

Department of the Interior – Department Records Schedule 2.2 – Natural Resources Planning and Development – DAA-0048-2015-0003

**Introduction to the DOI Departmental Records Schedule (DRS)**

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 and 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 DOI 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. These services are being represented in the Departmental Records Schedule (DRS) through the following mission areas:

1. Provide Natural and Cultural Resources Protection and Experience
2. Natural Resources Planning and Development
3. Indian Trust, Tribal Government, and International & Insular Areas
4. Scientific Research, Analysis and Data
5. Community & Social Services, Education, and Transportation
6. Incident Management

**Department Organization:** DOI is guided by the Office of the Secretary and includes the following Bureaus and Offices:

- Bureau of Indian Affairs (BIA), Bureau of Indian Education (BIE), and the Bureau of Trust Funds Administration (BTFA) – Record Group 075
- Bureau of Land Management (BLM) – Record Group 049
- Bureau of Ocean Energy Management (BOEM) – Record Group 589
- Bureau of Reclamation (BOR) – Record Group 115
- Bureau of Safety and Environmental Enforcement (BSEE) – Record Group 473
- Fish and Wildlife Service (FWS) – Record Group 022
- National Park Services (NPS) – Record Group 079
- Office of Surface Mining, Reclamation and Enforcement (OSMRE) – Record Group 471
- US Geological Survey (USGS) – Record Group 057
- Office of the Secretary (OS) – Record Group 048. This includes:
  - Office of the Solicitor (SOL)
  - Office of the Inspector General (OIG)
  - Office of Hearings and Appeals (OHA)
  - Interior Business Center (IBC)
  - And all other offices under the Office of the Secretary

Department of the Interior – Department Records Schedule 2.2 – Natural Resources Planning and Development – DAA-0048-2015-0003

**Methodology:**

DOI selected the Lines of Business applicable to its mission and operations, which were then divided among the categories of policy, mission, legal, and administrative schedules. Each bureau was asked to map their existing records retention schedules to DOI's Lines of Business. The crosswalk showing this work is attached. The schedule for each of the six mission areas will be submitted separately. This schedule is for mission area *II. Provide Natural and Cultural Resources Protection and Experience* includes the following Lines of Business:

- Biological Resources and Marine Conservation
- Energy and Minerals
- Land Use and Planning
- Water

This change to a departmental schedule, from individual bureau schedules, moves disposition authority for Record Groups 022 (FWS), 049 (BLM), 057 (USGS), 075 (BIA), 079 (NPS), 115 (BOR), 471 (OSMRE), 473 (BSEE), and 589 (BOEMRE) to 048. All Federal Records Center (FRC), Annual Move, and Direct Offer interactions with the National Archives and Records Administration (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 applies retroactively to active and inactive records located on site at DOI facilities (including central, regional, and field offices).

This disposal authority applies on a “day-forward” basis from the date of schedule approval for inactive agency records located in off-site storage (e.g., Federal Records Centers, third-party vendors), and does not require retroactive changes to existing accessions.

Exception: Records under RG 075 as well as the record groups for other DOI trust bureaus that were previously scheduled as Permanent with an undefined retention period, including all such records at the American Indian Records Repository, must have this disposal authority applied retroactively in order to facilitate proper retirement of records.

**Automation:**

As part of DOI's comprehensive records management program, DOI implemented the electronic records management systems with the objective of providing DOI with a cohesive integrated records and information governance platform, which directly supports M-19-21, transition to Electronic Records. These solutions are designed to support and manage DOI records, including email, documents, and related content, independently. Migrating DOI to the Departmental Records Schedule (DRS) described above will enable a smoother transition to full electronic records management.

Department of the Interior – Department Records Schedule 2.2 – Natural Resources Planning and Development – DAA-0048-2015-0003

**Schedule 2 – Mission Records**

**2.2 – Natural Resources Planning and Development**

Records in this schedule pertain to the Department of the Interior’s role in developing the nation’s natural resources in a responsible manner to include the protection of people, wildlife, and the environment. Interior lands designated for multiple use includes harvestable timber, grasslands for grazing, and deposits of oil, gas, coal, and non-energy minerals on public lands and the Outer Continental Shelf. The Department is also committed to renewable energy development and the management of water resources in a safe and responsible manner.

This schedule does not distinguish between types of media and should be considered media neutral. Many functions throughout the Department are conducted in both hard copy (paper) and electronic form, though increasingly offices are moving to the convenience of electronic records. Though the retention does not differ, cut off and handling instructions may be different for records in other media than paper.

**Overview of Schedule 2.2:**

**2.2.1 - Biological Resources and Marine Conservation**

0001 – Short Term Fish & Wildlife Documentation

Disposition Authority Number: DAA-0048-2015-0003-0001

0002 – **(Vacant)**

0003 – Fish & Wildlife Coordination Act Reports and State Tagger Program Files

Disposition Authority Number: DAA-0048-2015-0003-0003

0004 – Fish & Wildlife Surveys

Disposition Authority Number: DAA-0048-2015-0003-0004

0005 – Species Management Files

Disposition Authority Number: DAA-0048-2015-0003-0005

0006 – Endangered Species Act Management and Recovery Plan Files, Critical Habitat and Fish & Wildlife Management

Disposition Authority Number: DAA-0048-2015-0003-0006

**2.2.2 - Energy and Minerals**

Accounting, Compliance and Administrative

0007 – Federal Files

Disposition Authority Number: DAA-0048-2015-0003-0007

0008 – Financial Reports/Summaries

Disposition Authority Number: DAA-0048-2015-0003-0008

0009 – Application Case Files

Disposition Authority Number: DAA-0048-2015-0003-0009

0010 – Resource Lease Case Files and Power Management Agreements

Disposition Authority Number: DAA-0048-2015-0003-0010

0011 – Resources Analysis and Evaluation

Disposition Authority Number: DAA-0048-2015-0003-0011

0012 – Lease History Case Files

Department of the Interior – Department Records Schedule 2.2 – Natural Resources Planning and Development – DAA-0048-2015-0003

Disposition Authority Number: DAA-0048-2015-0003-0012

**2.2.3 - Land Use and Planning**

- 0013 – Intermediate/Reference Materials for Land Use Activities, Special Land Use Permit Case Files (denied), Wild Horse & Burro Non-Adoptions  
Disposition Authority Number: DAA-0048-2015-0003-0013
- 0014 – Short Term Land Use Activities and Wild Horse & Burro Operation Records  
Disposition Authority Number: DAA-0048-2015-0003-0014
- 0015 – Land Title, Operations, and Realty  
Disposition Authority Number: DAA-0048-2015-0003-0015
- 0016 – Planning and WH&B Adoptions  
Disposition Authority Number: DAA-0048-2015-0003-0016
- 0017 – Land Use Permits, Leases, Reciprocal-Use and License Agreements.  
Disposition Authority Number: DAA-0048-2015-0003-0017
- 0018 – **(Vacant)**  
Disposition Authority Number: DAA-0048-2015-0003-0018
- 0019 – Management Plans and Reports, Land Classification and Titles, and Uses of Land Requiring Agency Authorization  
Disposition Authority Number: DAA-0048-2015-0003-0019

**2.2.4 - Water**

- 0020 – Water Analysis and Water Use & Permitting  
Disposition Authority Number: DAA-0048-2015-0003-0020
- 0021 – Non-Historic Water and Power Projects & Facilities  
Disposition Authority Number: DAA-0048-2015-0003-0021
- 0022 – Water Project Contracts, Engineering, and Water Quality  
Disposition Authority Number: DAA-0048-2015-0003-0022
- 0023 – Historic Water and Power Projects, Water Resources and Delivery  
Disposition Authority Number: DAA-0048-2015-0003-0023

**2.2.1 – Biological Resources and Marine Conservation** Records of all DOI activities devoted to sustain and improve biological communities and the health of watersheds, landscapes, and marine resources that are DOI managed and influenced in a manner consistent with obligations regarding the allocation and use of lands.

**0001 - Short Term Fish & Wildlife Documentation**

Disposition Authority Number: DAA-0048-2015-0003-0001

Material that reflects repetitive, routine, or housekeeping-type activity. Only drafts showing minor editorial changes (but no decisional information) fall under this category. Excludes core Endangered Species recovery records (see item 0006).

Specific records identified under this item include:

- Commercial and Sport Fishing and Sea Lamprey Control Data; method and value of catch; place, date, and time of catch; species caught; control information, etc. Data is duplicated in other Federal systems (i.e., USGS)

Department of the Interior – Department Records Schedule 2.2 – Natural Resources Planning and Development – DAA-0048-2015-0003

- Correspondence of a non-routine nature; notes from internal Service meetings; proposals; recommendations for management improvements; and analytical documents.
- Migratory Webless Game Bird Management - The Webless Migratory Game Bird Program was designed to provide cooperative funding for both research and management activities from the USFWS, state wildlife agencies, and other sources for projects benefitting the 16 species of migratory game birds in North America.

Disposition: Temporary. Cut off as instructed in bureau/office records manual, or at the end of fiscal year in which file is closed if no unique cut off exists. Destroy 3 years after cut-off, but longer retention is authorized if needed for business use.

**0002 - (Vacant)**

**0003 - Fish & Wildlife Coordination Act Reports and State Tagger Program Files**

Disposition Authority Number: DAA-0048-2015-0003-0003

Assessments and reports prepared for, and funded by, state or other Federal agencies used to protect, rear, stock, and increase the supply of game and fur-bearing animals, as well as to study the effects of domestic sewage, trade wastes, and other polluting substances on wildlife. Also, documents communication and agreements with state fur and tagger programs to identify individual animals listed as endangered species.

Specific records identified under this item include:

- Biological Assessments
- Habitat Assessments
- Consultative Reports
- Correspondence Site Plans
- Monitoring Documentation
- Project Funding Records
- Progress Reports
- Environmental Impact Statements
- Internal Compliance Documents
- Package Applications
- Cooperative Agreements
- Financial Information
- Landowner Agreements
- Environmental Compliance
- Quarterly Reports
- Photo Documentation
- Tagging Reports
- Statistics

Department of the Interior – Department Records Schedule 2.2 – Natural  
Resources Planning and Development – DAA-0048-2015-0003

Disposition: Temporary. Cut off after completion of report or plan. Destroy 10 years after cut-off but longer retention is authorized if needed for business use.

**0004 - Fish & Wildlife Surveys**

Disposition Authority Number: DAA-0048-2015-0003-0004

Marine conservation survey information, data, and summary reports of fish and wildlife numbers and locations that are used to produce publications and reports that track long-term trends.

NOTE: Important long-term data on aquatic invasive species are incorporated in other permanent databases, such as USGS's Nonindigenous Aquatic Species (NAS) database.

Specific records identified under this item include:

- Fish Counts Data
- Weir Monitoring Statistics
- Commercial Harvest Data
- Stream Surveys
- Fish Flow Data
- Habitat Data
- Animal Counts
- Herd Statistics
- Tagging and Transponder Data
- Aerial Count Information
- Maps
- Legal Descriptions of Land

Disposition: Temporary. Cut off as instructed in bureau/office records manual, or at the end of fiscal year in which file is closed if no unique cut off exists. Destroy 20 years after cut-off but longer retention is authorized if needed for business use.

**0005 - Species Management Files**

Disposition Authority Number: DAA-0048-2015-0003-0005

Case files documenting DOI involvement with species the Department has an interest in, or an authority for, other than the Endangered Species Act, such as the Marine Mammal Protection Act of 1972 and Wild Bird Conservation Act of 1992. NOTE: Important long-term data on aquatic invasive species are incorporated in other permanent databases, such as USGS's Nonindigenous Aquatic Species (NAS) database.

Specific records identified under this item include:

- Briefing Statements

Department of the Interior – Department Records Schedule 2.2 – Natural Resources Planning and Development – DAA-0048-2015-0003

- Reviews of Legal Statements
- Legislative Development Case Files
- Federal Register Notification Files
- Conservation Efforts
- Meeting Notes on Unusual Mortality for Marine Animals
- Meeting Notes on Marine Mammal Stranding Panels

Disposition: Temporary. Cut off after species is determined not to be under Departmental authority, after the completion of the plan or the date of the last monitoring report, if required, whichever is longer, or other unique cutoff as described in the bureau manual. Destroy 40 years after cut-off but longer retention is authorized if needed for business use.

**0006 - Endangered Species Act Management and Recovery Plan Files, Critical Habitat, and Fish & Wildlife Management**

Disposition Authority Number: DAA-0048-2015-0003-0006

The management of records relating to habitat management, preservation, and the Endangered Species Act. Fish and wildlife management documents DOI's management of fish and wildlife resources through the preservation of eco-system and natural habitat through conservation. The records contain final or summarized reports of habitat preservation and species management that are historically significant. These internal agency planning efforts include but are not necessarily limited to draft and development proposal documents for corrective measures, restoration activities, and recommendations for land acquisition, management actions, and other cooperative efforts designed to enhance the status of a particular species under the Endangered Species Act. Also, there is wildlife species conservation data collected on many programs managed by DOI. This includes data of fish, birds and various animals across the United States. The programs were designated to provide cooperative funding for both research and management activities from DOI. The data from these programs are used to study the population dynamics of various fish and birds and are included in a number of publications and reports to Federal & state agencies and to the public.

Specific records identified under this item include:

- Studies Related to DOI's Environmental Management Activities
- Reports regarding DOI's Environmental Management, Compliance, and Program Planning Activities
- Consultation Documentation
- Documented Activities With Other Government Agencies
- Fish and Wildlife Resource Investigations
- Fish and Wildlife Resource Surveys
- Documentation of Habitat Management
- Records on Wetlands Creation, Preservation, and Management
- Plant and Animal Census

## Department of the Interior – Department Records Schedule 2.2 – Natural Resources Planning and Development – DAA-0048-2015-0003

- Analyses of Raw Data
- Program Reviews
- Conservation Management and Plans
- Endangered Species Recovery Plan Case File that document the development and implementation of recovery plans for the restoration of endangered native species. Includes Species Status Assessment (SSA), Recovery Plan (RP), and the Recovery Implementation Strategy (RIS).
- Critical Habitat Case Files or packages supporting decisions to designate a critical habitat under the Endangered Species Act. Includes Designation Case Files – Case files or package supporting decisions to designate a critical habitat under the Endangered Species Act. Case files documenting the decision to designate critical habitat for a species of specific geographical areas. This includes (1) rules that designate critical habitat for a species, (2) rules that find no areas that meet the definition of critical habitat and, (3) rules that exclude all areas that meet the definition of critical habitat under section 4(b)(2) of the Endangered Species Act (such that there is a null designation of critical habitat). Also includes Critical Habitat – Not Prudent Case Files where the critical habitat is not prudent under the Endangered Species Act.
- Maps
- Legal Descriptions of Land
- Public Notification Information
- Public Comments
- Proposed or Final Listing Package
- Technical or Scientific Documentation used in the development and implementation of Recovery Plans for the restoration of endangered native species
- Scientific Research Permits for use on a National Wildlife Refuge
- Recovery Plan Permit Applications

Disposition: Permanent. Cut off at close of FY when activity is completed. Transfer legal ownership to NARA 15 years after cut-off. If a Responsible Records Officer determines that particular records in this category should be maintained at DOI longer than this period of time, an exception is permitted but must be established as a documented standard and implemented consistently within the bureau.

**2.2.2 – Energy & Minerals** - Records of all DOI activities devoted to ensuring the availability of energy for the United States and its citizens including fossil fuels, minerals, non-minerals, helium, geothermal, wind, solar and hydropower for exploration and production. Once produced, the energy is also transmitted as power for consumer use.

DOI is responsible for the development of mineral and non-mineral (including alternative energy) resources under the principles of multiple-use management of Federal lands. DOI is also responsible for the decision to lease; issuance of the lease; lease management on administered lands; evaluation of social and economic factors; safety and risk management factors; record title

## Department of the Interior – Department Records Schedule 2.2 – Natural Resources Planning and Development – DAA-0048-2015-0003

management; and coordination with other management agencies and should be documented in the case files. DOI performs the financial management of all resources on Federal lands including the collection and disbursement of monies from the sale of natural resources.

The statutory authority of Energy & Mineral records are covered by:

- General Mining Law of 1872 (30 USC 22, et. seq.)
- Mineral Leasing Act for Acquired Lands (30 USC 351)
- Indian Mineral Leasing Act of 1938 (25 USC 396)
- Federal Land Policy & Management Act of 1976 (43 USC 1700)
- Outer Continental Shelf Lands Act of 1953 (43 USC 1330)
- Energy Policy Act of 2005 (42 USC 15801)
- Federal Oil & Gas Royalty Management Act of 1982 (30 USC 1701)
- Surface Mining Control & Reclamation Act (30 USC 25, et. seq.)

The following list is a broad overview of the records covered by this item, with specific details included where possible, but it should not be considered a complete and exclusive listing of all pertinent documents.

### **Energy and Mineral files cover:**

- Fossil Fuels (Oil & Gas)
- Minerals
- Non-Minerals (primarily Sand, Gravel, and Timber)
- Natural Gas
- Helium
- Geothermal
- Wind
- Solar
- Hydropower

### **0007- 0008 - Accounting, Compliance, and Administration Records**

The Financial Management business function performs the collection, accounting, and disbursement mineral lease revenues to the appropriate recipients consistent with all applicable laws, regulations, and lease terms. Compliance Management functions include assuring proper royalties have been paid; assuring consistent compliance with lease terms, regulations, and laws; conducting mineral revenue audits and reviews in compliance with applicable standards; and applying fiduciary trust principles on public trust leases. Compliance Management documents address the financial auditing of leases and the managing of the oil, gas and solid minerals that are extracted from the leased lands. Compliance Management will also address the financial auditing of leases and the managing of renewable energies like wind and solar that are captured from leased Federal lands. Asset Sales and Asset Valuation Programs are responsible for addressing the feasibility to manage the Nation's Royalty assets and product valuation of the

Department of the Interior – Department Records Schedule 2.2 – Natural  
Resources Planning and Development – DAA-0048-2015-0003

minerals produced on the Outer Continental Shelf (OCS) and on Federal lands. Program components include the small refiner program, Strategic Petroleum Reserve (SPR) fill, commercial natural gas and crude oil sales, and cooperative energy commodity sales with states. This includes establishing the fair market value of commodities, issuing royalty valuation determinations, and authorizing adjustments to the valuation base used for royalty calculations.

Specific records identified under this item include:

- Mineral Revenue Distribution and Disbursement Files
- Payor Account Reconciliation
- Debt Collection
- Reference Data – Leases, Agreements, Mines & Facility Measurement Points
- Billing and Invoices
- Refunds and Other Documentation
- Check and Money Order Images
- Reporter Training & Guidance
- Royalty Reporting
- Investment Files
- Compliance Reviews – States
- Oil & Gas and Mineral Audits – States
- Asset Compliance Assurance
- Revenue Enforcements
- Appeals Files (DOI, ONRR, and IBLA)
- Royalty Alternative Dispute Resolution
- Data Mining
- Mineral Economic Analysis and Market Research
- Requests for Valuation Guidance
- Requests to Exceed Regulatory Limits for Transportation and Processing Allowances
- Draft Valuation Regulations
- Royalty Valuation Unbundling Program Files – Unbundling Cost Allocation (UCA) Files
- New York Mercantile Exchange (NYMEX) Calendar Month Average (CMA) Oil Price Files
- Market Analysis and Royalty Summary (MARS) Report
- Price/Map Requests
- Mineral Economic Analysis and Market Research
- Asset Management Sales or Exchanges
- Production Reporting, Errors, Exceptions, and Well Actions

**0007 - Federal Files**

Disposition Authority Number: DAA-0048-2015-0003-0007

Department of the Interior – Department Records Schedule 2.2 – Natural Resources Planning and Development – DAA-0048-2015-0003

Records that document the planning, conducting, determining the extent of the analysis, and reporting of exploration and production activities on onshore and offshore DOI administered land. In addition to the records listed above, also included are State Outreach, Audit & Compliance Information Collect from Companies, Production Accountability Compliance Monitoring, Compliance Inspection Planning and Inspections, Production Measurement Inspections and Enforcements, Asset Management Sales or Exchanges, Credit Assurance, Asset Management Service Agreements, Asset Accounting and Verification.

Note: Excludes records that are related to Indian Fiduciary Trust. See DRS Mission Schedule 2.3, Indian Trust, Tribal Government, and International & Insular Areas.

Disposition: Temporary. Cut off as instructed in bureau/office records manual, or at the end of fiscal year in which file is closed if no unique cut off exists. Destroy 10 years after cut off.

**0008 - Financial Report/Summaries**

Disposition Authority Number: DAA-0048-2015-0003-0008

Reports and/or summaries related to reconciling subsidiary and control accounts, monitoring and analyzing daily accounting journal entries to subsidiary ledgers and the balance sheet and other financial management reports. Includes summaries of data from the Financial Sub-System documenting daily revenue management activities. Covers Federal lands, and includes but not limited to:

- Program Management Summaries
- Fiscal Accounting Summaries
- Production Accounting Summaries
- Exception Identification Summaries
- Statistical Reporting Summaries
- System Assurance Summaries

Disposition: Permanent. Cut off as instructed in bureau/office records manual, or at the end of fiscal year when activity is completed. Transfer to National Archives 25 year(s) after cutoff.

**0009 - Energy Application Case Files**

Disposition Authority Number: DAA-0048-2015-0003-0009

Case files documenting various types of approved, rejected, or withdrawn lease applications for energy and mineral resources. Also includes related bonds and legal instruments.

Specific records identified under this item cover onshore lands and include:

- Oil & Gas Lease Application Case Files
- Oil Shale Lease Application Case Files

Department of the Interior – Department Records Schedule 2.2 – Natural Resources Planning and Development – DAA-0048-2015-0003

- Geothermal Lease Application Case Files
- Natural Gas Lease Application Sales Case Files
- Solid Mineral Lease Application Case Files
- Communitization or Unitization Agreement Application Case Files
- Adjudicated Alternative Energy Lease Applications
- Personal or Surety Bonds
- Alternative Energy Financial Instruments and Bonds
- Riders
- Powers-of-Attorney
- Security Instruments

Disposition: Temporary. Cut off as instructed in bureau/office records manual, or at the end of fiscal year in which file is closed if no unique cut off exists. Destroy 15 years after cut off.

**0010 - Resource Lease Case Files and Power Management Agreements**

Disposition Authority Number: DAA-0048-2015-0003-0010

Records for case files on leases issued by DOI including exploration and production activities on onshore and offshore DOI administered land as allowed to existing subsurface rights holders. Files document DOI involvement in ensuring that leases are valid, that activities are conducted under any stipulated conditions, and the leases are financially managed, valued and audited. The power generation and transmission records contain documentation pertaining to hydropower generation and power contracts and agreements between the Department and irrigation districts, or industrial and municipal customers regarding the sale of power, transmission, or payment for such services.

Specific records identified under this item include:

- Period energy consumption/conservation reports
- Long-term statistics
- Trend data compilations and summaries
- Outer Continental Shelf (OCS) Resources
- Well Production Rates
- Plugging Records
- Production Records
- Exploratory Studies
- Fair Market Value Determinations Documentation
- Lease Buy Backs
- Post-Sale Data Analysis
- Contractual Timber Sales
- What-if Analysis Documentation
- Federal or State Agency Projects or Initiatives
- Individual Lease Sale Areas of Interest List

Department of the Interior – Department Records Schedule 2.2 – Natural Resources Planning and Development – DAA-0048-2015-0003

- Indicated Hydrocarbon List
- Coastal Zone Management Act Certifications
- Lease Sale Planning Records
- Supporting Documentation to Prepare and Execute New Leases including Sand & Gravel and Non-Energy
- MOUs and MOAs Pertaining to Renewable Energy Leasing on the OCS
- Renewable Energy State Task Force Documentation
- Renewable Energy Technical Studies for Programmatic and Regulatory Decisions
- Renewable Energy Lease Administrative Records
- Renewable Energy Company Qualification Submittals
- Non-Energy Task Force Documentation
- Power Service Contracts, agreements, Memorandum of Agreement's
- Transmission service agreements
- Sale of power documentation
- Payment schedules
- Power generation studies and requirements
- Federal Energy Regulatory Commissioner (FERC) issued permits
- Technical correspondence
- Pumped storage generation
- Statistical studies of existing and potential power development
- 4-E terms and conditions
- Exploration and Prospecting Permit Approved

Disposition: Temporary. Retain in Agency for active life of the project, agreement or contract. Cut off after final payment of contract agreement/closure or termination of project. Destroy 25 years after cut-off.

**0011 - Resource Analysis and Evaluation**

Disposition Authority Number: DAA-0048-2015-0003-0011

Provides complete analysis and evaluation of resource activities to support program decisions. Analyses and evaluation are conducted to assess the validity of potential quantities of undiscovered oil and gas resources, natural gas, and other leasable minerals, to estimate mineral reserves, to ensure the public receives fair market value for mineral development, and the planning and processing of leases under the various energy and mineral programs.

Specific records identified under this item include:

- Geologic, Engineering, and Economic Assessments and Reports
- Program and Resource Evaluation Assessments
- Cartographic Materials Associated with Pre-Lease Analysis
- Seismic and Well Data

Department of the Interior – Department Records Schedule 2.2 – Natural Resources Planning and Development – DAA-0048-2015-0003

- Open Hole Data Management Documentation (Well Logs, Directional Surveys and Core Analysis)
- Geologic and Geophysical Contracts
- Well Completion and Recompletion Logs
- 2D and 3D Seismic Trace Volumes and Data Sets
- Magnetic and Gravimetric Survey Records and Maps
- Geochemical Prospecting Survey Maps
- Tectonic & Stratigraphic Investigation and Mapping Project Files
- Shallow Seismic Data Geo Hazards Analysis
- Fair Market Value Determinations
- Tract Evaluations for Fair Market Value
- Cartographic Work in Support of Fair Market Value Phase II and Post-Sale Work
- Geological Interpretative Tools Documentation
- Production Forecasts, In-Place Resource Estimates, and Economic Resource Estimates Documentation
- Process Bid and Field Determination Appeals
- Well Evaluations and New Producing Lease Determinations
- Environmental Studies for Oil & Gas and Non-Energy Lease Sales
- Communitization or Unitization Agreement Operations Lease and Well Files
- Oil & Gas, Oil Shale, Geothermal, Natural Gas, Helium, and Solid Mineral Operations Lease and Well Files – Federal Agreements
- Outer Continental Shelf Block and Composite Block Diagrams
- Corps of Engineer Permits
- Coastal and Marine Spatial Planning Documentation
- 5-Year Program Development Documentation
- Lease Presale Process Documentation
- Adjudicated Leases
- Lessee or Operator Bankruptcy Reviews
- Lease Status Reviews
- Fishermen's Contingency Fund Claims
- Designation of Operator Forms
- Lease Rights-of Way
- Operator Rights Assignments
- Lease Relinquishment Documentation
- Applicants for Qualification Requests
- Company Merger and Name Change Applications
- Lessee/Operator Bankruptcy Documentation
- Oil Spill Financial Responsibility Forms and Financial Data
- Royalty Relief Program Documentation
- Production Payments
- Net Profit Reports
- 3<sup>rd</sup> Party Notice Documentation
- Alternative Energy Development Plans

Department of the Interior – Department Records Schedule 2.2 – Natural Resources Planning and Development – DAA-0048-2015-0003

- Non-Environmental Reviews
- Deep Water Operation Plans
- Alternate Use Project Documentation
- Alternative Energy Technical Studies for Programmatic and Regulatory Decisions
- Alternative Energy Field Monitoring, Safety Inspections and Engineering Inspections
- Alternative Energy Leases, Rights of Way and Right of Use and Easements
- Non-Energy Mineral Leases
- Non-Energy Environmental Studies
- Non-Energy Permit Decisions
- Mining Claim Recordation Files
- Unpatented Mining Claim Records
- Mining Claim Validity Examination Case Files
- Mining Claim Surface Management Case Files

Disposition: Temporary. Cut off as instructed in bureau/office records manual, or at the end of fiscal year in which file is closed if no unique cut off exists. Destroy 75 years after cut-off or longer if authorized.

**0012 - Lease Case History Files**

Disposition Authority Number: DAA-0048-2015-0003-0012

The records document the foundational aspects of planning, conduct, and evaluation of competitive mineral lease sales and provides a history of each sale from tract selection through bid acceptance and issuance to relinquishment. The records pertain to the development, conservation, and the exploitation of energy and mineral resources.

Specific records identified under this item include:

- Oil and Gas Historical Development Map Masters
- High Resolution Geophysical Interpretive Maps
- Regional and Detailed Seismic Interpretive Maps
- Subsurface Geologic Interpretations
- Archeology Analysis
- Water Bottom of Sea Floor Interface Analysis
- Engineering, Economic and Reserve Analysis and Estimates
- Annual Reserve Reports Containing Reserve Estimates and Statistics
- Field and Reservoir Estimate Study Final Reports and Maps
- Cadastral and Mapping Aspects and Boundary Records
- Spatial Information and Metadata to Coastal States, Federal Agencies, Private Industry, and Foreign Governments
- Official Marine Cadastre Description
- Protraction Diagrams
- Leasing Maps

## Department of the Interior – Department Records Schedule 2.2 – Natural Resources Planning and Development – DAA-0048-2015-0003

- Oil Shale Lease Operations Final Maps
- Solid Mineral Lease Operations Files (Coal and Oil Shale) – Indian Files
- Solid Mineral and Oil Shale Lease Operations Case Files – Indian Files
- Mineral Lease Sale and Tract Evaluation Final Report and Map Masters
- Renewable Energy Program Development
- Renewable Energy Technical Studies

Disposition: Permanent. Cut off at close of FY when activity is completed. Transfer legal ownership to NARA 15 years after cut-off. If a Responsible Records Officer determines that particular records in this category should be maintained at DOI longer than this period of time, an exception is permitted but must be established as a documented standard and implemented consistently within the bureau.

These records are associated with properties of DOI activities deemed to have long lasting interest to the Nation and are therefore considered appropriate for permanent at NARA after the point where they are no longer needed by the Department.

**2.2.3 – Land Use and Planning** - Records of all DOI functions devoted to planning, study, observation, preservation, management, and maintenance of natural resources. These records are associated with the use of resources including material sales, permits and leases, rights-of-ways and more. They document the acquisition and disposal of interests in lands, special designations or classifications of lands, and land status.

### **0013 - Intermediate/Reference Materials for Land Use Activities, Special Land Use Permit Case Files (denied), Wild Horse & Burro Non-Adoptions**

Disposition Authority Number: DAA-0048-2015-0003-0013

These records consist of intermediate and reference materials pertaining to withdrawals, classifications, designations, land use applications, and water power projects. Also included are documents pertaining to the Wild Horse & Burro Program (non- adoptions).

Specific records covered by this item include:

- Wild Horse & Burro (WH&B) Non-Adoption Files - WH&B Applications Which Do Not Result in Adoption
- Withdrawal, Classification and Designation Intermediate Materials. Preliminary, intermediate, and prefinal drawings and other materials that are created and reviewed in preparation of final reports and maps.
- Materials pertaining to Application for Land Use. Applications and supporting documents received by Bureau of Land management and referred to Reclamation to determine Reclamation's interest in the land.
- Waterpower Project Reference Material and Working Files
- Natural Gas Policy Act (NGPA) Well Determination Reference Files

Department of the Interior – Department Records Schedule 2.2 – Natural  
Resources Planning and Development – DAA-0048-2015-0003

Disposition: Temporary. Cut off as instructed in bureau/office records manual, or at the end of fiscal year in which file is closed if no unique cut off exists. Destroy 3 years after cut off.

**0014 - Short Term Land Use Activities and Wild Horse & Burro (WH&B) Operation Records**

Disposition Authority Number: DAA-0048-2015-0003-0014

These files document the preparation of horses for private maintenance by adopters, shipment of horses, and agreements with prisons or other facilities for training of horses. Approved Special Land Use Permits issued by the USFWS. Exceptions to the permits include: Recreational, cultural, paleontological, etc. Recreational use statistics cover number or visitors, total visitor hours, types of visitor activities, visitor impacts on facilities, etc. Management plans of a 1 to 5 year duration including normal year fire plans, annual timber sale plans, etc.

Specific records covered by this item include:

- WH&B Adoption Files: Animal Preparation Case Files, Animal Shipping Case Files, Animal Training Facility Files.
- Special Land Use Permit Case Files.
- Resource Activity Plan (RAP) Records - Short Range

Disposition: Temporary. Cut off as instructed in bureau/office records manual, or at the end of fiscal year in which file is closed if no unique cut off exists. Destroy 3 years after cut-off.

**0015 - Land Title, Operations, and Realty**

Disposition Authority Number: DAA-0048-2015-0003-0015

These records document conservation easements, land title status, land operations and realty, acquired real property and real property appraisal services, sales of small vegetative materials and minor forest products.

Records under this item involve several areas of Land Use to include land title, operations, realty, appraisals and sales of small vegetative and minor forest products. Also included are rejected, unapproved, or withdrawn Land Use, Classification, and Designation applications.

Specific records covered under this item include:

- Valuation Services. Case/ Work Files
- Sales of Vegetative Materials and Minor Forest Products
- Acquired Real Property Files
- Land Withdrawal, Reservation, and Classification Files - Informal Proposals
- Refuge Compatible Uses Reports

Department of the Interior – Department Records Schedule 2.2 – Natural Resources Planning and Development – DAA-0048-2015-0003

- Texas Railroad Commission (TRRC) Base Maps
- Conservation Easements
- Land Title Status Records
- Land Operations and Realty Subject Files.
- Airborne Hunting Reports
- Grazing and other Land-Use Applications Rejected or Withdrawn
- Right-of-Way, Reciprocal-Use, and License Agreement Applications Rejected or Withdrawn
- Withdrawal, Classification, and Designation Applications or Initiatives Unapproved Case Files

Disposition: Temporary. Cut off as instructed in bureau/office records manual, or at the end of fiscal year in which file is closed if no unique cut off exists. Destroy 10 years after cut-off.

**0016 - Resource Management Planning and Wild Horse & Burro (WH&B) Adoptions**

Disposition Authority Number: DAA-0048-2015-0003-0016

These records document applications that were rejected, unapproved, or withdrawn regarding grazing, right-of-way, and withdrawals. Documentation of healthy excess wild horses and Burros are also included.

Records under this item relate to planning and wild horse & burro adoptions.

Specific records covered under this item include:

- Resource Management Plan (RMP) Public Participation
- Working Wilderness Studies
- WH&B Approved Titled Adoption Case Files
- Audit Reports

Disposition: Temporary. Cut off as instructed in bureau/office records manual, or at the end of fiscal year in which file is closed if no unique cut off exists. Destroy 20 years after cut-off.

**0017 - Land Use Permits, Leases, Reciprocal-Use and License Agreements**

Disposition Authority Number: DAA-0048-2015-0003-0017

Records pertaining to Land Use Permits, Leases, and License Agreements. This item also includes compliance files for patents and land status determinations.

Specific records covered under this item include:

- Land-Use Permits Approved Case Files
- Land-Use Leases Approved Case Files - All Other

Department of the Interior – Department Records Schedule 2.2 – Natural Resources Planning and Development – DAA-0048-2015-0003

- Reciprocal-Use and License Agreement Case Files
- Compliance Files for allowed Patents
- Resources Inventory, Study, or Survey Working Files

Disposition: Temporary. Cut off as instructed in bureau/office records manual, or at the end of fiscal year in which file is closed if no unique cut off exists. Destroy 30 years after cut-off.

**0018 - (Vacant)**

**0019 - Management Plans and Reports, Land Classification and Titles, and Uses of Land Requiring Agency Authorization**

Disposition Authority Number: DAA-0048-2015-0003-0019

Records relating to resources planning, withdrawals and restoration of lands, establishment and administration of town sites, uses of land which require a permissive authority (includes 3(e) Determinations or Land Status Determinations), land entries and title, irrigation management, and Conservation Case Files. Land classification records document the planning (and sometimes development) phase of a reclamation project that includes an irrigation purpose. Land status records that document the ownership and availability of Reclamation land and document sales, donation, transfers, exchanges and disposals of the land. Land can be acquired for either right of way (access to physically perform work on the land for project purposes) or right of use (access to physically perform work on the land for project purposes).

**Note:** The Records related to Land Status or 3(e) Determinations for the Trust Bureaus/Offices are not included in this record series. These records are accounted for under Departmental Record Schedule Mission Schedule 2.3 (Indian Trust, Tribal Government, and International & Insular Areas), Item 0008 (Real Estate, Land Title Records, and Appraisal Services).

Specific records covered under this item include:

- Resources Inventory, Study, Survey and Mapping Files
- Grazing Operator Case Files
- Rights-of-Way Case Files
- Resource Management Plan (RMP) Files
- Resource Activity Plan (RAP) Records – Long Range
- Subsistence Hunting Permit Case Files
- Withdrawal, Classification and Designation Reports
- Land classification files – Formal applications, approved
- Land Operations and Realty Reports
- Townsites
- Irrigation Management
- Natural Area Files
- Master Title Plat (MTP) Masters
- Supplemental Use Plat Masters

Department of the Interior – Department Records Schedule 2.2 – Natural Resources Planning and Development – DAA-0048-2015-0003

- Tract Book Masters
- Historical Index (HI) Masters
- Texas Acquired Minerals Project (TAMP) History Files
- Texas Acquired Minerals Project (TAMP) Master Title and Use Plats and Texas Acquired Minerals Project (TAMP) Historical Indexes
- Acquisition and disposal of interests in land under the various land laws, special designations or classifications that affect the availability of land for use, periodic inspection of land for compliance with the legal requirements, and indexes and plats that display historic and current land status by portraying ownership of public lands and availability of those lands for entry and use under the various public land laws.
- Acquired real property, contracts/deeds and other supporting papers documenting the sale, transfer, exchange, and disposal of land.
- 3(e) Determinations or Land Status Determinations (non-trust related)
- Land Classification Report
- Soil Profile Descriptions
- Chemical and Soils Laboratory Data
- Field Logs
- Land withdrawal and reservation files – Formal applications, approved
- Contract and Grant of Permanent Easement
- Irrigation Easement
- Land Appraisal Reports
- Record Warranty Deed
- Policy of Title Insurance and Endorsement
- Preliminary Title Report
- Field Solicitor’s Preliminary and Final Title Opinion
- Acquisition Record Summary Sheet
- Sale, Transfer, Exchange, and Disposal of Reclamation
- Reclamation Reform Act – Material pertaining to settlement and land entries

Disposition: Permanent. Cut off as instructed in bureau/office records manual, or at the end of fiscal year in which file is closed if no unique cut off exists. Transfer to NARA 30 years after cut-off. If a Responsible Records Officer determines that particular records in this category should be maintained at DOI longer than this period of time, an exception is permitted but must be established as a documented standard and implemented consistently within the bureau.

**2.2.4 – Water** - Records the information needed to manage and protect the Nation’s water resources, water and hydropower projects and facilities, water delivery infrastructure, and water quality. Also includes project and activities supporting the analysis of international water resources. DOI bureaus with responsibility for managing water include the Bureau of Land Management, the U.S. Fish and Wildlife Service, and the Bureau of Reclamation.

**0020 - Water Analysis and Water Use & Permitting**

Department of the Interior – Department Records Schedule 2.2 – Natural  
Resources Planning and Development – DAA-0048-2015-0003

Disposition Authority Number: DAA-0048-2015-0003-0020

Records contain water use permits and disputes including materials pertaining to proof of beneficial use and extensions of time as well as records related to drinking water chemical and bacteria analyses, variances, and exceptions testing files for public, community, and non-community water systems.

Specific records covered under this item include:

- Water Permits
- Application and Amendments for State Permits
- Land Water and Stream Descriptions
- State Letters of Approval
- Cartographic Materials
- Public, Community, and non-Community Water Filing Systems for Bacteria Analysis, Chemical Analysis, and Violations and Measures Taken

Disposition: Temporary. Cut off at the termination of the water permit or completion of water analysis or activity. Destroy 5 years after cut-off.

**0021 - Non-Historic Water and Power Projects & Facilities**

Disposition Authority Number: DAA-0048-2015-0003-0021

Records are retained for continued management, operation and maintenance of water and power projects and facilities. The records consist of drawings and design data of constructed and non-constructed projects, designs of long-term water structures and facilities intended to endure for many years that are critical to the mission for operational needs but have no lasting historical importance beyond agency use. Structures and facilities can include dams, conveyance systems, hydropower plants, supporting features, bridges canals, diversion structures, drainage systems, and wells. The records also document general water and hydropower management of a temporary nature relating to water project development, power management, water resource management, and Federal Energy Regulatory Commission (FERC) licensing activities. The records contain documentation of consultation with or recommendations to the FERC to prevent loss and damage to resources during FERC projects where streams or other bodies of water are impounded, diverted, or otherwise controlled or modified.

Specific records covered under this item include:

- Routine Maintenance and Service Such as Design, Repair, Restoration, Construction, or Rehabilitation of non-permanent or non-historic Water Management Structures
- Non-Historic Drawings or Design Data
- Technical Information or Volume Logs for Wells
- Well Inventories

Department of the Interior – Department Records Schedule 2.2 – Natural Resources Planning and Development – DAA-0048-2015-0003

- General Files for Water Resources Management
- Project Development, Power Management, FERC and Water Project Consultations
- Application and Amendments for State Permits
- Land Water and Stream Descriptions
- State Letters of Approval
- Cartographic Materials
- Public, Community, and non-Community Water Filing Systems for Bacteria Analysis, Chemical Analysis, and Violations and Measures Taken

Disposition: Temporary. Cut off when facility or structure ceases to exist, is transferred to a non-DOI entity, records are no longer needed for continued operation of the structure or feature, or at the completion of project activities. Destroy 10 years after cut-off.

**0022 - Water Project Contracts, Engineering, and Water Quality**

Disposition Authority Number: DAA-0048-2015-0003-0022

Records under this item contain documentation accumulated during the lifecycle of a construction or architectural and engineering (A&E) contract providing for the construction, alteration, or repair of long-term or permanent water management structures and features. Research data related to structural engineering and analysis for the design and construction of water management facilities, features, or structures. Also contain documentation relating to the improvement and protection of water quality and its integrated relationship between water projects and the environment.

Specific records covered under this item include:

- Construction and Architectural & Engineering Contract Documents
- Daily Construction Logs
- Structural and Materials Engineering
- Materials Research
- Soil and Rock Properties
- Water Quality and Ecology Studies
- Water Delivery Standards
- Water Quality Improvement Research

Disposition: Temporary. Cut off at the end of final contract payment, or upon completion of event or study. Destroy 75 years after cut-off.

**0023 - Historic Water and Power Projects, Water Resources and Delivery**

Disposition Authority Number: DAA-0048-2015-0003-0023

## Department of the Interior – Department Records Schedule 2.2 – Natural Resources Planning and Development – DAA-0048-2015-0003

Historically significant records documenting the management of water resources and the construction and operation of major water and power projects. Water and power project and facilities contain records that relate to the development, design, construction, operation and maintenance, management repair and rehabilitation of water and power projects, features, facilities, appurtenant works and water resource improvement projects. The documentation establishes a history of water projects including project authorization, scope, purpose, objectives, methodology, accounting of project construction, operation and maintenance activities and costs, safety of dam investigations and modifications, and condition assessments. Structures and facilities can include dams, reservoirs, conveyance systems, hydropower plants, supporting features, guzzlers, water catchments, bridges, canals, diversion structures, drainage systems, wells and other structures.

For water resource management the records contain documentation of activities relating to the management, conservation, delivery, and utilization of water and water trust resources through activities such as appropriating, securing, establishing, or settlement of water rights. The records also encompass documentation on interstate compacts and international water treaties, engineering and economic requirements of water delivery as well as water and power project costs and repayment, interagency drought management planning, determination of surface and groundwater supplies, identification of arable Native American lands and irrigable acreage assessments, ownership and priority of the water rights, water source, purpose of use, fish and wildlife water needs, flood plain management, reservoir management, irrigation management, water marketing, and water conservation.

Specific records covered under this item include:

- Ground Water Assessment and Use Surveys
- Water Level Inventories
- Water Resource Inventories
- Studies and Surveys
- Water Rights Documentation
- Documentation on the Sale, Delivery, and Transfer or Exchange of Water
- Hydrographic Survey Reports
- Water Project Cost Estimates
- Water and Power Project Technical Reports
- Safety of Dams Documentation

Disposition: Permanent. Cut off at close of fiscal year when activity or agreement is completed. Transfer to NARA 15 years after cut-off. If a Responsible Records Officer determines that particular records in this category should be maintained at DOI longer than this period of time, an exception is permitted, but must be established as a documented standard and implemented consistently within the bureau and cannot exceed 30 years after cutoff.