

REQUEST FOR RECORDS DISPOSITION AUTHORITY			JOB NUMBER <i>71-048-05-5</i>	
TO: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001			Date Received <i>1-25-2005</i>	
FROM: (Agency or establishment) Department of the Interior			NOTIFICATION TO AGENCY	
2. MAJOR SUBDIVISION Office of the Secretary			In accordance with the provisions of 44 U.S.C., 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved or "withdrawn" in column 10.	
3. MINOR SUBDIVISION Office of Executive Secretariat				
4. NAME OF PERSON WITH WHOM TO CONFER Pamala R. Quallich		4. TELEPHONE NUMBER 202-208-3909	DATE <i>2/2/06</i>	ARCHIVIST OF THE UNITED STATES <i>Alvan Wainwright</i>
5. AGENCY INFORMATION 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 on the attached <u>2</u> page(s) are not needed now for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies. <input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.				
DATE 01/25/2005		SIGNATURE OF AGENCY REPRESENTATIVE <i>Alvan Wainwright</i>		TITLE Office of the Secretary Records Officer
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION		10. ACTION TAKEN (NARA USE ONLY)
	See Attached List of Record Descriptions and Requested Disposition Authorities.	N/A		
<i>cc Agency NR NWMD NWMD</i>				

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER <i>71-048-05-6</i>	
TO: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date Received <i>1-25-05</i>	
FROM: (Agency or establishment) Department of the Interior		NOTIFICATION TO AGENCY	
2. MAJOR SUBDIVISION Office of the Secretary		In accordance with the provisions of 44 U.S.C., 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved or "withdrawn" in column 10.	
3. MINOR SUBDIVISION Office of Executive Secretariat			
4. NAME OF PERSON WITH WHOM TO CONFER Pamala R. Quallich	4. TELEPHONE NUMBER 202-208-3909	DATE <i>5/17/05</i>	ARCHIVIST OF THE UNITED STATES <i>Alan Weinstein</i>
5. AGENCY INFORMATION 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 on the attached <u>8</u> page(s) are not needed now for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies. <input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE 01/25/2005	SIGNATURE OF AGENCY REPRESENTATIVE <i>Pamala R. Quallich</i>		TITLE Office of the Secretary Records Officer
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	See Attached List of Record Descriptions and Requested Disposition Authorities.	N/A	
<i>cc Agency NR DWME NWCTB</i>			

4025. Congressional/Discovery Document Production Files. These files consist of Department of the Interior documents collected from bureaus and offices within the Department of the Interior in response either to formal requests from Congressional Committees and Subcommittees or subpoena from the courts. Their subjects range from documents relating to “Snowmachine Use in Denali National Park,” “Columbia Basin Salmon Recovery Efforts,” and “DOI Involvement in Headwaters Acquisition” to lists only of records requested in a court order issued in connection with United States v. Phillip Morris, Inc., No.99-2496 (GK) (D.D.C.). Their extent varies with the scope of the individual request and degree of Departmental involvement in the issue in question.

These files do not contain Indian Fiduciary Trust (IFT) files.

4025.a Document Production Paper Copies Files. These files contain paper *copies* of documents collected from bureaus and offices within the Department of the Interior in response to formal requests from Congressional Committees and Subcommittees or subpoena from the courts. They do not include the record copy of these documents, which remains within the originating bureau or office.

Disposition: TEMPORARY. Cut off after completion of digital imaging of each document production. Destroy within 180 days.

4025.b Document Production Digital Images Files. These files contain digital images of paper documents (covered by item 4025.a) collected from bureaus and offices within the Department.

Disposition: TEMPORARY.

4025.b(1) Congressional requests. Cut off files at the end of each document production. Delete 8 years after cutoff, or at end of administration, whichever is sooner.

4025.b(2) Court requests. Cut off files at the end of each document production. Destroy/delete 6 years after final settlement of lawsuit.

4025.c Document Production Administration Files. These paper and electronic files contain records relating to the collection and production of paper documents (covered by item 4025.a). They include, but are not limited to, guidance memoranda, coordination plans, adequacy of search certifications, and reports generated by the document indexing system.

Disposition: TEMPORARY.

4025.c(1)	Congressional requests.	Cut off files at the end of each document production. Destroy/delete 8 years after cutoff, or at end of administration, whichever is sooner.
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4025.c(2)	Court requests.	Cut off files at the end of each document production. Destroy/delete 6 years after final settlement of lawsuit.
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4025.d Electronic Mail and Word Processing System Copies. Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by this schedule, and electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

Disposition: TEMPORARY. Destroy/delete within 180 days after the recordkeeping copy has been produced, or when dissemination, revision or updating is completed, as appropriate.

**RECOMMENDATION TO THE ARCHIVIST ON
RECORDS DISPOSITION REQUEST**

Job No. N1-048-05-5

Item Count: 9

SUMMARY

This request covers a Department of Interior (DOI) submission to establish disposition standards for document production files maintained by the Office of the Secretariat. The records relate to the collection and production of documents for Congressional Committees and the courts. The records consist chiefly of documentation that has been copied or scanned and then returned to the DOI component responsible for maintaining the records, as well as records relating to the collection and production of the documents. The schedule does not apply to document production files covering Indian Fiduciary Trust matters, which have been separately scheduled.

The records covered by the schedule lack sufficient value to warrant permanent retention. While some of the document production files cover subjects of interest to researchers, the same matters are documented more fully in the records of the entity submitting the request. For example, records of congressional inquiries will include not only the copies of documented produced by DOI, but much related documentation accumulated by congressional committees. Similarly, copies of records submitted in response to subpoenas cover but a portion of the documentation related to an investigation and/or legal action. Again, the more complete record of the matter will be the court case files and the Department of Justice litigation case file rather than the documents produced by DOI.

The stakeholder units concurred in the appraisal of the records as temporary. The proposed retention periods are adequate for purposes of government accountability, and none of the records proposed for disposal has legal rights implications. Notice of the schedule was published in the Federal Register. One request for a copy was received, but it elicited no comments. I recommend approval of this job.

RECOMMENDATION

- 1. APPROVED FOR DISPOSAL. The records described under all items of the schedule, except those that may be listed in blocks 2, 3, and 4 of this section, are disposable because they do not, or will not after the lapse of the period specified, have sufficient administrative, legal, research or other value to warrant their continued preservation by the Government
- 2. APPROVED FOR PERMANENT RETENTION. The records described under the following item or items have been appraised by the National Archives and Records Administration (NARA) and are determined to have sufficient historical or other value to warrant their continued preservation by the United States Government. The agency will transfer these records to the National Archives as specified. **Items**
- 3. DISPOSITION NOT APPROVED. The records described under the following item or items are not approved for disposition.
 - 4. WITHDRAWN. The records described under the following item or items have been withdrawn at the request of the agency and/or NARA.

FEDERAL REGISTER NOTICE

Not required.

Required — Publication Date: 12/14/05
Copies Requested: 1
Comments Received: 0

SIGNATURE	TITLE	SIGNATURE	DATE
Appraisal	Appraiser	<i>Henry Wadby</i>	Jan. 31, 2006
	NWML	<i>Laurence v. Brewer</i>	1/31/2006
JB 1/31/06 Concurrences	NWM	<i>Paul M. Watson</i>	02.01.2006
	NW	<i>Michael J. Kuehl</i>	2-1-06

Wolfinger

December 22, 2005

B. Sachau
15 Elm Street
Florham Park, NJ 07932

In accordance with your request of December 14, 2005, we have enclosed copies of the proposed disposition schedules and appraisal memorandum regarding Disposition Jobs N1-556-05-1, N1-048-05-5, N1-570-04-21, N1-412-05-7, and N1-021-06-1 for which notice of availability was published in the *Federal Register*.

Comments concerning the Disposition Jobs must be received 30 days from the date of this letter.

Sincerely,

JEROME NASHORN
Supervisor,
Life Cycle Management Division

Enclosures

S:\FedReg\Others\SACH5C14.doc
File:Federal Register Documentation File 1311.1b

Official File – NWML
Reading File – NWML
Palmer
Sears

N1-566-05-1	Cotter
N1-048-05-5	Wolfinger
N1-570-04-2	Cassedy
N1-412-05-7	Wolfinger
N1-021-06-1	Cooper

Henry Wolfinger - Re: Revision of schedule for N1-048-05-5 (Virus checked)

From: <Sue_Ellen_Sloca@nbc.gov>
To: "Henry Wolfinger" <henry.wolfinger@nara.gov>
Date: 11/21/2005 7:11 AM
Subject: Re: Revision of schedule for N1-048-05-5 (Virus checked)

Good grief! My apologies. Please do change. Thanks so much for catching this.

"Henry Wolfinger"
<henry.wolfinger@nara.gov>
To: "John Hulmston" <John.Hulmston@nara.gov>, Sue Ellen Sloca/NBC/OS/DOI@DOI
nara.gov
cc: "Yvonne Wilson" <yvonne.wilson@nara.gov>, Pamala R Quallich/NBC/OS/DOI@DOI
Subject: Re: Revision of schedule for N1-048-05-5 (Virus checked)
11/14/2005 03:03
PM

Sue Ellen -

Thanks for the update. The update contains one apparent oversight: the disposition under 4025.c should read "TEMPORARY" rather than "PERMANENT," as you have provided instructions for the disposal of both subitems. If you have no objection, I'll make this change to the update that you forwarded.

Henry Wolfinger
Appraisal Archivist
Life Cycle Management Division (NWML)
National Archives at College Park
V: 301-837-3147
F: 301-837-3697
henry.wolfinger@nara.gov

>>> <Sue_Ellen_Sloca@nbc.gov> 11/08/05 10:46AM >>>

(See attached file: 4025.doc)

From: Henry Wolfinger
To: Hulmston, John; Sue_Ellen_Sloca@nbc.gov
Date: 11/14/05 3:03PM
Subject: Re: Revision of schedule for N1-048-05-5 (Virus checked)

Sue Ellen -

Thanks for the update. The update contains one apparent oversight: the disposition under 4025.c should read "TEMPORARY" rather than "PERMANENT," as you have provided instructions for the disposal of both subitems. If you have no objection, I'll make this change to the update that you forwarded.

Henry Wolfinger
Appraisal Archivist
Life Cycle Management Division (NWML)
National Archives at College Park
V: 301-837-3147
F: 301-837-3697
henry.wolfinger@nara.gov

>>> <Sue_Ellen_Sloca@nbc.gov> 11/08/05 10:46AM >>>

(See attached file: 4025.doc)

CC: Pamala_R_Quallich@nbc.gov; Wilson, Yvonne

Henry Wolfinger - Revision of schedule for N1-048-05-5 (Virus checked)

From: <Sue_Ellen_Sloca@nbc.gov>
To: <john.hulmston@nara.gov>
Date: 11/8/2005 10:47 AM
Subject: Revision of schedule for N1-048-05-5 (Virus checked)
CC: <Pamala_R_Quallich@nbc.gov>, <henry.wolfinger@nara.gov>, <yvonne.wilson@nara.gov>

(See attached file: 4025.doc)

From: Henry Wolfinger
To: Sloca, Sue Ellen
Date: 9/20/05 1:31PM
Subject: Job No. N1-048-05-5 (Items 4024 & 4025)

Sue Ellen -

NARA has decided against designating any of the Congressional/Discovery Document Production Files for permanent retention. NARA will receive copies of these same documents among the records of Congressional committees and Federal court/Department of Justice records in the case of substantive investigations that result in legal action.

We would appreciate, therefore, your updating entries 4025.b and 4025.c and providing for the eventual disposal of these records. Please feel free to contact me if I can assist you further with this matter.

Henry Wolfinger
Appraisal Archivist
Life Cycle Management Division (NWML)
National Archives at College Park
V: 301-837-3147
F: 301-837-3697
henry.wolfinger@nara.gov

CC: Hulmston, John; Wilson, Yvonne



National Archives and Records Administration

8601 Adelphi Road
College Park, Maryland 20740-6001

Date: September 13, 2005

To: NWML

From: Thomas E. Brown, NWME

Subject: N1-048-05-05

Thank you for sending the appraisal report for the proposed disposition schedule (N1-048-05-05) for the records relating to the collection and production of documents for Congressional Committees and for the courts by the Department of Interior. We agree with your detailed analysis that more complete series of records exist within the Congressional files and within the records of the courts. We also do not believe that merely because an agency scans materials to better control them does not change the inherent temporary nature of the materials. We concur in your recommendation to change the agency's proposed permanent retention to temporary.

THOMAS E. BROWN
Manager, Archival Services
Electronic and Special Media Records Services Division (NWME)

Concurrence: _____


Michael R. Carlson, Director
Electronic and Special Media Records Services Division (NWME)

9/13/2005
Date



National Archives and Records Administration

8601 Adelphi Road
College Park, Maryland 20740-6001

September 8, 2005

NWML – Wolfinger

Appraisal of records covered by Job No. N1-048-05-5

Director, Life Cycle Management Division – NWML

Overview

The Department of Interior (DOI) requests authority to establish disposition standards for records relating to the collection and production of documents for Congressional Committees and the courts. Item 4024 (Early Congressional/Discovery Document Production Files) covers copies of DOI records maintained in hard copy format, as well as a limited amount of original records relating to the collection and production of the documents. Item 4025 (Congressional/Discovery Document Production Files) covers similar records from a slightly later period that have been scanned and are maintained digitally as well as in hard copy format, as well as records relating to the collection and production of the documents. The schedule does not apply to document production files covering Indian Fiduciary Trust matters, which are already scheduled under Job No. N1-048-05-6.

DOI has proposed that the hard copies of the records produced under both entries be scheduled for disposal. The agency also proposes that the digital images and the related document production administrative files (4025.b and .c) be scheduled for eventual transfer to the National Archives. The appraisal (set out below) has determined that these records do not have sufficient value to warrant permanent retention and recommends that the submission be updated to provide for their eventual disposal.

The Records

On August 22, 2005, Sue Ellen Sloca and Dawn Boswell of DOI's records management staff and I met with Nancy Appler, staff assistant to the Director for Congressional and Legislative Affairs, regarding Item 4024, Early Congressional Discovery Document Production Files. We then met with Deidre Young, supervisor of the Document Management Unit within the Executive Secretariat, regarding Item 4025, Congressional/Discovery Document Production Files.

Item 4024. This entry covers hard copies of records produced during the Clinton administration, with some administrative records relating to DOI's collection and production of the copies. The records are poorly organized, maintained in hand-labeled folders, and only roughly indexed, with their contents numerically arranged. Most of the material relates to congressional requests for documentation on the President's creation of national monuments in the Mountain West. A number of political figures from the region, seeing public land becoming off-limits to development, denounced the President's unilateral action. The Republican-controlled Congress investigated the President's action. In addition, an allegation arose that one or more campaign contributions might have influ-

enced the decision to create the monuments, and the Department of Justice (DOJ) conducted an investigation that led to the production of documents in response to subpoenas.

Item 4025. This entry covers similar records from a slightly later period that have been scanned and are maintained digitally as well as in hard copy format, as well as records relating to the collection and production of the documents. DOI received so many document production requests during the Clinton administration (including requests from an Independent Counsel) that the agency decided to move to an automated system to better manage the copies of records being collected for this purpose.

The short-term paper copies are proposed for disposal after being scanned (Item 4025.a). The digital images (Item 4025.b) are TIFF files that DOI may convert to PDF files in the future. Initially, DOI indexed the images, ca. 10,000 – 11,000 documents consisting of ca. 100,000 pages, via MS Access. MS Access proved unable to effectively manage the volume of scanned images, and DOI moved to MS Sequel Server – Document Archival Production System (DAPS), a much more powerful system.

The paper copies are organized and numbered by “Bates Stamp.” The electronic index uses the “Bates Stamp” entry as the point of reference to access the digital images for a particular document. The index also identifies the document by title, sender, recipient, date, number of pages, and presence or absence of privileged and/or Privacy Act information in its contents.

Item 4025.c covers the document production administration files, which consist of incoming requests, receipts for deliveries, and other records. Ms. Young said that the files covered about 50 requests, ca. 1996-2003, for images controlled by the MS Access system, and perhaps 10 requests, ca. 2003-05, for images controlled by the MS Sequel Server system. Some of the documentation in these files is maintained in hard copy format; some has been scanned.

Appraisal

The process of congressional investigation has a political aspect. Heads of congressional committees may have a principled concern to uncover and eliminate governmental misconduct and waste. But they also recognize that the investigation of misconduct and waste can also serve to tarnish the reputation of those in charge of the agency and thereby influence public opinion. It is not surprising, therefore, that the bulk of these document production requests arrived when a Democrat held the Presidency and Republicans controlled both houses of Congress. Now that Republicans control both the Presidency and Congress, the number of document production requests has dropped dramatically, according to the DOI program staff.

The scanned images are copies of DOI records, the originals of which have been returned to the agency files from which they were pulled and copied. If the originals have been appraised as having sufficient value to warrant permanent retention, they will eventually be accessioned into the National Archives with related documentation. The scanned images, therefore, are simply a reference file maintained to document what DOI has furnished a congressional committee or a court in response to a document production request.

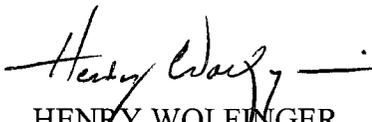
While some of document production files cover subjects of interest to researchers, the same matters are documented more fully in the records of the entity submitting the request. For example, a con-

gressional committee inquiring into President Clinton's creation of national monuments may well have interviewed witnesses, taken testimony at hearings, and issued a formal report. The records of the congressional inquiry will include not only the copies of documents produced by DOI, but much related documentation accumulated by the committee. Congressional committee records are normally transferred to the National Archives and preserved. It seems appropriate, therefore, to preserve the fuller and more complete records of the matter.

Similarly, copies of records submitted in response to subpoenas cover but a portion of the documentation relating to an investigation and/or legal action. The Department of Justice prosecutor is likely to subpoena witnesses, require production of records from other parties in the course of an investigation, and prepare memoranda analyzing the case for superiors who determine whether further legal action is warranted. If the case should go to trial, the Federal court records will be preserved to document the matter. If the prosecution proves significant, the Department of Justice (DOJ) case file will be preserved under that agency's schedules for litigation case files. Again, the more complete record of the matter will be the court case file and the DOJ litigation case file rather than the documents produced by DOI.

There is recent precedent for scheduling document production files for disposal. Several months ago NARA approved a schedule (Job No. N1-048-05-1) providing for disposal of copies of records collected for the Special Prosecutor who investigated allegations of corruption and perjury against Secretary Bruce Babbitt. DOI had similarly scanned and indexed these records, and the DOI records management staff originally proposed that they be scheduled for permanent retention and eventually transferred to the National Archives. Recognizing that other copies would come to the National Archives with related records of the Special Prosecutor, NARA asked DOI to provide for disposal of its copies, and the schedule was approved with this change.¹

As the document production records and related administration files (Items 4025.a and .b) have too little value to warrant permanent retention, I recommend that we advise DOI to update the schedule and provide for the disposal of the digital images and textual records.


HENRY WOLFINGER
Life Cycle Management Division

¹ The Indian Fiduciary Trust files produced by DOI in response to the Cobell litigation are an exception to this precedent, having been designated permanent under Job No. N1-048-05-6. But the appraisal of Indian-related records often is *sui generis*. The appraisal in this instance was approved with the caveat that the records be reappraised at some point in the future.

H:\WPFILES\N1-048-05-5 - Appraisal.doc

REQUEST FOR STAKEHOLDER UNIT ACTION

Job No. N1-048-05-5

Date sent: 07/08/05

Date Received by SHU: _____

Date due to sender: 07/15/05

Route To: NR – Jackie Fultz, A2, Rm 3600
1.
2.
Return to: Henry Wolfinger, NWML WG#3, Room 2100

- A. This job has also been sent to: NWMD, NWCTC, NWME and NWMWA
- B. NWML general comments on this job:
- C. NWML wishes assistance in appraising these records:

For stakeholder unit use. Check **all** boxes that apply.

- 1. waives informal review for these records.
- 2. wishes to participate directly in the appraisal of these items:
Please contact _____ Phone No. _____
- 3. wishes to comment on SF 115 immediately. Comments are attached.
Please contact David Weber Phone No. 215-305-2004
- 4. wishes to review the appraisal report.
- 5. Please complete: SHU does does not want a copy of completed job.

SHU Comments: [Use this space or attach separate sheet]

See attached

Date Sent: 7/25/05 SHU Signature: David Weber

NWML Contact: Henry Wolfinger	Room number: 2106
	Phone No. 73147

OPTIONAL FORM 99 (7-90)

FAX TRANSMITTAL

of pages ▶

To <u>Dave Weber</u>	From <u>Jackie Fultz</u>
Dept./Agency	Phone #
Fax # <u>(215) 606-0116</u>	Fax #

is taken, it should be filed as part of the job dossier.

N1-048-05-5

Item 4024.a. A retention period of 8 years would be simpler to implement and would provide consistent access.

Item 4025.a. Documents collected under this item look very similar in content to those collected under 4024. a, but are scheduled as permanent if imaged. This disposition seems unnecessary, since copies are likely to exist in the records of either of the receiving organizations. Setting the retention at 8 years makes sense for this item as well.

From: David Weber
To: Wolfinger, Henry
Date: 7/25/05 3:15PM
Subject: Re: 048-05-5

Henry: Thanks. I will put these in as formal comments then.
Dave

>>> Henry Wolfinger 07/25/05 02:52PM >>>
Dave -

I have yet to approach DOI on the schedule and cannot answer your questions definitively, but I'll be glad to raise them in connection with the appraisal visit. I question whether either series has permanent value, as the originals will be maintained as part of the pertinent program files, and copies are likely to be preserved among the committee records of Congress or records relating to the court case, if it is significant enough to be preserved.

Henry

>>> David Weber 07/25/05 02:35PM >>>

Hi Henry: I'm doing the SHU review for this job and I have a couple of questions. One is general-why not just set the retention at 8 years, rather than 8 years or the the end of the administration? Second, 4024 is temporary, but the subject doesn't look that different from some of the topics in 4025, which are permanent. Do you know what the difference is?

Thanks
Dave

REQUEST FOR STAKEHOLDER UNIT ACTION

Job No. N1-048-05-5

Date sent: 07/08/05

Date Received by SHU: _____

Date due to sender: 07/15/05

Route To: NWMWA – Judy Barnes, WNRC, Rm 105
1.
2.
Return to: Henry Wolfinger, NWML WG#3, Room 2100

- A. X This job has also been sent to: NWMD, NWME, NWCTC and NR
- B. NWML general comments on this job:
- C. NWML wishes assistance in appraising these records:

For stakeholder unit use. Check **all** boxes that apply.

1. waives informal review for these records.

2. wishes to participate directly in the appraisal of these items:

Please contact _____ Phone No. _____

3. wishes to comment on SF 115 immediately. Comments are attached.

Please contact _____ Phone No. _____

4. wishes to review the appraisal report.

5. Please complete: SHU does _____ does not _____ want a copy of completed job.

SHU Comments: [Use this space or attach separate sheet]

Date Sent: 7/19/05 SHU Signature: Judy Barnes

NWML Contact: Henry Wolfinger	Room number: 2106
	Phone No. 73147

Note: As this form documents formal actions taken, it should be filed as part of the job dossier.

REQUEST FOR STAKEHOLDER UNIT ACTION

048
Job No. N1-412-05-5

Date sent: 07/08/05

Date Received by SHU: JUL 11 2005

Date due to sender: 07/15/05

Route To: NWME – Tom Brown, A2, Rm 5320
1.
2.
Return to: Henry Wolfinger, NWML WG#3, Room 2100

- A. This job has also been sent to: NWMD, NWCTC, NR and NWMWA
- B. NWML general comments on this job:
- C. NWML wishes assistance in appraising these records:

For stakeholder unit use. Check **all** boxes that apply.

1. waives informal review for these records.
2. wishes to participate directly in the appraisal of these items:
Please contact _____ Phone No. _____
3. wishes to comment on SF 115 immediately. Comments are attached.
Please contact _____ Phone No. _____
4. wishes to review the appraisal report.
5. Please complete: SHU does does not want a copy of completed job.

SHU Comments: [Use this space or attach separate sheet]

Date Sent: JUL 18 2005 SHU Signature: 

NWML Contact: Henry Wolfinger	Room number: 2106
	Phone No. 73147

Note: As this form documents formal actions taken, it should be filed as part of the job dossier.

REQUEST FOR STAKEHOLDER UNIT ACTION

Job No. N1-048-05-5

Date sent: 07/08/05

Date Received by SHU: _____

Date due to sender: 07/15/05

Route To: NWMD – Jeanne Schauble, A2, Rm 2600
1.
2.
Return to: Henry Wolfinger, NWML WG#3, Room 2100

- A. X This job has also been sent to: NWCTC, NWME, NR, and NWMWA
- B. NWML general comments on this job:
- C. NWML wishes assistance in appraising these records:

For stakeholder unit use. Check **all** boxes that apply.

1. waives informal review for these records.
2. wishes to participate directly in the appraisal of these items:
Please contact _____ Phone No. _____
3. wishes to comment on SF 115 immediately. Comments are attached.
Please contact _____ Phone No. _____
4. wishes to review the appraisal report.
5. Please complete: SHU does does not want a copy of completed job.

SHU Comments: [Use this space or attach separate sheet]

Date Sent: 7/12/05 SHU Signature: 

NWML Contact: Henry Wolfinger	Room number: 2106
	Phone No. 73147

Note: As this form documents formal actions taken, it should be filed as part of the job dossier.

REQUEST FOR STAKEHOLDER UNIT ACTION

Job No. N1-048-05-5

Date sent: 07/08/05

Date Received by SHU: 7/8/05

Date due to sender: 07/15/05

Route To: NWCTC – Ann Cummings, A2, Rm 2600
1.
2.
Return to: Henry Wolfinger, NWML WG#3, Room 2100

- A. This job has also been sent to: NWMD, NWME, NR and NWMWA
- B. NWML general comments on this job:
- C. NWML wishes assistance in appraising these records:

For stakeholder unit use. Check **all** boxes that apply.

1. waives informal review for these records.
2. wishes to participate directly in the appraisal of these items:
Please contact _____ Phone No. _____
3. wishes to comment on SF 115 immediately. Comments are attached.
Please contact _____ Phone No. _____
4. wishes to review the appraisal report.
5. Please complete: SHU does _____ does not want a copy of completed job.

SHU Comments: [Use this space or attach separate sheet]

Date Sent: 7/8/05 SHU Signature: Sally C. C. J.

NWML Contact: Henry Wolfinger	Room number: 2106
	Phone No. 73147

Note: As this form documents formal actions taken, it should be filed as part of the job dossier.

Henry Wolfinger - Re: Job No. N1-048-05-5

From: <Sue_Ellen_Sloca@nbc.gov>
To: "Henry Wolfinger" <henry.wolfinger@nara.gov>
Date: 5/2/2005 11:36 AM
Subject: Re: Job No. N1-048-05-5

No problem.

"Henry Wolfinger"
<henry.wolfinger@nara.gov>
To: Sue Ellen Sloca/NBC/OS/DOI@DOI
cc: "John Hulmston" <John.Hulmston@nara.gov>, "Yvonne Wilson"
<yvonne.wilson@nara.gov>
05/02/2005 11:15 AM Subject: Job No. N1-048-05-5

Sue Ellen -

This job currently covers item 4025, Congressional Document Production Files. We propose to add item 4024 (Early Congressional/Discovery Document Production Files), which you recently submitted, to the submission. This will enable us to appraise these closely related records together and expedite their processing. Let me know if you have any objection to this arrangement.

Henry Wolfinger
Appraisal Archivist
Life Cycle Management Division (NWML)
National Archives at College Park
V: 301-837-3147
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henry.wolfinger@nara.gov

4025. Congressional/Discovery Document Production Files. These files consist of Department of the Interior documents collected from bureaus and offices within the Department of the Interior in response either to formal requests from Chairmen of Congressional Committees and Subcommittees or subpoena from the courts. Their subjects range from documents relating to "Snowmachine Use in Denali National Park," "Columbia Basin Salmon Recovery Efforts," and "DOI Involvement in Headwaters Acquisition" to lists only of records requested in a court order issued in connection with United States v. Phillip Morris, Inc., No.99-2496 (GK) (D.D.C.). Their extent varies with the scope of the individual request and degree of Departmental involvement in the issue in question.

These files do not contain Indian Fiduciary Trust (IFT) files.

4025.a Document Production Paper Copies Files. These files contain paper *copies* of documents collected from bureaus and offices within the Department of the Interior in response to formal requests from Chairmen of Congressional Committees and Subcommittees or subpoena from the courts. They do not include the record copy of these documents, which remains within the originating bureau or office.

Disposition: TEMPORARY. Cut off after completion of digital imaging of each document production. Destroy within 180 days.

4025.b Document Production Digital Images Files. These files contain digital images of paper documents (covered by item 4025.a) collected from bureaus and offices within the Department.

Disposition: PERMANENT.

4025.b(1) Congressional requests.

Cut off files at the end of each document production. Transfer to the National Archives 8 years after cutoff, or at end of administration, whichever is sooner.

4025.b(2) Court requests.

Cut off files at end of each document production. Transfer to the National Archives 6 years after date of final settlement of lawsuit.

4024. Early Congressional/Discovery Document Production Files. These paper files consist of Department of the Interior documents collected from bureaus and offices within the Department of the Interior in response either to formal requests from Congressional Committees and Subcommittees or to subpoena from the courts. They deal with issues surrounding the establishment, on September 18, 1996, by Presidential Proclamation 6920 (signed by William J. Clinton), of the Grand Staircase-Escalante National Monument, in Utah and Arizona. Their extent varies with the scope of the individual request and degree of Departmental involvement in the issue in question. They also include a limited number of records relating to the collection and production of the documents, e.g., guidance memoranda, coordination plans, and adequacy of search certifications.

Disposition: TEMPORARY.

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| 4024.a | Documents collected in response to Congressional requests. | Cut off files at the end of each document production. Destroy 8 years after cutoff, or at end of Administration, whichever is sooner. |
| 4024.b | Documents collected in response to court requests. | Cut off files at end of each document production. Destroy 6 years after final settlement of lawsuit. |

4024.c Electronic Mail and Word Processing System Copies. Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by this schedule, and electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

Disposition: TEMPORARY. Destroy/delete within 180 days after the recordkeeping copy has been produced, or when dissemination, revision or updating is completed, as appropriate.

4025.c Document Production Administration Files. These paper and electronic files contain records relating to the collection and production of paper documents (covered by item 4025.a). They include, but are not limited to, guidance memoranda, coordination plans, adequacy of search certifications, and reports generated by the document indexing system.

Disposition: PERMANENT.

4025.c(1) Congressional requests. Cut off files at the end of each document production. Transfer to the National Archives 8 years after cutoff, or at end of administration, whichever is sooner, in accordance with 36 CFR 1228.270.

4025.c(2) Court requests. Cut off files at end of each document production. Transfer to the National Archives 6 years after date of final settlement of lawsuit, in accordance with 36 CFR 1228.270.

4025.d Electronic Mail and Word Processing System Copies. Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by this schedule, and electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

Disposition: TEMPORARY. Destroy/delete within 180 days after the recordkeeping copy has been produced, or when dissemination, revision or updating is completed, as appropriate.

4026. Indian General Issues Document Production Files. These files consist of Department of the Interior documents collected from bureaus and offices within the Department of the Interior in response to document production requests related to Indian issues not currently in litigation. They include the digital administrative files of documents collected and received by the Office of Federal Acknowledgement (within the Bureau of Indian Affairs) relating to requests from Indian tribes petitioning for formal Federal recognition. Their extent varies with the scope of the individual request and degree of Departmental involvement in the issue in question.

These files are classed as Indian Fiduciary Trust (IFT) files.

4026.a IGI Document Production Paper Copies Files. These files contain paper *copies* of documents collected from bureaus and offices within the Department of the Interior in support of Indian issues not currently in litigation. They do not include the record copy of these documents, which remains within the originating bureau or office, or the paper copy of the administrative files relating to requests by Indian Tribes for formal Federal recognition, which are retained by the Office of Federal Acknowledgement.

Disposition Instructions: PERMANENT. Cut off at fiscal year end in which digital imaging of each separate document production has been completed. Maintain in office of record for a maximum of 2 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

4026.b IGI Document Production Digital Images Files. These files contain digital images of paper documents (covered by item 4026.a) collected from bureaus and offices within the Department.

Disposition Instructions: PERMANENT. Cut off at fiscal year end in which digital imaging of each separate document production has been completed. Maintain in office of record for a maximum of 2 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

4026.c IGI Document Production Administration Files. These paper and electronic files contain records relating to the collection and production of paper documents (covered by item 4026.a). They include, but are not limited to, guidance memoranda, coordination plans, adequacy of search certifications, and reports generated by the document indexing system.

Disposition Instructions: PERMANENT. Cut off at fiscal year end in which digital imaging of each separate document production has been completed. Maintain in office of record for a maximum of 2 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

7301. Cobell Document Collection Files. These files consist of Department of the Interior documents collected in response to court-ordered document-production requests in the class action lawsuit Cobell v. Babbitt, et al., later Cobell v. Norton, et al. The lawsuit, filed on June 10, 1996 by Elouise Cobell and four other beneficiaries of Individual Indian Money trust accounts, alleged breach of fiduciary duties by the Secretary of the Department of the Interior and other federal officials who serve, in their official capacities, as trustee-delegates on behalf of the federal government. Specifically, plaintiffs sought reform of the Indian trust system and an accounting of money ostensibly held in the trust accounts. On December 21, 1999, District Court Judge Royce Lamberth concluded that the federal government and its officers had breached its trust responsibilities to the Indians. He retained court jurisdiction over the Indian trust accounting system for at least five years and ordered the Interior and Treasury Departments to file quarterly reports detailing their efforts to reform the system.

Fourteen (14) initial document productions ordered by the court, relating to Paragraph 19 of Cobell v. Babbitt, were completed on April 16, 2003. They encompass 163,449 records comprising 408,478 pages, collected at 59 different sites managed by the Bureau of Indian Affairs, the Bureau of Land Management, the Minerals Management Service, the Office of Hearings and Appeals, the U.S. Geological Survey, and the Office of the Special Trustee for American Indians. Fifty-two additional productions ordered by a Special Master and Court Monitor appointed by Judge Lamberth were completed on June 27, 2003. They encompass 51,332 additional pages.

These files are classed as Indian Fiduciary Trust (IFT) files.

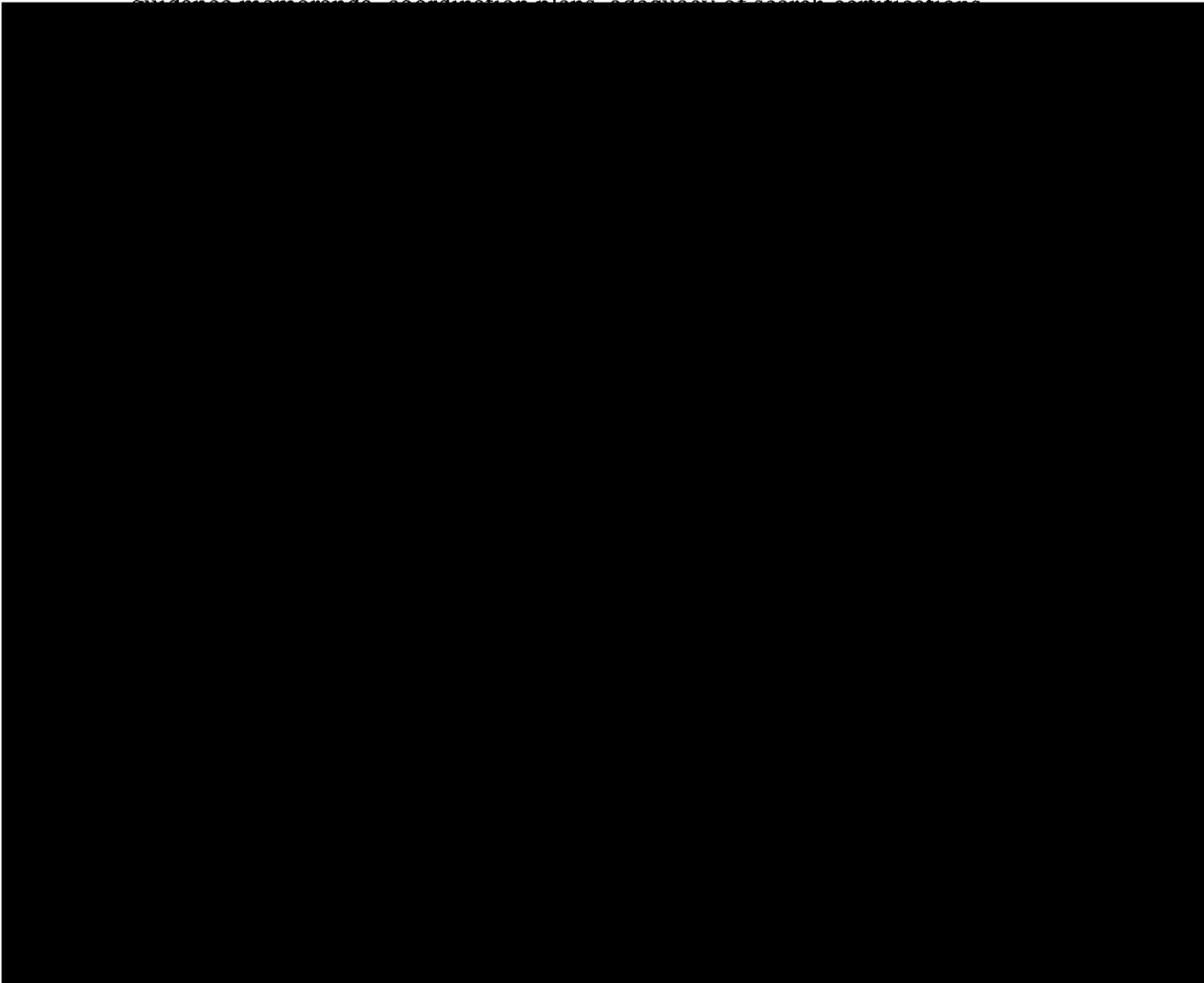
7301.a Cobell Document Collection Paper Copies Files. These files contain paper *copies* of documents collected from bureaus and offices within the Department of the Interior in response to court orders in Cobell v. Babbitt/Cobell v. Norton). They do not include the record copy of these documents, which remains within the originating bureau or office.

Disposition Instructions: PERMANENT. Cut off at fiscal year end in which digital imaging of each separate document production has been completed. Maintain in office of record for a maximum of 2 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

7301.b Cobell Document Collection Digital Images Files. These files contain digital images of paper documents (covered by item 7301.a) collected from bureaus and offices within the Department.

Disposition Instructions: PERMANENT. Cut off at fiscal year end in which digital imaging of each separate document production has been completed. Maintain in office of record for a maximum of 2 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

7301.c Cobell Document Collection Administration Files. These paper and electronic files contain records relating to the collection and production of paper documents (covered by item 7301.a). They include, but are not limited to, evidence memoranda, coordination plans, statements of general certification,



7399. Email Backup Status Notification Files. These files document the receipt of agency guidance instructing employees to “print and file e-mail messages that relate to the Three Functional Areas of 1) American Indian trust reform, including the High-Level Implementation Plan or any of its subprojects; 2) the Cobell v. Norton litigation; or 3) administration of Individual Indian Money (IIM) accounts.” Messages reminding employees of this guidance are received weekly in electronic format, printed out, and maintained in paper format by each Office of the Secretary employee with email access.

These files are classed as Indian Fiduciary Trust (IFT) files.

Disposition Instructions: PERMANENT. Cut off at fiscal year end in which digital imaging of each separate document production has been completed. Maintain in office of record for a maximum of 2 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

7401. Tribal Trust Litigation Document Production Files. These files consist of Department of the Interior documents collected from bureaus and offices within the Department of the Interior in support of Indian Tribal trust litigation. Tribal productions include, but are not limited to, lawsuits relating to trust issues associated with the following Tribes: T145--Confederated Tribes (Warm Springs) – OR; T180--Shoshone-Bannock (Fort Hall) – ID; T201--Blackfeet – MT; T202--Crow – MT; T205--Chippewa Cree (Rocky Boy's) – MT; T206--Assinboine & Sioux (Fort Peck) – MT; T301--Three Affiliated Tribes (Fort Berthold) – ND; T302--Standing Rock Sioux – ND & SD; T345--Rosebud Sioux –SD; T701--Laguna Pueblo – NM; T920--Quapaw – OK; and T930--Osage. Their extent varies with the scope of the individual request and degree of Departmental involvement in the issue in question.

These files are classed as Indian Fiduciary Trust (IFT) files.

7401.a TTL Document Production Paper Copies Files. These files contain paper *copies* of documents collected from bureaus and offices within the Department of the Interior in support of Indian Tribal trust litigation. They do not include the record copy of these documents, which remains within the originating bureau or office.

Disposition Instructions: PERMANENT. Cut off at fiscal year end in which digital imaging of each separate document production has been completed. Maintain in office of record for a maximum of 2 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

7401.b TTL Document Production Digital Images Files. These files contain digital images of paper documents (covered by item 7401.a) collected from bureaus and offices within the Department.

Disposition Instructions: PERMANENT. Cut off at fiscal year end in which digital imaging of each separate document production has been completed. Maintain in office of record for a maximum of 2 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

7401.c TTL Document Production Administration Files. These paper and electronic files contain records relating to the collection and production of paper documents (covered by item 7401.a). They include, but are not limited to, guidance memoranda, coordination plans, adequacy of search certifications, and reports generated by the document indexing system.

Disposition Instructions: PERMANENT. Cut off at fiscal year end in which digital imaging of each separate document production has been completed. Maintain in office of record for a maximum of 2 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

7402. Other Indian Litigation Document Production Files. These files consist of Department of the Interior documents collected from bureaus and offices within the Department of the Interior in support of other Indian litigation, such as Hurd v. Asarco. Their extent varies with the scope of the individual request and degree of Departmental involvement in the issue in question.

These files are classed as Indian Fiduciary Trust (IFT) files.

7402.a OIL Document Production Paper Copies Files. These files contain paper *copies* of documents collected from bureaus and offices within the Department of the Interior in support of other Indian litigation. They do not include the record copy of these documents, which remains within the originating bureau or office.

Disposition Instructions: PERMANENT. Cut off at fiscal year end in which digital imaging of each separate document production has been completed. Maintain in office of record for a maximum of 2 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

7402.b OIL Document Production Digital Images Files. These files contain digital images of paper documents (covered by item 7402.a) collected from bureaus and offices within the Department.

Disposition Instructions: PERMANENT. Cut off at fiscal year end in which digital imaging of each separate document production has been completed. Maintain in office of record for a maximum of 2 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

7402.c OIL Document Production Administration Files. These paper and electronic files contain records relating to the collection and production of paper documents (covered by item 7402.a). They include, but are not limited to, guidance memoranda, coordination plans, adequacy of search certifications, and reports generated by the document indexing system.

Disposition Instructions: PERMANENT. Cut off at fiscal year end in which digital imaging of each separate document production has been completed. Maintain in office of record for a maximum of 2 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.