

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 or special commitments to American Indians, Alaska Natives, and affiliated island communities. In accomplishing this mission, DOI records these activities, maintaining adequate and proper documentation of Department policies and transactions, through its comprehensive records management program. DOI serves its customers in the four broad areas of recreational uses, commercial uses, community services, and science for decision making. 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. Wildland Fire 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

For a high-level departmental organizational chart, visit:

<https://www.doi.gov/whoweare/orgchart>

Methodology:

The Department selected the Lines of Business applicable to its mission and operations, which were then divided among the categories of policy, mission, legal, and administrative buckets. Each bureau was asked to map the existing records retention schedules to the

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Department’s Lines of Business, which are listed below. The crosswalk showing updates to this schedule is attached.

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 (BOEM) 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). For inactive agency records located in off-site storage (e.g., Federal Records Centers, third-party vendors), this disposal authority applies on a “day-forward” basis from the date of schedule approval 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 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.

Note Regarding BIA, BTFA, and OHA Administrative Records

For the Bureau of Indian Affairs (BIA) and the Bureau of Trust Funds Administration (BTFA) records specific to the Indian Fiduciary Trust Responsibility and/or mission specific records will be scheduled separately. The Department’s Administrative Schedule will not be used to manage these records.

Similarly, records in the Office of Hearings and Appeals (OHA) identified in this administrative schedule are purely administrative and do not document or support decisions or case material in a substantive way. OHA records dealing with mission specific topics will be scheduled separately.

Note Regarding Other GRS Items

Although this schedule supersedes a large number of existing GRS and non-GRS administrative records schedules, there are many that are not affected. In some cases, existing schedules are

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obsolete, either due to age or because they address records or handling practices that are no longer accurate. However, there are many GRS items that remain active and in use, because laws or regulations prevent altering their disposition. This includes:

- GRS 1.1 012- Bids and proposals neither solicited nor accepted.
- GRS 2.1 021- Position Descriptions. Copies in employee Official Personnel File (OPF), Unofficial Personnel File (UPF), and supervisor's personnel file.
- GRS 2.1 022- Position Descriptions. All other related records
- GRS 2.1 090- Interview Records
- GRS 2.1 101- Political appointment (Schedule C) records, ethics pledges and waivers
- GRS 2.1 140- Pre-appointment Files (forward to correct office)
- GRS 2.1 141- Pre-appointment Files (forward to correct office)
- GRS 2.1 142- Pre-appointment Files (Employees not entering on duty)
- GRS 2.1 143- Pre-appointment Files (copies of records included in Job vacancy case file)
- GRS 2.2 040- (managed in eOPF)
- GRS 2.2.071- Performance (unacceptable)
- GRS 2.2 073- Performance (judicial procedures)
- GRS 2.2 092- Passports for separated or transferred employees (filing/transfer instructions)
- GRS 2.2 111- Volunteer Service Case Files(withdrawn or rejected applications)
- GRS 2.2 120- Skill Set records
- GRS 2.4 040- Agency payroll record for each pay period.
- GRS 2.4 101- Workers' Compensation (personnel injury compensation) records. Records of agencies that do not forward case file material to DOL for retention in DOL's master OWCP records.
- GRS 2.5 030- Records documenting capture of institutional and specialized knowledge
- GRS 2.5 040- OPF Separation records
- GRS 2.7 050- Safety Data Sheets
- GRS 2.7 060- Occupational Individual Medical case files(long-term)
- GRS 2.7 062- Occupational Individual Medical case files(short-term)
- GRS 2.7 090- Employee Assistance Program (EAP) counseling records.
- GRS 2.8 060- Public Financial Disclosure records
- GRS 2.8 061- Public financial Disclosure records
- GRS 2.8 062- Public financial Disclosure records
- GRS 2.8 063- Public financial Disclosure records
- GRS 2.8 070- Confidential Financial disclosures
- GRS 2.8 071- Confidential Financial Disclosures
- GRS 2.8 072- Confidential Financial Disclosures
- GRS 2.8 080- Alternative or Additional Disclosure records
- GRS 2.8 081- Alternative or Additional Disclosure records
- GRS 2.8 090- Financial Disclosure Supporting Documentation
- GRS 3.1 050- Permanent electronic records documentation
- GRS 3.2 060- PKI Administrative (FBCA CA)
- GRS 3.2 061- PKI Administrative (non FBCA-CA)
- GRS 3.2 062- PKI Transaction Specific records
- GRS 4.1 031- Copies of vital records.
- GRS 4.2 180- Virtual public access library records.

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GRS 4.2 192- Records of waivers of CUI requirements
GRS 4.2 193- Records of requests for decontrol and challenges to CUI designations.
GRS 4.4 020- Library operations records
GRS 5.2 010- Transitory records
GRS 5.2 020- Intermediary records
GRS 5.3 020- Employee emergency contact information
GRS 5.4 020- Real Property
GRS 5.4 030- Vehicle and equipment ownership records and operation manuals.
GRS 5.5 020- Mail, printing, and telecommunication services control records
GRS 5.6 021- Key and card access accountability records. All other facility security areas.
GRS 5.6 090- Facility Security Management Operations Records
GRS 5.6 121- Personal identification credentials and cards. Cards.
GRS 5.6 130- Temporary and local facility identification and card access records
GRS 5.6 170- Personnel Security Investigative Reports
GRS 5.6 171- Personnel Security Investigative Reports with delegated agreement
GRS 5.6 180- Personnel security and access clearance records. Records of people not issued clearances.

Note: Per Transmittal 31, DOI must offer any records created prior to January 1, 1921, to the National Archives and Records Administration (NARA) before applying disposition instructions in this Administrative Departmental Records Schedule, unless noted otherwise for specific items.

Schedule 1 - Administrative Records

The records in the administrative schedule document routine operations and administrative management functions carried out across the Department of the Interior that support government business, but do not directly document the performance of the agency's mission. Administrative records relate to common agency-wide functions such as: budget and finance, routine communications, information technology and services, payroll and benefits, personnel, procurement and supply, facilities management, and travel.

This schedule does not distinguish between types of media and should be considered media neutral. Many administrative 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 for administration. Though the retention does not differ, cut off and handling instructions may differ for records in other media than paper.

Overview of Departmental Records Schedule (DRS) 1:

1.1 - Administration

1.1A – [0001] Short-term Administration Records

1.1B – [0002] Long-term Administration Records

1.1C – [0003] Administration Records of Specific Temporary Value

1.2 Human Resources Management

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- 1.2A – [0004] Short-term Human Resources Records
- 1.2B – [0005] Long-term Human Resources Records
- 1.2C Retirement and Payroll Records Warranting Extended Preservation
 - 1.2C1 – [0006] Retirement Records
 - 1.2C2 – [0007] Vacant
 - 1.2C3 – [0008] Other Long-term Records
- 1.2D – [0009] Human Resources Records of Specific Temporary Value

1.3 Financial and Acquisition Management

- 1.3A – [0010] Short-term Financial and Acquisition Records
- 1.3B – [0011] Long-term Financial and Acquisition Records
- 1.3C – [0012] Financial and Acquisition Records of Specific Temporary Value

1.4 Information Technology

- 1.4A - Short-term Information Technology Records
 - 1.4A1 - [0013] System Maintenance and Use Records
 - 1.4A2 - [0014] System Planning, Design, and Documentation
- 1.4B – [0015] Long-term Information Technology Records

1.1 – Administration

This item provides disposition authority for all DOI activities devoted to the day-to-day management and maintenance of internal operations that are not associated with human resources/payroll, financial accounting and procurement, or information technology. These records cover a broad range of administrative functions which manage and support a program office, including routine office/housekeeping files; motor vehicle/fleet management; space and facilities management records; communications; printing, binding and duplication functions; information management (including FOIA, Privacy Act, and Records Management); administrative management; routine/draft photographs, cartographic records, and architectural/engineering drawings; audiovisual records; certain temporary commission records; and certain routine security and protective services records.

1. [0001] Short-term Administration Records

These records encompass administrative functions described above that are produced and maintained in the course of routine business, and do not reflect government business that is subject to additional preservation. Records in this item often provide input into more valuable administrative records, either as supporting documentation or as a submission for a more comprehensive record. Records are characterized by being necessary for day-to-day operations but not long-term justification of the office's activities.

There are numerous records covered under this item and compiling an exhaustive list would not be possible. Offices are responsible for creating a detailed file plan or similar document to note all records they create and maintain, including records in this category, and must work with their Responsible Records Officer to ensure that all records are appropriately identified and accounted for. 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.

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Routine Administration Files include:

1. Correspondence and subject files pertaining to the administration and operation of an administrative program (space and maintenance). Inventory requisition files (inventory lists/cards, report of survey files, and other papers used for adjustment of inventory records) and supply management records not included within a case file or other file. Reports pertaining to housing management, including expenditure, survey, collection, and other statistical and narrative data; Files pertaining to the inventory of items included in furnished units
2. Motor vehicle maintenance/operations; communications; printing/binding/duplication; information services; administrative management; security and protective services; and temporary commissions) which do not set policy or document mission-specific actions.
3. Records pertaining to the routine management, maintenance, and day-to-day operation of motor vehicles and aircraft used by agencies, except as identified by 0002 or in the DRS Mission Bucket Schedule. This includes maintenance records relating to service and repair; motor vehicle ledger and worksheets providing cost and expense data; reports on motor vehicles (including accident, operating, and maintenance reports). Includes SF 82, Agency Report of Motor Vehicle Data; Standard Form 91, Motor Vehicle Accident Report, Standard Form 94, Statement of Witness, Standard Form 95, Claim for Damage, Injury, or Death, and copies of investigative reports (see Exclusion for original investigative reports) and records relating to individual employee operation of Government-owned vehicles (driver tests, authorization to use, safe driving awards, and similar); and records that pertain to the day-to-day operation of aircraft operated by Federal agencies (documenting departures, takeoffs, and destinations, passengers on board, requests for flights, flight orders, aircraft flight logs, flight plans, and similar records). Note: Original accident reports and files are cut off after case is closed. (Note that certain records of the Office of Wildland Fire Coordination, the Office of Aviation Services, Fish and Wildlife Service, and the Bureau of Land Management are not covered under this item; see the DRS Mission Bucket Schedule for additional information). Exclusion: Records of the Federal Aviation Administration (FAA) and the National Transportation Safety Board (NTSB) relating to aircraft used by federal agencies, records of federal law enforcement and federal correctional activities, records of accidents or incidents in federal facilities involved in incarcerating or detaining individuals, and workers' compensation records.
4. Records relating to space and maintenance (acquisition, allocation, utilization, assignment, reports, and other forms/documentation). This includes agency reports to the GSA; correspondence/reports to staff agencies relating to agency space holdings and requirements; and credentials files (receipts, indexes, listings, and accountable records). This item does *not* cover: (a) records that are an integral part of accountable officers' accounts (0010 and 0011); (b) records of procurement and supply (0010 and 0011); (c) actual identification credentials (cards, badges, permits, photographs, etc.; see 0002); or (d) requests for building and equipment maintenance (see 0003).
5. Records documenting communication functions for an office, such as telecommunications. Specific records include telecommunications equipment requests and telephone service; statistical reports of cost, work performed, and volume; records of

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installation, change, removal, and servicing of equipment; copies of agreements for telecommunications services; telephone use records; correspondence, memoranda, directives, and guides relating to the administration of mail room operations. This item does NOT include Metered Mail (see 0002).

6. Records relating to printing, binding, duplication, and distribution such as requests for service, control, production, distribution of individual projects, report files, and other supporting records. These records pertain to the accomplishment of the job, containing requisitions, bills, samples, manuscript clearances, and related documents. This item **does not** cover (a) the record copy of printed materials; (b) records retained by agencies for onsite audit and agency copies which are part of the accountable officers' accounts (see 0010 and 0011); (c) records relating to services obtained outside the agency; and (d) records that reflect agency programs, rather than administrative management functions.
7. Department reports to the Congress, Department of Justice, or other entities regarding Freedom of Information Act (FOIA), Mandatory Declassification Requests (MDR), Privacy Act (PA), and similar access and disclosure programs. Note: This item does not apply to summary reports incorporating government-wide statistics. These must be scheduled separately by the summarizing agent.
8. Records pertaining to information services (but not information technology or systems administration) and relations with requests for information from the public. This includes Freedom of Information Act records (request files, recurring reports and one-time information requirements, and general agency implementation of the FOIA); Privacy Act records (request files, recurring/one-time reports, and agency implementation; Mandatory Review for Declassification files (request files, reports on agency implementation of the current Executive order on classified national security information, and other general agency implementation); and information service project case files. Records relating to administrative management activities, excluding personnel records, budget, and accounting, which are covered elsewhere (see 0004-0011). Included are management control records for routine operations of a program (reports and assurance statements created below the agency level, procedures and guidance files, risk analyses, control plans, and tracking files); records management activities limited to SF 115s Request for Records Disposition Authority (or similar record), records holdings files, and other routine correspondence; project and report control files; Administrative management report requirements records (exclusion: Final reports); and records documenting the processing of Federal Register Notices (other than proposed and final rules). Includes internal evaluations of accounting and administrative controls, mandated or governed by OMB Circulars A-123 and A-130,; Government Accountability Office's (GAO) Standards for Internal Control in the Federal Government (the "Green Book")
9. Security and protective services records including local copies of investigative files that are sent to other offices or agencies, and investigative files too minor to warrant such treatment.
10. Classified and Controlled Unclassified information accounting and control records (including forms, ledgers, and registers) documenting the presence, receipt, issuance, and destruction of classified documents; requests and authorizations for individuals to access classified files. This item does not cover the aforementioned records as they might pertain to Top Secret material (see 0002 and 0003)

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11. Facilities security and protective services, including reports of surveys/inspections of Government-owned facilities to ensure adequacy of protective and preventive measures taken against hazards of fire, explosion, and accidents, and to safeguard information and facilities against sabotage and unauthorized entry; investigative files of fires, explosions, and accidents submitted for review and filing in other agencies or organizational elements; reports concerning occurrences of such a minor nature that they are settled locally without referral to other organizational elements; files relating to guard assignments and strength (including requirements for posts); guard force security checks; guard service control files documenting regular rounds, interruptions, and tests; reports and ledger records of police arrests, cars ticketed, and contact with outside police; files relating to accountability for personal property lost or stolen over \$500 (for less than \$500, use 1.1.003); files relating to accountability for keys issued for areas under maximum security; logs used to record names of outside contractors, service personnel, visitors, employees admitted to areas, and reports on automobiles and passengers for areas NOT under maximum security. Key and card access accountability records of areas requiring highest level security awareness. Includes areas designated by the Interagency Security Committee as Facility Security Level V.
12. Case files documenting the processing of investigations on Federal employees or applicants for Federal employment, whether or not a security clearance is granted.
13. Emergency operations files, including case files accumulated by offices responsible for the preparation and issuance of plans and directives, including a copy of each plan/directive issued, and any related background documents. Also included are files concerning emergency operations tests conducted under agency plans. This item **DOES NOT** cover the official record copy of each emergency plan or directive or consolidated and comprehensive reports of emergency operations tests (see DRS Policy Bucket Schedule, DAA-0048-2013-0008).
14. Audiovisual and related records created by or for the Department for administrative purposes, and routine events or activities not mission related. Audiovisual records include all forms of such media, including still and motion picture photography, graphic materials, and sound and video recordings. Related documentation includes (1) production files or other files documenting the creation, justification, ownership, and rights to the records and (2) finding aids used to identify or access the records. **Note: Agencies must offer any cartographic and aerial photographic records created prior to January 1, 1950, to the National Archives and Records Administration (NARA) before applying this disposition authority.**
15. Workplace environmental monitoring and exposure records. Background data. (Occupational noise monitoring and exposure records). Results or measurements of monitoring workplace air, toxic substances, or harmful physical agents, including personal, area, grab, wipe, or other methods of sampling results. Excludes employee-specific exposure records, which are covered in Mission 2.1.
16. Legal and regulatory compliance reporting records referring to all other agency reports and internal reports by individual system owners to the Senior Agency Official for Privacy (SAOP).
17. Directory Service Files. Facility, space, vehicle, equipment, stock, and supply administrative and operational records.

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18. Privacy complaint file records and responses the Department receives in these categories: process and procedural (consent, collection, and appropriate notice), redress (inquiries seeking resolution of difficulties or concerns about privacy matters not specifically outlined in the Privacy Act), operational (inquiries regarding Privacy Act matters but not including Privacy Act requests for access and/or correction), and complaints referred to another organization.
19. Facility security assessment records of all facility security areas not including areas requiring highest level of security. These records include facility notes, inspector notes and reports, and vulnerability assessments. Includes areas designated by the interagency Security Committee as Facility Security Levels I through IV. **See note 1.**
20. Background data for workplace environmental monitoring and exposure records. Includes consensus standards, regulatory and non-regulatory documents associated with related data.
21. Library administrative records, documenting library planning, and management. Excludes Inter-Library Loan, which is covered in 0002.
22. Public affairs-related routine operational records including but not limited to logistics, planning, correspondence for routine conferences and events, and correspondence and records on speakers and speaking engagements, including biographies.
23. Ideation Tools Data Files electronic web-based system that allow individuals of the public to submit ideas or suggestions regarding the Department's role as custodian of public lands. Users are able to comment positively or negatively on all such ideas/suggestions, approving or disapproving of them.
24. Files relating to accountability for personal property lost or stolen; \$500 or less. **See note 2.**
25. Administrative records maintained in an agency office. Schedules of daily activities, EXCLUDING records relating to the official activities of high Government officials (see the DRS Policy Bucket Schedule, DAA-0048-2013-0008) and other records accumulated by individual offices that relate to the internal administration or housekeeping activities of the office rather than the functions/mission for which the office exists.

This item provides an exception for many GRS items of 3 years temporary retention or lower, unified under a single retention to increase accuracy and consistency of use by records custodians, and for ease of management in the Department's electronic records management system(s).

Exemptions to the GRS items include:

DAA-GRS-2017-0010-0005 (2.7 041)
DAA-GRS-2017-0010-0007 (2.7 043)
DAA-GRS-2016-0013-0003 (4.2 001)
DAA-GRS-2016-0002-0002 (4.2 030)
DAA-GRS-2019-0001-0004 (4.2 065)
DAA-GRS-2013-0007-0006 (4.2 070)
DAA-GRS-2013-0007-0023 (4.2 081)
DAA-GRS-2015-0003-0001 (4.4 010)

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DAA-GRS-2016-2016-0001 (5.1 010)
DAA-GRS-2016-0004-0001 (5.3 010)
DAA-GRS-2016-0011-0001 (5.4 010)
DAA-GRS-2016-0011-0011 (5.4 090)
DAA-GRS-2016-0011-0014 (5.4 110)
DAA-GRS-2016-0011-0015 (5.4 120)
DAA-GRS-2016-0011-0017 (5.4 140)
DAA-GRS-2016-0012-0001 (5.5 010)
DAA-GRS-2017-0006-0001 (5.6 010)
DAA-GRS-2017-0006-0002 (5.6 020)
DAA-GRS-2017-0006-0006 (5.6 050)
DAA-GRS-2017-0006-0007 (5.6 060)
DAA-GRS-2017-0006-0008 (5.6 061)
DAA-GRS-2017-0006-0011 (5.6 081)
DAA-GRS-2017-0006-0013 (5.6 100)
DAA-GRS-2017-0006-0015 (5.6 111)
DAA-GRS-2017-0008-0001 (5.7 010)
DAA-GRS-2017-0008-0004 (5.7 040)
DAA-GRS-2017-0012-0004 (5.7 070)
DAA-GRS-2017-0012-0005 (5.7 080)
DAA-GRS-2016-0005-0001 (6.4 010)
DAA-GRS-2016-0005-0006 (6.4 050)
DAA-GRS-2017-0002-0001 (6.5 010)

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

Note 1: For Records about authorizing and managing report requirements and parameters, retention is after the report is discontinued, but longer retention is authorized if required for business use.

Note 2: For unclaimed personal property records valued at \$500 or less, cutoff 6 months after the property is found. Destroy when no longer needed after cut-off.

2. [0002] Long-term Administration Records

This disposition applies to administrative records that require additional retention, generally to conform to preservation standards in specific regulations, policies, or other legal/statutory requirements. These records may be more comprehensive and complete records, involve interaction with the public in a manner that necessitates longer protections, or support a financial obligation (though these are most frequently covered by 0011).

Though records in this category are more specific than those identified under 0001, it is still a broad group of documents, and an exhaustive list may not be feasible. If not addressed below, offices must coordinate with their Bureau Records Officer to determine if this item is appropriate, and include such records under their office file plan, or similar documentation.

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Specific records under this category include:

1. Records that document logistical support relating to flying activities, such as furnishing supplies, equipment, administrative assistance, and other needed logistics services; comments on regulations, directives or other publications that relate to logistics matters; records relating general maintenance activities, modifications, or improvements designed to meet programmed requirements; records on specific aircraft, including logbooks, aircraft engine records, inspection and maintenance records, preventive maintenance inspections, diagnostic checkouts, spot check inspections, modifications/alterations, and maintenance requests.
2. Official metered mail reports and all related papers.
3. Records pertaining to information services (but not information technology or systems administration) and information requests from the public. This includes Freedom of Information Act, Privacy Act, and Mandatory Review of Declassification requests when the request is appealed and/or denied. **See note 1.** Files maintained for control purposes in responding to FOIA, Privacy Act, and Mandatory Review for Declassification requests; Privacy Act Amendment case files; and files regarding the erroneous release of personally identifiable information (when not associated with a specific individual's file). This DOES NOT include Privacy Act Accounting of Disclosure files or erroneously released files associated with a specific individual's records. Records of accounting for and controlling access to records requested under FOIA, PA, and MDR documenting identity of, and internal routing, control points, and accountability for information to which access has been requested. These records include forms, registers, ledgers, logs, and tracking systems documenting requester identity and contact information, request date, and nature or purpose of request, inventories, forms accompanying documents to ensure continuing control, showing names of people handling the documents, inter-office routing, and comparable data, agent and researcher files. **See note 2 for access and disclosure cutoffs.**
4. Records relating to particular administrative management activities, including general records management projects/activities not mentioned in 0001. Includes Agency Financial Report (AFR), Performance and Accountability Report (PAR), or equivalent, Agency Financial Report (AFR), Performance and Accountability Report (PAR), or equivalent, Annual Performance Plan, Annual Performance Report, or equivalent, Statement of Assurance (per FMFIA), or equivalent, information collection clearances, report on financial management systems' compliance with requirements (per FMFIA), or equivalent, report on internal controls for corporations covered by the Government Corporation Control Act (per CFOA), No FEAR Act reports, service organization auditor report or equivalent, annual strategic review, identified material weaknesses and corrective actions report, improper payments and premium class travel reports; Reports on property provided to nonfederal recipients, school and nonprofit educational institutions, feeder reports to the Status of Telework in the Federal Government Report to Congress and GSA fleet reports, E-Government status and compliance report (background and research records, submission packets and compilations, related files) Information Collection reviews and budget files. Note that this item does not cover audits or internal control reviews (see DRS Legal, Regulatory Compliance, and

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- Enforcement Bucket Schedule – DAA-0048-2014-0001) program monitoring, or policies/directives (see DRS Policy Bucket Schedule – DAA-0048-2013-0008).
5. Security and protective services records created by agencies to control and protect classified information, and to secure government facilities, limited to: Top Secret accounting and control files; registers maintained at control points to account for Top Secret documents (including receipt, dispatch, or destruction of the documents); surveys and inspections of private facilities assigned security cognizance by the Department; registers or logs used to record names of outside contractors, service personnel, visitors, employees admitted to areas; and reports on automobiles and passengers for areas under maximum security. **See note 3. Note: All records created prior to January 1, 1939 must be offered to NARA before applying this disposition.**
 6. Security files for the protection of Top Secret and Classified documents, specifically: forms accompanying documents to ensure continuing control/persons handling. **See note 3.**
 7. Personnel identification. Current personnel credentials, building access, and property access files, including receipts, indexes, listings, and accountable records for personnel credentials files. **Note: Agencies must offer any records created prior to January 1, 1939, to the National Archives and Records Administration (NARA) before applying disposition instructions in this schedule.**
 8. Records Management Program Records. Records Management Files. Records Management Program records. Microfilm Inspection records- re: permanent records. Records management activities limited to SF 115s Request for Records Disposition Authority (or similar record), records holdings files, and other routine correspondence; project and report control files; and records documenting the processing of Federal Register Notices. Records Management Program Records. Records Disposition Files - Basic documentation - Other records.
 9. Privacy Act accounting of disclosure files maintained under the provisions of 5 U.S.C. §552a(c) for an accurate accounting of the date, nature, and purpose of each disclosure of a record to any person or to another Department. These include forms with the subject individual's name, records of the requester's name and address, explanations of the purpose for the request, date of disclosure, and proof of subject individual's consent.
 10. Facility design, engineering, and construction operations records documenting operational support of facility design, engineering, and construction projects including project requests and approvals, meeting agendas, minutes, and other records, budget and cost working files, task, punch, and action item lists, work logs, progress reports and presentation materials, and related correspondence and notes.
 11. Personal identification credentials and PIV cards. Application, activation and supporting documentation records. Credentials files; Identification credentials. **Note: Agencies must offer any records created prior to January 1, 1939, to the National Archives and Records Administration (NARA) before applying this disposition authority.**
 12. CUI program implementation records of overall program management including records documenting the process of planning agency policy and procedure, agency submissions to the CUI Executive Agent of authorities (laws, Federal regulations, or Government-wide policies containing safeguarding or dissemination controls) the agency proposes to include in the CUI Registry to designate unclassified information as CUI, agency submissions to the CUI Executive Agent of proposed laws, Federal regulations, or

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- Government-wide policies that would establish, eliminate, or modify a category of CUI, or change information controls applicable to CUI, correspondence with CUI Executive Agent. Excluded: 1: CUI directives and formal policies (See Policy Schedule). 2: Records of CUI self-inspections (GRS 5.7, item 020 covers these). Exclusion 3: Records of annual program reports to the CUI Executive Agent (GRS 5.7, item 050 covers these).
13. CUI information sharing agreements in which agencies agree to share CUI with non-executive branch entities (e.g., state and local police) and foreign entities that agree to protect the CUI.
 14. Records of request for decontrol and challenges to CUI designations filed separately from the record-keeping copy of the CUI-marked records.
 15. Records of CUI misuse. Allegations of CUI misuse, records of internal investigations, communications with and reports of findings from the CUI Executive Agent, and records of corrective actions. Exclusion: If the agency assigns such investigations to its Inspector General (IG), the agency schedule for IG records covers the records created in the IG office.
 16. Fundamental classification guidance review files. Reports, significant correspondence, drafts, received comments, and related materials responding to “fundamental classification guidance review” as required by Executive Order 13526 Section 1.9. Note: This item does not cover reports and correspondence received at the Information Security Oversight Office (ISOO).
 17. Areas requiring highest level of security awareness. Facility and physical security access records; Visitor processing records. Logs and registers, central master logs, individual posts. Facilities security and protective services, including reports of surveys/inspections of Government-owned facilities to ensure adequacy of protective and preventive measures taken against hazards of fire, explosion, and accidents, and to safeguard information and facilities against sabotage and unauthorized entry.
 18. Technology management administrative records for day-to-day, routine information, including briefings, reports, presentations, and studies not related to high-level decision making. Excludes Chief Information Officer records.
 19. Inter Library-Loan (ILL) requests.
 20. Short-term Public Affairs files. All supporting records relating to congressional relations that do not warrant permanent retention.
 21. Forms files (one record copy of each form created by an office with related instructions and documentation), Forms files, background materials and forms management records.
 22. Vital or essential records program involved in planning, operating, and managing the Department’s vital or essential records program including vital records inventories, vital records cycling plans, results of tests, surveys, or evaluations, reports of corrective action taken in response to agency vital records tests. Includes employee directories noting facility location and work number used in emergencies.
 23. Committee Management Files that relate to day-to-day Commission activities for temporary commissions, boards, councils and committees (including continuing entities governed by renewable charters such as agency advisory committees), including correspondence, reference and working files of Commission staff, copies of committee records (agendas, meeting minutes, final reports) not maintained by the sponsor or Secretariat.

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24. Personnel security and access clearance records of people issued clearances. Case files documenting the processing of investigations on Federal employees or applicants for Federal employment when a security clearance is granted. **See 0003 Admin. Specific Temporary for clearances not granted.**

This item provides an exception for several GRS items of 7 years temporary retention or lower, unified under a single retention to increase accuracy and consistency of use by records custodians, and for ease of management in the Department's electronic records management system(s).

Exemptions to the GRS items include:

DAA-GRS-2016-0013-0002 (3.1 001)
DAA-GRS-2013-0002-0007 (4.1 020)
DAA-GRS-2013-0002-0008 (4.1 030)
DAA-GRS-2013-0002-0009 (4.1 040)
DAA-GRS-2016-0002-0001 (4.2 020)
DAA-GRS-2016-0002-0004 (4.2 040)
NC1-64-77-1 item 27 (4.2 050)
DAA-GRS-2015-0002-0001 (4.2 060)
DAA-GRS-2015-0002-0002 (4.2 061)
DAA-GRS-2013-0007-0007 (4.2 090)
DAA-GRS-2019-0001-0005 (4.2 190)
DAA-GRS-2019-0001-0006 (4.2.191)
DAA-GRS-2019-0001-0008 (4.2.194)
DAA-GRS-2019-0001-0009 (4.2.195)
DAA-GRS-2015-0003-0003 (4.4 030)
DAA-GRS-2016-0011-0007 (5.4 060)
DAA-GRS-2016-0011-0013 (5.4 100)
DAA-GRS-2016-0011-0016 (5.4 130)
DAA-GRS-2016-0012-0003 (5.5 030)
DAA-GRS-2017-0006-0010 (5.6 080)
DAA-GRS-2017-0006-0014 (5.6 110)
DAA-GRS-2017-0006-0016 (5.6 120)
DAA-GRS-2017-0006-0025 (5.6 181)
DAA-GRS-2017-0008-0005 (5.7 050)
DAA-GRS-2015-0001-0004 (6.2 040)
DAA-GRS-2015-0001-0006 (6.2 060)

Note that program offices dedicated to control, oversight, and execution of an administrative function for the entire Department may have records which require a longer retention than what is listed here. Consult your records liaison or Responsible Records Officer for additional information before applying this disposition for records pertinent to the Department as a whole.

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Disposition: Temporary. Cut off record as instructed in the agency/bureau records manual, or at end of fiscal year in which files are closed if no unique cut-off is specified. Destroy 7 years after cut-off.

Note 1: Unique cut-off for FOIA appeals or litigation is when case is closed or resolved.

Note 2: For access and disclosure request files (e.g., FOIA), cut off after final agency action or 3 years after final adjudication by the courts, whichever is later.

Note 3: For accounting for and control of access to classified records and controlled unclassified information requested under FOIA, PA, and MDR, cut off after date of last entry, final adjudication by courts, or final action by agency (such as downgrading, transfer or destruction of related classified documents, or release of information from controlled unclassified status), as may apply, whichever is later.

[0003] Administration Records of Specific Temporary Value

These records are necessary to provide accountability for a specific administrative function or functions but are not necessary immediately after fulfillment of that purpose, and often cannot be legally retained beyond that task or duty for any substantial length of time. Even when not required, preservation of such documents may weaken active records.

Records that are filed under this category must be carefully identified and approved by a Bureau Records Officer for inclusion if they are not specifically referenced in the following list.

Records under this category include:

1. Current building access files (key or code records, emergency call cards, employee identification cards, and lists or rosters showing current security clearance status of individuals); property pass files authorizing removal of property and materials.
2. Records tracking completion of custodial and minor repair work. Facility, space, and equipment inspection, maintenance, and service records. **Note: Agencies must offer any records created prior to January 1, 1939, to the National Archives and Records Administration (NARA) before applying this disposition authority.**
3. Drawings of temporary relevance to facilities/space management, such as: architectural drawings of temporary structures or buildings not critical to a mission function; drawings of electrical, plumbing, heating, air conditioning, or other facilities systems; and floor plans indicating occupancy of a building.
4. Inventories of federal records, library catalogs/finding aids, and other tracking and control records superseded by new versions. Tracking and Control Records. Finding Aids or indexes including for Temporary Audiovisual Records.
5. Access control records, including lists/forms used to record safe and padlock combinations, names of individuals with access, instances of access to documents, and other data controlling access to document containers.
6. Arms distribution sheets, charge records, and receipts. Uniform and equipment tracking for security personnel. Exclusion: Does not apply to uniform and equipment tracking records for federal law enforcement and correctional officers. federal law enforcement

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includes border and transportation security and immigration and naturalization services.
See Note 1.

7. Records for internal agency committees unrelated to an agency's mission.
8. Certain records created by advisory commissions/committees (more fully described in the DRS Policy Bucket Schedule), including electronic version of websites, design/management/operation of websites, and duplicated commission records.
9. Notices and issuances related to administrative functions (e.g., payroll, procurement, training, travel, etc.), including any substantive documents related to development of the issuance.
10. General information request files for information, publications, photographs, and other information involving no administrative action, policy decision, or special compilations or research. Also includes acknowledgements, replies, and referrals of inquiries to other offices for response. **See note 2.**
11. Draft, preliminary, intermediate, working, and contract negotiation drawings of facility design, engineering, and construction records. Architectural and engineering drawings and other design and construction records of buildings and structures not critical to agency mission, including office buildings, storage sheds, parking lots, maintenance shops, and service structures. These include site maps and surveys, plot plans, structural drawings, architectural renderings, electricity, plumbing, communication services, and heating/ventilation/air conditioning (HVAC) drawings, exterior delivery of utilities drawings, materials plans and drawings, minor routine part drawings such as fasteners, nuts, bolts, wires, screws, nails, pipe fittings, brackets, struts, plates, and beams, construction progress photographs, construction inspection reports, equipment location plans, paint plans and samples, furniture design and layout drawings and plans, and space occupancy plans. Excludes: Records documenting financial management of construction contracts and records documenting buildings deemed historically, architecturally, or technologically significant (agencies must schedule these because they may be of permanent value). **See note 3.**
12. Index to the personnel security case files.
13. Validation records for digitized temporary records used to document (validate) that the digitized versions of temporary records are of suitable quality to replace original source records. Includes, but is not limited to standards and procedures records used to document that the agency has met validation process requirements, such as: quality management plans describing quality assurance objectives, quality control (QC) protocols, and format-specific instructions. Records documenting validation actions, such as: equipment calibration and test reports, image quality testing result, QC plans, procedures, and reports. Excludes validation records for digitized permanent records. Source records are covered elsewhere in this schedule.
14. Files relating to guard assignments and strength (including requirements for posts); guard force security checks; guard service control files documenting regular rounds interruptions, and tests.
15. Customer/client records of distribution lists for delivery of goods and services. Includes contact information, subscription databases, outreach lists, sign-up, request, and opt-out forms.
16. Public correspondence and communications not requiring formal action; Commendation/Complaint Correspondence Files.

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17. Public affairs product production files. Indexes, check lists; cartographic records prepared during intermediate stages of publication, routine artwork, sound elements, rehearsal or practice tapes. All associated records superseded by final version. Routine media relations records. news recordings available to local radio stations. **Note: Agencies must offer any cartographic and aerial photographic records created before January 1, 1950, to the National Archives and Records Administration (NARA) before applying this disposition authority.**
18. Non-substantive Committee Records. Records related to specific committees that are of an administrative nature or are duplicative of information maintained elsewhere.
19. Files that relate to day-to-day Commission activities for temporary commissions, boards, councils and committees (including continuing entities governed by renewable charters such as agency advisory committees), including correspondence, reference, and working files of Commission staff, copies of committee records (agendas, meeting minutes, final reports) not maintained by the sponsor or Secretariat.

Note that any security files involved in investigations must be retained in accordance with the investigation (see DRS Legal, Regulatory Compliance, and Enforcement Bucket Schedule).

Prior to destruction/deletion of non-duplicate commission records, NARA will review records and may identify portions that warrant permanent retention.

GRS item deviations include:

DAA-GRS-2013-0002-0016 (4.1 010)
DAA-GRS-2019-0003-0001 (4.1 050)
DAA-GRS-2013-0007-0001 (4.2 010)
DAA-GRS-2013-0007-0020 (4.2 031)
DAA-GRS-2016-0002-0003 (4.2 032)
DAA-GRS-2016-0016-0003 (5.1 030)
DAA-GRS-2016-0011-0005 (5.4 050)
DAA-GRS-2016-0011-0006 (5.4 051)
DAA-GRS-2016-0011-0009 (5.4 071)
DAA-GRS-2017-0006-0004 (5.6 030)
DAA-GRS-2017-0006-0005 (5.6 040)
DAA-GRS-2017-0006-0026 (5.6 190)
DAA-GRS-2017-0008-0003 (5.7 030)
DAA-GRS-2015-0001-0005 (6.2 050)
DAA-GRS-2016-0005-0002 (6.4 020)
DAA-GRS-2016-0005-0003 (6.4 030)
DAA-GRS-2016-0005-0004 (6.4 040)
DAA-GRS-2017-0002-0002 (6.5 020)

Disposition: Temporary. Cut off at when the object or subject the records refer to is removed/discontinued (e.g., commission terminated, register/list superseded, temporary

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structures removed, etc.). See specific bureau/office instructions for individual cases. Retain for 90 days and destroy when no longer needed.

Note 1: For Uniform and equipment tracking records, destroy 6 months after return of equipment. Destroy when no longer needed.

Note 2: General information requests Cut off when 90 days old. Destroy when no longer needed.

Note 3: For Facility design, engineering, and construction records. Final and as built and all other records, cut off when superseded, transferred to new owner, or when structure is removed from Federal inventory as appropriate. Destroy when no longer needed.

1.2 – Human Resources Management

This item provides disposition authority for all DOI activities associated with the recruitment and management of personnel, except an employee's Official Personnel Folder, Individual Payroll Record, and Employee Medical Folders. These records remain covered by the GRS.

Records covered by this item include agency personnel records relating to the supervision and management of Federal employees; payroll and pay administration records; and housing records accumulated in the maintenance and management of Federally owned and operated housing facilities for civilian employees of the Federal Government, military personnel, and others eligible by law to reside in the projects.

Certain housing records are subject to other items in this schedule. Supply and fiscal files are covered by 0010 and 0011, as are many records of agent cashiers serving as housing rental managers. Facilities, building, and equipment management records associated with government housing are covered by 0001 and 0002. See those items for additional information.

A. [0004] Short-term Human Resources Records

These records encompass human resources/payroll files described above that are not needed for extended preservation. Records are characterized by being necessary for day-to-day operations but not long-term justification of the office's activities.

There are numerous records covered under this item, and compiling an exhaustive list is not feasible. Offices are responsible for creating a detailed file plan or similar document to note all records they create and maintain, including records in this category, and must work with their Responsible Records Officer to ensure that all records are appropriately identified and accounted for. The following list is an 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

Specific records in this category include:

1. Correspondence, reports, and other records relating to personnel operations and functions. Employee management administrative records. Records on routine office program support, administration, and human resources operations. Annual reports concerning official passports.
2. Service Record Cards.

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3. Position Classification files, including standards, guidelines, correspondence and other records used to develop, classify and evaluate positions; position descriptions; position classification surveys; classification survey reports; and classification appeals (excluding OPM classification certificate and case files.) Position Classification Appeals: Certificates of classification issued by OPM stating final decision of position classification appeal. **See note 1.**
4. Immigration and Naturalization Service Form I-9 (or equivalent). Note: Cut off after separation/transfer.
5. Awards records, including general awards files (recommendations/nominations, etc.); length of service and sick leave awards; letters of commendation/appreciation; and reports for the Incentive Awards Program. This item DOES NOT include records for department-level awards.
6. Standard Form 50 or equivalent, documenting all individual personnel actions.
7. Statistical reports in operating a personnel office and subordinate units.
8. Personnel office records relating to individual employees not maintained in eOPF and not provided for elsewhere in this schedule.
9. Health unit records, including Logs or registers reflecting daily number of visits to dispensaries, first aid rooms, and health units, if information does not include summarized medical information about individuals; temporary or short-term employee medical records; and copies of statistical summaries and reports pertaining to employee health, retained by the reporting unit. Reasonable Accommodation Request and/or assistive technology devices and services. These records include request, approvals, denials, notice of procedures for informal dispute resolution or appeal processes, forms, correspondence, records of oral conversations, policy guidance documents, medical records, and supporting notes and documentation.
10. Certain Equal Employment Opportunity (EEO) files, including preliminary and background files not filed in the Official Discrimination Complaint Case Files or which do not develop into official complaint files; copies of complaint case files; and employee housing requests. Note: Official Discrimination Complaints Case Files, EEO Compliance Reports, and most other EEO functions are covered in Long Term Human Resources.
11. Alcohol and Drug Abuse Program records.
12. Employee relations program administrative records documenting routine activities related to programs such as reasonable accommodation, displaced employees, telework/alternative worksite opportunities, anti-harassment, informal Alternative Dispute Resolution (ADR) cases, Equal Employment Opportunity (EEO), and other avenues for settling disputes. These records include program related correspondence, copies of statutes, regulations, directives and instructions, timetables and guidelines for processing case files and appealing decisions, planning records, meeting minutes, program evaluations and reports to senior management, statistical records tracking program participation and participants, records tracking programs' compliance with relevant Executive Orders and other requirements, records arranging for outside mediator and facilitator involvement in case settlements, Note: for all formal case files, see Long Term Human Resources section.
13. Background and working files relating to agency-sponsored training.
14. Forms, reports, correspondence, and related medical and investigatory records concerning on-the-job injuries, whether or not a claim for compensation was made, EXCLUDING

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copies filed in the Employee Medical Folder and copies submitted to the Department of Labor.

15. Vacancy case files/application packages. Records of one-time competitive and Senior Executive Service announcements/selections. Records of standing register competitive files for multiple positions filled over a period of time. Job Application packages for competitive positions, using copies from within USAJobs or its successors, and other systems including applications, resumes, supplemental forms and other attachments. **See note 2.**
16. All examining and certification records except lost or Exposed Test Material Case Files (0005), correspondence/notices from eligible indicating a change in information (0009), test material stock control (0009), application record card (0009), and transitory/draft/input records. Included in this broad category of records are: delegated agreements; correspondence concerning applications, certification of eligibles, and all other examining and recruiting operations; correspondence regarding examination requirements and job announcement development and publishing; register or inventory of eligibles; letters to applicants denying transfer of eligibility; applications for positions filled from a register/inventory, or filled by case examining; request for prior approval of personnel actions taken by agencies on such matters as promotion, transfer, reinstatement, or change in status; pre-appointment information in vacancy case files; Certificate Files, and all papers upon which the certification was based; certification request control index and certificate control log system; records pertaining to requests for lists of eligible; reports of audits of delegated examining operations.
17. Denied health benefits requests (applications, court orders, denial letters, appeal letters, and related papers). If denial was successfully appealed, an enrollment file is created and this item is not used.
18. Workplace Drug Testing Program Files (drug test plans and procedures, selection/scheduling records, records concerning the collection and handling of specimens, and all test results. **See note 3.** This item DOES NOT include formal directives/policy (see DOI Big Bucket Schedule 3 - Policy), any disciplinary case files that arise from drug testing program activities (see DRS Legal, Regulatory Compliance, and Enforcement Bucket Schedule – DAA-0048-2014-0001), or employee forms acknowledging receipt of notice that their position is sensitive for drug testing purposes (see 0009 of this schedule).
19. Donated Leave Program Case Files
20. Donated leave program administrative records.
21. Correspondence, memoranda, and other records used to assist retiring employees/survivors claim benefits.
22. Records created under implementation of the Federal Employees Pay Comparability Act
23. Alternate Worksite Records and Telework files (requests/application, agreements, and similar records documenting participation in an alternate worksite program)
24. Leave application files when an employee has not initialed timecard or equivalent
25. All time and attendance records in which leave input data is based (sign-in sheets, ecards, flex-time records, leave applications for jury and military duty, authorized overtime or other similar records.
26. Combined Federal Campaign individual allotment, and other allotment authorizations

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27. Levy and Garnishment files (notices, change slip, release, and other records or forms used to pay federal employee debt)
28. Payroll system reports for agency workload, personnel management, and fiscal information. System reports for the operation of a system are filed in 0015.
29. Payroll change records subject to GAO audit.
30. Housing maintenance and repair files (work orders, requisitions, summarized information/ledger record, and related papers). **Note: Agencies must offer any records created prior to January 1, 1939, to the National Archives and Records Administration (NARA) before applying disposition instructions in this schedule.**
31. Reports pertaining to housing management, including expenditure, survey, collection, and other statistical and narrative data.
32. Copies of leases, renewals, termination notices, and related documents
33. Housing assignment and vacancy files, including individual housing unit cards or equivalent and individual tenant cards.
34. Files pertaining to the inventory of items included in furnished units.
35. Special hiring authority program records created or received by the Department that document its administration of special hiring authority programs such as summer, student, intern, and other temporary hiring authorized by OPM. Includes records related to individual employees hired under special temporary authority including participant agreement, records of mentoring, documentation that employee fulfilled educational and other requirements, and conversion to a permanent position. **See note 4.**
36. Adverse impact files. Records revealing either adverse or no adverse impact of selection procedures to employment and selection opportunities.
37. Recruitment records documenting agency in-person and on-line recruitment efforts at career fairs, job fairs, visits to colleges, and similar venues. These include records documenting planning and logistics of individual recruitment events; record copy of advertisement and materials for distribution (see exclusion 2); contact information and interest areas collected from potential job candidates; recruitment event reports; correspondence with prospective candidates. (Exclusion 1: Military recruitment advertising records must be scheduled by military establishments. Exclusion 2: Recruitment posters must be scheduled by agencies.)
38. Phased retirement administrative records relating to managing the program including procedural guidance on program administration, information/marketing/publicizing materials, general correspondence, reports to OPM, memoranda of understanding (MOU) and significant documentation of bargaining unit negotiations, documentation of program structure and details as uniquely instituted by the Department.
39. Phased retirement individual case files including application for immediate retirement, evidence of eligibility, reviews/ recommendations by supervisor and others, notice of approval or disapproval, retirement benefit estimates, annuity calculations, phased retirement agreement, records documenting knowledge transfer activities, confidentiality agreement with mentees, action/project plans and logs, and correspondence. Note: If files are kept with the employee's retirement file, retain according to retirement file retention
40. Training program records about planning, assessing, managing, and evaluating an agency's training program. May include plans, reports and program evaluations, organizational and occupational needs assessments, employee skills assessments, employee training statistics, notices about training opportunities, schedules, or courses,

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- mandatory training tracking and reporting files, logistics and coordination documents, Authorization, Agreement and Certification of Training (SF-182) and similar records, registration forms, employee attendance records, syllabi, presentations, instructor guides, handbooks, and lesson plans, reference and working files on course content, other course materials, such as presentation and videos, student, class or instructor evaluations.
41. Separation program management records for separation initiatives such as reduction-in-force, voluntary early retirement, voluntary separation, and similar programs.
 42. Federal Labor Relations Authority (FLRA) case files concerning representation, unfair labor practices, negotiability, and review of arbitration awards.
 43. Family Medical Leave Act program administrative records and individual case files.
 44. Records used to input time and attendance data into a payroll system; Leave application files, and employee leave record, when held by the creating agency.
 45. Records of standing register competitive files for multiple positions filled over a period of time. Examining and Certification Records - Test answer sheets; Record Card (OPM Form 5000A, or equivalent. **See note 1.**
 46. Records of one-time competitive and Senior Executive Service announcements/ selections. Change of address/status notes from eligibles. **See note 2.**
 47. Request for non-competitive personnel action. The Department's copy of request submitted to OPM for approval of non-competitive personnel action on such matters as promotion, transfer, reinstatement, or change in status.
 48. Workforce and succession planning records about workforce planning and analysis, including succession planning, developed in support of executive-level and other agency planning initiatives including planning and analysis models, planning data, briefing materials, studies and surveys, lists of functions and staff at key locations
 49. Merit Systems Protection Board (MSPB) case files. Civil Service Reform Act appeal case files involving actions appealable to MSPB per 5 CFR 1201.3. These records may include petitions for appeal, Departments' responses to petitions, hearing notices, transcripts, testimony, briefs, exhibits, MSPB initial decisions, petitions for review, responses of opposing party to petition, orders granting or denying intervention, and MSPB final opinions, orders, and decisions.
 50. Employee Assistance Program (EAP) counseling records *not* related to performance or conduct. Performance-related counseling is 1.2.0005.
 51. Volunteer service program administrative records including documenting routine administration, internal procedures, and general activities, including general correspondence and annual reports on volunteer activities.
 52. Short-term records of Occupational individual medical case files also referred to as Employee Medical Folders (EMFs), Occupational Safety and Health Administration (OSHA) medical records, and medical surveillance records. These records include personal and occupational health histories, opinions and written evaluations generated in the course of diagnosis and employment-related treatment/ examination by medical health care professionals and technicians, employee-specific occupational exposure records, which include employee-specific occupational records (exposures include, but are not limited to, gases, liquids, vapors, mists, dust particles and noise), and employee audiometric testing records. Note: For those entities subject to OPM's requirements, OPM determines which of these records are long-term and which are short-term records. For guidance on which records qualify for this category, follow OPM guidance.

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- 53. Government Purchase Card and Travel Credit Card Application and Approval records.
- 54. Political appointment (Schedule C) records. Records related to non-appointees.
- 55. Vaccination attestations and proof of vaccination records of federal employees and contractors and visitors. Note: If agencies file federal employee and contractor records in occupational health files, use the disposition authority for occupational health files instead.
- 56. Symptom screening and testing records of federal employees, contractors, and visitors.
- 57. Deposit Sign-up Form (SF 1199A or equivalent), Form TSP-1 or equivalent, or other forms authorizing deductions for employee pay changes.

This item provides an exception for many GRS items of 3 years temporary retention or lower, unified under a single retention to increase accuracy and consistency of use by records custodians, and for ease of management in the Department's electronic records management system(s).

Exemptions to the GRS items include:

- DAA-GRS-2018-0003-0001 (1.1 090)
- DAA-GRS-2014-0002-0002 (2.1 020)
- DAA-GRS-2014-0002-0004 (2.1 030)
- DAA-GRS-2014-0002-0005 (2.1 040)
- DAA-GRS-2017-0011-0001 (2.1 050)
- DAA-GRS-2017-0011-0002 (2.1 051)
- DAA-GRS-2014-0002-0011 (2.1 060)
- DAA-GRS-2014-0002-0013 (2.1 080)
- DAA-GRS-2014-0002-2015 (2.1 102)
- DAA-GRS-2014-0002-0019 (2.1 111)
- DAA-GRS-2014-0002-0016 (2.1 120)
- DAA-GRS-2014-0002-0017 (2.1 130)
- DAA-GRS-2014-0002-0021 (2.1 150)
- DAA-GRS-2014-0002-0022 (2.1 160)
- DAA-GRS-2018-0008-0001 (2.1 170)
- DAA-GRS-2018-0008-0002 (2.1 171)
- DAA-GRS-2018-0008-0003 (2.1.180)
- DAA-GRS-2017-0007-0001 (2.2 010)
- DAA-GRS-2017-0007-0002 (2.2 020)
- DAA-GRS-2017-0007-0003 (2.2 030)
- DAA-GRS-2017-0007-0007 (2.2 060)
- DAA-GRS-2017-0007-0015 (2.2 100)
- DAA-GRS-2018-0002-0001 (2.3 010)
- DAA-GRS-2018-0002-0002 (2.3 020)
- DAA-GRS-2018-0002-0004 (2.3 040)
- DAA-GRS-2018-0002-0007 (2.3 070)
- DAA-GRS-2018-0002-0011 (2.3 100)
- DAA-GRS-2015-0007-0007 (2.3 110)
- DAA-GRS-2019-0004-0001 (2.4 010)

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DAA-GRS-2016-0015-0003 (2.4 030)
DAA-GRS-2016-0015-0006 (2.4 060)
DAA-GRS-2016-0015-0007 (2.4 061)
DAA-GRS-2016-0015-0008 (2.4 070)
DAA-GRS-2016-0015-0009 (2.4 071)
DAA-GRS-2016-0015-0011 (2.4 090)
DAA-GRS-2016-0015-0012 (2.4 100)
DAA-GRS-2016-0015-0014 (2.4 111)
DAA-GRS-2016-0015-0019 (2.4 140)
DAA-GRS-2016-0015-0020 (2.4 141)
DAA-GRS-2014-0004-0002 (2.5 011)
DAA-GRS-2014-0004-0003 (2.5 020)
DAA-GRS-2016-0007-0001 (2.5 050)
DAA-GRS-2016-0007-0002 (2.5 051)
DAA-GRS-2016-0014-0001 (2.6 010)
DAA-GRS-2017-0010-0001 (2.7 010)
DAA-GRS-2017-0010-0010 (2.7 061)
DAA-GRS-2021-0003-0001 (2.7 063)
DAA-GRS-2021-0003-0002 (2.7 064)
DAA-GRS-2021-0003-0003 (2.7 065)
DAA-GRS-2021-0003-0004 (2.7 066)
DAA-GRS-2017-0010-0013 (2.7 080)
DAA-GRS-2017-0010-0016 (2.7 100)
DAA-GRS-2017-0010-0018 (2.7 120)
DAA-GRS-2017-0010-0019 (2.7 130)
DAA-GRS-2017-0010-0020 (2.7 131)
DAA-GRS-2016-0011-0001 (5.4 010)
DAA-GRS-2016-0011-0008 (5.4 070)
DAA-GRS-2016-0011-0010 (5.4 080)

Disposition: Temporary. Cut off record as instructed in the agency/bureau records manual, or at the end of the FY in which the record is created if no unique cut-off is specified. Destroy 3 years after cut-off.

Note 1: Classification appeals: cut-off on final decision. Position descriptions or certificates of classification: cut off when abolished, superseded, canceled, or disapproved by OPM. Position Reviews: cut off on final decision. Destroy 3 years after cut-off.

Note 2: Job vacancy case files, including one-time competitive and Senior Executive Service announcements/selections, cut-off when selection certificate is closed or upon final settlement of any associated litigation; whichever is later. Destroy 3 years after cut-off.

Note 3. Positive drug results. Destroy when 3 years old or when employee leaves agency, whichever is later.

Note 4: For special hiring authority program records, cut off when hiring authority closes. Destroy 3 years after cut-off.

B. [0005] Long-term Human Resources Records

This disposition applies to human resources records that require additional retention, generally to conform to preservation standards in specific regulations, policies, or other legal/statutory requirements. These records may be more comprehensive and complete versions of similar records in the ‘routine’ category, involve interaction with the public in a manner that necessitates longer protections, or support a financial obligation (though these are most frequently covered by 0011).

Though records in this category are more specific than those identified under 0004, it is still a broad group of documents, and an exhaustive list may not be feasible. If not addressed below, offices must coordinate with their Responsible Records Officer to determine if this item is appropriate, and include such records under their office file plan, or similar documentation.

Specific records include:

1. Individual non-occupational health records. **See note 1.** Note that this DOES NOT include the Employee Medical Folder.
2. Labor management relations files when held by the negotiating office and all other offices, including negotiation agreements, bargaining sessions notes, and other related records. Labor arbitration files (negotiated grievance procedure case files).
3. Examining and Certification records concerning lost or exposed test materials, including circumstances of loss, recovery efforts, and corrective action.
4. Occupational injury and illness program records documenting the planning, management, reporting, and routine operations. Includes reports and logs documenting all recordable occupational injuries and illnesses.
5. Excepted service appointment records including case files that document appointing individuals with intellectual disabilities, severe physical disabilities, or psychiatric disabilities as defined in 5 CFR 213.3102(u) Note: Any of the above records appropriate to include in the OPF may be moved to the OPF when the agency creates it. Case files include position title/description, medical examiner’s report, statement explaining accommodation, and other related documents.
6. EEO reports and employment statistics files (re race/sex). EEO records- Compliance reports; Affirmative Action plans consolidated for whole agency; Feeder plans; On-site review of AAP; Agency copy of AAP annual report.
7. Records documenting contractor compliance with EEO regulations including reviews, background documents, and correspondence relating to contractor employment practices.
8. Tax files, including employee withholding allowance certificate, agency copy of employee wages/tax statements, and agency copy of employer reports of Federal tax withheld (e.g., Internal Revenue Service Forms W-2, W-4, W-3, and statement equivalents).
9. Ethics training records including administration of new employee ethics orientations, annual, and other types of ethics training. Agency’s annual written plans. Notices about training requirements and course offerings. Rosters of employees required to attend, and verification of training completed. Instructor guides, handbooks, handouts and other materials.

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10. Acceptable performance appraisals of non-senior executive service employees applicable to the Employee performance file system. Performance records for employees as defined in 5 U.S.C 4301(2); Employee performance and competency management records. **See note 2.** Exclusion: Performance records superseded through an administrative, judicial, or quasi-judicial procedure. Excludes Performance records of Presidential appointees' performance records.
11. Service case files on volunteers for service performed without compensation and *not* under a Federal appointment. Includes students and nonstudents. Records include agreements position title, parental approval forms, correspondence documenting dates of service, hours and/or days worked and other similar information.
12. Case records on Senior Executive Service Candidate Development Program (SESCDP) participants including records documenting training, developmental assignments and mentor agreements and evaluations, and SES Development Plans. [Retention based on end of certification or separation from program].
13. Program records of the Senior Executive Service Candidate Development Program documenting program scope, policies, planning, budget, and curriculum planning.
14. Occupational health and safety training records of health and safety-related training on topics such as cardiopulmonary resuscitation (CPR), automatic external defibrillators (AED), personal protective equipment (PPE) use, safe sampling techniques, personal decontamination procedures, and emergency response procedures. Excludes records in an Official Personnel Folder, such as academic transcripts and professional licenses. and training records related to job-specific activities or that may impact individual occupational health.
15. Records of harassment complaints regarding unwelcome workplace conduct, filed in accordance with Department policies and procedures including complaint, correspondence, notes, forms and supporting material, records of investigation, statements of witnesses, determination as to whether harassment occurred, and documentation of preventive or corrective measures. Note: If a harassment complaint is settled via the EEO, ADR, or grievance process, its records are scheduled under the item specific to that process.
16. Formal process EEO official discrimination complaint case files generated in response to formal complaints resolved within the Department, by the Equal Employment Opportunity Commission, or by a U.S. Court. Includes records gathered in the preliminary informal process, complaints, exhibits, withdrawal notices, copies of decisions, and records of hearings and meetings.
17. Personnel Counseling Records.
18. Employee and Labor relations. All records relating to the provision of guidance and assistance to management and employees regarding all work associated with Employee Relations (ER)/Labor Relations (LR) issues, including grievances, disciplinary and performance-based actions, unfair labor practices and negotiations. Also includes the formal process for ADR case file records generated in response to a referral from another dispute, grievance or complaint process, such as EEO complaints or grievances. Informal ADR is covered under 0004, Short Term HR
19. Employee and Labor relations. All records relating to the provision of guidance and assistance to management and employees regarding all work associated with Employee Relations (E/R)/Labor Relations (L/R) issues, including grievances, disciplinary and

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performance-based actions, unfair labor practices and negotiations, Inspector General and other administrative investigations. Work activities also include processing incentive awards; conducting personnel security; determining employee suitability; and managing the employee assistance program, ethics program and performance management system: • Informal Counsel/ADR/Mediation- SIA • Formal Complaints-SIB • Employee Assistance Program- SIG • Manage Labor Relations-SEL.

20. Individual employee training records. Training required by all or most Federal agencies, such as information system security and anti-harassment training, and training to develop job skills. These records may include completion certificates or verification documents for mandatory training required of all Federal employees or specific groups of employees (e.g., supervisors, contractors), Individual Development Plans (IDPs), and mentoring or coaching agreements. Exclusion: Academic transcripts, professional licenses, civil service exams, or documentation of mission-related training, which should be included with OPF retention.
21. Records of senior executive service employees applicable to the employee performance file system. Performance records for employees as defined in 5 U.S.C. 3132a(2). Includes records of performance ratings boards. Exclusions: Performance records superseded through an administrative, judicial, or quasi-judicial procedure.
22. Position Classification Standards case files relating to the development of standards for positions peculiar to the agency, and OMB approval/disapproval. See note 3

This item provides an exception for several GRS items of 7 years temporary retention or lower, unified under a single retention to increase accuracy and consistency of use by records custodians, and for ease of management in the Department's electronic records management system(s).

Exemptions to the GRS items include:

DAA-GRS-2014-0002-0001 (2.1 010)
DAA-GRS-2014-0002-0012 (2.1 070)
DAA-GRS-2014-0002-0018 (2.1 110)
DAA-GRS-2017-0007-0008 (2.2 070)
DAA-GRS-2017-0007-0010 (2.2 072)
DAA-GRS-2017-0007-0016 (2.2 110)
DAA-GRS-2018-0002-0005 (2.3 050)
DAA-GRS-2018-0002-0008 (2.3 071)
DAA-GRS-2015-0007-0008 (2.3.111)
DAA-GRS-2015-0007-0010 (2.3.120)
DAA-GRS-2018-0002-0015 (2.3 130)
DAA-GRS-2018-0002-0006 (2.3 060)
DAA-GRS-2018-0002-0010 (2.3 090)
DAA-GRS-2016-0015-0002 (2.4 020)
DAA-GRS-2016-0015-0005 (2.4 050)

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DAA-GRS-2016-0014-0004 (2.6 040)
DAA-GRS-2016-0014-0005 (2.6 041)
DAA-GRS-2017-0010-0002 (2.7 020)
DAA-GRS-2017-0010-0003 (2.7 030)
DAA-GRS-2017-0010-0012 (2.7 070)
DAA-GRS-2017-0010-0015 (2.7 091)
DAA-GRS-2016-0014-0002 (2.6 020)
DAA-GRS-2016-0014-0003 (2.6 030)
DAA-GRS-2013-0007-0011 (4.2 110)

Program offices dedicated to an administrative function as its mission may have records which require a different retention than what is listed here if the office acts in an oversight or compliance role or represents the Department as a whole. Consult your records liaison or Bureau Records Officer for additional information before applying this disposition if uncertain.

Disposition: Temporary. Cut off record as instructed in the agency/bureau records manual, or at end of fiscal year in which files are closed if no unique cut-off is specified. Destroy 7 years after cut-off.

Note 1: For non-occupational individual medical case files, NARA will approve deviation from the GRS 10-year retention to maintain the 7-year provided in this schedule.

Note 2: The contractor data will be cut off when the contractor separates or is no longer employed by the agency. Records must be retained 7 years after cut-off.

Note 3: Classification standards: cut off when standard is superseded, canceled, or disapproved by OPM (as appropriate).

C. [0006-0008] Retirement Records Warranting Extended Preservation

This includes retirement records of especially long-term interest to employees, generally to ensure receipt of benefits, and satisfaction of any retirement claims. To qualify for this item, records must address issues of long-term significance to an individual's employment and associated benefits.

Specific records covered by this item:

Cut off instructions:

- **[0006]** Records related to specific retirement benefits claims are cut off upon final closure of the issue (final decision, settlement, etc.).
- **[0007]** Vacant
- **[0008]** Other records appropriate for this category are cut off upon separation of employee from federal employment.

1. Classified information nondisclosure agreement records maintained separately from the individual's official personnel folder. Note: records maintained in individual's official personnel folder follow e-OPF retention.).

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Disposition: Temporary. Destroy records 60 years after cut-off.

D. [0009] Human Resources Records of Specific Temporary Value

These records are necessary to provide accountability for a specific human resources function or functions but are not necessary for agency business immediately after fulfillment of that purpose, and often cannot be legally retained beyond that task or duty for any substantial length of time. Even when not required, preservation of such documents may weaken active records.

Records that are filed under this category must be carefully identified and approved by a Responsible Records Officer for inclusion if they are not specifically referenced in the following list:

1. Supervisors' personnel files/Unofficial Personnel file (UPF) and duplicate eOPF documentation. May include copies of position descriptions. **See note 1.**
2. Temporary Individual Employee Records. All copies of correspondence and forms maintained EXCLUDING the Immigration and Natural Service Form 1-9 and performance related records.
3. Operating personnel office correspondence and forms relating to pending personnel actions for individual employees (exclusive of what is maintained in eOPFs or provided for elsewhere in this schedule).
4. Control records of examination test materials including a running inventory of test material in stock; Interagency Placement Program (IPP) application and registration sheet.
5. Employee acknowledgment of notice forms for workplace drug testing programs.
6. Reports, registers, and other control documents relating to retirement (including SF 2807 or equivalent). Includes records not specific to an agency separation initiative.
7. Wage survey reports, data, background information, and correspondence. **See note 2.**
8. Political appointment (Schedule C) records documenting selection, clearance and appointment. Excludes ethics pledges and waivers which are added to eOPF). Cut off after separation. **See note 3a.** Individuals considered but not selected, **See note 3b.**
9. Request from HR to OPM for non-competitive personnel actions. **See note 4.**
10. Dislocated worker program case files. Includes applications, registrations, supporting documentation. Note: This likely refers to ICTAP and CTAP programs. Retention based on end of eligibility.

Exemptions to the GRS items include:

DAA-GRS-2014-0002-0014 (2.1 100)
DAA-GRS-2017-0007-0005 (2.2 041)

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DAA-GRS-2017-0007-0006 (2.2 050)
DAA-GRS-2017-0007-0012 (2.2 080)
DAA-GRS-2018-0002-0003 (2.3 030)
DAA-GRS-2016-0015-0010 (2.4 080)
DAA-GRS-2014-0004-0001 (2.5 010)
DAA-GRS-2017-0010-0017 (2.7 110)

Disposition: Temporary. Cut off when the object or subject the records refer to is removed/discontinued (e.g., employee separated/transferred, register/list superseded, position discontinued, etc.). See specific bureau/office instructions for individual cases. Retain for 90 days and destroy when no longer needed.

Note 1: For copies of documents already contained in employee Official Personnel File (OPF/eOPF), or Unofficial Personnel File (UPF or Supervisory Personnel File) cut off at end of year in which employee separates or transfers. Destroy 1 year after cutoff.

Note 2: Retain records of two most recently completed surveys. Destroy superseded at the end of the fiscal year

Note 3a: For Political Appointment (Schedule C) records including Presidential Appointees (PA) and Presidential Appointees with Senate Confirmation (PAS), destroy 1 year after separation.

Note 3b. Destroy 1 year after consideration ends.

Note 4: Cut-off 1 year after approval is granted or denied. Destroy when no longer needed after cut-off.

1.3 – Financial and Acquisition Management

This item provides disposition authority for all DOI activities devoted to purchasing, tracking, and overall management of goods, services, and finances. This includes budget formulation and management, travel records, contract operations, property management, stores/plant accounting, expenditure accounting, and procurement records.

A. [0010] Short-term Financial and Acquisition Records

These records encompass financial/acquisition functions described above that are produced and maintained in the course of routine business, and do not reflect government activities that are subject to additional preservation. Records in this item often provide input into more valuable financial records, either as supporting documentation or as a submission for a more comprehensive record. Records are characterized by being necessary for day-to-day operations but not long-term justification of the office's activities.

There are numerous records covered under this item and compiling an exhaustive list would not be possible. Offices are responsible for creating a detailed file plan or similar document to note all records they create and maintain, including records in this category, and must work with their Responsible Records Officer to ensure that all records are appropriately identified and accounted for. 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.

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Specific records covered by this item:

1. General correspondence and subject files of offices concerned with finance and acquisition management which involve internal operations and administration.
2. Grant administrative files for the routine operations and daily activities in administration of a grant program.
3. Unique grants/contracts files, including Unsuccessful (rejected or withdrawn) grant application files, including any associated correspondence or other records; Contract Appeals Case files; Small and Disadvantage Business Utilization files; and Contractor's payroll files submitted in accordance with Department of Labor regulations (with any related papers, certifications, or affidavits). Excludes records related to financial transactions stemming from these activities, covered under 0011.
4. Federal Activities Inventory Reform (FAIR) Act Records created under OMB Circular A-76. This item covers copies of A-76 case files/studies maintained by offices that DO NOT have primary responsibility. For offices with primary responsibility, see 0011.
5. Excess Personal Property Reports. Records relating to transfer, sale, donation, or exchange of vehicles.
6. Most budget and apportionment records, including cost statements, narratives statements, appropriation language sheets, and other data accumulated in preparation of budget estimates; budget reports EXCLUDING the annual report at end of fiscal year (see 0011); budget justifications and estimates; and accounting administrative files.
7. Specialized stores, plant, and cost accounting records, particularly those with extensive plant and stock inventories. These records reflect the net monetary worth of the agency and its assets and are periodically reconciled with the supply data found in stock inventory records, but they do not include procurement papers. Included are invoices (or equivalent) used for store accounting purposes; returns and reports; working files for accumulating accounting data; plant account cards/ledgers (except those pertaining to structures); and other cost accounting and cost data records.
8. General travel and transportation records, including routine administrative records pertaining to commercial and noncommercial agency travel/transportation; records documenting the issue or receipt of accountable documents; and Federal Employee Transportation Subsidy records.
9. Childcare Subsidy program. Includes administrative and individual case files.
10. Applications and issuance files for official passports.
11. Administration and implementation of activity-based cost management programs.
12. Records of suspensions and debarments for vendors and bidders other than violations for the Drug Free Workplace, (for those violations, see 0011).
13. Records supporting compilation of agency financial statements and related audit, and all records of all other reports.
14. Budget Background Records, budget formulation, estimates, justification, and submission records, fiscal year 2017 and forward.
15. Routine Procurement files. Copies used for administrative or reference purposes only. Reference copies of vouchers, bills, and invoices. **Note: Agencies must offer any records created prior to January 1, 1933, to the National Archives and Records Administration (NARA) before applying disposition instructions in this schedule**

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This item provides an exception for many GRS items of 3 years temporary retention or lower, unified under a single retention to increase accuracy and consistency of use by records custodians, and for ease of management in the Department's electronic records management system(s).

Exemptions to the GRS items include:

DAA-GRS-2016-0013-0001 (1.1 001)
DAA-GRS-2013-0003-0002 (1.1 011)
DAA-GRS-2013-0003-0011 (1.1 020)
DAA-GRS-2013-0003-0004 (1.1 030)
DAA-GRS-2013-0003-0012 (1.1 040)
DAA-GRS-2013-0003-0003 (1.1 050)
DAA-GRS-2016-0001-0003 (1.1 060)
DAA-GRS-2016-0001-0005 (1.1 071)
DAA-GRS-2018-0003-0002 (1.1 100)
DAA-GRS-2015-0006-0001 (1.3 010)
DAA-GRS-2015-0006-0004 (1.3 031)
DAA-GRS-2015-0006-0005 (1.3 040)
DAA-GRS-2015-0006-0006 (1.3 041)
DAA-GRS-2015-0006-0007 (1.3 050)
DAA-GRS-2017-0007-0013 (2.2 090)
DAA-GRS-2016-0015-0015 (2.4 120)
DAA-GRS-2016-0015-0016 (2.4 121)
DAA-GRS-2016-0015-0017 (2.4 130)
DAA-GRS-2016-0015-0018 (2.4 131)
DAA-GRS-2016-0011-0001 (5.4 010)
DAA-GRS-2016-0011-0004 (5.4 040)

Disposition: Temporary. Cut off record as instructed in the agency/bureau records manual, or at the end of the FY in which the record is created if no unique cut-off is specified. Destroy 3 years after cut-off.

B. [0011] Long-term Financial and Acquisition Records

This disposition applies to financial/acquisition records that require additional retention, generally to conform to preservation standards in specific regulations, policies, or other legal/statutory requirements. These records may be more comprehensive and complete records, involve interaction with the public in a manner that necessitates longer protections, or support a financial obligation.

Though records in this category are more specific than those identified under 0010, it is still a broad group of documents, and an exhaustive list may not be feasible. If not addressed below, offices must coordinate with their Responsible Records Officer to determine if this

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item is appropriate, and include such records under their office file plan, or similar documentation.

Specific records covered by this item:

1. Procurement, supply, and grant records including records necessary for the award, administration, receipt, inspection, and payment of procurement (contracts, requisitions, purchase orders, leases, and bond and surety records, with any correspondence or related papers); solicited and unsolicited bids and proposals, whether successful, unsuccessful, cancelled, or unopened; requisitions for nonpersonal services (duplicating, laundry, binding, etc.); telephone statements and toll slips; tax exemption certificates; and related papers. **Note: Agencies must offer any records created prior to January 1, 1933, to the National Archives and Records Administration (NARA) before applying disposition instructions in this schedule.**
2. Annual end of the fiscal year budget report.
3. Original copy of accountable officers' accounts maintained in the agency for site audit by GAO auditors (includes statements of transactions, statements of accountability, collection schedules, collection vouchers, disbursement schedules, disbursement voucher, and all other schedules and vouchers, EXCLUDING accounts pertaining to payroll or American Indians. **Note: Agencies must offer any records created prior to January 1, 1933, to the National Archives and Records Administration (NARA) before applying disposition instructions in this schedule.**
4. Other accountable officers' records, including certificates of settlement of accounts of accountable officers, statements of differences, and related records; records relating to availability, collection, custody, and deposit of funds (includes appropriation warrants and certificates of deposit); and gasoline sales ticket, telephone toll tickets, and other documents filed in support of payments/purchases. **Note: Agencies must offer any records created prior to January 1, 1933, to the National Archives and Records Administration (NARA) before applying disposition instructions in this schedule.**
5. Administrative claims files (EXCLUDING claims for which the government is entitled to additional time to initiate legal action, see 0012). Waiver of Claims Files.
6. Expenditure accounting records showing in summary fashion how agency funds, appropriated and non-appropriated, are spent after allotment by the Office of Management and Budget (OMB), and the sources and nature of any receipts. Included are general accounting ledgers, summarizing the financial status and financial transactions of an agency; records showing the status of obligations and allotments under authorized appropriations; and records used as posting and control. **Note: Agencies must offer any records created prior to January 1, 1933, to the National Archives and Records Administration (NARA) before applying disposition instructions in this schedule.**
7. Travel records documenting the movement of goods and persons. The records include bills of lading, transportation requests, transportation vouchers, per diem vouchers, travel authorizations, and all supporting documentation. This item DOES NOT include passport records, transportation subsidy files, or routine administrative travel files identified in 0010. **Note: Agencies must offer any records created prior to January 1, 1933, to the National Archives and Records Administration (NARA) before applying disposition instructions in this schedule.**
8. Records of suspensions and debarments for violation of the Drug-Free Workplace Act.

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9. Lost, destroyed, or damaged shipment records documenting shipment of valuables under the Government Losses in Shipment Act, including consignee and carrier identification; shipment description; value or replacement value declaration, and registry or lock number; date and time of delivery; registry and carrier receipts; shipment notice; shipment inspection; report of loss, destruction, or damage; and claim for replacement.
10. Provide Central Leadership. All records relating to costs of executives, senior executives and immediate offices. These costs include administration and implementation of activity-based cost management programs.
11. Budget execution files maintained in the Office of Budget. Budget apportionment and reapportionment schedules.
12. Budget formulation, estimates, justification, and submission records, fiscal year 2017 and forward.

This item provides an exception for several GRS items of 7 years temporary retention or lower, unified under a single retention to increase accuracy and consistency of use by records custodians, and for ease of management in the Department's electronic records management system(s).

Exemptions to the GRS items include:

DAA-GRS-2013-0003-0001 (1.1 010)
DAA-GRS-2016-0001-0004 (1.1 070)
DAA-GRS-2017-0005-0001 (1.1 080)
DAA-GRS-2015-0006-0002 (1.3 020)
DAA-GRS-2015-0006-0003 (1.3 030)
DAA-GRS-2016-0012-0004 (5.5 040)

Program offices dedicated to an administrative function as its mission may have records which require a different retention than what is listed here if the office acts in an oversight or compliance role or represents the Department as a whole. Consult your records liaison or Bureau Records Officer for additional information before applying this disposition if uncertain.

Disposition: Temporary. Cut off record as instructed in the agency/bureau records manual, or at end of fiscal year in which files are closed if no unique cut-off is specified. Destroy 7 years after cut-off. **Note: For budget justifications and budget estimates, cut off when final product is produced.**

C. [0012] Financial and Acquisition Records of Specific Temporary Value

These records are necessary to provide accountability for a particular financial/acquisition function or functions but are not necessary immediately after fulfillment of that purpose, and often cannot be legally retained beyond that task or duty for any substantial length of time. Even when not required, preservation of such documents may weaken active records.

Records that are filed under this category must be carefully identified and approved by a bureau records officer for inclusion if they are not specifically referenced in the following list

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1. Real property accountability files used to maintain current data on individual properties, updated whenever additional properties are acquired or when changes occur to existing properties.
2. Real property utilization survey reports containing narrative and photographic information on whether or not specific properties are being used for their intended purposes.
3. Certain records relating to official passports (registers and lists of agency personnel with official passports).

Exemptions to the GRS items include:

DAA-GRS-2017-0007-0014 (2.2 091)

Disposition: Temporary. Cut off at when the object or subject the records refer to is removed/discontinued (e.g., register/list superseded, ID expired, account closed, property sold, etc.). See specific bureau/office instructions for individual cases. Retain for 90 days and destroy when no longer needed.

1.4 – Information Technology

These records document the Department's creation, management, and use of IT systems and applications to automate office functions, whether strictly administrative or not. Such records include system design and implementation, change management, technological specifications, system security files, maintenance and monitoring records, system documentation, risk management, and all related forms and documents for managing electronic systems.

This item **DOES NOT** cover the record copy of data within a system or application; these records should be filed according to their records value, regardless of media.

A. [0013-0014] Short-term Information Technology Records

These records encompass IT files described above that are not needed extended retention. Records are characterized by being necessary for day-to-day operations but not long-term justification of the bureau/office's activities. This typically includes all records necessary for the management of a specific system or application, or a related group of the same (e.g. a server). Broad management of IT resources generally requires longer preservation and should be filed under 0015, below.

Routine IT records fall under one of three categories:

1. [0013] System Maintenance and Use Records

These records include:

1. Error reports, ticklers, system operation reports.
2. Tests and reports of system performance.
3. Input files, work files, valid transaction files.
4. System usage monitoring files (log-in, password files, audit trail, cost-back files, etc.).

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5. System backups. **See note 1.**
6. Inventories of IT assets and equipment.
7. User IDs, profiles, authorizations, etc.
8. Computer Security Incident handling, reporting, and follow-up records.
9. Workload schedules, run reports, schedules of maintenance and support activities.
10. Problem reports and related decision documents relating to software infrastructure of an individual system.
11. Help desk and customer assistance files, including logs, problem response, monitoring and clearance.
12. Personally identifiable information extracts. System-generated or hardcopy print-outs generated for business use. Includes logs tracking extracts. Per OMB M-07-16 (May 22, 2007)
13. Special purpose computer programs and applications developed by office or bureau solely to use or maintain a master file or database authorized by NARA-approved records schedule. **See note 2.**
14. Non-recordkeeping copies of electronic records after the office or bureau moves to a record-keeping system or otherwise preserves the record-keeping copy. Includes hard copy printouts created to meet ad hoc business needs.
15. System development records; Includes, but not limited to project plans; feasibility studies conducted before the installation of any technology or equipment associated with information management; compliance documents, and cost analysis.
16. Recurring Plan of Action & Milestones (POA&M) Package. These files contain supporting information for the Cyber Security Program recurring POA&M report. Bureau/office data files including data and information from bureaus and program offices supporting POA&M reports.

This item provides an exception for many GRS items of 3 years temporary retention or lower, unified under a single item to increase accuracy and consistency of use by records custodians, and for ease of management in the Department's electronic records management system(s).

Exemptions to the GRS items include:

DAA-GRS-2013-0005-0007 (3.1 011)
DAA-GRS-2013-0005-0008 (3.1 012)
DAA-GRS-2013-0005-0004 (3.1 020)
DAA-GRS-2013-0006-0002 (3.2 020)
DAA-GRS-2013-0006-0003 (3.2 030)
DAA-GRS-2013-0006-0005 (3.2 040)
DAA-GRS-2013-0006-0006 (3.2 041)
DAA-GRS-2013-0006-0007 (3.2 050)
DAA-GRS-2013-0006-0008 (3.2 051)
DAA-GRS-2013-0007-0012 (4.2 130)
DAA-GRS-2013-0007-0013 (4.2 140)
DAA-GRS-2016-0016-0002 (5.1 020)
DAA-GRS-2017-0001-0001 (5.8 010)

Disposition: Temporary. Cut off when superseded or obsolete. See records manual for specific criteria that may determine when a record is obsolete or superseded. Destroy no later than 3 years after cut-off.

Note 1: For Incremental backup files, destroy when superseded by a full backup, or when no longer needed for system restoration, whichever is later. This destruction cannot be extended.

Note 2: Delete when master file or database has been deleted.

2. [0014] System Planning, Design, and Documentation

These records include:

1. System security plans and disaster recovery plans.
2. Documents identifying IT risks and analyzing their impact, risk measurements and assessments, actions to mitigate risks, implementation of a risk action plan, service test plans, and test files/data.
3. Agreements formalizing performance criteria for quantity and quality of service, including responsibilities, response times and volumes, charging, integrity guarantees, and non-disclosure agreements.
4. Managing third-party services, including control measures for reviewing and monitoring contracts and procedures for determining their effectiveness and compliance.
5. IT management and service operations documents for identifying and allocating charges and tracking payments for computer usage, data processing, and other IT services (EXCLUDING the agency's cost accounting system).
6. Resource and demand management for a system.
7. Documentation of software distribution and version management.
8. Systems and Data Security Records
9. Privacy Act System of Records Notices (SORNs). Department copy of notices documenting publication in the Federal Register when establishing or revising the system, includes significant material documenting formulation.
10. Records of Privacy Impact Assessments (PIAs).
11. Records analyzing Personally Identifiable Information (PII). Records of Privacy Threshold Analyses (PTAs) and Initial Privacy Assessments (IPAs). Records of research on whether an agency should conduct a Privacy Impact Assessment (PIA).
12. Computer matching program notices and agreements detailing intent to share data in systems of records with other Federal, state, or local government agencies. Includes: related records documenting publication in the Federal Register agreements between agencies, commonly referred to as Computer Matching Agreements; documentation of Data Integrity Board (DIB) reviews and approvals; and significant background material documenting formulation of notices and agreements.

Note that system documentation concerning electronic systems of permanent retention are not covered by this item, and should continue to follow GRS 3.1 050, requiring that they be transferred with the associated permanent electronic records.

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This item provides an exception for many GRS items of 3 years temporary retention or lower, unified under a single item to increase accuracy and consistency of use by records custodians, and for ease of management in the Department's electronic records management system(s).

Exemptions to the GRS items include:

DAA-GRS-2013-0006-0001 (3.2 010)
DAA-GRS-2016-0003-0002 (4.2 150)
DAA-GRS-2016-0003-0003 (4.2 160)
DAA-GRS-2016-0003-0004 (4.2 161)
DAA-GRS-2016-0003-0005 (4.2 170)

Disposition: Temporary. Cut off when superseded by a newer version or upon termination of the system. Destroy 3 years after cut-off.

B. [0015] Long-term Information Technology Records

This disposition applies to records maintained for overall management of an IT program. These records differ from those referenced in 0013-0014 above by being concerned with the management, planning, and implementation of all systems and applications that an agency, bureau, or office uses. Records include:

1. IT acquisition and management
2. Developing and maintaining IT architecture
3. Promoting the efficient design and operation of major information resources management processes.
4. Monitoring and performance of IT programs
5. Development of knowledge and skills for IT staff
6. Data reports on implementation of a system or application
7. Infrastructure Project Records. Includes maintaining network servers, desktop computers, and other hardware, installing and upgrading network operating systems and shared applications, and providing data telecommunications and infrastructure development and maintenance.
8. Data System specifications, codebooks, record layouts, user guides, output specifications, and final reports.
9. Documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting changes.
10. POA&M Exhibit 300's. These files contain reviews for compliance with Exhibit 300 (Capital Asset Plan and Business Case Summary) of OMB Circular A-11, Part 7-Planning, Budgeting, Acquisition, and Management of Capital Assets.

This item provides an exception for several GRS items of 7 years temporary retention or lower, unified under a single retention to increase accuracy and consistency of use by

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records custodians, and for ease of management in the Department’s electronic records management system(s).

Exemptions to the GRS items include:

- DAA-GRS-2013-0005-0006 (3.1 010)
- DAA-GRS-2013-0005-0005 (3.1 030)
- DAA-GRS-2013-0005-0010 (3.1 040)
- DAA-GRS-2013-0005-0003 (3.1 051)
- DAA-GRS-2013-0006-0004 (3.2 031)
- DAA-GRS-2013-0007-0022 (4.2 080)
- DAA-GRS-2017-0009-0001 (6.3 010)
- DAA-GRS-2017-0009-0002 (6.3 020)

Disposition: Temporary. Cut off record as instructed in the agency/bureau records manual, or at end of fiscal year in which files are created if no unique cut-off is specified.
Destroy 7 years after cut-off

Appendix A – Transmittal 31 reference

Transmittal 31 from NARA now requires agencies to submit a direct offer of records created prior to a specified date. This table references how those records are identified in the GRS.

Transmittal 31 Question	GRS Schedule	Date	DRS reference
3	1.1	1/1/1921	0003-Administrative records of specific temporary value, 0010-Financial and Acquisition records short-term, 0011-Financial and Acquisition records long-term, 0012-Financial and Acquisition records of specific temporary value.
3	1.1 item 010 and 11	1/1/1933	0010- Financial and Acquisition records short-term, 0011-Financial and Acquisition records long-term.
4	2.1, 2.2, 2.3, 2.5 ,2.6, 2.7, 4.1, 4.2, 5.3, 5.5, 5.7	1/1/1921	0001-Administrative records short-term, 0002-Administrative records long-term, 0003-Administrative records of specific temporary value, 0004-Human Resources records Short-term, 0005-Human Resources records Long-term, 0006-0008-Retirement and Payroll records Warranting Extended Preservation, 0009-Human Resources records of Specific Temporary Value,

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			0010-Financial and Acquisition records short-term, 0011-Financial and Acquisition records long-term, 0012-Financial and Acquisition records of specific temporary value, 0013-System Maintenance and Use records, 0014-System Planning, Design, and Documentation, 0015-Information Technology long-term
5	5.4	1/1/1921	0001-Administrative records short-term, 0002-Administrative records long-term, 0003-Administrative records of Specific Temporary value, 0004-Human Resources records short-term, 0010-Financial and Acquisition records short-term
5	5.4 item 070 and 071	1/1/1939	0003- Administrative records of specific temporary value, 0004-Human Resources short-term,
6	5.6	1/1/1921	0001-Administrative records short-term, 0002-Administrative records long-term, 0003-Administrative records of specific temporary value
6	5.6 item 120 and 130	1/1/1939	0002-Administrative records long-term, 0003-Administrative records of specific temporary value
8	6.4	1/1/1921	0001-Administrative records short-term, 0003-Administrative records of specific temporary value
8	6.4 item 030 and 031	1/1/1950	0001-Administrative records short-term, 0003-Administrative records of specific temporary value