Introduction to the DOI Departmental Records Schedule (DRS)

The U. S. Department of the Interior (DOI), Record Group 048, protects and manages the Nation’s natural resources and cultural heritage; provides scientific and other information about those resources; and honors its trust responsibilities and special commitments to American Indians, Alaska Natives, and affiliated island communities. In accomplishing this mission, DOI records these activities, maintaining adequate and proper documentation of DOI policies and transactions, through its comprehensive records management program. DOI serves its customers in the four broad areas of recreational uses, commercial uses, community services, and science for decision making. These services are being represented in the Departmental Records Schedule (DRS) through the following five mission areas:

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

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 Office of the Special Trustee for American Indians (OST) – 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 organization chart, visit: https://www.doi.gov/whoweare/orgchart

Methodology:
DOI selected the Lines of Business applicable to its mission and operations, which were then divided among the categories of policy, mission, legal, and administrative schedules. Each bureau was asked to map their existing records retention schedules to DOI’s Lines of Business. The crosswalks showing this work are attached. The schedule for administrative,
policy, legal, and each of the five mission areas will be submitted separately. This schedule is for policy and includes the following Lines of Business:

- Controls and Oversight
- Judicial and Legislative Affairs
- Public Affairs
- Regulatory Development
- Policy-Related Special Media

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

For records located at off-site storage, this disposal authority will only apply on a “day-forward” basis from date of schedule approval, and does not require retroactive changes to existing accessions at the FRCs. This disposal authority does apply retroactively to records located on site.

High-Level Officials:
Throughout this schedule, the term “High-Level Official” is used to refer to officials whose records are deemed to merit permanent retention based on the nature of the position itself. Officials are identified under this label because of their role in determining bureau/DOI policy and major decisions regarding the accomplishment of mission objectives. They may also be authorized to represent the bureau, DOI, or the Federal government to external national or international activities and parties.

Officials acting in the role of a High-Level Official are considered to be a High-Level Official for the period of time in which they are acting in that role and their records will be retained accordingly.

The current list of High-Level Officials includes:

- Secretary of the Interior
- Deputy Secretary
- Assistant Secretaries
- Deputy Assistant Secretaries
- Principal Deputy Assistant Secretaries
- Secretary’s Chief of Staff
- Bureau Chiefs of Staff (as designated by each bureau)
- Deputy Chiefs of Staff
- Senior Advisors
- Counselors
- Solicitor
- Inspector General
Chief Information Officer
Special Trustee for American Indians
Heads of bureaus and major components of DOI and key supporting staff responsible for independently making major decisions (as described above) during their regular duties.

DOI maintains a current list of all High-Level Officials based on the above criteria, referenced and appended to the Designation of High-Level Officials Standard Operating Policies and Procedures.

Commissions:
Throughout this schedule, the term "Commission" is used to refer to all types of boards, councils, committees, commissions, and other groups.
Schedule 3 - Policy Records

This schedule establishes the disposition authority for records created to document the overall management of the Department and its Bureaus and Program Offices. Included are regulations, program implementation and management, policy and guidance files from all senior executive offices in the Department, reports and regulatory compliance when an office is representing a Bureau or the Department as a whole, activities of executive commissions or committees, and high-level interaction with the Legislative and Judiciary branches.

Routine management reviews and lower-level program management/administration should remain in Schedule 1 (Administrative). Regulatory compliance, investigations, litigation case files, and audits should use Schedule 4 (Legal, Regulatory Compliance, and Enforcement).

Overview of Schedule 3:

Controls and Oversight
  0001 – Program Monitoring and Policy Development
  0002 – Departmental Compliance Reporting and Directives
  0003 – Permanent Control and Oversight Files
  0004 – Records of High-Level Officials
  0005 – Executive Commission Records

Judicial and Legislative Activities
  0006 – Document Collection and Legislative Input Files
  0007 – Official Judicial and Legislative Representation

Public Affairs
  0008 – Public Affairs Records

Regulatory Development
  0009 – Regulatory Development and Support
  0010 – Final Regulations

Policy-Related Special Media
  0011 – Photography and Negatives – Physical Media
  0012 – Photography and Negatives – Digital Images
  0013 – Motion Pictures, Video, and Audio Recordings – Physical Media
  0014 – Motion Pictures, Video, and Audio Recordings – Digital Video and Audio Recordings
  0015 – Posters
3.1 – Controls and Oversight
All DOI activities to ensure that operations and programs within DOI comply with applicable laws and regulations, and prevent waste, fraud, and abuse. This category includes broad program planning and management, compliance reporting and monitoring (but not investigations or adjudication records—see Schedule 4 Legal, Regulatory Compliance, and Enforcement), internal policies and procedures, and the activities of High Level Officials and Executive Commissions. This category also includes all activities devoted to determining strategic direction, identifying and establishing programs, and allocating resources (capital and labor) among those programs and processes.

This category does not cover regulations/rulemaking applicable to external entities (see 0009 and 0010, Regulatory Development), input to the legislative branch and response to congressional inquiries or Departmental response to litigation/judicial concerns (see 0006 and 0007, Judicial and Legislative Activities). For specific litigation case files, see the Schedule 4 Legal, Regulatory Compliance, and Enforcement.

0001 - Program Monitoring and Policy Development
These records are accumulated in the regular monitoring and oversight of Federal programs, and in the formulation of policies and decisions regarding resource allocation, but do not include the final product of such documents. Also included are other routine oversight files that do not pertain to a single program or office.

Specific records include:
- Program evaluation and review files;
- Delegations of authority or succession memoranda;
- Political appointment files that do not require Senate confirmation;
- Budget formulation records for the Departmental budget, including presentations and justifications;
- Directives and policy pertaining to regional concerns or isolated issues that do not warrant long-term retention;
- Subject files maintained by Department officials for comment on policy development and support (not to include the records of High-Level Officials)
- Input into strategic plans or other long-term planning documents (but not including the final consolidated version of such a document)

Disposition: Temporary. Cut off at end of fiscal year in which final document is superseded/obsolete, or upon determination that no final will be produced. If not a supporting record, cut off at end of fiscal year when created. Destroy 5 years after cut-off.

0002 - Departmental Compliance Reporting and Directives
These records are accumulated in the control and oversight of Departmental programs across multiple offices or bureaus. Programs generally do not relate to a mission for which the Department has oversight responsibility, but constitute the Department’s input and compliance into a matter overseen by an external agency or entity (e.g. Section 515, Title VI, Regulatory Flexibility Act). Also under this item are unique, non-recurring resource
allocation records that are accumulated in response to unexpected events, and directives/policies pertaining to non-program (administrative) matters.

Specific records include:

- Official Departmental reports to monitoring agencies for compliance or statistical analysis, but not including Departmental reports to Congress (see 0003);
- Final publication of administrative policies and directives; and
- Documents created or maintained for the management of government resources, particularly the budget, in response to significant events or circumstances (e.g. national emergency, natural disaster, etc.) that warrant a special stipulation of funds, or similar response.

Disposition: Temporary. Cut off at end of fiscal year in which document is created, or when superseded/obsolete (if a policy). Destroy 15 years after cut-off.

0003 - Permanent Control and Oversight Files

These records include control and oversight files that have inherent historical value, but do not document the activities of a particular High-Level Official (see 0004) or Executive Commission (see 0005).

Some of the records included under this item are:

- Final internal policies and directives applying to mission- and program-specific functions of the Department, or its bureaus;
- Substantive policy development records and guidance for existing policies that is necessary to fully comprehend and utilize the final document;
- Official Departmental reports to Congress and plans documenting the decisions and initiatives of the entire agency (such as major Bureau and DOI initiatives, agency strategic plans, and budget Green Books submitted to Congress);
- Management reports and plans pertaining to program accomplishments, strategic plans, and annual reports to the Secretary or Bureau/Office Heads; and
- Reports, publications, and similar records documenting the history of bureaus or Department, significant events and historic ceremonies, and other instances of widespread media attention or Congressional scrutiny.

This is not intended to be an exhaustive list of documents under this category. Records that fit the above criteria must be proposed for permanent retention in the bureau’s records manual, with concurrence from the Departmental Records Officer.

For records matching this description in special media (audiovisual, posters, or photographs), see 0011-0015.

Disposition: Permanent. Cut off at the end of the fiscal year when superseded or obsolete. Transfer records to NARA 15 years after cut-off. If a records officer determines that particular records in this category should be maintained at DOI longer than this period of time, an exception is permitted, but must be documented in the bureau’s records manual and applied consistently throughout the bureau.
0004 - Records of High-Level Officials
These files contain documents received, generated, and maintained by High-Level Officials to support their role in DOI. Documents include files assembled about a specific case, issue, or subject matter; briefing books and materials; correspondence; talking points; memoranda, itineraries and schedules; travel records; hand-written notes; and all other documents supporting an official’s oversight of DOI’s activities not covered elsewhere in this schedule.

Generally, these files reflect the broad scope of issues on which the primary official on whose behalf they are collected and maintained was consulted or engaged in the decision-making process. They include records in response to single issues and groups of closely-related issues maintained by agency officials charged with oversight of these programs or initiatives. This item also covers correspondence, travel files, speeches and other public communications, and notes for the aforementioned individuals as evidence of their activities.

This item does not cover regulatory development (0009), or input into legislative or judicial matters (0007).

For records matching this description in special media (audiovisual, posters, or photographs), see 0011-0015.

Disposition: Permanent. Cut off upon termination of the official’s time in office. Transfer records to NARA 15 years after cut-off. If a records officer determines that particular records in this category should be maintained at DOI longer than this period of time, an exception is permitted, but must be documented in the bureau’s records manual and applied consistently throughout the bureau.

0005 - Executive Commission Records
This item includes records created and maintained by temporary Commissions, boards, councils, and committees fulfilling any of the following criteria:

- Internal agency Commissions established by agency authority related to the Department’s mission, tasked with reviewing policy, studying reorganizations, recommending new actions, or developing multi-year plans;
- Advisory Commissions established under the Federal Advisory Committee Act (FACA). These Commissions are 1. established by statute or reorganization plan, 2. established or utilized by the President, or 3. are established or utilized by one or more agencies/officers of the Federal government.

Records under this item should be limited to files documenting the Commission’s establishment, membership, policy, organization, deliberations, findings, and recommendations. This includes:

- Original charter, renewal and amended charters, organization charts, functional statements, directive or memorandums to staff concerning their responsibilities, and other materials that document the organization and functions of the Commission and its components.
● Agendas, briefing books, minutes, testimony, and transcripts of meetings and hearings as well as audiovisual records or meetings and hearings

● Official copy of reports, studies, pamphlets, posters, and other publications produced by or for the Commission as well as news releases, commissioners’ speeches, formal photographs, and other significant public affairs files

● Correspondence, subject, and other files maintained by key Commission staff, such as the chair, executive director, and legal counsel, documenting the functions of the Commission

● Substantive records relating to research studies and other projects, including unpublished documents of sufficient importance to warrant retention

● Questionnaires, surveys, and other raw data accumulated in connection with research studies and other projects where the information has been consolidated or aggregated in analyses, reports, or studies

● Records created to comply with the provisions of the Government in the Sunshine Act, annual reports to Congress describing compliance with the act

● Documentation of subcommittees, working groups, or other subgroups of advisory Commissions, including records that support their reports and recommendations to the parent Commission. This may include transcripts, reports, correspondence, briefing materials, and related records

Other files relating to the day-to-day activities of the Commission that do not contain unique information of historical value should be filed under Schedule 1 Administrative Records (DAA-0048-2013-0001). This includes:

● Correspondence, reference and working files of Commission staff

● Routine records including public mail, requests for information, consultant personnel files, records relating to logistical aspects of Commission meetings and hearings, etc.

● Files accumulated by agencies on interagency Commissions other than the secretariat or sponsor

This item provides an exception for GRS 6.2.010.

For records matching this description in special media (audiovisual, posters, or photographs), see 0011-0015.

Disposition: Permanent. Cut off records at the end of the Commission’s meeting cycle. Transfer records to NARA 15 years after cut-off. If a records officer determines that particular records in this category should be maintained at DOI longer than this period of time, an exception is permitted, but must be documented in the bureau’s records manual and applied consistently throughout the bureau.

3.2 – Judicial and Legislative Activities

All DOI activities devoted to representation in negotiations, development of legislative proposals and positions on pending legislation, hearing statements presented to congressional committees, responses to congressional inquiries related to hearings and legislation, and other contacts with Congress. All DOI records created or maintained for the drafting and review of legal documents
impacting the Department; preparation of formal legal opinions issued by the Solicitor; and coordinating response to court rulings or decisions impacting the Department as a whole.

This item does not cover: litigation case files assembled by the Solicitor’s Office; bureau input to litigation case files; decisions and adjudications made by the Departmental entities endowed with such power (e.g. EEO, Collaborative Action and Dispute Resolution, Interior Board of Land Appeals, Interior Board of Indian Appeals, and others); routine legal advice for day-to-day mission activities; or assistance or representation by the Department of other entities involved in litigation or adjudication. See Schedule 4 (Legal, Regulatory Compliance, and Enforcement) for these records.

0006 - Document Collection and Legislative Input Records
Documents created and maintained for response to judicial or legislative issues, including: responses to congressional inquiries or correspondence; litigation holds or preservation notices; document production for active court cases; and similar records not specifically described in other items of this schedule. These records do not constitute the final response to such matters, but instead include all development, drafting, internal agency correspondence, and administration created and received to respond to the issue.

Document collection files under this item include interpretation/explanation of litigation holds, records certifying response to a collection, copies of records assembled for response to a collection (but not the original records, which must be returned to the office of origin), and other records developed in administering response to a collection. For the purposes of this item, ‘document collection’ includes litigation holds, record freezes, preservation holds, document productions, requests for production, and associated terms.

Legislative input included under this item includes bureau-specific input into legislation of interest to the Department, informational subject matter files, supporting documentation for confirmation files, confirmation files for withdrawn nominations, White House legislative reports, congressional correspondence files, and other day-to-day management of response to legislative inquiries or correspondence. Official responses maintained by the Office of Congressional and Legislative Affairs are filed as Permanent records (see 0007).

Disposition: Temporary. Cut off at end of legislative session in which the final response is submitted, or when information is no longer needed for Departmental response, whichever is later. Destroy 8 years after cut-off.

0007 - Official Judicial and Legislative Representation
Records under this item consist of official representation of the Department on judicial or legislative matters. Included are:

- Official documents rendering legal opinion and advice that results in policy for the Department as a whole, generally issued by the Solicitor;
- Official records establishing the Department’s position and comments to the White House about legislative matters of interest to the Department, including on pending and proposed legislation, executive orders, modifications to existing laws, and similar legislative matters;
- Records documenting official legislative proposals authored by the Department, and input and comments into legislative proposals created by other federal agencies;
- Testimony to congressional committees;
- Complete records documenting the Senate confirmation process for Presidential appointees, including statements, transcripts, and correspondence (does not include files for appointees whose nomination is withdrawn);
- Input from the Department on legislative and judicial issues, including input from high-level officials; and
- Files relating to high-profile legal action, or judicial proceedings pertaining to that action (includes documentation needed to prepare for hearing before a Governmental body such as a commission, board, or authority; documentation needed to prepare for judicial proceedings; documentation prepared for submittal to a higher body for review; transcripts of original proceedings). This does not include the official litigation case file (see Schedule 4 Legal, Regulatory Compliance, and Enforcement).

This is not intended to be an exhaustive list of documents under this category. Records that seem to fit the above criteria must be proposed for permanent retention in the bureau’s records manual, with concurrence from the Departmental Records Officer.

Note that correspondence originating with senators, congressmen, the public, or other concerned parties about specific projects or issues under the Department’s purview should be filed with the subject it pertains to (typically in Schedule 2 Mission).

For records matching this description in special media (audiovisual, posters, or photographs), see 0011-0015.

Disposition: Permanent. Cut off at end of legislative session in which guidance is superseded or issue is closed. Transfer records to NARA 15 years after cut-off. If a records officer determines that particular records in this category should be maintained at DOI longer than this period of time, an exception is permitted, but must be documented in the bureau’s records manual and applied consistently throughout the bureau.

NOTE: “High-profile” case files are those fitting any of a number of criteria also shared by “historically significant” files. The case must: involve significant or permanent damage to, or loss of, a cultural or natural resources with great monetary, cultural, scientific, or historical value; encompass “first of kind” events that establish precedents; be subject to widespread media attention or Congressional scrutiny; involve action taking place on or involving American Indian Fiduciary Trust property or resources.

3.3 – Public Affairs

0008 - Public Affairs Records
Records of all DOI activities devoted to the exchange of information between DOI and its stakeholders in support of the DOI mission. These records are created and maintained for the primary purpose of representing DOI to the public, state, local and international
governments, tribal nations, the news media and other private groups. Included are public information releases, the record copy of DOI speeches and public appearances by High-Level Officials, and records documenting major DOI events. These records include: News Releases, Speeches, Publications, and other public outreach deemed important to document a complete history of DOI and its relationship with stakeholders.

This item DOES NOT include Public Affairs records in special media format (audio/visual recordings, photographs and graphic material, videos and moving pictures, art and posters, audio recordings). See 0011-0015 for records in such formats.

Specific records include:
- Documentation related to information on secretarial decisions and actions to news media and other entities via new releases and media relations,
- Remarks made by High-Level Officials at formal ceremonies and during interviews concerning DOI programs. The speeches and addresses may be presented to executives from other Federal agencies, representatives of state and local governments, or private groups such as college and university students, business associations, and cultural news media commentators.
- Records that document the communication of activities promoting the mission of the agency.
- Records relating to establishment, organization, membership, and policy regarding international, national, interagency, and internal bodies of a formal nature and continuing importance, and presidential commissions for which DOI provides sponsorship or administrative support.
- Promotional records used to document substantive and mission-related activities, and having historical significance after completion of the purpose for which they were created. Historical significance may be created if the records document or illustrate an activity or subject that is a precedent or basis for a significant policy change, is involved in extensive litigation, receives widespread media attention, is widely recognized as unique by specialists or authorities outside the government. For records matching this description in special media (audiovisual, posters, or photographs), see 0011-0015.

Disposition: Permanent. Cut off at the end of the fiscal year in which the event occurred or the publication was produced. Transfer to NARA 15 years after cutoff. If a records officer determines that particular records in this category should be maintained at DOI longer than this period of time, an exception is permitted, but must be documented in the bureau’s records manual and applied consistently throughout the bureau.

3.4 – Regulatory Development
All DOI activities devoted to developing regulations, rules, and policies which are not internal to the Department. Rulemaking and regulatory development under this item involves the Department or one of its bureaus/offices establishing policy that is applicable outside of the Department, in the mission or line of business the bureau/office is responsible for.

0009 - Regulatory Development and Support
Records documenting the drafts and supporting documentation created in the development of rules, regulations, and other official documents, but not including the final version of such regulations. These records also include advice, guidance, and clarification for active regulations provided to external parties, which help to define them for government business.

Specific records include:
- Drafts of preamble and rulemaking text;
- Briefing papers;
- Analyses required by laws or Executive Order (e.g., Proposed Regulatory Flexibility Analyses, NEPA-related analyses, economic analyses required by Executive Order 12866 for significant documents, and similar analyses).

Other documents used in preparing the proposed rule are also included if they are necessary to illustrate the development of the proposed rule.

The following types of records ARE NOT covered by this item:
- Regulatory development files created by High-Level Officials of the Department warrant permanent retention (see 0010, below);
- Development of internal policies and directives (see 0001, above);
- Material related to approval of information collections contained in proposed rules (see DAA-0048-2013-0001-0001, Short-term Administration Records);
- Records documenting submissions to the Unified Agenda (see DAA-0048-2013-0001-0001, Short-term Administration Records).

Disposition: Temporary. Cut off at end of fiscal year in which the regulation is published, or upon determination that the regulation will not be published. Destroy 7 years after cut-off.

0010 - Final Regulations
This item covers the final version of Departmental rules, regulations, and publications that represent the Department’s official policies or procedures, applicable outside of the Department, including Federal Register notices. Records pertaining to regulatory development by a High-Level Official are also filed under this item.

Specific records include:
- Final analyses required by laws or Executive Orders. Examples of analyses include: Final Regulatory Flexibility Analyses, NEPA-related analyses, economic analyses required by Executive Order 12866 for significant documents, and similar analyses;
- Comments from the public on the proposed rule. For postcard campaigns, form letter campaigns, and similar mass-comment efforts, a single copy of each identical or substantially identical comment is required, accompanied by a record indicating how many copies of the comment were received;
- Preamble of the final rule, as sent to the Federal Register for publication, including responses to public comments.

The following types of records ARE NOT covered by this item:
● Developmental or draft materials unless they are critical to understanding the final version of a regulation (see 0009);
● Internal policies and directives (see 0002 and 0003);
● Final rule preamble and text (these are published in the Federal Register);
● Material related to approval of information collections contained in regulations (see DAA-0048-2013-0001-0001, Short-term Administration Records).

For records matching this description in special media (audiovisual, posters, or photographs), see 0011-0015.

Disposition: Permanent. Cut off at end of fiscal year in which regulation is superseded or obsolete. Transfer records to NARA 15 years after cut-off. If a records officer determines that particular records in this category should be maintained at DOI longer than this period of time, an exception is permitted, but must be implemented as a documented standard and implemented consistently within the bureau.

3.5 Policy-Related Special Media Records
Special media records as identified in the permanent items earlier in this schedule (0003, 0004, 0007, 0008, and 0009). These records document High-Level Officials’ actions, policy decisions, the history and promotion of bureaus or the Department, significant events and historic ceremonies, and other instances that may result in widespread media attention or Congressional scrutiny. All related documentation and indices pertaining to special media records should also use this disposition authority.

Routine administrative special media records are scheduled under DAA-0048-2013-0001-0001.

0011 - Photography and Negatives - Physical Media
Black and white photographs, color photographs, negatives, slides, transparencies, prints, and related documentation and indices.

Disposition: Permanent. Cut off at end of fiscal year. Transfer to NARA 3 years after cut-off.

0012 - Photography and Negatives - Digital Images

Disposition: Permanent. Cut off at end of fiscal year. Transfer to NARA 3 years after cut-off.

0013 - Motion Pictures, Video, and Audio Recordings - Physical Media.
Film, Video, and Audio Cassettes

This item provides an exception for GRS 6.2.020.

Disposition: Permanent. Cut off at end of fiscal year. Transfer to NARA 3 years after cut-off.

0014 - Motion Pictures, Video, and Audio Recordings - Digital Video and Audio Recordings
This item provides an exception for GRS 6.2.020.

Disposition: **Permanent.** Cut off at end of fiscal year. Transfer to NARA 3 years after cut-off.

**0015 - Posters**
Posters in hard copy only; records that are not photographs but visually represent critical information, often with textual supporting documents.

Disposition: **Permanent.** Cut off at end of fiscal year. Transfer to NARA 3 years after cut-off.