4	Litigation and Adjudication
4.1	General Litigation and Adjudication Records Disposition Authority Number: DAA-0048-2014-0001-0011
4.2	Administrative Decisions and Adjudication Case Files Disposition Authority Number: DAA-0048-2014-0001-0012
4.3	Judicial Litigation and Legal Compliance Files Disposition Authority Number: DAA-0048-2014-0001-0013
4.4	Litigation and Adjudication Files Required for Long-Term Preservation Disposition Authority Number: DAA-0048-2014-0001-0014
4.5	Historically Significant Litigation and Adjudication Files Disposition Authority Number: DAA-0048-2014-0001-0015

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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION  
Request for Records Disposition Authority

Records Schedule: DAA-0048-2014-0001

## Records Schedule Items

Sequence Number	
1	<p data-bbox="357 414 1104 457">Intelligence, Counterintelligence, and Security Records</p> <p data-bbox="357 468 1136 510">Disposition Authority Number      DAA-0048-2014-0001-0001</p> <p data-bbox="357 521 1487 1351">Records of all DOI Intelligence &amp; Counterintelligence Activities including collecting and analyzing information and taking action to meet the national security challenges of the U.S. and its allies, when appropriate, by processing foreign and domestic intelligence; disseminating intelligence products to policymakers, military commanders, war fighters and other consumers; and performing activities in support of U.S. policy objectives. These records are created in support of or coordination with other intelligence agencies. The records to be maintained are sensitive in nature and for the most part are copies of previously generated records; the exception being the actual inquiry/investigation content. These investigations are usually complex, national or international in scope many of which have a covert component. These records include such things as: • Special Operations Case Files for investigations of the illegal commercial trade or take of protected species. • Counterintelligence activities, audits, inquiries and investigations that deal with such subjects as: o Personnel security activities including background investigations and non-disclosure agreements o Facilities/ physical security, security violation and infractions o Information security and computer records showing illicit activities o Unauthorized contacts/correspondence with foreign officials or foreign entities, foreign travel, and foreign visitation o Illicit banking &amp; financial activities Some of the records identified under this item carry a National Security Information classification and must be handled and stored in accordance with these requirements. Any transfers to Federal Records Centers or other offsite storage must indicate the highest level of classification.</p> <p data-bbox="357 1361 909 1404">Final Disposition                      Temporary</p> <p data-bbox="357 1415 909 1457">Item Status                              Withdrawn</p> <p data-bbox="357 1468 812 1510">Is this item media neutral?          Yes</p> <p data-bbox="357 1521 812 1649">Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      Yes</p> <p data-bbox="357 1659 812 1755">Do any of the records covered by this item exist as structured electronic data?                      No</p> <p data-bbox="357 1766 1153 1830">GRS or Superseded Authority Citation      N1-022-05-01/62-ENFR-200</p> <p data-bbox="357 1862 665 1904">Disposition Instruction</p>

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Cutoff Instruction                      Cut off as instructed in the bureau or office records manual. If no unique instructions exist, cut off when the case file is closed.

Retention Period                        Destroy 20 year(s) after cut-off

## Additional Information

GAO Approval                            Not Required

2                      **Investigations and Audits**  
Records of all DOI investigations and audit activities regarding the possibility of government misconduct, security violations (not including legal action taken by a law enforcement entity - see Law Enforcement: 0006-0010 and 0016), security breaches (particularly of electronic systems), and compliance with established government laws and regulations. Records under this category typically belong to an organization with broad responsibility for compliance and investigative functions across several offices or the Department, such as the Office of the Inspector General, Security Operations within the Office of the Chief Information Officer, Bureau and Department responses to GAO audits, etc. Non-major incidents (particularly routine computer incidents) should instead be filed under Schedule 1 – Administrative Records (DAA-0048-2013-0001-0002 and -0013).

2.1                    **Audits and Financial Disclosures**  
Disposition Authority Number        DAA-0048-2014-0001-0002  
Evaluations, inspections, audits, or reviews documenting internal program audits, program evaluations, administrative and technical procedures reviews, and other auditing of Department programs and operations. Included are audit reports by Interior or state auditors, other agencies, and Independent Public Accountants, and any supporting documents; and Final Report of Interior activities produced by the General Accounting Office (GAO) along with all coordinating records and responses to GAO. Particular audit records that were previously considered historically significant have been reassessed and should now be filed under this item. This includes: • Indian Self-Determination Audit Files: Documents created during contract audits conducted by the Office of the Inspector General or a Certified Public Accounting firm, bill of collection documents, audit resolution documents, findings, recommendations, and planned corrective actions by the contractor as well as official audit reports maintained by the Department and Office of the Inspector General. • Indian Education Program Audit Case Files: Information accumulated during the audit of a school operation. Required audits assure accuracy, propriety and legality in the use of assets which includes final audit report, response, comment, recommendation, and corrective action plan. • Tribal and Individual Indian Trust Fund Annual Audit Report Files: Documents created in response to formulating annual audits on Tribal and other trust funds and Individual Indian Money (IIM) trust funds managed by the Office of the Special Trustee for American Indians to independent auditor/Office of Inspector General. Files include detailed work papers, supporting documentation, financial statements

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and records pertaining to the audit submission for the entire agency. • Internal Trust Assessments: Correspondence, reports, questionnaires, action copies of assessment finding, and other records that identify Trust program internal control weaknesses, and corrective actions and supporting documentation taken to resolve such problems. Also included in this item are 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. NOTE: This item DOES NOT include audits related to Indian Gaming or external audits of tribal operations, which are included in 0005 - Historically Significant Audit and Investigative Case Files. General audit files (including GAO) of other BIA and OST functions should still be filed here.

Final Disposition Temporary

Item Status Withdrawn

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? Yes

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

GRS or Superseded Authority Citation  
GRS 1-25f(1)  
GRS 1-25f(2)  
N1-048-07-04, 7101.7  
N1-048-08-22 - 1210.1  
N1-048-08-22 - 1210.3  
N1-048-10-03 - 2804  
NC1-49-85-2, 25/4a  
N1-075-05-1 - 1234  
N1-075-05-1 - 1508  
N1-075-05-5 - 5415  
N1-075-07-17 - 6005  
N1-075-07-17 - 6006

Disposition Instruction

Cutoff Instruction Cut off as instructed in the bureau or office records manual. If no unique instructions exist, cut off at end of FY in which files are closed.

Retention Period Destroy 7 year(s) after cut-off

Additional Information

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2.2	GAO Approval	Not Required
	Department Investigative Records	
	Disposition Authority Number	DAA-0048-2014-0001-0003
	<p>Primarily sourced by the Office of the Inspector General, 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. These files also contain records generated for investigations related to Title VI of the Civil Rights Act of 1964, and investigative records held by the Office of the Special Trustee for American Indians. These are outlined in detail below:</p> <ul style="list-style-type: none"><li>• Title VI Action Files 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</li><li>• Title VI Compliance Reviews (State Files) 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.</li><li>• Title VI 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.</li><li>• Indian Trust Investigative Case Files: Records include statement of allegations, investigative reports, witness statements, photographs, evidence and supporting documentation.</li></ul>	
	Final Disposition	Temporary
	Item Status	Withdrawn
	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?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	GRS or Superseded Authority Citation	N1-048-10-03 - 2802.2 N1-048-10-03, 2806 N1-048-10-03 - 2807 N1-048-10-03, 2808 N1-075-07-17 - 6002
	Disposition Instruction	

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2.3

Cutoff Instruction	Cut off as instructed in the bureau or office records manual. If no unique instructions exist, cut off when case or investigation is closed, including any related litigation.
Retention Period	Destroy 10 year(s) after cut-off
Additional Information	
GAO Approval	Not Required
Historically Significant Audits and Investigative Case Files	
Disposition Authority Number	DAA-0048-2014-0001-0004
	<p>These files consist of records as described in 0002 and 0003 above that pertain to incidents or subjects with historical significance, as agreed upon between NARA and the Department. Most investigative case files will not be deemed historically significant, but may be considered for this distinction if they meet any of the following criteria:</p> <ul style="list-style-type: none"><li>• Involve significant or permanent damage to, or loss of, cultural or natural resources with great monetary, cultural, scientific, or historical value;</li><li>• Include "first of kind" or landmark decisions or events that establish precedents;</li><li>• Subject to widespread media attention or Congressional scrutiny. After being designated historically significant, the case file should be carefully reviewed before transfer to NARA for any inappropriate content. All records transferred to the Archives will eventually be made accessible to the public. Audit files identified under this item are generally classified due the inherent value of the subjects under audit. Designating an area of business as historically significant requires agreement between NARA and the Department. The following audit files are considered historically significant:</li></ul> <ul style="list-style-type: none"><li>• Tribal Operation and Contract External Audit Report Files: Final audit report files of any tribal operation or tribal contract as well as correspondence and related papers concerning the review, reconciliation of recommendations, other responses/clearance documents and planned corrective actions.</li><li>• Indian Gaming OIG Audit Files: Documents responding to any OIG audit regarding Bureau of Indian Affairs' roles and responsibilities in implementing and regulating the Indian Gaming Regulatory Act, supporting documentation, and related correspondence.</li></ul>
Final Disposition	Permanent
Item Status	Withdrawn
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?	Yes
Do any of the records covered by this item exist as structured electronic data?	Yes

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GRS or Superseded Authority Citation  
N1-048-10-03 - 2802.1  
N1-075-05-1 - 1233  
N1-075-05-1 - 1306

### Disposition Instruction

If this item has multiple sections, indicate here records to which this section apply  
Non-electronic Textual Records

Cutoff Instruction  
Cut off as instructed in the bureau or office records manual. If no unique instructions exist, cut off at end of fiscal year in which investigation is concluded.

Transfer to the National Archives for Accessioning  
Transfer to the National Archives 15 year(s) after cut-off

### Additional Information

What will be the date span of the initial transfer of records to the National Archives?  
Unknown  
Span of records uncertain; many have been held indefinitely due to litigation requirements.

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

	Estimated Current Volume	Annual Accumulation
Electronic/Digital		
Paper	55 Cubic feet	13 Cubic feet
Microform		
Hardcopy or Analog Special Media		

### Disposition Instruction

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

Cutoff Instruction  
Cut off as instructed in the bureau or office records manual. If no unique instructions exist, cut off at end of fiscal year in which investigation is concluded.

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Transfer to the National Archives for Accessioning      Transfer to the National Archives no later than 3 years after cut-off.

**Additional Information**

What will be the date span of the initial transfer of records to the National Archives?      Unknown  
Span of records uncertain; many have been held indefinitely due to litigation requirements.

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

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

3  
**Law Enforcement**  
Records of all DOI activities devoted to protecting people, infrastructure, resources, places, and things from criminal activity resulting from non-compliance with U.S. and tribal laws. Bureaus and offices charged with law enforcement responsibilities typically have a specific area of focus, and this item includes all records related to those enforcement activities, as well as unique records for the operation and management of a law enforcement program. Records in this item pertaining to the Bureau of Indian Affairs (BIA) notably include general policing duties in enforcing Tribal laws, coordinating with local and state law enforcement, establishing laws, and operation of detention centers and the Indian Police Academy. The Office of Law Enforcement and Security (OLES) maintains records for the overall management of Departmental law enforcement programs, including a Department-wide Incident Management And Reporting System (IMARS); these records are also included in this category.

3.1  
**General Law Enforcement Files**

Disposition Authority Number      DAA-0048-2014-0001-0005

Records in this item concern the management and support of law enforcement and incident response programs and functions. Documents are often limited to broad statistical analysis, reports, rosters and control logs, and activity tracking. This item also includes files related to incidents and violations of a routine nature

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(e.g., warnings, unsubstantiated allegations, and other incidents leading to no further action). Specific records included in this item: • Recurring reports of law enforcement activities, including such reports as: Uniform Crime Reports, DOI Law Enforcement Incident Reports, Drug Enforcement Activity Reports, Weekly Reports of Special Agents, and Significant Activity Reports, Activity Reports, Law Enforcement Officer Reports, Archaeological Resources Protection Act of 1979 (ARPA) Reports, Case Logs, reports from the Indian Law Enforcement Information Network (INCLINE) system, and similar reports. Many such reports may be generated by electronic systems and support more comprehensive departmental reporting. Reports representing the Department or a Bureau as a whole should use Schedule 3 – Policy Records (DAA-0048-2013-0008-0001). • Law enforcement commissions and emergency medical services (EMS) certifications. • Shift rosters, wrecker logs, patrol logs, lost and found, BOLOs (Be On the Look Out), evidence inventories and certifications, prisoner processing, and similar records. • Records pertaining to police functions NOT performed by the Department that are exercised in the security and protection of government facilities. These include reports, statements of witnesses, warning notices, and other documents pertaining to arrests, commitments, and traffic violations. • Lecture notes, outlines, and other materials used by Indian Police Academy instructors for training purposes. • Periodic statistical and other reports by local BIA Law Enforcement Offices containing such information as number of Indian court civil and criminal cases; number and type of offenses, number of arrested and convicted and the penalties imposed. • Program correspondence files that are created, received, or utilized by the office or entity with primary responsibility for documentation of a given law enforcement program function. Records consist of incoming and outgoing correspondence, reports, forms, and other records that pertain to the program activities of the office. NOTE: Correspondence files critical to supporting a specific case should instead be filed with the case file.

Final Disposition	Temporary
Item Status	Withdrawn
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?	Yes
Do any of the records covered by this item exist as structured electronic data?	Yes
GRS or Superseded Authority Citation	GRS 18-14b GRS 18-24b NC1-22-78-1/18 ENFR-300 N1-49-96-3, 18/30c (1) N1-49-96-3, 18/30c (2) N1-075-05-4 - 3500a N1-075-05-4 - 3504

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N1-075-05-4 - 3506

N1-075-05-4 - 3517

## Disposition Instruction

### Cutoff Instruction

Cut off as instructed in the bureau/office records manual. If no unique cut-off exists, cut off at end of fiscal year in which report or file is created.

### Retention Period

Destroy 3 year(s) after cut-off

## Additional Information

### GAO Approval

Not Required

3.2

## Incident Investigation and Response

### Disposition Authority Number

DAA-0048-2014-0001-0006

Records created in documenting, investigating, tracking, and responding to violations of laws that Interior officials have a responsibility to forward on to another authority (even if that authority is elsewhere in the Department). These records may involve first responder accounts of legal violations or incidents, and lead to further correspondence and documentation to make the appropriate executive authority aware of what occurred. This item also pertains to enforcement and protective services conducted by Interior that do not involve criminal actions, as well as non-enforcement responses to emergency incidents (e.g., emergency medical response, and search and rescue activities), especially if information from such a response may be necessary for a law enforcement office in its own activities. NOTE: This item DOES NOT include case files maintained in the Departmental repository for all incidents (the Incident Management, Analysis, and Reporting System (IMARS), or its equivalent). See 0009 Departmental Incident Data. Specific records included under this item: • Case files documenting the process for DOI Solicitor authorization to prosecute American Indians for violations of laws and regulations enforced by Interior (e.g., fish and wildlife laws and regulations), including a copy of the investigation report and similar supporting documents. • Case files relating to investigations of alleged violations of Executive orders, laws, or agency regulations for the safeguarding of national security information. Files in this item differ from those in 0006 in that the alleged violations are of a sufficiently serious nature that they are referred to the Department of Justice or Department of Defense for prosecutable determination. • Cases or files that document Emergency Medical Services (EMS) & Search and Rescue (SAR) incidents; or minor incidents, investigations, or activities (involving offenses that are generally not criminal in nature). • Logs documenting complaints sent to law enforcement offices for further investigation into alleged violations of wildlife regulations and laws. • Cases or files that document routine incidents, investigations, or activities, generally limited to incidents where warnings are issued and unsubstantiated allegations of professional responsibility. • Files relate to potential permit violations and include correspondence, letters, memoranda,

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Congressional inquiries, reports, testimony, documentation of litigation process, and other substantive material relevant to determining whether or not an alleged violation has occurred and documenting action taken as the result of a confirmed violation. NOTE: This does not include litigation case files related to a permit violation (see 0013). • Case files relating to investigations of alleged violations of Executive orders, laws, or agency regulations for the safeguarding of national security information, exclusive of documents placed in official personnel folders. • BIA Detention Program Administrative and Activity Files: Monthly incarceration record and booking sheet, cell check log, temporary holding logs, inmate alpha roster, facility incident report such as assault, escape, suicide attempt, facility evacuation, theft, staff misconduct and any other incident that warrants a report. Also includes activity schedules, curriculums, lesson plans, supply list, and information related to activities held at the detention center. Note that this item does not cover booking records for detainees (see 0008) • Volunteer/Service Provider case files, consisting of application, background security checks, consent for release of employment records, educational records, personal history, disciplinary actions, investigation on violations of Law Enforcement rules/regulations and other related documents.

Final Disposition Temporary

Item Status Withdrawn

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? Yes

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

GRS or Superseded Authority Citation  
GRS 18-24a  
N1-022-05-01, Item 59 ENFR-310  
N1-022-05-01/64 ENFR-320  
N1-022-05-01, Item 66 - ENFR-410  
N1-075-05-4 - 3516  
N1-075-05-4 - 3519  
N1-075-05-4 - 3520  
N1-79-08-2/2C  
N1-79-08-2/2D

Disposition Instruction

Cutoff Instruction Cut off as instructed in the bureau/office manual. If no unique cut-off exists, cut off when all actions related to the incident/investigation are completed and the matter closed.

Retention Period Destroy 10 year(s) after cut-off

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## Additional Information

GAO Approval Not Required

## Law Enforcement Case Files

Disposition Authority Number DAA-0048-2014-0001-0007

Case files and supporting documentation created and maintained in offices responsible for exercising an enforcement function that the Department is responsible for. Records pertaining to certain issues may cross several bureaus and offices; this item should only apply to the official case file maintained by the responsible office. Note that some case files involving major crimes, subject matters critical to the long-term execution of the Department's mission, or historically significant matters are filed under 0016 and 0010, below. Specific files included in this item: • Investigative Case Files for violations of fish and wildlife law for which the Fish and Wildlife Service has enforcement responsibility. Case files include information concerning individuals being investigated for a violation and also include the results of investigative action. • Data in the Law Enforcement Management Information System (LEMIS), or its equivalent, a database containing an import/ export declaration module and an investigations module. The import/export declaration module contains summary information from the Declaration for Importation or Exportation of Fish or Wildlife form (Form 3-177 or equivalent) and process, including names, species, dates, and location. The investigations module contains information on Law Enforcement investigations including nature of investigations, names of parties, relevant dates, investigation synopsis, final adjudication, and case closure reports. • Case files maintained by BLM documenting investigations and arrests concerning alleged violation of federal land laws. These files consist of incident reports, reports of investigation, field investigative contacts, photos, photo logs, evidence, evidence logs, and related correspondence. Also includes the incident reports and related printouts that are generated by the LAWNET database (or equivalent) • NPS Major Protection & Safety Case Files - Cases or files that document major incidents, investigations, or activities, typically of a criminal nature, for which NPS has an enforcement responsibility. It also applies to unsubstantiated Native American Graves Protection and Repatriation Act (NAGPRA), ARPA, and Indian Arts and Crafts Board (IACB) claims (for substantiated claims, see 0010 below). Unless the records criteria in 0010 or 0016 apply, this category includes incidents that relate to a cultural or natural resource, or result in a death, life threatening or long term injury, or multiple hospitalizations. • Administrative Inquiries/Internal Affairs Case Files (w/ signature, attachments, enclosures, annexes, all original agent/case notes, and findings) • Criminal Investigation Case Files (w/ signature, attachments, enclosures, annexes, all original agent/case notes, and final court and evidence disposition) and criminal incident reports for issues where BOR has an enforcement responsibility. • Case Files documenting the unlawful and/or warranted entrance, use, destruction, and possession of BLM facilities, lands, or resources. Contains the initial report of unauthorized use, trespass investigation report, notice of trespass, location maps and other land status and location

# WITHDRAWN - RETURNED WITHOUT ACTION



# WITHDRAWN - RETURNED WITHOUT ACTION

data, damage assessment, notice to remove structures, certificates of livestock count, notice of impoundment, trespass bond, record of interviews and phone conversations, field notes, sketch maps, measurements, scale tickets, bills/invoices, reimbursable project log, and related photos, correspondence, and other documents. • Adult and Juvenile Detention/Booking Inmate Case Files, consisting of personal information such as: name, birth date, social security number, address, name of parent(s) or guardian(s) (if juvenile), booking data with date/time, nature of offense, charge, location of arrest, booking and arresting officer's name, application for health care, medical questionnaire/clearance, suicide prevention screening, medication log, refusal of medical treatment, request for medical assistance, fingerprint card, photo (mug shot), state of intoxication (if applicable), inmate property inventory, orientation verification, length of stay, inmate worker application/contract/assignment, condition of confinement, inmate request for service, grievance, escape documentation, incident/disciplinary reports, media request and waiver, criminal history, voluntary statements, date/time of release and condition of final release, release on personal recognizance agreement, cash amount removed at the time of booking, amount received during incarceration, and amount returned at the time of release, extradition, and inmate mail notification and disposition.

Final Disposition Temporary

Item Status Withdrawn

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? Yes

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

GRS or Superseded Authority Citation  
NC1-22-78-1/55 - ENFR-100  
N1-022-05-01, Item 63 - ENFR-110  
NC1-49-76-3, B/19  
NC1-49-85-2, 18/12a (1)  
NC1-49-85-2, 18/12a (2)  
N1-075-05-4 - 3513  
N1-075-05-4 - 3514  
N1-79-08-2/2B  
N1-115-07-02, LAW-4.00

Disposition Instruction

Cutoff Instruction Cut off as instructed in the bureau or office records manual. If no unique instructions exist, cut off when case is closed.

Retention Period Destroy 20 year(s) after cut-off

# WITHDRAWN - RETURNED WITHOUT ACTION

# WITHDRAWN - RETURNED WITHOUT ACTION

3.4

## Additional Information

GAO Approval Not Required

## Departmental Incident Data

Disposition Authority Number DAA-0048-2014-0001-0008

The Department maintains a central repository for all incident reports relating to: law enforcement, homeland security, other security (physical, personnel and stability, information, and industrial), and emergency management. This data is used to coordinate, analyze, and share information about overall law enforcement activities throughout the Department. Typically (and currently) this is performed through an electronic system (Incident Management, Analysis, and Reporting Systems (IMARS), or its equivalent) and managed by the Office of Law Enforcement and Security (OLES). Most data in this system concerns the incidents themselves: data that has been specifically preserved as part of an incident or investigation (including offense descriptions, relationships of persons to the incident or case, evidence collected, etc.). This system also includes certain non-incident data that is necessary for fully utilizing and tracking the incident data it contains. This includes information related users/offices and their unit of assignment, badge number, training, qualifications, etc.

Final Disposition Temporary

Item Status Withdrawn

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? Yes

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

GRS or Superseded Authority Citation N1-048-09-05 - 8151.1  
N1-048-09-05 - 8151.2

## Disposition Instruction

Cutoff Instruction Cut off when case or incident is closed and any related activities finished; for non-incident data, cut off with related cases/incidents.

Retention Period Destroy 70 year(s) after cut-off

## Additional Information

GAO Approval Not Required

3.5

Law Enforcement Files Required for Long-Term Preservation

# WITHDRAWN - RETURNED WITHOUT ACTION

# WITHDRAWN - RETURNED WITHOUT ACTION

Disposition Authority Number      DAA-0048-2014-0001-0009

This item covers law enforcement files related to oversight, support, and participation in law enforcement services related to the Department's execution of its mission or other primary functions, for which there is an enduring need to maintain documentation for legal accountability and justification of actions taken. These records are also generally inappropriate for release to the public, and as such do not meet the criteria for historically significant records. Many of these records concern law enforcement activities performed for Indian Tribes. The Bureau of Indian Affairs is responsible for: law enforcement operations on Tribal lands, including uniform police and criminal investigations; providing technical assistance and oversight to law enforcement programs contracted or compacted by tribes under Self-Determination and Self-Government Policy; operating and maintaining the Indian Police Academy; and fostering a positive policing partnership with federal, state, and tribal organizations to seek optimal service to our Indian communities. Specific Indian Affairs records include:

- Indian Police Academy Student case files, consisting of information on student application for admission, certificate of completion, and transcript.
- Class roster, reports on disciplinary actions, separation, awards, end of class reports, class photos, daily activity reports, medical/injury reports, and other related documents on classes at the Indian Police Academy.
- Indian Police Academy disciplinary actions, investigations on violations of academy rules/regulations and other related documents pertaining to students of the Indian Police Academy
- Logs or registers which detail incoming calls for law enforcement assistance. Include dispatch/radio calls made to law enforcement officers or other officials in response to calls.
- Case files prepared by BIA law enforcement officers involving cases such as suicide, liquor violations, illegal drugs and related activities. Records include witness statements, statutes involved, place and nature of offense, evidence seized, photographs, and final disposition reports. Records may include supporting correspondence only if it is necessary to fully document the case.
- Information describing and controlling evidence that was logged and tagged prior to storage.
- Reports relating to investigations conducted by BIA into alleged security violations, including those of sufficiently serious nature to be classified as felonies.
- Reports prepared by BIA law enforcement officers involving juvenile civil, criminal and child abuse cases (neglect, deprivation, molestation, and abandonment). Report includes witness statement, statute involved, place and nature of offense, seized evidence, photographs and final disposition.
- Appointments of Special Law Enforcement Commission to qualified full-time state, county, municipal and tribal law enforcement officers providing authority for the execution of law enforcement duties in Indian country.
- Cross-Deputization Agreements between Bureau of Indian Affairs and a state and local law enforcement agency for the provision to deputize qualified full-time state, county, municipal, and tribal law enforcement officials to execute law enforcement duties in Indian country under Approved federal jurisdiction. Other records associated with this item are required for indefinite retention due to any of a number of reasons:
- They are likely to be referenced for performance of the Department's mission functions;
- They will

# WITHDRAWN - RETURNED WITHOUT ACTION

# WITHDRAWN - RETURNED WITHOUT ACTION

be relied upon for response to future law enforcement or emergency response incidents; • They are necessary to justify the level of training or aptitude possessed by law enforcement officials referenced in active records; or • The severity of the crime requires it (if the statute of limitations for the matter is particularly long, if the crime does not have a statute of limitations, or if the sentence is of a length that the records will need to be referenced at a later date). Such records include those related to criminal investigations of homicide, fraud (where potential recovery/claim is in excess of \$100,000), sexual assault, and unsolved but administratively closed criminal investigations (Cold Cases). Inclusion of records into this classification must be mutually agreed upon between the Departmental Records Officer and the Responsible Records Officer. Specific items included in this series will be documented in the Departmental Records Manual. Typically, records included in this series have a long-term standing impact on the delivery of the Department's or Bureau's mission or supporting function. Since these records will never be transferred to NARA but will be held indefinitely within DOI, the costs of maintaining these records will be borne by DOI and should be made selectively.

Final Disposition Temporary

Item Status Withdrawn

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? Yes

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

GRS or Superseded Authority Citation  
N1-075-05-4 - 3501  
N1-075-05-4 - 3503  
N1-075-05-4 - 3505  
N1-075-05-4 - 3507  
N1-075-05-4 - 3508  
N1-075-05-4 - 3509  
N1-075-05-4 - 3510  
N1-075-05-4 - 3511  
N1-075-05-4 - 3512  
N1-075-05-4 - 3515  
N1-075-05-4 - 3518

Disposition Instruction

Cutoff Instruction Cut off as instructed in the bureau or office records manual. If no unique instructions exist, cut off files when case or matter is closed and all follow-up activities completed.

# WITHDRAWN - RETURNED WITHOUT ACTION

# WITHDRAWN - RETURNED WITHOUT ACTION

3.6

Retention Period Per National Archives and Department of the Interior agreement on [Date to be entered later], do not execute final disposition until both the Departmental and Responsible Records Officers are in agreement, and the records in question are designated as inactive by DOI. Final disposition cannot be executed any sooner than 25 years after cut off.

## Additional Information

GAO Approval Not Required

## Historically Significant Law Enforcement Files

Disposition Authority Number DAA-0048-2014-0001-0010

This item covers case/incident files pertaining to historically significant issues or events. Law Enforcement incidents, case files, investigation files, security violations, and similar records as described in 0007 through 0009 above that pertain to any of the following criteria are of permanent value and cannot be destroyed: • Incidents that cause significant or permanent damage to, or loss of, a cultural or natural resource with great monetary, cultural, scientific, or historical value; • "First of kind" events that establish precedents; • Incidents/cases subject to widespread media attention or Congressional scrutiny; • Substantiated Native American Graves Protection and Repatriation Act (NAGPRA), Archaeological Resources Protection Act of 1979 (ARPA), and Indian Arts and Crafts Board (IACB) claims; and • Tribal law and order codes, ordinances, and resolutions, requiring approval and/or review by BIA. After being designated historically significant, the case file should be carefully reviewed before transfer to NARA for any inappropriate content. All records transferred to the Archives will eventually be made accessible to the public.

Final Disposition Permanent

Item Status Withdrawn

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? Yes

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

GRS or Superseded Authority Citation N1-79-08-2/2A2  
N1-075-05-4 - 3502

Disposition Instruction

# WITHDRAWN - RETURNED WITHOUT ACTION

# WITHDRAWN - RETURNED WITHOUT ACTION

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

Non-electronic Textual Records

Cutoff Instruction

Cut off as instructed in the bureau or office records manual. If no unique instructions exist, cut off files when case or matter is closed and all follow-up activities exhausted.

Transfer to the National Archives for Accessioning

Transfer to the National Archives 15 year(s) after cut-off

### Additional Information

What will be the date span of the initial transfer of records to the National Archives?

Unknown

Span of records uncertain; many have been held indefinitely due to litigation requirements.

How frequently will your agency transfer these records to the National Archives?

Every 1 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital		
Paper	39 Cubic feet	4.5 Cubic feet
Microform		
Hardcopy or Analog Special Media		

### Disposition Instruction

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

Electronic Records

Cutoff Instruction

Cut off as instructed in the bureau or office records manual. If no unique instructions exist, cut off files when case or matter is closed and all follow-up activities exhausted.

Transfer to the National Archives for Accessioning

Transfer to the National Archives no later than 3 years after cut-off.

### Additional Information

# WITHDRAWN - RETURNED WITHOUT ACTION

# WITHDRAWN - RETURNED WITHOUT ACTION

What will be the date span of the initial transfer of records to the National Archives? **Unknown**  
Span of records uncertain; many have been held indefinitely due to litigation requirements.

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

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

4 **Litigation and Adjudication**  
This category includes all DOI records related to litigation proceedings and administrative decisions/hearings for which DOI has adjudication responsibilities or is representing an affiliated party. Records relating to and supporting these functions are also included under this item. Many records identified below are cut-off upon "final decision." A final decision is the final action for a 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.

4.1 **General Litigation and Adjudication Records**  
Disposition Authority Number **DAA-0048-2014-0001-0011**  
This item encompasses records regularly accumulated in support of litigation and adjudication matters. Most records consist of correspondence, subject files, reports, and supporting documents maintained outside of the official case file or record copy of the issue. However, original case files, supporting documentation, and operational program records for certain adjudication functions common to most offices are included under this item; of particular note are Alternative Dispute Resolution (ADR) records and Equal Employment Opportunity (EEO) records. Specific records included in this item are: • General correspondence pertaining to law and litigation topics, generally consisting of correspondence between the DOI Solicitor's Office and bureaus about specific litigation or legal matters • Legal advice on specific matters concerning the bureau or office (financial transactions involving the Department and outside sources, legislative proposals or initiatives, and other routine advice); this includes legal advice issued through surname files. Advice is generally issued by the Associate Solicitor, Field and Regional Solicitors and SOL attorneys. Files DO NOT include opinions and advice

# WITHDRAWN - RETURNED WITHOUT ACTION

that create major changes in procedure or Departmental practices, which are typically issued by the Solicitor (see DAA-0048-2013-0008-0006, Judicial and Legislative Affairs Permanent). • Bureau/office copies of court or litigation-related documents affecting the bureau or office or issues of relevance to them. This includes copies of injunctions, pleadings, correspondence, notes, reports, and depositions. This DOES NOT include the official litigation case file (see 0013, below) • Records pertaining to the Civil Rights Act of 1964, the Equal Employment Opportunity (EEO) Act of 1972, and any pertinent later legislation, including: records generated for workforce analysis, barrier identification, management, and statistical reporting, as required by EEOC Management Directive 715 on an annual basis; EEO compliance reports (excluding compliance reviews of contractors; see 0012); official complaint files consisting of correspondence, reports, exhibits, withdrawal notices, copies of decisions, and records of hearings and meetings; general correspondence and copies of regulations with related records, and agency EEO Committee meeting records, including minutes and reports • ADR case files documenting ADR proceedings, including agreement, settlement/discontinuance of case, written evaluations, etc. This item does not cover supporting records for the ADR program, or ADR records held by offices/bureaus in support of another mission or program. See Schedule 1 – Administrative Records (DAA-0048-2013-0001-0001 and -0002). • Records accumulated for reporting accidents which involve DOI employees, volunteers, contractors or visitors to DOI facilities. Includes accident reporting, reference library, and information in systems such as DOI SafetyNet, DOI Safety Statistics, Safety Smart – online and DOI Home Page, or equivalents. • Bureau/office copies of records related to legal proceedings affecting the Bureau of Indian Affairs or the Office of the Special Trustee for American Indians as well as investigation reports, statement of claim, Statute of Limitation report, pleading deposition, court reports, notification of daily activity, requests for document production, employee/supervisory certification forms, supporting document and other related correspondence. • Program correspondence files where the office has primary responsibility for documentation relating directly to the Legal program function on Indian Trust matters (does not include any such records maintained by the Solicitor's Office). • Periodic reports on legal activities at the BIA Regional Office.

Final Disposition	Temporary
Item Status	Withdrawn
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?	Yes
Do any of the records covered by this item exist as structured electronic data?	Yes
GRS or Superseded Authority Citation	GRS 1-25a GRS 1-25b

# WITHDRAWN - RETURNED WITHOUT ACTION



# WITHDRAWN - RETURNED WITHOUT ACTION

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION  
Request for Records Disposition Authority

Records Schedule: DAA-0048-2014-0001

GRS 1-25d2  
GRS 1-25f  
GRS 1-25g  
GRS 1-25h1  
GRS 1-25h2  
GRS 1-25h3  
GRS 1-25h4  
GRS 1-27b  
NC1-22-78-1, Item 59 - INFO-410  
NC1-22-78-1, Item 57 - INFO-420  
N1-022-05-01, Item 96 - INFO-415  
N1-048-07-02 - SOL 7503  
N1-048-08-01 - 3102  
N1-048-09-06 - 7554.10  
N1-048-11-02 - 6501.1  
N1-49-90-1, 4/9a  
N1-057-02-03 - 601-01  
N1-057-02-03 - 601-02  
N1-057-02-03 - 601-03  
N1-075-05-1 - 1400a  
N1-075-05-1 - 1401  
N1-075-05-1 - 1402  
N1-075-05-1 - 3200a  
N1-075-07-17 - 6001  
N1-115-94-09, Item 1.10  
N1-115-94-09, Item 2.00  
N1-115-94-09, Item 5.20

## Disposition Instruction

### Cutoff Instruction

Cut off as instructed by bureau/office records manual.  
If no unique instructions exist, cut off when subject matter is closed (all advice issued, case closed and appeals exhausted, etc.).

### Retention Period

Destroy 5 year(s) after cut-off

## Additional Information

### GAO Approval

Not Required

4.2

## Administrative Decisions and Adjudication Case Files

### Disposition Authority Number

DAA-0048-2014-0001-0012

This item provides disposition authority for administrative decisions and adjudications made by the Department of the Interior, and not associated with a mission-specific function (see Schedule 2 – Mission Records). Cases and decisions in this item relate to offices with responsibility for matters applicable

# WITHDRAWN - RETURNED WITHOUT ACTION

# WITHDRAWN - RETURNED WITHOUT ACTION

to numerous bureaus and offices; this notably includes administrative appeals decisions and case files. Specific records included under this item:

- Suspension and debarment records relating to individuals, businesses, or organizations that have been suspended, proposed for debarment, or debarred from Federal procurement and assistance programs, including when 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, recordings of presentations of matters in opposition, written case submissions, evidentiary documents, fact finding hearing transcripts, action determinations, administrative agreements entered to resolve cases, and other related documents.
- Administrative hearings and appeals records for divisions in the Office of Hearings and Appeals (OHA) that decide cases under DOI jurisdiction, including: the OHA Director's Office (including requests for waivers of overpayments and debt collection matters); White Earth Land Settlement Act hearings regarding heirship determinations; Departmental Cases; the Interior Board of Indian Appeals; and the Interior Board of Land Appeals (but see note regarding Indian Trust matters). Files consist of: recommended and final orders and decisions; docket cards, logs, and other records used to control, track, and monitor the status of cases; and administrative record materials (pleadings, correspondence, briefs, orders, decisions, return receipts, etc.). Note that for completed case files, the administrative record materials are returned to the bureau of origin and are associated with mission-specific retention schedules for the subject matter (see Schedule 2 - Mission). Additionally, records identified here that pertain to Indian Fiduciary Trust matters warrant long-term retention and are instead filed under 0014, below.
- Administrative claims and civil penalties records (such as personal injury, fire or property damage, tort claims, direct settlement claims, dormant claims, estate claims, etc.) made by and against the government, consisting of correspondence, memoranda, negotiated settlement or denial of claims, final administrative determination and other supporting documents. This item DOES NOT include claims files that lead to litigation (see 0013 below or 0011 above for bureau-specific records). [NOTE: Records maintained by Accountable Officers related to administrative claims should instead be files in the Schedule 1 - Administrative Records (DAA-0048-2013-0001-0011).]
- Regulatory Flexibility Act complaint files containing 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.
- Equal Employment Opportunity compliance review files, consisting of reviews, background documents, and correspondence relating to contractor employment practices.
- Federal Labor Ombudsman's Worker Dispute Resolution, EEO, and Department of Labor records, consisting of administrative case files and supporting materials accumulated in assisting non-resident workers in filing grievances and resolving issues.
- Tribal applications and requests to provide funding for litigation support and funds to hire a private attorney as well as narratives describing the intended use of funds, tribal resolution, copy

# WITHDRAWN - RETURNED WITHOUT ACTION

# WITHDRAWN - RETURNED WITHOUT ACTION

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION  
Request for Records Disposition Authority

Records Schedule: DAA-0048-2014-0001

of court decision, correspondence from Bureau/Department official, tribal financial statements and other relevant information.

Final Disposition Temporary

Item Status Withdrawn

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? Yes

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

GRS or Superseded Authority Citation  
GRS 1-25d1  
GRS 1-30a  
GRS 1-30b  
N1-048-07-02 - SOL 7508  
N1-048-07-04 - 7102.3a  
N1-048-07-04 - 7102.4  
N1-048-07-04 - 7102.8  
N1-048-07-04 - 7103.4  
N1-048-07-04 - 7103.8  
N1-048-07-04 - 7104.4  
N1-048-07-04 - 7104.8  
N1-048-07-04 - 7105.3  
N1-048-07-04 - 7105.4  
N1-048-07-04 - 7105.8  
N1-048-07-04 - 7106.4  
N1-048-07-04 - 7106.8  
N1-048-07-04 - 7107.1a  
N1-048-10-01, Item 4.7  
N1-048-11-04 - 7303  
N1-075-05-1 - 1404  
N1-115-94-9 - LAW-5.10

Disposition Instruction

Cutoff Instruction Cut off as instructed by bureau/office records manual. If no unique instructions exist, cut off on final decision.

Retention Period Destroy 7 year(s) after cut-off

Additional Information

GAO Approval Not Required

Judicial Litigation and Legal Compliance Files

4.3

# WITHDRAWN - RETURNED WITHOUT ACTION

# WITHDRAWN - RETURNED WITHOUT ACTION

Disposition Authority Number      DAA-0048-2014-0001-0013

This item provides disposition authority for records created and maintained by DOI offices responsible for representing the Department in litigation, providing instrumental litigation support, or otherwise ensuring legal and judiciary compliance for the Department. The Office of the Solicitor is considered the primary record holder for litigation case files and decision-making legal advice and opinions, but many bureaus and offices also have a unique role in ensuring legal compliance, or of supplying support and input into judicial activity not replicated elsewhere, all of which are included in this item. Specific records in this item include:

- Files relating to the development of equipment, processes, or apparatus by Department employees leading to the issuance of a patent or copyright, and files used to support patent/copyright. Records consist of: studies, investigations, evaluations, research, reports, and similar documentation; patent applications and awards; copyright documentation; agreements for use; royalty payments; infringement documentation; and supporting correspondence, memorandums, and similar documentation.
- Records copy of litigation case files maintained by the Office of the Solicitor, excluding files deemed necessary by senior officials and NARA as necessary for permanent reference and retention. Files consist of briefs, pleadings, decisions, correspondence, and other case-related information.
- Unique supporting documents for litigation created by offices other than the Office of the Solicitor, including: implementation documents for court orders that directly impact policies and procedures; records of site visits to ensure compliance with court orders; response to court actions affecting program policies and procedures; reports to the court on progress of court-ordered actions; and working copies and supporting documents used for the generation of reports to the court not duplicated elsewhere.
- Land Case Files consisting of appraisals, reports, copies of title evidence, correspondence, allotment decisions, and other related documents.
- Records documenting legal disputes between bureaus/offices and individuals, organizations, or local governments, which cannot be identified with an individual case, plan, or specific action.
- Litigation-related Investigative Case Files pertaining to minor cases (where the agency is not involved in extensive litigation or widespread publicity). Files consist of documents describing the nature, scope, and purpose of the project; documents used in the inquiry and investigation; significant correspondence (including e-mail); working papers and drafts; reports and memorandums; copies of records produced; follow-up documents; and any other appropriate records. NOTE these are investigative case files specific for litigation NOT law enforcement.
- Records related to the processing, review, evaluation, analysis, coordination and assessment of civil penalty cases, as described in 30 CFR 250 Subpart N and related requirements.

Final Disposition	Temporary
Item Status	Withdrawn
Is this item media neutral?	Yes
Do any of the records covered by this item currently exist in	Yes

# WITHDRAWN - RETURNED WITHOUT ACTION

# WITHDRAWN - RETURNED WITHOUT ACTION

electronic format(s) other than e-mail and word processing?

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

GRS or Superseded Authority Citation  
N1-022-05-01/200 - MNGT-260  
N1-048-07-02 - SOL 7501a  
N1-048-07-02 - SOL 7510  
N1-048-10-01, Item 6.1.12  
N1-048-10-01, Item 6.1.13  
N1-048-10-01, Item 6.1.14  
N1-048-10-01, Item 6.1.15  
N1-057-08-02 - 601-06b  
N1-115-94-9 - LAW-6.00

## Disposition Instruction

Cutoff Instruction Cut off as instructed by bureau/office records manual. If no unique instructions exist, cut off on final decision.

Retention Period Destroy 20 year(s) after cut-off

## Additional Information

GAO Approval Not Required

4.4

## Litigation and Adjudication Files Required for Long-Term Preservation

Disposition Authority Number DAA-0048-2014-0001-0014

This item pertains to litigation and adjudication records as identified in 0012 and 0013 above concerning matters impacting the Department's long-term execution of its mission or other primary functions, for which there is an enduring need to maintain documentation for legal accountability and justification of actions taken, but which are not considered historically significant for general research purposes. Some of these records pertain to decisions affecting, taking place on, or involving American Indian Fiduciary Trust property, resources, trust beneficiaries, or trust responsibility. Other areas of business may be considered for this category, especially concerning the management of environmental, cultural, or natural resources of significance to the country, and actions taken to improve ongoing management and administration of these resources. Specific records under this item include Irrigation and Water Rights Legal Case Files, consisting of claims, claims resolution, technical studies, pre-litigation documents, contracts, papers granting permanent water rights (water rights certificates), legal case records involving irrigation matters (adjudication, negotiation and agreement, etc.), other state/federal agreement adjudications, supporting documentation, and related correspondence. Inclusion of records into this classification must be mutually agreed upon between the Departmental Records Officer and the Responsible

# WITHDRAWN - RETURNED WITHOUT ACTION

# WITHDRAWN - RETURNED WITHOUT ACTION

Records Officer. Specific items included in this series will be documented in the Departmental Records Manual. Typically, records included in this series have a long-term standing impact on the delivery of the Department's or Bureau's mission or supporting function. Since these records will never be transferred to NARA but will be held indefinitely within DOI, the costs of maintaining these records will be borne by DOI and should be made selectively.

Final Disposition Temporary

Item Status Withdrawn

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? Yes

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

GRS or Superseded Authority Citation  
N1-048-07-03 - SOL 7507a  
N1-048-07-03 - SOL 7507b  
N1-048-07-03 - SOL 7507h  
N1-048-10-08, Item 6302.2  
N1-048-10-08, Item 6303.2  
N1-048-10-08, Item 6304.2  
N1-048-10-08, Item 6305.2  
N1-048-10-08, Item 6306.2  
N1-075-04-6 - 4910

## Disposition Instruction

Cutoff Instruction Cut off annually at the end of the fiscal year, or as instructed in the bureau or office records manual.

Retention Period Per National Archives and Department of the Interior agreement on [Date to be entered later], do not execute final disposition until both the Departmental and Responsible Records Officers are in agreement, and the records in question are designated as inactive by DOI. Final disposition cannot be executed any sooner than 25 years after cut off.

## Additional Information

GAO Approval Not Required

Historically Significant Litigation and Adjudication Files

Disposition Authority Number DAA-0048-2014-0001-0015

4.5

# WITHDRAWN - RETURNED WITHOUT ACTION

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This item pertains to records, as identified in 0012 and 0013 above, which relate directly to matters of historic value. Historically Significant cases or decisions must be agreed upon between NARA and the Department, and must meet one or more of the following criteria: • Involve significant or permanent damage to, or loss of, cultural or natural resources with great monetary, cultural, scientific, or historical value; • Include "first of kind" or landmark decisions or events that establish precedents; • Subject to widespread media attention or Congressional scrutiny; • Pertain to cases involving substantiated Native American Graves Protection and Repatriation Act (NAGPRA), Archaeological Resources Protection Act of 1979 (ARPA), and Indian Arts and Crafts Board (IACB) claims; • Indian Judgment Funds Claims Case Files, consisting of documents relating to a tribal claim against the U.S. Government pursuant to the Indian Claims Commission Act, effective Secretarial plan, legislation that authorized distribution of funds, socio-economic report on tribe, tribal resolution and constitution, final report of research identifying who will share in the award, and transcripts of hearing. • Decision appeals, correspondence, administrative records, and dispute litigation documents pertaining to Indian Self-Determination. • Documents relating to the Court of Indian Appeals under 25 CFR 111. This court handles issues including annuity and other per capita payments, as well as appeal decisions of Court of Indian Offenses established at the agency within the jurisdiction of the Regional Office. • Documents relating to an individual's right to appeal an administrative decision when the matter relates to an Indian Trust issue, Indian Probate, or is under the purview of the Interior Board of Indian Appeals, in accordance with 25 CFR Part 2 – Appeals from Administrative actions, supporting documentation, and related correspondence. After being designated historically significant, the case file should be carefully reviewed before transfer to NARA for any inappropriate content. All records transferred to the Archives will eventually be made accessible to the public.

Final Disposition	Permanent
Item Status	Withdrawn
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?	Yes
Do any of the records covered by this item exist as structured electronic data?	Yes
GRS or Superseded Authority Citation	N1-048-07-02 - SOL 7501b N1-057-08-02 - 601-06a N1-075-05-1 - 1236 N1-075-05-1 - 1403 N1-075-05-1 - 1509 N1-075-05-1 - 3202

# WITHDRAWN - RETURNED WITHOUT ACTION

# WITHDRAWN - RETURNED WITHOUT ACTION

N1-075-05-1 - 3727  
N1-115-94-9 - LAW-5.00

## Disposition Instruction

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

Non-electronic Textual Records

Cutoff Instruction

Cut off as instructed by bureau/office records manual. If no unique instructions exist, cut off on final decision.

Transfer to the National Archives for Accessioning

Transfer to the National Archives 15 year(s) after cut-off

## Additional Information

What will be the date span of the initial transfer of records to the National Archives?

Unknown  
Span of records uncertain; many have been held indefinitely due to litigation requirements.

How frequently will your agency transfer these records to the National Archives?

Every 1 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital		
Paper	565 Cubic feet	24 Cubic feet
Microform		
Hardcopy or Analog Special Media		

## Disposition Instruction

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

Electronic Records

Cutoff Instruction

Cut off as instructed by bureau/office records manual. If no unique instructions exist, cut off on final decision.

Transfer to the National Archives for Accessioning

Transfer to NARA no later than 3 years after cut-off.

# WITHDRAWN - RETURNED WITHOUT ACTION



# WITHDRAWN - RETURNED WITHOUT ACTION

## Additional Information

What will be the date span of the initial transfer of records to the National Archives?

Unknown

Span of records uncertain; many have been held indefinitely due to litigation requirements.

How frequently will your agency transfer these records to the National Archives?

Every 1 Years

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

# WITHDRAWN - RETURNED WITHOUT ACTION

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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION  
Request for Records Disposition Authority

Records Schedule: DAA-0048-2014-0001

## 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
05/13/2014	Return to Submitter	David Alspach	Records Officer DOI Office Of the Secretary	Office of the Secretary - Records Group 048
05/20/2014	Certify	Edwin McCeney	Departmental Records Manager	Office of the Secretary - Office of the Chief Information Officer
07/02/2014	Return for Revision	Valerie Terray	Archives Specialist	National Archives and Records Administration - Records Management Services
09/24/2015	Return Without Action	Valerie Terray	Archives Specialist	National Archives and Records Administration - Records Management Services

# WITHDRAWN - RETURNED WITHOUT ACTION