

**Forest Service Handbook  
National Headquarters - Washington Office  
Washington, DC**

**Forest Service Handbook 6209.11 - Records Management Handbook  
Chapter 40 - File Designations and Disposition**

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**Approved by:** Mary Rice, Deputy Chief, Business Operations

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**Responsible Staff:** Business Operations, Office of Regulatory and Management Services (ORMS).

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**Digest:** Following is an explanation of the changes throughout the directive by section.

**40:** Updates chapter in its entirety. Updates to include the new agency official records repository not being authorized to store classified records.

**40.5:** Revises definitions with new terms. The retention authorities (file designations and dispositions) cited in chapter 40 hereby supersede all previous NARA approved retention authorities, except for records covered by section 41.

**41:** Revises direction previously found in sections 42, 44, and 45 are now set out in this section.

**42:** Provides guidance on retention of electronic records retained under revised 1000-8000 series file codes.

**43:** Provides guidance on the new Electronic Correspondence Management (ECM) System.

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## 40.5 - Definitions and Acronyms

**Retention Pending.** The retention period for the identified records category is awaiting approval by the Archivist of the United States, National Archives and Records Administration (NARA), per 44 USC 3303. Records created and maintained in categories identified as pending are to be retained on site and may not be (as applicable) transferred to a Federal Records Center, accessioned to the National Archives, or destroyed until retention authority is published in FSH 6209.11, Chapter 40.

**Electronic Records Archives (ERA).** National Archives and Records Administration system that allows Federal agencies to perform records management transactions online. Agency records management staff use ERA to draft and submit new records retention schedules, request transfer of records in any format to the National Archives for accessioning and pre-accessioning and submit electronic records for storage in the ERA electronic records repository.

**Archives and Records Centers Information System (ARCIS).** National Archives and Records Administration system that allows Federal agencies to perform records management transactions online with the Federal Records Centers (FRCs). Agency records management staff use ARCIS to conduct all transactions online, saving time and reducing paperwork. The system allows the ability to track transactions electronically, giving instant access to information about the records.

**Federal Records Center (FRC).** Federal Records Centers store and service every kind of federal record. Federal Records Centers hold records for any citizen who has ever served in the military, had a Social Security number, or applied for a passport. In addition to storing and servicing temporary records, Federal Records Centers play a key role in the lifecycle of permanent records and helping to foster open government. Permanent records, as the name suggests, are records that warrant preservation by the federal government beyond the time they are needed for administrative, fiscal, or legal purposes because of their historical or other value. Federal Records Centers protect and preserve permanent records from the time they are no longer needed for daily business until they are accessioned into the National Archives. Archival control of the permanent records is assured because the records are in continuous federal custody for their entire lifecycle. About 90 percent of textual permanent records that are accessioned into the National Archives have come through the federal records center system.

**National Archives and Records Administration (NARA).** National Archives and Records Administration ensures, for the citizen and the public servant, for the President and the Congress and the courts, the identification, protection, preservation, and accessibility of historically valuable records of the federal government that document the rights of American citizens, the actions of federal officials, and the national experience from the nation's beginnings in 1774. Among the records in its holdings are our nation's founding documents: the Declaration of Independence, Constitution, and Bill of Rights.

## 41 - Special Records

As electronic records management of unstructured data is implemented within the USDA) United States (U.S.) Forest Service (Forest Service), the Forest Service must maintain electronic versions of the records according to Title 36, Code of Federal Regulations, Part 1236 – Electronic Records Management (36 CFR 1236) for the entire record lifecycle. The Forest Service must transfer permanent records to National Archives and Records Administration (NARA) in accordance with the applicable NARA standards in place at the time of transfer.

### 41.1 - Records Associated with American Indians and Alaska Natives

Accounts and supporting documents pertaining to American Indians and Alaska Natives are not authorized for disposal. Such records must be retained indefinitely since they may be needed in litigation involving the Federal Government's role as trustee of property held by the Federal Government and managed for the benefit of American Indians. These records include those created under the Alaska Native Claims Settlement Act of 1971. Public Law 92-203 (Pub. L. 92-203, Volume 85, U.S. Statutes, Page 688 (85 Stat. 688)). Additional information regarding Tribal Relations can be found in FSM 1560.

### 41.2 - Records Created Under the Alpha Filing System

Records retained under the Forest Service Alpha Filing System are to be retained as indicated below.

1. **Forest Supervisor's Office (SO) records (all files) dated June 30, 1946, and earlier**, filed under all categories of the Forest Service alpha file plan. These records are designed for permanent retention and are eligible for immediate transfer to NARA; cite transfer authority N1-95-92-2, paragraph 1.
2. **Forest Supervisor's lands files dated on and after July 1, 1946**, filed under the following categories of the Forest Service alpha file plan:
  - L – Land.
  - LU - Land Utilization.
  - LP - Land Planning.

These records are designated for permanent retention and are eligible for immediate transfer to NARA; cite transfer authority N1-95-92-2, item 2.

3. **Forest Supervisor's Office records dated July 1, 1946, through June 30, 1959**: All file folders filed under Forest Service alpha file codes:
  - a. E - Engineering,
  - b. F - Fire Control,

- c. FP - Flood Prevention,
- d. G - Range Management,
- e. I - Information and Education,
- f. M - Watershed Management,
- g. O- Operations,
- h. P - State and Private Forestry,
- i. S - Timber,
- j. U - Recreation and Land, and
- k. W - Wildlife (contact the Records Officer to determine disposition).

Cite transfer authority N1-95-96-2, item 1.

All file folders filed under Forest Service alpha file codes:

- a. A- Fiscal Control,
  - b. C - Chief,
  - c. D - Regional Forester, and
  - d. K - Personnel: Destroy immediately per NARA records schedule N1-95-96-2, item 2.
4. **Regional Office records dated June 30, 1946, and earlier**, filed under all categories of the Forest Service alpha file plan. These records are designated for permanent retention and are eligible for immediate transfer to NARA; cite transfer authority N1-95-94-1, item 1.
5. **Regional Office records dated July 1, 1946, through June 30, 1959**, filed under all categories of the Forest Service alpha file plan. Retention period for these records' dependent upon category; contact The Records Officer to determine disposition (reference NARA records schedule N1-95-94-1, paragraph 2).

### 41.3 - Skills Bank Data Base

The Skills Bank Data Base was created pursuant to the Consent Decree for the purpose of assisting the Forest Service in achieving the goal of eliminating under representation of women employees with each General Schedules job series represented within its workforce and at each grade level therein.

The data base contains identifying information, skills, work history, abilities, and education of all permanent employees assigned to Region 5 and Pacific Southwest Forest and Range Research Station (PSW). The records are stored on disk, magnetic tape, or other electronic media. The file is updated when an employee wishes to change their individual record. A Privacy Act system of records exists (USDA/FS-50).

#### 41.4 - Disposition

1. **Consent Decree Records.** Region 5 and PSW consent decree records are permanent records (as authorized by NARA records retention schedule N1-95-91-003) and must be transferred to the Federal Records Center (FRC) one year after the decision made by the judge to end the Consent Decree (March 26, 1992). The FRC must offer records to NARA 25 years after the end of the decree. All other Forest Service units should destroy consent decree records according to the retention periods associated with the file code on the document.
2. **Skills Data Base Records.** Individual records must be deleted as employees transfer or retire out of Region 5 or PSW. Input documents and printouts should be destroyed when reference value ceases.

#### 42 - File Designations and Retention Periods

##### 42.1 - 1000 Series File Codes

The following provides guidance for managing Forest Service unstructured records in electronic format. Staffs maintaining records electronically must use the approved Electronic Records Retention Schedules and store records in official Forest Service designated repositories. Staffs maintaining records in hardcopy and electronically will use the approved Electronic Records Retention Schedule as appropriate.

Superseded Records Retention Schedules are provided solely for reference purposes and should not be used to manage official records.

It is the Forest Service intent to replace this Interim Directive with an amendment in Fiscal Year (FY) 2024. This amendment will issue a single records retention schedule to manage electronic and hardcopy records.

#### File Code - Heading: 1010 - Laws, Regulations, and Orders

##### 1. Subheading: Federal Register Liaison

**Description of Records:** General correspondence, records related to yearend reports, instructions for preparation of Federal Register documents, and other activities carried out by the Federal Register Officer.

**Disposition:** Temporary. Cutoff at end of FY in which superseded. Destroy ten years after cut-off.

**Disposition Authority:** N1-95-10-4/2

## 2. Subheading: Federal Register Policy Notice

**Description of Records:** Documents showing rationale, justification, and analysis leading up to the policy submitted to the Federal Register about pending Forest Service policies, public comments or summary analysis, and correspondence related to Office of Management and Budget (OMB) review of policy. Establish case files, as needed, on proposed and final notices.

**Note 1:** The Records Officer authorization via a NARA approved transfer form (for example, Electronic Records Archives (ERA) Transfer Request (TR)) required prior to transferring permanent records to custody and ownership of NARA.

**Note 2:** Store all existing closed hardcopy records at Federal Records Center until eligible for transfer to NARA custody.

**Disposition:** Permanent (see notes). Cutoff at end of FY in which superseded. Transfer to NARA Ten years after cut-off.

**Disposition Authority:** N1-95-10-2/2

## 3. Subheading: Federal Register Routine Notices

**Description of Records:** Federal Register notices other than proposed and final rules. Includes records of notices announcing public stakeholder meetings, hearings, investigations, petition filing, application filing, license issuance, license revocation, grant application deadlines, environmental impact statement availability, delegations of authority, hours of public opening, use of an agency's seal, guidance, System of Records Notices (SORNs), Paperwork Reduction Act (PRA) Information Collection Requests, and other matters not codified in the Code of Federal Regulations (CFR).

**Note 1:** Copies of notices may also be retained in specific program and project files.

**Note 2:** SORN case files are retained under file code 6270.

**Note 3:** PRA Information Collection reports are retained under file code 1380.

**Note 4:** Notices of meetings of committees established under the Federal Advisory Committee Act (FACA) are retained under file code 1350.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy one year after cut-off.



**Disposition Authority:** General Records Schedules (GRS) 6.6/040 DAA-GRS-2017-0012-0004

#### 4. Subheading: Regulations Management

**Description of Records:** Includes general correspondence related to OMB review of rules and departmental directives on procedures on rulemaking; correspondence not related to a specific rule proposal; includes letters with notification of new laws, regulations, and orders; letters interpreting or clarifying new and existing laws, regulations, and orders.

**Note 1:** Establish case files as needed.

**Note 2:** Includes records previously retained under file codes:

- 1010 - Laws, Regulations, and Orders – General.
- 1010 - Laws, Regulations, and Orders – Regulations.

**Disposition:** Temporary (see notes). Cutoff at end of FY. or when case file closed (as appropriate). Destroy ten years after cut-off.

**Disposition Authority:** DAA-0095-2018-0001

#### 5. Subheading: Regulatory Program and Agenda

**Description of Records:** Files documenting the processing of semiannual regulatory agenda. Includes records pertaining to Forest Service input into the Unified Agenda of Federal Regulatory and Deregulatory items (also known as the “Unified Agenda” or “Semiannual Regulatory Agenda”) published by General Services Administration (GSA) with input from OMB; the Forest Service Regulatory Flexibility Agendas; and the Regulatory Plan.

**Disposition:** Temporary. Cutoff at end of FY. Destroy two years after cut-off. Files documenting the processing of semiannual regulatory agenda.

**Disposition Authority:** GRS 6.6/050 - DAA-GRS-2017-0012-0005

#### 6. Subheading: Rulemaking

**Description of Records:** Proposed and final rules developed by Forest Service. Includes review of existing regulations. Contains file copies of all rule documents submitted to the Federal Register, background data on which the proposed and final regulation is based, analysis conducted on the rule, comments received from the public or summary analysis, transcripts of any meetings or hearings on the rule, and any other data considered in the promulgation of the final rule (FSM 1013). Includes comments from Office of General Council (OGC) on specific rules initiated within the Forest Service.

**Note 1:** The Records Officer authorization via NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 2:** Store all existing closed hardcopy records at Federal Records Center until eligible for transfer to NARA custody.

**Disposition:** Permanent (see notes). Cutoff at end of FY in which case is closed. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-2/1

## 7. Subheading: Rules Proposed by other agencies

**Description of Records:** Includes Forest Service comments on rules proposed by other agencies and correspondence on rules and regulations proposed by other agencies - organize by case file.

**Note 1:** Apply retention period after case file is closed.

**Note 2:** NARA concurred these records are not covered by GRS 6.6/010 and should be retained under an agency-specific records retention schedule.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which case file closed. Destroy ten years after cut-off.

**Disposition Authority:** N1-95-10-4/4

## File Code - Heading: 1020 - Forest Service Mission

### 1. Subheading: Forest Service Mission

**Description of Records:** Records consist of the finalized, published Mission, Vision, and Forest Service Guiding Principles; other records include background material and finalized documentation used to develop, define, and articulate the Mission (the organizational purpose of the Forest Service; the primary business of the Forest Service; the fundamental reason the Forest Service exists), Vision (leadership statement articulating the kind of organization the Forest Service strives to become, which allows comparison of present conditions with the future desired state), and application of Forest Service Guiding Principles.

**Note 1:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 2:** Store all existing closed hardcopy records at FRC until eligible for transfer to NARA custody.

**Note 3:** Previous subheading "Significant."

**Disposition:** Cutoff at end of FY. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-5/1

## 2. Subheading: Forest Service Mission Administrative Records

**Description of Records:** Includes general correspondence related to the Forest Service Mission. Also includes general records relating to the Forest Service Vision and Guiding Principles.

**Note:** Previous subheading "General."

**Disposition:** Cutoff at end of FY. Destroy six years after cut-off.

**Disposition Authority:** N1-95-10-3/1

## File Code - Heading: 1100 - Directive System

### 1. Subheading: Forest Service Directive Issuances

**Description of Records:** Record copy of directives issuance or amendments, interim directives, and related material (including public involvement determinations); directive processing requests. Establish case files numerically by title and amendment numbers. Files should contain a copy of new or revised material and a copy of superseded material.

**Forms:** FS-1100-0002 - Directive Processing Request.

**Note 1:** Establish case files as needed, and name/organize numerically by title and amendment/ID numbers under the following subject headings:

- Washington Office.
- Regional Office [Name].
- Research Station [Name].
- Forest [Name].
- Grassland [Name].
- Other: [Name].

**Note 2:** the Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 3:** Store all existing closed hardcopy records at FRC until eligible for transfer to NARA custody.

**Note 4:** Current issuances are essential records.

**Note 5:** Establish case files as needed.

**Note 6:** Previous subheading "Forest Service Directives."

**Disposition:** Permanent (see notes). Cutoff at end of FY in which directive signed. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-2/3

## 2. Subheading: Directive Program Management

**Description of Records:** Records related to policies and responsibilities for the management of the directives program; establishment of directives, directive system structure and standards; guidance on writing, preparation and clearance procedures; the design, maintenance, and improvement of the directive system; questions and responses on policies, standards, and responsibilities; directive issuance reports and lists of service-wide issuances; directive distribution lists, maintenance, and access; reconciliation of distribution records; directive system writing techniques materials; requests for directives; and other background materials related to management of the directives program.

**Note 1:** Retain training materials under file code 6140 - Employee Development, Performance, Awards - Training-Forest Service Sponsored (GRS 2.6, item 010).

**Note 2:** Includes records previously retained under file codes:

- 1100 - Directive System – General.
- 1110 - Directive System Structure and Standards – General.
- 1120 - Directive Writing, Preparation, and Clearance.
- 1130 - Directive Distribution, Maintenance, and Access.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy three years after cut-off.

**Disposition Authority:** DAA-0095-2018-0002-0001

**File Code - Heading: 1200 - Organization**

**1. Subheading: Routine Organizational Matters**

**Description of Records:** Includes general correspondence, do not use for material that can be classified under a specific subject.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy three years after cut-off.

**Disposition Authority:** N1-95-10-2/9

**2. Subheading: Routine Organizational Studies**

**Description of Records:** Includes workload measurement or study of specific organizational task (for example, a work-load measurement or a study of the organization's word processing pool). Includes background information.

**Note 1:** Establish case files as needed.

**Note 2:** Previous subheading "Routine Studies."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which study ends. Destroy three years after cut-off.

**Disposition Authority:** N1-95-10-2/10

**3. Subheading: Special Studies and Reviews, Including Significant Studies**

**Description of Records:** Studies requested by management in assessing the needs of the organization. Substantive studies that affect the overall Agency, the Washington Office, or a Regional Office organization. Includes all supporting information.

**Note 1:** Establish case files as needed.

**Note 2:** Establish case files under the following subject headings:

- Washington Office.
- Regional Office [Name].Research Station [Name].
- Forest [Name].
- Grassland [Name].
- Other: [Name].

**Note 3:** the Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 4:** If hardcopy records exist, send to FRC storage at end of FY in which they are closed. If microfilm is located, immediately transfer to NARA using approved processes.

**Disposition:** Permanent (see notes). Cutoff at end of FY in which study ends. Transfer ten years after cut-off.

**Disposition Authority:** N1-95-10-2/8

## **File Code - Heading: 1220 - Organization and Position Management**

### **1. Subheading: Historic Organization Matters**

**Description of Records:** Establishment, reorganization, and abolishment of significant units and studies identified as having historical value. Cases under this designation will be selected based on uniqueness, first of its kind, unusual impact.

**Note 1:** Establish case files as needed.

**Note 2:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 3:** If hardcopy records exist, send to FRC storage at end of FY in which they are closed. If microfilm is located, immediately transfer to NARA using approved processes.

**Disposition:** Permanent (see notes). Cutoff at end of FY in which case is closed. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-2/11

### **2. Subheading: Organization Charts**

**Description of Records:** Record includes the signed official record copy of the approved organization chart. Retain the official signed chart under this records schedule.

**Note 1:** Office initiating the chart is responsible for retaining the official record.

**Note 2:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 3:** If hardcopy records exist, send to FRC storage at end of FY in which they are closed. If microfilm is located, immediately transfer to NARA using approved processes.

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-2/12

### 3. Subheading: Organization and Position Management Case Files

**Description of Records:** Records related to organization and position management reviews, studies, evaluations and analysis of organizational structures and related positions to include position management plans, surveys, system standards; organization of work units, organizational structure development; organizational change requests, approvals and disapprovals; titles and authorized unit names; proposed organization charts, organization structure codes, coding schema and requests for changes; proposals, functional statements; documentation relating to implementing organizational changes; and related supporting and background materials.

**Note 1:** Approved, signed organization charts are maintained under file code 1220 - Organization and Position Management - Organization Charts.

**Note 2:** Establish case file as needed.

**Note 3:** Includes records previously retained under file codes:

- 1220 - Organization and Position Management - Organization Charts.
- 1220 - Organization and Position Management - Position Management.
- 1220 - Organization and Position Management - Unit Reorganization Matters.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which case file closed. Destroy ten years after cut-off.

**Disposition Authority:** DAA-0095-2018-0005-0001

## File Code - Heading: 1230 - Delegations of Authority and Responsibility

### 1. Subheading: Delegations of Authority and Responsibility

**Description of Records:** Includes correspondence and other records on the administration of delegations, including letters of authorization and special designations or signing authorizations.

**Note:** Current authorizations are essential (vital) records.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which acting assignment or delegation of authority ends. Destroy ten years after cut-off.

**Disposition Authority:** N1-95-10-2/13

**File Code - Heading: 1240 - Organization Standards**

**1. Subheading: Organization Standards Case Files**

**Description of Records:** Records related to the establishment or relocation of offices, laboratories, and other service facilities; requests to approve new facilities in urban areas and the establishment, abolishment, or transfer of any Regional, Station, or Area headquarters office; documentation of actions to acquire or lease real property, proposal submissions to include problem definition, factors necessitate changes requested, alternative solutions, analysis of alternatives, and final recommendation; documentation relating to civil rights impact statements, economic evaluations, facility planning; recommendations for memorials and names of administrative units and related sites to include descriptions of the significance of the name. Documentation relating to determining the size, location, and organizational structure of administrative units; to include workload, geography, ecosystems, transportation, energy use physical plan requirements, and other cost-benefit relationships; inventories and historical summary of administrative units. Records documenting reviews and approvals by the Chief of the Forest Service, or recommendations to the Department.

**Note 1:** Establish case files under the following subject headings:

- Washington Office.
- Regional Office [Name].
- Research Station [Name].
- Forest [Name].
- Grassland [Name].
- Field Office Name.
- Names [Names of administration].
- Other: [Names].

**Note 2:** Approving office maintains official record.

**Note 3:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 4:** If hardcopy records exist, send to FRC storage at end of FY in which they are closed. If microfilm is located, immediately transfer to the NARA using approved processes.

**Note 5:** Includes records previously retained under file codes:

- 1240 - Organization Standards - Field Office Locations.
- 1240 - Organization Standards – General.
- 1240 - Organization Standards - Inventory of Administrative Units.



- 1240 - Organization Standards - Names for Administrative Units, Related Sites and Areas.

**Disposition:** Permanent (see notes). Cutoff at end of FY in which case file is closed or inventory superseded. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-88-2

## **File Code - Heading: 1300 - Management**

### **1. Subheading: General Management Records**

**Description of Records:** Includes general correspondence pertaining to management function. Does not include material that can be filed under specific secondary subjects.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Destroy five years after cut-off.

**Disposition Authority:** N1-95-10-4/8

### **2. Subheading: Inquiries**

**Description of Records:** Obsolete. File standard inquiries and responses under file code 6270 - Availability of Records - General Information Requests.

### **3. Subheading: Furlough Management Records**

**Description of Records:** In addition to records retained elsewhere under various records retention schedules (such as file code 6100, 6130, 6300, and so forth) this item shall be used to retain the primary records associated with Forest Service national furlough activities, including agency-wide communications, documentation of impacts, reports, and analysis.

**Exclusion:** Retain records pertaining to specific unit/staff personnel or business activities under the records schedule item (file code) for that activity.

**Disposition:** Permanent (see notes). Cutoff at end of FY in which case file is closed or inventory superseded.

**Disposition Authority:** Pending.

### **4. Subheading: Change Management Initiatives**

**Description of Records:** Documentation relating a change management initiative to include the justification and request for the initiative, analysis and evaluation of the request, implementation plans, communications plan, change management processes

and tools, the effects on policy, processes, or programs. A significant initiative is one that spans across the entire agency for several years, is not linked to one specific agency staff, and is not covered by any other existing file code category.

**Note 1:** Close file when activities associated with initiative cease.

**Note 2:** Establish case files under project name.

**Disposition:** Permanent (see notes). Cutoff at end of FY. when activities associated with initiative cease.

**Disposition Authority:** N1-95-12-7

## **File Code - Heading: 1310 - Methods of Doing Business**

### **1. Subheading: Performance of Commercial Activities**

**Description of Records:** Records include documentation of procedures for determining whether an activity should be performed in-house or by contract (AD-772, Government/Contract Operation of Commercial/Industrial Activity Review, and the backup records for OMB Circular No. A-76, Review of Activities). Includes inventory of commercial or industrial goods and services information (AD-771, Commercial/Industrial Activities and Contract Inventory). These records include, but are not limited to, inventories, reviews, consultations, summary reports, commercial activity codes, challenges, appeals, decisions, planning documents, public announcements, federal register notices, standard and streamlined competition documents, accountability statements, cost, calculations, and performance measures.

**Note 1:** Procurement files related to Circular No. A-76 solicitations are filed with Routine Procurement Files (6500 series).

**Note 2:** Includes records previously retained under file codes:

- 1310 - Methods of Doing Business – General.
- 1310 - Methods of Doing Business - Performance of Commercial Activities.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy six years after cut-off.

**Disposition Authority:** GRS 5.7/050 - (DAA-GRS-2017-0008-0005)

### **2. Subheading: Sustainable Operations Program Files**

**Description of Records:** Includes records regarding the Forest Service's actions under Public Law 109-58, Public Law 110-140, as well as applicable Executive Orders and USDA regulations.

**Note 1:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 2:** Store existing closed hardcopy records at FRC until eligible for transfer to NARA custody.

**Note 3:** Previous subheading "Sustainable Operations."

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA in five-year blocks, when the most recent file is 15 years old.

**Disposition Authority:** N1-95-10-3/2

3. **Subheading: Work Force Management and Planning**

**Description of Records:** Includes records pertaining to planning for and management of work force, analysis of people and skills needed to accomplish constantly changing priorities and programs, and alternative ways of doing business.

**Disposition:** Temporary. Cutoff at end of FY. Destroy six years after cut-off.

**Disposition Authority:** N1-95-10-4/10

**File Code - Heading: 1320 - Technology Transfer**

1. **Subheading: Technology Transfer Administrative Files and Reports**

**Description of Records:** Includes correspondence pertaining to Service-wide Technology Transfer process, program, and the Annual Technology Transfer and Biennial Report; records include policy recommendations on the technology transfer program, summaries and annual reports on technology transfer accomplishments, documentation on internal and external activities with the Department and other Government agencies; national initiatives; budget development and implementation plans, copies of cooperative technology transfer agreements.

**Note:** Includes records previously retained under file codes:

- 1320 - Technology Transfer – General.
- 1320 - Technology Transfer – Reports.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy five years after cut-off.

**Disposition Authority:** Pending.

2. **Subheading: Technology Transfer Program - Historic Records**

**Description of Records:** Collection of historic records created between 1972 and 1983, documenting the establishment of the Technology Transfer Program.

**Note 1:** Closed series.

**Note 2:** Previous subheading "Historic Records."

**Disposition:** Permanent (see notes). Transfer immediately existing records to NARA.

**Disposition Authority:** N1-95-88-2

3. **Subheading: Technology Transfer Council**

**Description of Records:** Discontinued in 2018, use for legacy records only.

Includes meeting minutes, agendas, and backup material related to activities of the Council, which is made up of Associate Deputy Chiefs who set technology transfer policies for the Forest Service.

**Note:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA when 15 years old.

**Disposition Authority:** N1-95-88-2 (1320-2)

**File Code - Heading: 1330 - Management Systems**

1. **Subheading: Environmental Management System (Aka: National Environmental Management System)**

**Description of Records:** All records pertaining to the development and production (including annual updates) of the Environmental Management System (EMS) Technical Guide. The guide contains the procedures the Forest Service must follow to implement the National EMS and addresses all EMS requirements identified in International Standards Organization (ISO) 14001, as well as EMS requirements of Title 36, Code of Federal Regulations, Part 219.5 – Planning Framework. An EMS is a systematic approach to improving environmental performance. The EMS is based on the plan-do-check-act cycle to establish goals, implement plans to meet the goals, determine progress, and make environmental improvements; including records of all actions taken to implement EMS requirements, including audits; records developed as pilot projects and efforts to transition such projects into the National EMS, and records regarding establish of a

management system to enhance environmental performance and accountability through continual process improvement.

**Note:** Includes records previously retained under file codes:

- 1330 - Management Systems - EMS Technical Guide.
- 1330 - Management Systems - Establishing/Transitioning EMS.
- 1330 - Management Systems – General.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 25 years after cut-off.

**Disposition Authority:** Pending.

#### **File Code - Heading: 1340 - Management Improvement Administration**

##### **1. Subheading: Employee Suggestion Program**

**Description of Records:** Obsolete. Program discontinued.

##### **2. Subheading: Patent Case Files**

**Description of Records:** Contains documentation such as search and application reports from patent attorney, NTIS-303 form from the inventory, and other records related to the patent process; and associated general correspondence related to the patent and patent process.

**Note:** File under this heading by case file.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which case is closed. Destroy 20 years after cut-off.

**Disposition Authority:** DAA-0095-2018-0071-0001

##### **3. Subheading: Management Improvement Program**

**Description of Records:** Records document management improvement activities designed to increase effectiveness and/or efficiency of Forest Service operations, promote consciousness about reducing costs while maintaining acceptable level of quality programs and services, allocation of staff time to priority improvement efforts, elimination of duplication of effort, and access to and use of results; documentation of critical review and analysis if any resource or support program, activity, system, or procedures; proposals, projects and pilots, and implementation of value management. Includes employee suggestions.

**Exclusion:** Records pertaining to awards given to employees for suggestions. Retain such records under appropriate 6140 category.

**Note 1:** Establish case file as needed.

**Note 2:** Includes records previously retained under file codes:

- 1340 - Management Improvement Administration – General.
- 1340 - Management Improvement Administration - Management Studies.
- 1340 - Management Improvement Administration - Pilot Proposals.
- 1340 - Management Improvement Administration - Value Management.
- 1340 - Management Improvement Administration - Patents-General.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy ten years after cut-off.

**Disposition Authority:** DAA-0095-2018-0071-0002

## **File Code - Heading: 1350 - Committee Management**

### **1. Subheading: Advisory Committee Accountability Records**

**Description of Records:** Records that document financial and ethics accountability, such as records documenting financial expenditures associated with the function of the committee and financial disclosure and conflict of interest documents. This Sub-Heading covers Federal records created or received by Federal advisory committees and their subgroups pursuant to the FACA of 1972. Records include:

- a. Travel costs.
- b. Committee member payments.
- c. Meeting room costs.
- d. Contractor costs.
- e. Federal Register notice costs.

**Note 1:** Forms filed under the Ethics in Government Act are retained by the Department of Agriculture.

**Note 2:** Previous subheading "Committee Accountability Records."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy six years after cut-off.

**Disposition Authority:** GRS 6.2/040 - (DAA-GRS-2015-0001-0004)

### **2. Subheading: FACA Committee Management Officer's Records**

**Description of Records:** Records created and/or maintained by Committee Management Officers and their staff related to the overall management of committees

established under FACA. These records may pertain to specific committees or to the committee management function in general. Records include:

- a. Forest Service guidelines.
- b. Correspondence.
- c. Requests for approval of committee members.
- d. Copies of records about committees maintained for reporting purposes, such as
  - (1) Information provided to GSA Secretariat for annual comprehensive reviews.
  - (2) Statistical data files and reports.
  - (3) Annual reports to the Library of Congress describing the Forest Service's compliance with the Government in Sunshine Act.
  - (4) Financial operating plans and final cost accountings.

**Note 1:** Does not apply to records maintained at the GSA or records covered elsewhere in GRS 6.2.

**Note 2:** Previous subheading "Committee Management Records."

**Disposition:** Temporary (see notes). Cutoff at end of FY, after submission of report, or after superseded or obsolete, as appropriate. Destroy six years after cut-off.

**Disposition Authority:** GRS 6.2/060 - (DAA-GRS-2015-0001-0006)

### 3. Subheading: FACA Committee Case Files

**Description of Records:** Records documenting the establishment and formation of committees and their significant actions and decisions; to include records created by advisory commissions, committees, councils, boards, and other groups established under FACA (this item does not include records of committees whose sole purpose is grant review.) Only one copy of each record is considered permanent. Records may include:

- a. Records related to the establishment of the committee: charters (original, renewal, re-establishment, and amended), enacting legislation, explanation of committee need, when required; filing letters to Congress, organization charts; committee specific by laws, standard operating procedures, or guidelines, any other materials that document the organization and functions of the committee and its components.

- b. Records related to committee membership: memos or similar documentation of how and/or why individual members were selected, member balance plans, membership rosters; appointment letters, and all sub-categories of appointment letters, such as renewals, thank you letters, and so forth, resignation or termination letters.
- c. Records of committee meetings and hearings: agency head's determination that a meeting or portion of a meeting may be closed to the public, agendas, materials presented to or prepared by or for the committee, such as briefing books, background materials, reports (including drafts), and presentations, meeting minutes, public comments, testimony received during hearings, transcripts of meetings and hearings.

**NOTE:** If transcripts do not exist, audio/visual recordings are PERMANENT under file code 1350 - Committee Management - Substantive Audiovisual Recordings (GRS 6.2, Item 020).

- d. Records related to committee findings and recommendations: one copy of each final report, memoranda, and letters to agency, studies, and pamphlets produced by or for the committee, responses from agency to committee regarding recommendations, committee presentations or briefings of findings.
- e. Records created by committee members: correspondence documenting discussions, decisions, or actions related to the work of the committee (excluding administrative or logistical matters), including electronic mail, exchanged between one or more committee members and/or agency committee staff (such as the Designated Federal Officer).
- f. Records related to research collected or created by the committee: records relating to research studies and other project, including unpublished studies, reports, and research materials (may include electronic data), raw data files created in connection with research studies and other projects where the information has been consolidated or aggregated for analysis, reports, or studies.
- g. Documentation of advisory committee subcommittees (for example, working groups, or other subgroups): records relating to the information of the subcommittee or working group, if they exist, decision documents, membership, statements of purpose or other documentation of duties and responsibilities.
- h. Records that document the activities of subcommittees that support their reports and recommendations to the chartered or parent committee. This documentation may include, but is not limited to meeting minutes, transcripts, reports, briefing materials, substantive correspondence, including electronic mail, exchanged between one or more subcommittee members, any other party



that involves the work of a subcommittee, and/or agency committee staff (such as the Designated Federal Officer), background materials.

- i. Records related to committee termination (for example, email, letter, memo, and so forth.)
- j. Other records documenting decisions, discussions, or actions related to the work of a committee, including information on committee websites not captured elsewhere in committee records.

**Note 1:** The Washington Office- Office of Regulatory and Management Services-FACA staff maintains the permanent committee and subcommittee records.

**Note 2:** Organize by committee name. Transfer original charter with other permanent records related to the committee.

**Note 3:** Store any existing closed hardcopy records at FRC until eligible for transfer to NARA custody.

**Note 4:** Previous subheading "FACA Committees."

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA 15 years after cut-off.

**Disposition Authority:** GRS 6.2/010 - (DAA-GRS-2015-0001-0001)

#### 4. Subheading: Grant Review Committee Records

**Description of Records:** Committee establishment, membership, and meeting records related to FACA committees whose only activity is review of grant proposals.

**Note:** See file code 1350 - Committee Management - FACA Committee Case Files for further definition of committee records. This also include digital and analog recordings of meetings, photographs, posters, and other audiovisual materials.

**Disposition:** Temporary (see notes). Destroy immediately upon termination of committee.

**Disposition Authority:** GRS 6.2/030 - (DAA-GRS-2015-0001-0003)

#### 5. Subheading: Internal Staff and Leadership Committees Related to Mission

**Description of Records:** Internal agency committees, including unit and staff leadership groups, established by agency authority (not established by Public Law or Executive Order) for facilitative or operational purposes, related to the Forest Service's mission, composed wholly of officers/employees of the Federal government, and not subject to

the FACA. Includes any files created and/or maintained by the committee including agenda, minutes, final reports, and related records documenting accomplishments of official boards and committees.

**Note 1:** Organize by committee name.

**Note 2:** Previous subheading "Internal Committee Related to Mission."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy ten years after cut-off.

**Disposition Authority:** N1-95-10-6/3

## 6. Subheading: Non-Substantive Committee Records

**Description of Records:** Records related to specific committees that are of an administrative nature or are duplicative of information maintained elsewhere.

- a. Drafts and copies of Federal Register notices.
- b. Audiotapes and videotapes of committee meetings and hearings that have been fully transcribed or that were created explicitly for the purpose of creating detailed meeting minutes (once the minutes are created).
- c. Photographs of committee social functions, routine award events, and other non-mission-related activities.
- d. Records relating to logistical or administrative aspects of committee meetings and activities such as meeting location and access, phone line or internet connections, IT support concerns, and so forth.
- e. Routine correspondence:
  - (1) Correspondence (including intra-agency, with committee members, or the public) regarding logistics (for example, agenda planning, meeting arrangements, administrative issues).
  - (2) Public requests for information.
  - (3) Non-substantive committee membership records, including:
    - (a) Resumes, curriculum vitae, or biographic information for individuals who are considered or nominated for a committee but are never appointed or invited to serve on a committee.
    - (b) Member credentials (resumes or biographies).
    - (c) Member files (personnel-type records).

(d) Non-substantive web content.

**Exclusion:** Records on agency internal/external websites that are duplicative of records maintained elsewhere and that are not designated as the recordkeeping copy may be destroyed when no longer needed.

**Note 1:** Organize by committee name.

**Note 2:** Consult with the appropriate agency staff (such as records officials, general counsel) to ensure the records designated in this category are accurately designated as administrative.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which committee terminated. Destroy when superseded, obsolete, no longer needed, or upon termination of the committee, whichever is sooner.

**Disposition Authority:** GRS 6.2/050 - DAA-GRS-2015-0001-0005)

## 7. Subheading: Substantive Audiovisual Records (Non-Grant Review Committees)

**Description of Records:** Records include:

- a. Audiotapes, videotapes, and/or other recordings of meetings and hearings not fully transcribed.
- b. Captioned formal and informal analog or digital photographs, and any related finding aids, of committee members and staff, meetings, or hearings.
- c. Posters (2 copies) produced by or for the committee.

**Exclusion:** This Sub-Heading does not include records of committees whose sole purpose is grant review. Records of committees whose sole purpose is grant review are filed under file code 1350 - Committee Management - 1350 Grant Review Committees.

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer records to NARA three years after cut-off.

**Disposition Authority:** GRS 6.2/020 - (DAA-GRS-2015-0001-0002)

## 8. Subheading: Records of Non-Mission Related Internal Forest Service Committees

**Description of Records:** Records created and maintained by committees established by the Forest Service for facilitative or operational purposes unrelated to the Forest Service's mission, such as organizing events, selecting interior furnishings, overseeing employees' volunteer activities, or employee recreational activities. Records include:

- a. Meeting minutes, summaries, agendas, and transcripts.

- b. Reports and studies.
- c. Membership records.
- d. Correspondence, mailing, and distribution records.

**Exclusion:** This item does not cover FACA or interagency committees.

**Disposition:** Temporary (see notes). Cutoff when business ceases. Destroy immediately after cut-off.

**Disposition Authority:** GRS 5.1/030 - (DAA-GRS-2016-0016-0003)

## **File Code - Heading: 1360 - Meetings Management**

### **1. Subheading: General Meeting Records**

**Description of Records:** Includes external, in-service meetings, staff meetings, task force meetings, working groups, steering group, and so forth (excluding fiscal records. File consists of:

- a. General correspondence related to requests and agenda items, and
- b. Meeting notes.

**Note 1:** Functional activities or projects resulting from a meeting should be filed under appropriate subjects (file code 1350 and file code 2250).

**Note 2:** As appropriate, retain a copy of meeting notes in program and project files. For example, a copy of Environmental Impact Statement (EIS) Interdisciplinary Team (IDT) meeting notes should be placed in the appropriate project file.

**Note 3:** File under this heading by group name.

**Note 4:** File records related to in-service meetings (such as costs, conference/meeting approval, action plans, agenda, attendance, and approvals for attendance at external meetings) under file code 6500 - Finance and Accounting - General Finance and Accounting Program Administrative Records.

**Note 5:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy two years after cut-off.

**Disposition Authority:** N1-95-10-2/16

2. **Subheading: Video Recordings of Meetings**

**Description of Records:** Obsolete due to GRS 6.4, Item 050; retain records under file code 1640 - Audio-Visual Information - Routine Audiovisual Records.

3. **Subheading: Sound Recordings of Meetings**

**Description of Records:** Obsolete. See file code 6230 - Records Management - Intermediary records.

**File Code - Heading: 1370 - Forms Management**

1. **Subheading: Forms Management Program**

**Description of Records:** Records related to preparing, managing, reviewing, certifying, approving, dissemination and use of official Forest Service Forms; requests to issue new, update or revise an existing form, and rescinding a form; forms service requests; forms registers logs, or databases; forms analysis and Business Process Management and workflow documentation; form design standards; design quality analysis checklist; As-Is workflow and To-Be Workflow Diagram; problems, impacts, and solutions worksheet; copy of mock-up; data population feasibility; estimates of cost and time savings; Business Service Level Agreement; applications questionnaire; copy of Privacy Threshold Analysis (PTA), Privacy Impact Analysis (PIA), Privacy Act SORN, Security Impact Analysis, System Security Plan(SSP); functional and reports requirements; Electronic Forms and Electronic Records Situational Analysis; database schema, scripts, forms instructions; OMB Information Collection Officer review; Directives Forms review; How-To Guides; test plan, cases, and results; User Acceptance Test Results; OMB Notice of Action; Application Release Notice, entrance criteria checklist and test plan; change request document; JIRA software request; Forest Service Quality Assurance (QA) test results, Customer Help Desk answer and knowledge management documentation; ticket trackers, change request trackers; requirements matrix copy of current form, obsolete form, and associated background documentation.

**Forms:**

- a. FS-1300-0024, Request for New/Revised Form Approval.
- b. FS-1300-0161, Forest Service Design QA Checklist, Form Development.

**Note 1:** Includes records previously retained under file codes:

- 1370 - Forms Management - Analysis and Design.
- 1370 - Forms Management - Forms Management.
- 1370 - Forms Management – General.
- 1370 - Forms Management - Historic File.
- 1370 - Forms Management - Log File.

- 1370 - Forms Management – Studies.

**Note 2:** GRS allows for longer retention if needed for Forest Service business, therefore Forest Service has set retention period at 25 years.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 25 years after cut-off.

**Disposition Authority:** GRS 4.1/040 – (DAA-GRS-2013-0002-0009)

**File Code - Heading: 1380 - Information Collections Activities: Collection of Information from the Public**

**1. Subheading: Information Collection Budget Files**

**Description of Records:** Records include:

- a. Reports required by the Office of Management and Budget under the Paperwork Reduction Act regarding the number of hours the public spends fulfilling agency reporting requirements.
- b. Case files and correspondence related to clearance of forms or questionnaires used to gather information from the public.
- c. Statistical compilations.

**Note 1:** Organize by case file number under this heading.

**Note 2:** Previous subheading “Information Collection.”

**Disposition:** Temporary (see notes). Cutoff at end of FY in which currently approved information collection is superseded or discontinued. Destroy six years after cut-off.

**Disposition Authority:** GRS 5.7/050 (DAA-GRS-2017-0008-0005)

**2. Subheading: Information Collections and Reports Management Program**

**Description of Records:** Correspondence related to the management of reports and information collections; analysis of a specific report, including a copy of each form or format used in making the report; documents related to specific report improvement, report review or similar project or study, and management narrative and statistical reports.

**Note:** Includes records previously retained under file codes:

- 1380 - Reports and Information Collection Management – Analysis.
- 1380 - Reports and Information Collection Management – General.
- 1380 - Reports and Information Collection Management – Projects.

- 1380 - Reports and Information Collection Management – Projects.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which report is submitted. Destroy two years after cut-off.

**Disposition Authority:** GRS 5.7/040 - (DAA-GRS-2017-0008-0004)

## **File Code - Heading: 1390 - Knowledge Sharing and Conservation**

### **1. Subheading: KSC Guidance, Coordination, and Collaboration**

**Description of Records:** Records pertaining to the national or regional implementation guidance and direction for the Knowledge Sharing and Conservation (KSC) program. Includes Forest Service agreements, Memorandums of Understanding (MOU), and related instruments for KSC activities.

**Note 1:** Store existing closed hardcopy records at FRC until eligible for transfer to NARA custody.

**Note 2:** Previous subheading “Guidance, Coordination, and Collaboration.”

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer closed records to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-5/2b

### **2. Subheading: KSC Reports**

**Description of Records:** Reports required by OMB, USDA, and others for KSC/Knowledge Management Activities.

**Note 1:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 2:** Store all existing closed hardcopy records at FRC until eligible for transfer to NARA custody.

**Note 3:** Previous subheading “Reports.”

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-5/2a

### 3. Subheading: KSC Program Management

**Description of Records:** Approved agency field unit plans for KSC activities. Includes correspondence and general records regarding administration and management of program plans; program reviews; planning, standards-based approach, and framework, as well as coordination and collaboration.

**Note:** Includes records previously retained under file codes:

- 1380 - Knowledge Sharing and Conservation – General.
- 1380 - Knowledge Sharing and Conservation - Integrated Program Plans.
- 1380 - Knowledge Sharing and Conservation - Standards-based Approach and Framework.
- 1380 - Knowledge Sharing and Conservation - Management and Administration.
- 1380 - Knowledge Sharing and Conservation - Program Reviews.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy seven years after cut-off.

**Disposition Authority:** DAA-0095-2018-0072-0001

### 4. Subheading: KSC Projects and Studies

**Description of Records:** Records include general studies and special project case files and information related to KSC activities.

**Note 1:** Create case folders by project as needed.

**Note 2:** Contact Forest Service Historian regarding retention of projects or information that may have historic relevance which could be retained under file code 1680 categories.

**Note 3:** Includes records previously retained under file codes:

- 1380 - Knowledge Sharing and Conservation – Projects.
- 1380 - Knowledge Sharing and Conservation – Studies.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which project case files close or administrative use ceases. Destroy seven years after cut-off.

**Disposition Authority:** DAA-0095-2018-0072-0002



**File Code - Heading: 1400 - Controls**

**1. Subheading: Management Review Program Administration**

**Description of Records:** Includes general correspondence and other documents pertaining to Forest Service Management Review System, which measures the Forest Service's performance against specific standards and provides for adjustment of the standards or the performance where needed. Does not include material scheduled under specific secondary subjects.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy ten years after cut-off.

**Disposition Authority:** N1-95-10-2/17

**2. Subheading: Inquiries**

**Description of Records:** Obsolete. File standard inquiries and responses under file code 6270 - Availability of Records - General Information Requests.

**File Code - Heading: 1410 - Management Reviews**

**1. Subheading: Management Reviews**

**Description of Records:** Records related to Chief's Overview, Deputy Chief's Reviews; Regions, Station, and Area Reviews, Performance Reviews, and Functional Assistance Trips which includes letters of notification, review itineraries, review team roster, suggested items for review, review checklists, reports of findings and recommendations, informational background material collected during a review, corrective actions plan, follow-up documentation on specific findings until resolved, and final review closeout report.

**Forms:** FS-1400-1.

**Note 1:** Formerly General Functional Inspection (GFIs) and Local Forestry Technical teams (LFTs).

**Note 2:** Maintain as a case file.

**Note 3:** Includes records previously retained under file codes:

- 1410 - Management Reviews - Activity Reviews.
- 1410 - Management Reviews - Chief's Overview.
- 1410 - Management Reviews - Deputy Chief's Review.
- 1410 - Management Reviews – General.

- 1410 - Management Reviews - Regions, Stations, Area Review.
- 1410 - Management Reviews - Special Washington Office Action Teams.

**Note 4:** Use of GRS 5.7/020 to retain records recommended by NARA. Per NARA recommendation a longer retention period than designated by the GRS has been assigned to the records based on business needs.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which final closeout report is approved. Destroy ten years after cut-off.

**Disposition Authority:** GRS 5.7/020 - (DAA-GRS-2017-0008-0002)

**File Code - Heading: 1420 - Government Accountability Office Audit**

**1. Subheading: General Accountability Office Audits (GAO)**

**Description of Records:** Includes audit reports and related correspondence.

**Note 1:** Maintain by case file.

**Note 2:** Segregate all records pertaining to American Indians and Alaska Natives. Accounts and supporting documents pertaining to American Indians and Alaska Natives are not authorized for disposal. Such records must be retained indefinitely since they may be needed in litigation involving the Federal Government's role as trustee of property held by the Federal Government and managed for the benefit of American Indians. These records include those created under the Alaska Native Claims Settlement Act of 1971 (Pub. L. 92-203, 85 Stat. 688). When transferring records to a Federal Records Center for storage, include the FRC freeze code Indefinite (IND) on the SF-135.

**Note 3:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which case closed. Destroy six years after cut-off.

**Disposition Authority:** GRS 1.1/010 - (DAA-GRS-2013-0003-0001)

**File Code - Heading: 1430 - Office of Inspector General Audits**

**1. Subheading: Internal and Office of Inspector General (OIG) Audits**

**Description of Records:** Includes audit reports and corrective action correspondence related to the audit.

**Note 1:** Maintain as case file.

**Note 2:** Retention period begins once case file closed.

**Note 3:** Includes records previously retained under file codes:

- 1430 - Office of Inspector General Audits – General.
- 1430 - Office of Inspector General Audits - Internal Audit and OIG Audits.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which case is closed. Destroy five years after cut-off.

**Disposition Authority:** DAA-0095-2018-0073-0001

## **File Code - Heading: 1440 - External Accounting and Review**

### **1. Subheading: External Accounting and Review Audits**

**Description of Records:** Documentation relating to a specific audit, including but not limited to:

- a. Audits;
- b. Actions plans and reports;
- c. Activity reviews, and related correspondence;
- d. Annual statistical and cost reports;
- e. Surveys;
- f. Program reviews;
- g. General correspondence;
- h. Related documents concerning audit of permit fees; or
- i. User fees for land and forest products of the Forest Service.

**Note 1:** Maintain as case file.

**Note 2:** Retention period begins after resolution of audit findings and corrective actions taken, such as, case closed.

**Note 3:** Includes records previously retained under file codes:

- 1440 - External Accounting and Review - External Audits.
- 1440 - External Accounting and Review – General.

**Disposition:** Temporary (see notes). Cutoff at end of FY in audit completed or financial statement/accounting treatment/issue is closed. Destroy two years after cut-off.

**Disposition Authority:** GRS 1.1/020 - (DAA-GRS-2013-0003-0011)

**File Code - Heading: 1450 - Special Audits, Reviews, and Investigations**

**1. Subheading: Special Audits, Reviews, and Investigation Case Files**

**Description of Records:** Correspondence, reports, and documents related to investigations conducted by the Office of Investigation.

**Note 1:** May contain Personally Identifiable Information (PII), retain in secure location and control access.

**Note 2:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which case is closed. Destroy eight years after cut-off.

**Disposition Authority:** N1-95-10-2/20

**File Code - Heading: 1460 - Cooperative Forestry Assistance Reviews**

**1. Subheading: Cooperative Forestry Program Management Review Case Files**

**Description of Records:** Includes the review report, corrective action plan and follow-up correspondence until action is completed and case is closed.

**Note 1:** Maintain as a case file.

**Note 2:** Record copy is maintained by reviewing office.

**Note 3:** Includes records previously retained under file codes:

- 1460 - Cooperative Forestry Assistance Reviews - Cooperative Management Review.
- 1460 - Cooperative Forestry Assistance Reviews - Cooperative Program Review.
- 1460 - Cooperative Forestry Assistance Reviews – General.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which case is closed. Destroy eight years after cut-off.

**Disposition Authority:** DAA-0095-2018-0074-0001

**File Code - Heading: 1470 - Research Reviews**

**1. Subheading: Research Review Case Files**

**Description of Records:** Includes schedules, general correspondence, and review case files for special reviews evaluating the Forest Service Research program. Special reviews include combined program review, station supervisory review, and research work unit's review. A combined program review evaluates a station's overall research program. A station supervisory review evaluates a research work unit's overall research program. Reviews within research work units evaluate individual scientist program and reviews are used to improve each scientist's research results.

**Note 1:** Maintain as case files.

**Note 2:** Record copy is maintained by reviewing office.

**Note 3:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 20 years after cut-off.

**Disposition Authority:** N1-95-12-4/1

**File Code - Heading: 1480 - Environmental Compliance Program**

**1. Subheading: Environmental Compliance Program Case Files**

**Description of Records:** Correspondence and records pertaining to the administration of the Environmental Compliance program, which provides compliance, restoration, abandoned mine lands hazard mitigation, and compliance audit services to the Forest Service units so that they can administer programs and activities in a manner that protects forest ecosystems, the Forest Service workforce, and visitors to the National Forest System (NFS) Lands; internal and external environmental compliance audits and reviews; documentation of employee training programs; checklists or other appropriate documentation of completed environmental compliance reviews; and significant findings and corrective actions taken.

**Note 1:** Close file when audit complete.

**Note 2:** Includes records previously retained under file codes:

- 1480 - Environmental Compliance Program - Built Environment and Operations.
- 1480 - Environmental Compliance Program – General.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which audit is complete. Destroy ten years after cutoff.

**Disposition Authority:** DAA-0095-2018-0075-0001

**File Code - Heading: 1490 - Performance Accountability**

**1. Subheading: Performance Accountability Program**

**Description of Records:** Documentation regarding performance accountability program. Records document efforts to review and hold subordinate organizations or individuals accountable and responsible for delivering mission-critical results through a recurring integrated process of planning, budgeting, performing/monitoring, reporting, and evaluation. Records include documentation associated with the following activities:

- a. Program area performance reviews that assess program management and operations.
- b. Internal controls used to assure accuracy of reported accomplishments.
- c. Actions taken to ensure organization adheres to the Government Performance and Results Act and Data Quality Act/Information Quality Act.
- d. Inclusion of periodic monitoring and QA review results in the Forest Service Strategic Plan and Annual Reports.
- e. Documentation pertaining to verification and validation of performance data.

**Disposition:** Temporary. Cutoff at end of FY. Destroy ten years after cut-off.

**Disposition Authority:** DAA-0095-2018-0076-0001

**File Code - Heading: 1500 - External Relations**

**1. Subheading: External Relations Administrative Records**

**Description of Records:** Records, including correspondence, of a general nature, documenting the Forest Service formal and informal working relationships with external entities.

**Note:** Previous heading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 20 years after cut-off.

**Disposition Authority:** N1-95-10-4/24

**2. Subheading: Inquiries**

**Description of Records:** Obsolete. File standard inquiries and responses under file code 6270 - Availability of Records - General Information Requests.

**File Code - Heading: 1510 - Legislative Affairs**

**1. Subheading: Records of the Office of Legislative Affairs**

**Description of Records:** General Administrative Support Records. Correspondence and subject matter not covered by a specific secondary subject, such as congressional inquiries related to a member's constituents, congressional committee document requests and Freedom of Information Act (FOIA) requests. Records include emails, reports, memorandums, and correspondence.

**Bills.** All categories of bills related to Forest Service programs and authorities, other than those associated with the Forest Service legislative program, including:

- a. Proposals prepared by other Executive Branch agencies that are submitted to the Forest Service for review and comments;
- b. Draft legislative proposals from Members of Congress or pending legislation that are submitted to the Forest Service for review and comments;
- c. Requests for drafting services by Members of Congress. Records include legislative reports, memorandums, correspondence, and drafts of proposed legislation; and
- d. Congressional Testimony. Legislative and oversight hearings held by House and Senate committees - including field hearings. These records represent the bulk of the records that would be considered of historic value.

**Exemption:** Legislative Program Files. The Forest Service's annual legislative program is retained under file code 1930 - Program Development and Budgeting - Program Development and Budgeting Administration.

**Note 1:** Some records may include PII. Limit access to records and keep in secure environment.

**Note 2:** Washington Office is office of record.

**Note 3:** Maintenance and disposition handled on a calendar year basis.

**Note 4:** File chronologically by House and Senate Bill number.

**Note 5:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 6:** If hardcopy records exist, send to FRC storage at end of FY in which they are closed. If microfilm is located, immediately transfer to the NARA using approved processes.

**Note 7:** Includes records previously retained under file codes:

- 1510 - Legislative Affairs – Bills.
- 1510 - Legislative Affairs - Congressional Testimony.
- 1510 - Legislative Affairs – General.
- 1510 - Legislative Affairs - Legislative Program.

**Disposition:** Permanent (see notes). Cutoff at Calendar Year (CY) Transfer to NARA 12 years after cut-off.

**Disposition Authority:** Pending

## **File Code - Heading: 1520 - Public Service Programs**

### **1. Subheading: Public Service Program Management**

**Description of Records:** Correspondence concerning public service programs such as the Campground Host (HOST) program; to include general correspondence, annual action plans, and other records concerning employees being responsive and courteous to the public.

**Note 1:** Do not use for public involvement programs, which are filed under file code 1620.

**Note 2:** Includes records previously retained under file codes:

- 1520 - Public Service Programs – General.
- 1520 - Public Service Programs - HOST Program.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy three years after cut-off.

**Disposition Authority:** DAA-0095-2018-0077-0001

### **2. Subheading: Training**

**Description of Records:** Obsolete - Retain records under File code 6140 - Employee Development, Performance, Awards - Training - Forest Service Sponsored.



**File Code - Heading: 1530 - Interdepartmental**

**1. Subheading: Formal Interdepartmental Agreement Case Files**

**Description of Records:** Includes records leading up to formal interagency agreements between the Forest Service and other agencies such as Interior, Commerce, Defense, Justice, U.S. Postal Service, and other agencies identified in FSM 1530. File program records generated from the agreement under the appropriate staff file designation.

**Note 1:** Retention period begins after agreement expires or terminated.

**Note 2:** Record copies of interdepartmental agreements are published in FSM 1530 of the directives system and all directives are permanent.

**Note 3:** Retain copy of interagency agreements under File code 1580 - Grants, Cooperative Agreements, and Other Agreements - Approved Grants and Agreements Case Files.

**Note 4:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which agreement expires or is terminated.

**Disposition Authority:** N1-95-10-2/26

**File Code - Heading: 1540 - Intradepartmental**

**1. Subheading: Formal Intradepartmental Agreement Case Files**

**Description of Records:** Case files of Intradepartmental agreements.

**Note 1:** Arrange case files alphabetically by agency, such as AMS, FAS, OGC, and OIG.

**Note 2:** Retain copy of interdepartmental agreements under file code 1580 - Grants, Cooperative Agreements, and Other Agreements - Approved Grants and Agreements Case Files.

**Note 3:** Active agreements are essential records.

**Note 4:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which agreement expires or is terminated. Destroy 20 years after cut-off.

**Disposition Authority:** N1-95-10-4/26

**File Code - Heading: 1550 - International Organizations International Travel**

**1. Subheading: Food and Agriculture Organization**

**Description of Records:** File contains general correspondence, briefing books, reports, position papers, on the United States and Department of Agricultural (via Forest Service) role in the development of international forestry-related issues. The Forest Service is involved in Food and Agriculture Organization activities such as: Council, Conference, Committee of Forestry Development in the Tropics, Committee on Forestry, Study Groups, General Sessions; and Latin American, Asian, and North American Forestry Commissions. The Chief of the Forest Service, and/or selected Delegates serve on various committees and commissions to represent the United States interest in forestry activities.

**Note 1:** Establish folders by subject matter on councils, conferences, committees, commissions, study groups, and so forth.

**Note 2:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 3:** If hardcopy records exist, send to FRC storage at end of FY in which they are closed. If microfilm is located, immediately transfer to the NARA using approved processes.

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA 15 years after cut-off.

**Disposition Authority:** N1-95-10-6/6

**2. Subheading: World Forestry Congress**

**Description of Records:** File consists of briefing books, reports, and numerous information copies. The World Forestry Congress consists of scientists, technicians, administrators, and others interested in forestry and its allied fields. It is open to virtually all nations. The Congress serves as a forum for the exchange of views and experiences, and for the discussion of matters that may lead to formulating broad recommendations applicable on a regional and world-wide basis. The function of the Congress is advisory and is held every six years in a host country. The Forest Service furnishes leadership to the U.S. National Committee, established to coordinate U.S. participation at each Congress. Usually, the delegate is the Chief of the Forest Service.

**Note 1:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 2:** If hardcopy records exist, send to FRC storage at end of FY in which they are closed. If microfilm is located, immediately transfer to the NARA using approved processes.

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA 15 years after cut-off.

**Disposition Authority:** N1-95-10-6/7

### 3. Subheading: International Programs Support and Disaster Assistance Programs

**Description of Records:** Includes correspondence on the general technical support the Forest Service gives aid, other than disasters. Records related to specific activities in countries should be filed under the Relations with International Governmental and Non-Governmental Organizations or the appropriate subject heading; correspondence related to disasters in other countries and the disaster-related assistance provided by the Forest Service through Aid.

**Note 1:** File record material dealing with specific countries under file code 1550-Relations with International Governmental and Non-Governmental Organizations.

**Note 2:** Retain copy of agreements under appropriate 1580 file code category.

**Note 3:** Includes records previously retained under file codes:

- 1550 - International Organizations International Travel - Forestry Support Program.
- 1550 - International Organizations International Travel - Disaster Assistance Support.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy ten years after cut-off.

**Disposition Authority:** N1-95-10-4/34 and N1-95-10-4/36

### 4. Subheading: International Programs Administrative Case Files

**Description of Records:** Includes correspondence related to programs of an international scope that are unique to the Forest Service, correspondence and reports created from intergovernmental agreements between the Forest Service and the State Department, Department of the Interior, Peace Corps, and other non-USDA government agencies; correspondence documenting the Forest Service direction with USDA agencies that have scientific and technology exchange programs, Public Law 480 (Pub. L. 480) programs, and so forth. Examples are Foreign Agricultural Service (FAS), and so forth, and International Programs and International Travel activities.

**Note 1:** Establish subject folders as needed.

**Note 2:** File records leading to formal agreements with government agencies under file code 1540 - Interdepartmental - Formal Intradepartmental Agreement Case Files.

**Note 3:** File records leading up to formal agreements with USDA agencies under file code 1540 - Intradepartmental – General.

**Note 4:** File record material dealing with specific countries under file code 1550 - Relations with International Governmental and Non-Governmental Organizations.

**Note 5:** Retain copy of agreements under appropriate 1580 file code category.

**Note 6:** Includes records previously retained under file codes:

- 1550 - International Organizations International Travel - Forest Service International Programs.
- 1550 - International Organizations International Travel – U.S. Government Agencies with International Programs.
- 1550 - International Organizations International Travel - USDA International Programs.
- 1550 - International Organizations International Travel – General.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy ten years after cut-off.

**Disposition Authority:** N1-95-10-4/32, N1-95-10-4/30, N1-95-10-4/31, N1-95-10-4/27

5. **Subheading: International Seminar on Forest Resources Administration and Management**

**Description of Records:** Records associated with the International Seminar on Forest Resources Administration and Management, which presents a broad spectrum of natural resource management techniques and institutional arrangements so that participants may selectively gather ideas that can assist in the management of their lands. The seminar focuses on strategies and methods to develop, manage, and conserve natural resources for the sustained delivery of goods and services to meet the full range of human needs.

**Note:** Washington Office International Programs maintains official record.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy ten years after cut-off.

**Disposition Authority:** N1-95-10-4/37

6. **Subheading: International Skills File**

**Description of Records:** File of foresters and natural resource specialists seeking international employment in the U.S. and abroad. Individual files contain applications, biographical sketches, contact sheets, correspondence, and related records.

**Note 1:** Files updated annually. International Programs Staff provides this as a service to AID. Office of International Cooperation and Development handles all personnel functions.

**Note 2:** International Programs maintains the official record.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy ten years after cut-off.

**Disposition Authority:** N1-95-10-4/35

7. **Subheading: International Union of Forestry Related Research Organizations**

**Description of Records:** Includes general correspondence, publication ideas, research plans, scientific group meeting minutes, International Union of Forestry Related Research Organizations (IUFRO) Congress records and the divisional group research activities showing how IUFRO helps Federal, State, and Private Forestry research organizations world-wide to exchange scientific information related to various disciplines.

**Disposition:** Temporary. Cutoff at end of FY in which IUFRO Congress convenes. Destroy ten years after cut-off.

**Disposition Authority:** N1-95-10-2/27

8. **Subheading: International Visitors and International Volunteers**

**Description of Records:** Includes general correspondence related to arrangements and agendas for visitors and volunteers from other countries.

**Note 1:** GRS 2.2, item 100 allows for longer retention if needed for business use, therefore the Forest Service has set retention of closed records at ten years.

**Note 2:** Retain copy of volunteer agreements under file code 1830 - Volunteers and Service Programs - Individual and Group Volunteer Services Staff Case Files.

**Disposition:** Temporary (see notes). Cutoff at end of FY. when records no longer needed for administrative use. Destroy ten years after cut-off.

**Disposition Authority:** GRS 2.2/100 - (DAA-GRS-2017-0007-0015)

9. **Subheading: Relations with International Governmental and Non-Governmental Organizations**

**Description of Records:** Files contain a variety of records documenting Forest Service activities with specific countries. Includes general correspondence to and from countries; trip reports; information copies of reports and evaluations from projects carried out in specific countries through cooperative agreements and MOU; proposals and reports generated from scientific and technological exchanges (such as, Pub. L. 480) between the U.S. and specific countries; and records that document specific activities between U.S. cooperators, Forest Service and non-Forest Service employees, and other countries; includes general correspondence, reports, and information copies on the activities of international governmental organizations such as the World Bank, Organization of American States, Inter-American Development Bank and so forth; United Nations agencies and programs such as Man and the Biosphere, United Nations Educational Scientific and Cultural Organization, United Nations Development Program), United Nations Environment Programs, European Economic Community , Organization for Economic Cooperation and Development , International Tropical Timber Organization, and other agencies/statutory bodies; and Includes general correspondence, reports, working papers, studies, and other related records showing Forest Service activities with international and domestic organizations interested in an exchange of scientific information concerning natural resources. These organizations are non-governmental. Examples are World Resource Institute, Institute for Environment Development, private voluntary organizations such as Cooperative for American Remittances to Europe (CARE), consulting firms, institutions such as universities, and so forth.

**Note 1:** Establish subject folders or case files by United Nations agency, statutory body, region and country, or major project, or subject as needed.

**Note 2:** Retention period begins when records no longer needed for administrative use.

**Note 3:** Retain copy of agreements under appropriate 1580 file code category.

**Note 4:** Includes records previously retained under file codes:

- 1550 - International Organizations International Travel - Relations with International Governmental Organizations.
- 1550 - International Organizations International Travel - Bilateral Relations.
- 1500 - International Organizations International Travel.

**Disposition:** Temporary. (see notes). Cutoff at end of FY. Destroy ten years after cut-off.

**Disposition Authority:** N1-95-10-4/29, N1-95-10-4/28, N1-95-10-4/38

**File Code - Heading: 1560 - State, Tribal, County, and Local Agencies, Public and Private Organizations**

**1. Subheading: American Indian and Alaska Native Relations**

**Description of Records:** Records regarding Treaty Rights, consultation, cooperative land management and planning, government-to-government relationships, protection of cultural resources, contracting and cooperative agreements, and related topics.

**Note 1:** Establish case files as needed.

**Note 2:** Accounts and supporting documents pertaining to American Indians and Alaska Natives are not authorized for disposal. Such records must be retained indefinitely since they may be needed in litigation involving the Federal Government's role as trustee of property held by the Federal Government and managed for the benefit of American Indians. These records include those created under the Alaska Native Claims Settlement Act of 1971 (Pub. L. 92-203, 85 Stat. 688).

**Note 3:** Retain copy of agreements under file code 1580 - Grants, Cooperative Agreements, and Other Agreements - Grants and Agreements Significant Cases.

**Note 4:** As electronic retention of official records is approved for this file code category, pre-acquisition of electronic records is authorized by mutual consent of both NARA and Forest Service.

**Note 5:** If hardcopy records exist, send to FRC storage at end of FY in which the record is closed. If microfilm is located, immediately transfer to the NARA using approved processes.

**Note 6:** Restrict access to records containing PII or information protected by statute.

**Disposition:** Permanent. (see notes). Cutoff at end of FY. Transfer to NARA 12 years after cut-off.

**Disposition Authority:** N1-95-10-2/30

**2. Subheading: State, County, and Local Agencies, Public and Private Organizations**

**Description of Records:** Records related to relationships with State, County, and Local Agencies; activities with public and private organizations; to include but not limited to relationships and activities with public and private organizations, service clubs, youth groups, religious institutions, public corporations, and associations of individuals with common interests; and soil conservation districts, State Fish and Game departments.

**Exclusion:** Records pertaining to relationships with American Indian and Alaska Native governments.

**Note 1:** Establish case files as needed.

**Note 2:** Retain copy of agreements under appropriate 1580 file code category.

**Note 3:** Includes records previously retained under file codes:

- 1560 - State, Tribal, County, and Local Agencies, Public and Private Organizations - County and Local Agencies.
- 1560 - State, Tribal, County, and Local Agencies, Public and Private Organizations – General.
- 1560 - State, Tribal, County, and Local Agencies, Public and Private Organizations - Public and Private Organizations.
- 1560 - State, Tribal, County, and Local Agencies, Public and Private Organizations – States.

**Disposition:** Temporary. (see notes). Cutoff at end of FY. Destroy 20 years after cut-off.

**Disposition Authority:** DAA-0095-2018-0079-0001

#### **File Code - Heading: 1570 - Appeals and Litigation**

##### **1. Subheading: Significant Court Cases**

**Description of Records:** Civil court case records designated for permanent retention by court order, as well as cases designated as significant by the Forest Service and/or the Office of General Counsel based on the following criteria:

- a. Cases that result in court decisions that significantly interpret statutes and regulations.
- b. Cases heard by the U.S. Supreme Court.
- c. Cases deemed to be significant for investigative or litigation procedures or other important precedent (these may include appellate or lower court decisions, as well as cases of regional or public interest), and
- d. Cases that show possible conflicts of interest.

**Note 1:** Organize files by case.

**Note 2:** Transfers of permanent records to NARA requires authorization by the Records Officer authorization via a NARA approved transfer form (for example, ERA TR).

**Note 3:** If hardcopy records exist, send to FRC storage at end of FY in which they are closed. If microfilm is located, immediately transfer to NARA using approved processes.



**Note 4:** Restrict access to records containing PII or information protected by statute.

**Disposition:** Permanent. (see notes). Cutoff at end of FY in which the case is closed. Transfer to NARA 15 years cut-off.

**Disposition Authority:** DAA-0095-2014-0002-0001

## 2. Subheading: Appeals, Litigation, and Administrative Objection Case Files

**Description of Records:** Includes all administrative objections and appeals filed under Title 36, Code of Federal Regulations, Part 219--Planning, Title 36, Code of Federal Regulations, Part 218—Project-Level Predecisional Administrative Review Process, and Title 36, Code of Federal Regulations, Part 214—Postdecisional Administrative Review Process for Occupancy or Use of National Forest System Lands and Resources, and administrative lawsuits (including natural resource lawsuits) filed against the Forest Service. Includes litigation records associated with supply or construction contracts, FOIA/Privacy Act (PA) requests, and grazing board decisions. Excludes supply or construction contract appeals (FSM 6320), FOIA/PA appeals (FSM 6270), or grazing board appeals (FSM 2230); Correspondence and congressional inquiries not related to a specific case, monthly report, and index by FY of appeal decisions.

**Exclusion:** Records pertaining to FOIA, and PA appeals are retained under file code 6270 - Availability of Records - FOIA and Privacy Act Access and Disclosure Files.

**Note 1:** May contain essential records.

**Note 2:** Includes records previously retained under file codes:

- 1570 - Appeals and Litigation – Cases.
- 1570 - Appeals and Litigation – General.
- 1570 - Appeals and Litigation – Reports.

**Disposition:** Temporary (see notes): Cutoff at end of FY in which case is closed. Destroy seven years after cut-off.

**Disposition Authority:** DAA-0095-2018-0080-0001

## File Code - Heading: 1580 - Grants, Cooperative Agreements, and Other Agreements

### 1. Subheading: Approved Grants and Agreements Case Files

**Description of Records:** Case files may contain drafts and working papers used to develop the final instrument and records pertaining to ongoing administration of the instrument, including correspondence and other supporting documentation, such as:

- a. Applications, forms, and budget documents.

- b. Evaluation reports, panelist comments, review ratings or scores.
- c. Notice of Grant Award or equivalent and grant terms and conditions.
- d. State plans, if any (submissions from states that assure compliance with all applicable Federal statutes and regulations in effect with respect to the period for which the State receives funding.
- e. Amendment requests and actions, if any.
- f. Periodic and final performance reports (progress, narrative, financial).
- g. Audit reports and/or other monitoring or oversight documentation.
- h. Summary reports and the like.
- i. Case files organized alphabetically or by case number (such as agreement number) used to retain all grants and agreements records, except for research administration grants and agreements (which are retained under the appropriate 4080 file code category) and significant grants and agreements (retained under file code 1580 - Significant Case Records).

**Note 1:** Retention period for records retained under this file code category begins after grant or agreement has been cancelled, terminated, or officially closed.

**Note 2:** Except for records retained under file code 4080, include a copy of grants, agreements, and MOUs in official project or program files as indicated by FSH 6209.11, chapter 40. This record copy is in addition to records retained under file code 1580.

**Note 3:** Do not use file code 1580 for research records. Retain all records associated with research activities under the appropriate 4080 file code category.

**Note 4:** For grants and agreements involving purchase or improvement of property (including documents containing information on boundary lines), cases pertaining to agreements with Tribal governments, and cases containing records of administratively important history that future generations may be interested in prior to disposal of record, remove significant information and retain permanently as "Significant Case Records."

**Note 5:** Final Products - The tangible result of a completed grant or cooperative agreement produced/delivered by the recipient to satisfy the purpose of the award. Not all grants and cooperative agreements result in tangible products or deliverables. For those that do, a copy should be retained in the appropriate program or project file. Per GRS 1.1, item 30, all other copies may be destroyed when business use ceases.

**Note 6:** Washington Office retains/maintains Smokey Bear Grants and Agreements (G&A) files.

**Note 7:** Active instruments are essential records.

**Note 8:** Restrict access to records containing PII or information protected by statute.

**Note 9:** Previous subheading "Case File - Approved."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which grant, or agreement has been cancelled, terminated, or officially closed. Destroy ten years after cut-off.

**Disposition Authority:** GRS 1.2/020 - DAA-GRS-2013-0008-0001

## 2. Subheading: Grants and Agreements Case Files - Unapproved

**Description of Records:** Grant and cooperative agreement case files - unsuccessful applications. Case files containing records relating to unsuccessful individual grant or cooperative agreements. Records include, but are not limited to:

- a. Applications, forms, and budget documents.
- b. Evaluation reports, panelist comments, review ratings or scores.
- c. Notice of non-aware or equivalent, and grant terms and conditions.
- d. Associated general documentation.

**Note:** Previous subheading "Case Files – Unapproved."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which final action is taken on proposal. Destroy three years after cut-off.

**Disposition Authority:** GRS 1.2/021 - DAA-GRS-2013-0008-0006

## 3. Subheading: Grants and Agreements General Administration Records

**Description of Records:** Includes general correspondence on broad grant and agreement programs, including interagency agreements, MOU, collection agreements, employment, training, and volunteer agreements, indirect cost negotiation agreements, and recommendations to external organizations on assistance program policies. Does not include correspondence that pertains to policy.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy three years after cut-off.

**Disposition Authority:** GRS 1.2/010 - DAA-GRS-2013-0008-0007

4. **Subheading: Grants and Agreements Policies and Interpretations**

**Description of Records:** Includes all correspondence on grants and agreements that provides direction, procedural instructions, or policy guidance.

**Note 1:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 2:** If hardcopy records exist, send to FRC storage at end of FY in which they are closed. If microfilm is located, immediately transfer to the NARA using approved processes.

**Note 3:** Previous subheading "Interpretations."

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA 15 years after cut-off.

**Disposition Authority:** N1-95-10-6/8

5. **Subheading: Grants and Agreements Significant Cases**

**Description of Records:** Grants and Agreement records of special significance involving purchase or improvement of property (including documents containing information on boundary lines), cases pertaining to agreements with Tribal governments, and cases containing records of administratively important history.

**Note 1:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 2:** If hardcopy records exist, send to FRC storage at end of FY in which they are closed. If microfilm is located, immediately transfer to the NARA using approved processes.

**Note 3:** Do not use for research records. Retain all records associated with research activities under the appropriate 4080 file code category.

**Note 4:** Active instruments are essential records.

**Note 5:** Restrict access to records containing PII or information protected by statute.

**Note 6:** Previous subheading "Significant Cases."

**Disposition:** Permanent (see notes). Cutoff at end of FY in which case file is closed. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-2/34

**File Code - Heading: 1590 - Disaster and Emergency Operations and Homeland Security**

**1. Subheading: Classified Information Nondisclosure Agreements (Non- Official Personnel File)**

**Description of Records:** Nondisclosure agreements maintained separately from an individual's official personnel folder. Includes agreements such as SF-312 - Classified Information Nondisclosure Agreement, signed by civilian personnel with access to information that is classified under standards put forth by executive orders governing security classification.

**Note 1:** Legal citation - ICD 703, Protection of Classified National Intelligence; Title 32, Code of Federal Regulations, Part 2001 – Prescribed Standard Forms (d)(2)(vii) (32 CFR 2001.80(d)(2)(vii).

**Note 2:** Apply retention period when document signed.

**Note 3:** Security clearance required to access records. Store records in secure location.

**Disposition:** Temporary (see notes). Cutoff when document signed. Destroy 50 years after cut-off.

**Disposition Authority:** GRS 4.2/121 - DAA-2015-0002-0003

**2. Subheading: Security Administration Records**

**Description of Records:** Records about routine facility security, protective services, and personnel security program administration. Includes:

- a. Status reports on cleared individuals and other reports.
- b. Staffing level and work planning assessments, such as guard assignment records.
- c. Standard operating procedures manuals.

**Exclusion 1:** Records of offices with law enforcement as the primary function or where criminal investigations are carried out by Federal special agents with law enforcement powers.

**Exclusion 2:** Records pertaining to Human Resource Management personnel security clearance programs are retained under file code 6120 - Programs, Standards, Actions, and Documents - Security Clearance Administrative Subject Files.

**Note 1:** Essential records.

**Note 2:** Restrict access to records containing PII or information protected by statute.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy three years after cut-off.

**Disposition Authority:** GRS 5.6/010 - DAA-GRS-2017-0006-0001

**3. Subheading: Security Level V- Key and Card Access Accountability Records**

**Description of Records:** Key and card access accountability records that account for keys and electronic access cards to areas designated by the Interagency Security Committee as Facility Security Level V.

**Note 1:** Restrict access to records.

**Note 2:** Essential records.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which key returned. Destroy three years after cut-off.

**Disposition Authority:** GRS 5.6/020 - DAA-GRS-2017-0006-0002

**4. Subheading: Security Levels I through IV- Key and Card Access Accountability Records**

**Description of Records:** Key and card access accountability records that account for keys and electronic access cards to areas designated by the Interagency Security Committee as Facility Security Level V.

**Note 1:** Restrict access to records.

**Note 2:** Essential records.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which key returned. Destroy 6 months after cut-off.

**Disposition Authority:** GRS 5.6/021 - DAA-GRS-2017-0006-0001

**5. Subheading Interagency and Physical Security Records**

**Description of Records:** Records are Forest Service copies of committee records documenting the administration, operation, and decisions of the committee. Includes:

- a. Agendas.
- b. Meeting minutes.

- c. Best practice and standards documents.
- d. Funding documents for security countermeasures.

**Note:** Restrict access to records.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy ten months after cut-off.

**Disposition Authority:** GRS 5.6/070 - DAA-GRS-2017-0006-0009

6. **Subheading: Facility Security Assessment Records for Security Level V Facilities**

**Description of Records:** Surveys and inspections of security and safety measures at Government or privately owned facilities assigned a security awareness status of Level V by Government agencies. Includes facility notes, inspector notes and reports, and vulnerability assessments for areas designated by the Interagency Security Committee as Facility Security Level V.

**Note:** Restrict access to records.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which security assessment is updated or security awareness status it terminated. Destroy five years after cut-off.

**Disposition Authority:** GRS 5.6/080 - DAA-GRS-2017-0006-0010

7. **Subheading: Facility Security Assessment Records for Security Level I - IV Facilities**

**Description of Records:** Surveys and inspections of security and safety measures at Government or privately owned facilities assigned a security awareness status of Level I through IV by Government agencies. Includes facility notes, inspector notes and reports, and vulnerability assessments for areas designated by the Interagency Security Committee as Facility Security Level V.

**Note:** Restrict access to records.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which security assessment is updated or security awareness status is terminated. Destroy three years after cut-off.

**Disposition Authority:** GRS 5.6/081 - DAA-GRS-2017-0006-0011

8. **Subheading: Facility Routine Security Operations**

**Description of Records:** Records pertain to detecting potential security risks, threats, or prohibited items carried onto Federal property or impacting assets, including records documenting access control, screening, patrol and response, and control center operations. Records include:

- a. Control center key or code records.
- b. Registers of patrol and alarm services.
- c. Service reports on interruptions and tests.
- d. Emergency alarm contact call lists.
- e. Temporary identification cards.
- f. Correspondence or lists of facility occupants authorized to enter with a prohibited or controlled item on an identified date.
- g. Round and perimeter check reports, including facility patrol tour data.
- h. Surveillance records, including recordings of protective mobile radio transmissions, video surveillance recordings, and closed-circuit television records.
- i. Door slip summaries.

**Exclusion:** Law enforcement officer-related records, which are covered by Forest Service-specific schedules (file code 5300).

**Note:** Restrict access to records.

**Disposition:** Temporary (see notes). Cutoff immediately. Destroy 30 days after cut-off.

**Disposition Authority:** GRS 5.6/090 - DAA-GRS-2017-0006-0012

## 9. Subheading: Security Incident Records

**Description of Records:** Records documenting security incidents occurring on, in, or at Government-owned or -leased facilities, vehicles (land, water, air), and property used by Federal Agencies. Records include:

- a. Statements of witnesses.
- b. Warning notices.
- c. Records about arrests, commitments, and traffic violations.
- d. Incident reports.
- e. Law enforcement requests for information.



**Exclusion 1:** Law enforcement officer-related records, which are covered by Forest Service-specific schedules (file code 5300).

**Exclusion 2:** Accident investigation records, which are covered by Forest Service-specific schedules (file code 6730).

**Exclusion 3:** Records maintained under file code 7130 - Fleet Equipment.

**Note:** Restrict access to records.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which final investigation ends. Destroy three years after cut-off.

**Disposition Authority:** GRS 5.6/100 - DAA-GRS-2017-0006-0013

#### 10. Subheading: Visitor Processing Records - Facility Security Level V

**Description of Records:** Includes 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 requiring highest level security. Includes areas designated by the Interagency Security Committee as Facility Security Level V.

**Disposition:** Temporary. Cutoff at end of FY. Destroy five years after cut-off.

**Disposition Authority:** GRS 5.6/110 - (DAA-GRS-2017-0006-00014)

#### 11. Subheading: Visitor Processing Records - Facility Security Levels I - IV

**Description of Records:** Includes registers or logs used to record names of outside contractors, service personnel, visitors, employees admitted to areas, and reports on automobiles and passengers for facility security areas designated by the Interagency Security Committee as Facility Security Levels I through IV.

**Note:** Includes records formerly retained under file code 5300 - Law Enforcement - Registers.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy two years after cut-off.

**Disposition Authority:** GRS 5.6/111 - DAA-GRS-2017-0006-0015

#### 12. Subheading: Personal Identification Credentials and Cards

**Description of Records:** Records about credential badges (such as smart cards) that are (1) based on the Homeland Security Presidential Directive -12 (HSPD-12) standards for identification cards issued to Federal employees, contractors, and affiliates, and (2) used to verify the identity of individuals seeking physical access to Federally controlled Government facilities, and logical access to Government information systems. Also

referred to as Common Access Cards (CAC), Personal Identity Verification (PIV) cards, HSPD-12 credentials. Records include applications and supporting documentation, such as chain-of-trust records, for identification credentials. Records include:

- a. Application for identification card.
- b. Log of activities that documents who took the action, what action was taken, when and where action took place, and what data was collected.
- c. Lost or stolen credential documentation or police report.

**Exclusion 1:** Information Systems Security Records, covers applications for access to information systems which are retained under appropriate item in file code 6680 - Security of Information, Information Systems, and Information Technology.

**Exclusion 2:** Records of HSPD-12 credentials retained/maintained by USDA.

**Note 1:** Dispose of cards after expiration, confiscation, or return (GRS 5.6, item 121).

**Note 2:** Restrict access to records.

**Note 3:** Essential records.

**Disposition:** Temporary (see notes). Dispose of mandatory and optional data elements housed in the Forest Service identity management system and printed on the identification card six years after terminating and employee or contractor's employment.

**Disposition Authority:** GRS 5.6/120 - DAA-GRS-2017-0006-0016

### 13. Subheading: Local Facility Identification and Card Access Records

**Description of Records:** Temporary employee, contractor, and occasional visitor facility and network identification access card and identity management system cards. Identification verification credentials issued by facility or building managers to provide local verification credentials and cards issued by facility or building managers to provide identification and access. Records include:

- a. Temporary identification cards issued to temporary employees, contractors, and occasional visitors who do not meet the Federal Information Processing Standard 201 (FIPS 201) Standard requirements for PIV issuance.
- b. Supplemental cards issued to access elevators.
- c. Personnel identification records stored in an identity management system for temporary card issuance.

- d. Parking permits.

**Note 1:** Restrict access to records.

**Note 2:** Essential records.

**Disposition:** Temporary (see notes). Dispose of upon immediate collection once the temporary credential or card is returned for potential reissuance due to nearing expiration or not to exceed 6 months from time of issuance or when individual no longer requires access.

**Disposition Authority:** GRS 5.6/130 - DAA-GRS-2017-0006-0018

#### 14. Subheading: Sensitive Compartmented Information Facility Accreditation Records

**Description of Records:** Physical security plans for Sensitive Compartmented Information Facility (SCIF) construction, expansion, or modification. Records include:

- a. Initial Fixed Facility Checklist.
- b. Pre-accreditation inspection report.
- c. Construction Security Plan.
- d. Telecommunications Electronics Materials Protected from Emanating Spurious Transmissions (TEMPEST) Checklist.

**Disposition:** Temporary. Dispose of when SCIF receives final accreditation.

**Disposition Authority:** GRS 5.6/140 - DAA-GRS-2017-0006-0019

#### 15. Subheading: Sensitive Compartmented Information Facility Inspection Records

**Description of Records:** Inspection records required by Intelligence Community Directive (ICD) 705. Records include:

- a. Fixed Facility Checklists.
- b. Accreditation authorization documents.
- c. Inspection reports, including Technical Surveillance Counter Measures reports, for the entire period of SCIF accreditation.
- d. Operating procedures.
- e. Special Security Officer/Contractor Special Security Officer appointment letters.

- f. Memoranda of Agreements.
- g. Emergency Action Plans.
- h. Copies of any waivers granted by the Cognizant Security Authority (CSA).
- i. Co-utilization approvals.

**Note 1:** Restrict access to records.

**Note 2:** Retain copy of agreements under appropriate 1580 retention item, restrict access.

**Disposition:** Temporary (see notes). Destroy when five years old or after SCIF has been accredited for at least one year, whichever is sooner.

**Disposition Authority:** GRS 5.6/150 - DAA-GRS-2017-0006-0020

#### 16. Subheading: Information Security Violation Records

**Description of Records:** Case files about investigating alleged violations of executive orders, laws, or Forest Service regulations on safeguarding national security information. Includes allegations referred to the Department of Justice or Department of Defense. Includes final reports and products.

**Exclusion 1:** Documents placed in Official Personnel Folders.

**Exclusion 2:** Records of any subsequent investigations are retained under the appropriate file code item (such as 5320 - Law Enforcement Investigation - Investigative Cases).

**Note:** Records contain PII, restrict access.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which case closed or final action taken.

**Disposition Authority:** GRS 5.6/200 - DAA-GRS-2017-0006-0027

#### 17. Subheading: Insider Threat Administrative and Operations Records

**Description of Records:** Records about insider threat program and program activities. Records include:

- a. Correspondence related to data gathering.
- b. Briefing materials and presentations.

- c. Status reports.
- d. Procedures, operational manuals, and related development records.
- e. Implementation guidance.
- f. Periodic inventory of all information, files, and systems owned.
- g. Plans or directives and supporting documentation, such as: independent and self-assessments; corrective action plans; and evaluative reports.

**Note:** Restrict access.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy seven years after cut-off.

**Disposition Authority:** GRS 5.6/210 - DAA-GRS-2017-0006-0028

#### 18. Subheading: Insider Threat Inquiry Records

**Description of Records:** Records about insider threat program inquiries initiated or triggered due to derogatory information or occurrence of an anomalous incident. Includes initiated and final reports, referrals, and associated data sets.

**Exclusion:** Records of any subsequent investigations are retained under the appropriate file code item (such as 5320 - Law Enforcement Investigation - Investigative Cases).

**Note:** Restrict access.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which inquiry closed. Destroy 25 years after cut-off.

**Disposition Authority:** GRS 5.6/220 - DAA-GRS-2017-0006-0029

#### 19. Subheading: Insider Threat Information

**Description of Records:** Data collected and maintained by insider threat programs undertaking analytic and risk-based data collection activities to implement insider threat directives and standards Includes, but is not limited to:

- a. Counterintelligence and security information:
  - (1) Personnel security files.
  - (2) Polygraph examination reports.
  - (3) Facility access records, including visitor records.

- (4) Security violation files.
- (5) Travel records.
- (6) Foreign contact reports.
- (7) Financial disclosure filings.
- (8) Referral records.
- (9) Intelligence records.
- b. Information Assurance Information:
  - (1) Personnel usernames and aliases.
  - (2) Levels of network access.
  - (3) Levels of physical access.
  - (4) Enterprise audit data which is user attributable.
  - (5) Unauthorized use of removable data.
  - (6) Print logs.
- c. Human Resources information:
  - (1) Personnel files.
  - (2) Payroll and voucher files.
  - (3) Outside work and activities requests.
  - (4) Disciplinary files.
  - (5) Personal contact records.
  - (6) Medical records/data.
- d. Investigatory and Law Enforcement information:
  - (1) Statements of complainants, informants, suspects, and witnesses.
  - (2) Agency data.

e. Public information:

- (1) Public information.
- (2) Private industry data.
- (3) Personal biographical and identification data, including U.S. government name check data.
- (4) Generic open source and social media data.

**Exclusion:** Records of any subsequent investigations are retained under the appropriate file code item (such as 5320 - Law Enforcement Investigation - Investigative Cases).

**Note 1:** Restrict access to records.

**Note 2:** Essential records.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 25 years after cut-off.

**Disposition Authority:** GRS 5.6/230 - DAA-GRS-2017-0006-0030

**20. Subheading: Insider Threat User Activity Monitoring Data**

**Description of Records:** User attributable data collected to monitor user activities on a network to enable insider threat programs and activities to:

- a. Identify and evaluate anomalous activity involving National Security Systems (NSS).
- b. Identify and assess misuse (witting or unwitting), or exploitation of NSS by insiders.
- c. Support authorized inquiries and investigations.

**Exclusion:** Records of any subsequent investigations are retained under the appropriate file code item (such as 5320 - Law Enforcement Investigation - Investigative Cases).

**Note 1:** Restrict access to records.

**Note 2:** Essential records.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy five years after cut-off.

**Disposition Authority:** GRS 5.6/240 - DAA-GRS-2017-0006-0031

## 21. Subheading: Forest Service Emergency and Disaster Response Plans

**Description of Records:** National agency master plan outlining the overall Forest Service response to major disasters and emergencies declared by the President, Secretary of Agriculture, Secretary of the Department of Homeland Security, and Secretary of the Department of Health and Human Services. Emergency operations are those unanticipated measures that must be performed for the immediate protection of life or property. Homeland Security includes efforts to prevent terrorist attacks within the United States; reduce the vulnerability of the United States to terrorism; minimize damage from terrorist attack in the United States; and to recover from a terrorist attack in the United States.

**Note 1:** Restrict access to records.

**Note 2:** Essential records.

**Note 3:** Transfers of permanent records to NARA requires authorization by the Records Officer authorization via a NARA approved transfer form (for example, ERA TR).

**Note 4:** If hardcopy records exist, send to FRC storage at end of FY in which they are closed. If microfilm is located, immediately transfer to NARA using approved processes.

**Disposition:** Permanent (see notes). Cutoff at end of FY in which revised plan is approved.

**Disposition Authority:** DAA-0095-2014-0003-0001

## 22. Subheading: Employee Disaster and Emergency Response Training Records

**Description of Records:** Records pertaining to specialized disaster and/or emergency response training completed by permanent and temporary employees. Records include, but are not limited to:

- (a) Agency copy of course completion records maintained in the Bureau of Land Management (BLM) Incident Qualifications and Certifications System (IQCS).
- (b) (Fire Position) Task Books maintained and used by incident management to document and determine employee incident qualifications (including certifications).

**Note 1:** Unit must maintain a copy of records entered in the BLM IQCS.

**Note 2:** Annually review of Agency copies of training records and dispose of superseded or obsolete documents. Dispose of entire file relating to individual employee one year after employee separation or transfer. Copy of records may be provided to receiving unit of transferring employees as needed.



**Note 3:** Records may include PII.

**Note 4:** Restrict access to records.

**Note 5:** Records are covered by Privacy Act system of Records USDA OP-1.

**Note 6:** Previous subheading "Individual Employee Training Records."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy when superseded, three years old, or one year after separation, whichever comes first, but longer retention is authorized if required for business use.

**Disposition Authority:** GRS2.6/030 - DAA-GRS-2016-0014-0003

### 23. Subheading: Inquiries

**Description of Records:** Obsolete. File standard inquiries and responses under file code 6270 - Availability of Records - General Information Requests.

### 24. Subheading: Disaster and Emergency Exercise Reports

**Description of Records:** Includes reports of operations exercises, consisting of consolidated or comprehensive reports reflecting agency wide results of test conducted under emergency plans.

**Note 1:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 2:** If hardcopy records exist, send to FRC storage at end of FY in which they are closed. If microfilm is located, immediately transfer to NARA using approved processes.

**Note 3:** Previously subheading "Operations Exercise Reports."

**Note 4:** Restrict access to records.

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA 15 years after cut-off.

**Disposition Authority:** N1-95-10-5/3b

### 25. Subheading: Disaster and Emergency Operations Policy

**Description of Records:** Includes documentation of interpretation and/or development of policies associated with disaster and emergency operations and homeland security administration, including responses to Congressional correspondence.

**Note 1:** Transfers of permanent records to NARA requires authorization by The Records Officer authorization via a NARA approved transfer form (for example, ERA TR).

**Note 2:** If hardcopy records exist, send to FRC storage at end of FY in which they are closed. If microfilm is located, immediately transfer to NARA using approved processes.

**Note 3:** Previous subheading "Policy."

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA five years after cut-off.

**Disposition Authority:** DAA-0095-2014-0003-0002

## 26. Subheading: Disaster and Emergency Contingency Planning

**Description of Records:** Continuity planning and related emergency planning files. Records may include:

- a. Records on continuity and emergency planning administrative and operational activities:
  - (1) Briefing materials and presentations.
  - (2) Status reports.
  - (3) Informational papers.
  - (4) Files documenting policy or plan development, including policy studies.
  - (5) Procedures, operational manuals, and related development records.
  - (6) Implementation guidance.
  - (7) Related correspondence.
  - (8) Memorandum(s) of Understanding.
  - (9) Delegations of Authority/Orders of Succession.
- b. Continuity plans or directives and supporting documentation, including but not limited to:
  - (1) Continuity of Operations (COOP) plans
  - (2) Devolution Plans.
  - (3) Occupant Emergency Plans (OEP).

- (4) Emergency Action Plans (EAP).
  - (5) Facility Emergency Action Plans (FEAPS).
  - (6) Records Emergency Plans (REMT).
  - (7) Disaster Recovery Plans (DRP).
  - (8) Pandemic Influenza Plans.
- c. Records on continuity or emergency tests or exercises, such as:
- (1) Instructions to members participating in tests.
  - (2) Staffing assignments.
  - (3) Records of tests of communications and facilities.
- d. Evaluation reports on continuity or emergency tests or exercises, such as:
- (1) Result reports.
  - (2) Readiness reports.
  - (3) Risk and vulnerability assessments.
  - (4) Site evaluations and inspections.
  - (5) Corrective action plans.
  - (6) After action reports and improvement plans.
- e. Documentation associated with Forest Service activities relating to:
- (1) Rural fire defense activities.
  - (2) Local search and rescue operations and activities.
  - (3) Regional Emergency Staffs, State Emergency Boards, and County Emergency Boards.
  - (4) Search and rescue.

**Exclusion 1:** This item does not include incident response records. Non-fire incident records are retained under file code 1590 - Disaster and Emergency Operations, and Homeland Security - Significant Incident History File. Fire incident records are retained in appropriate categories under file code 5180 - Fire Reports.

**Exclusion 2:** Records on employee training for COOP are retained under file code 1590 - Disaster and Emergency Operations, and Homeland Security - Individual Employee Training Records.

**Exclusion 3:** Records pertaining to essential (vital) records management are retained under file code 6230 - Records Management - Essential Records.

**Exclusion 4:** This item does not include the records of high-level officials (see file code 6230 - Records Management - Records of High-Level Officials) or emergency plans that are part of the directives system.

**Note 1:** Restrict access to records.

**Note 2:** Essential records.

**Note 3:** Includes records previously retained under file codes:

- 1590 - Disaster and Emergency Operations, and Homeland Security - Emergency Management.
- 1590 - Disaster and Emergency Operations, and Homeland Security – General.
- 1590 - Disaster and Emergency Operations, and Homeland Security - Rural Fire Defense.
- 1590 - Disaster and Emergency Operations, and Homeland Security - Search and Rescue.
- 1590 - Disaster and Emergency Operations, and Homeland Security - Unit Emergency and Disaster Response Plans.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which superseded or obsolete. Destroy three years after cut-off.

**Disposition Authority:** GRS 5.3/010 - DAA-GRS-2016-0004-0001

## 27. Subheading: Significant Incident History File

**Description of Records:** Records documenting Forest Service response to nationally significant (non-fire related) defense and emergency events as defined by the President and the Federal Emergency Management Agency (FEMA). Records document actions taken, lessons learned, and other information with long-term value, such as:

- (a) Narrative and summary reports,
- (b) Damage surveys,
- (c) Final situation analyses,

- (d) Delegation of authority,
- (e) Incident action plans,
- (f) Maps,
- (g) News articles and media releases,
- (h) Photographs and other hardcopy and digital imagery.
- (i) Other records may relate to joint operations and/or mutual aid and include copies of incident reports and analyses prepared by other agencies regarding the incident,
- (j) Records documenting significant interactions with communities affected by the incident, and
- (k) Selected reports or notes pertaining to high-level management and security issues that have not been incorporated into the incident narrative.

**Note 1:** Cutoff or close at the end of the incident.

**Note 2:** Consolidate record into single file, location of file to be determined by Washington Office Safety and Occupational Health staff.

**Note 3:** Retain fire related disaster assistance records under applicable 3140 and 5100 file code categories.

**Note 4:** Transfer of permanent records to NARA requires authorization by The Records Officer authorization via a NARA approved transfer form (for example, ERA TR).

**Note 5:** Store closed hardcopy records at Federal Records Center until eligible for transfer to NARA custody.

**Note 6:** Records may contain PII or other protected or restricted information.

**Disposition:** Permanent (see notes). Cutoff at end of FY in which incident closed. Transfer to NARA 15 years after cut-off.

**Disposition Authority:** DAA-0095-2014-0003-0003

## 28. Subheading: Employee Emergency Contact Information

**Description of Records:** Records used to account for and maintain communication with personnel during emergencies, office dismissal, and closure situations. Records include name and emergency contact information such as phone numbers or addresses.

Records may also include other information on employees such as responsibilities assigned to the individual during an emergency.

**Exclusion:** This item does not include employee directories that contain information about where employees are in facilities and work phone numbers.

**Note 1:** Restrict access to records. Records may contain PII or other restricted information.

**Note 2:** Essential records.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which superseded. Destroy immediately after cut-off.

**Disposition Authority:** GRS 5.3/020 - DAA-GRS-2016-0004-0002

#### **File Code - Heading: 1600 - Information Services**

##### **1. Subheading: Information Services Administrative Files**

**Description of Records:** Records and general correspondence regarding information services, too broad to fit under any other 1600 series file code, related to the routine, day-to-day administration of public affairs/information services activities.

**Note:** Former subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy three years after cut-off.

**Disposition Authority:** GRS 6.4/010 - DAA-GRS-2016-0005-0001

##### **2. Subheading: Inquiries**

**Description of Records:** Obsolete. File standard inquiries and responses under file code 6270 - Availability of Records - General Information Requests.

#### **File Code - Heading: 1610 - Information Services Plans**

##### **1. Subheading: Information Services Plans**

**Description of Records:** Records include plans for national communication strategy and implementation; unit public affairs program plans; and communication plans for specific issues and projects.

**Note 1:** Create folders alphabetically by type.

**Note 2:** Previously subheading "Plans."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which administrative use ceases. Destroy ten years after cut-off.

**Disposition Authority:** N1-95-10-4/42

**File Code - Heading: 1620 - Public Involvement Programs**

**1. Subheading: Public Involvement Program Management**

**Description of Records:** Materials related to collection, analysis, and evaluation of comments from the public; for example:

- a. Letters,
- b. Response forms,
- c. Petitions, and so forth,
- d. Records related to Forest Service public involvement programs:
  - (1) Including public involvement activities and techniques, to include methods and activities for accomplishing public involvement,
  - (2) Plans and correspondence for preparation of future events,
- e. Outdoor programs (such as tree planting events) involving cooperation with the public regarding:
  - (1) The environment, supplements,
  - (2) Revisions,
  - (3) Speeches and demonstration or "Show-me" trip information,
  - (4) Background papers related to establishing direction and/or standards,
  - (5) Cooperative Outdoor Environmental (COEP) Cooperative Agreements and MOU.
- f. Other correspondence related to future and established programs such as:
  - (1) Conservation Education Program,
  - (2) Cooperative Activities with Group Contacts, (COEP).

**Note 1:** Includes records previously retained under file codes:

- 1620 - Public Involvement Programs - Analysis and Evaluation of Public Response.
- 1620 - Public Involvement Programs - COEP Cooperative Agreements and Memorandums of Understanding
- 1620 - Public Involvement Programs - Conservation Education Program.
- 1620 - Public Involvement Programs - Cooperative Activities with Group Contacts.
- 1620 - Public Involvement Programs – General.
- 1620 - Public Involvement Programs - Public Involvement Activities and Techniques.
- 1620 - Public Involvement Programs - Public Participation Planning.
- 1620 - Public Involvement Programs - Public Participation Program.

**Note 2:** Retain copy of MOUs and agreements under appropriate 1580 retention item.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which Agreement/MOU expires, project ends, or case file is closed.

**Disposition Authority:** DAA-0095-2018-0081-0001

## 2. Subheading: Public Correspondence and Communications Not Requiring Formal Action

**Description of Records:** Records related to correspondence and communications, including comments, to and from the public that require no formal response or action. Includes:

Comments the Forest Service receives but does not act upon or that do not require a response, such as:

- a. Write-in campaigns.
- b. Personal opinions on current events or personal experiences.
- c. Routine complaints or commendations.
- d. Anonymous communications.
- e. Suggestion box comments.
- f. Public correspondence addressed to another entity and copies to the Agency or that the Forest Service receives in error.
- g. Comments posted by the public on an agency website that do not require response or that the Agency does not collect for further use.



- h. Communications from the public that the Forest Service responds to but takes no formal action on.
- i. Forest Service postings on social media accounts and email blasts that consist of information released or captured elsewhere, provided the Forest Service also captures the posting.

**Exclusion 1:** Correspondence relating to a specific case or action is not considered public correspondence and should be filed and maintained with the appropriate case or action file.

**Exclusion 2:** Public comments that the Forest Service acts or uses to act are not covered by this item and should be retained in the appropriate case or action file.

**Note:** Retain requests for information, publications, photographs, and other information involving no administrative action, policy decision, or special compilations or research under file code 6270 - Availability of Records - General Information Requests.

**Disposition:** Temporary (see notes). Cutoff immediately upon receipt. Destroy 90 days after cut-off.

**Disposition Authority:** GRS 6.4/020 - DAA-GRS-2016-0005-0002

### 3. Subheading: Group Contacts

**Description of Records:** Records maintained under this designation include key national interest groups with which Forest Service maintains contact. Additionally, includes planning and coordination records related to the Group Contact Program.

**Note:** Records covered by PA-SOR USDA/FS-19.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy five years after cut-off.

**Disposition Authority:** N1-95-10-4/50

### 4. Subheading: Woodsy Owl Environmental Program, Licenses, and Contracts

**Description of Records:** Records include vendor licenses and contracts for use of Woodsy Owl character, and correspondence on items informing the public environmental cleanup projects and licensing program.

**Note 1:** File case folders alphabetically by vendor.

**Note 2:** NARA has determined that GRS does not apply to these records.

**Note 3:** Records may contain protected information.

**Note 4:** Essential records.

**Note 5:** Includes records previously retained under file codes:

- 1620 - Public Involvement Programs - Woodsy Owl Environmental Program.
- 1620 - Public Involvement Programs - Woodsy Owl Licenses and Contracts.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which vendor ceases to participate in the Woodsy Owl program and licenses/contracts expire. Destroy five years after cutoff.

**Disposition Authority:** DAA-0095-2018-0081-0002

## **File Code - Heading: 1630 - Publishing and Related Activities**

### **1. Subheading: Publishing Control and Administrative Files**

**Description of Records:** Records of general day-to-day communication service administration and specific transmission tracking. Includes: printing requisitions, work orders, samples, manuscript clearances, control registers, and related documents.

**Exclusion:** Requisitions used to support payment vouchers (GRS 1.1, item 010 covers these)

**Note:** Includes records previously retained under file codes:

- 1630 - Publishing and Related Activities - Control Files.
- 1630 - Publishing and Related Activities – General.
- 6360 - Printing - General (N1-95-88-2, 6360).

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy one year after cut-off.

**Disposition Authority:** GRS 5.5/020 - DAA-GRS-2016-0012-0002

### **2. Subheading: Publishing Distribution Files**

**Description of Records:** Records of printing/duplication services, and administration and operation. Includes control registers pertaining to requisitions and work orders; agreements and related background data and other records regarding printing. The Forest Service retains for administrative (not fiscal) use records that document acquiring, installing, changing, removing, and servicing printing equipment; along with correspondence files pertaining to the administration and operation of the unit responsible for printing, binding, duplication, and distribution matters, and related documents.

**Note 1:** Previous subheading "Distribution."

**Note 2:** Retain copy of MOUs and agreements under appropriate 1580 retention item.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which file closed, agreement expires or is cancelled. Destroy three years after cut-off.

**Disposition Authority:** GRS 5.5/010 - (DAA-GRS-2016-0012-0001)

### 3. Subheading: Mailing Lists

**Description of Records:** Distribution lists, including:

- a. Contact information for customers.
- b. Subscription databases for distributing information.
- c. Files and databases related to community outreach or relations.
- d. Sign-up, request, and opt-out forms.

**Disposition:** Temporary. Cutoff when superseded, obsolete, or customer requests to be removed from list. Destroy immediately after cut-off.

**Disposition Authority:** GRS 6.5/010 - (DAA-GRS-2017-0002-0001)

### 4. Subheading: Publications and Printed Materials

**Description of Records:** Master copy of printed or duplicated material that is distributed to meet specific needs of the public, other agencies and departments and cooperators as well as the needs of the Forest Service.

**Note 1:** Arrange Forest Service publications by number or series title, whichever applies. Refer to FSM 1630 for material meeting definition of publications.

**Note 2:** Originating office maintains official record.

**Note 3:** If hardcopy records exist, send closed records to FRC storage at the end of FY.

**Note 4:** Previous subheading "Publications."

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA five years after cut-off.

**Disposition Authority:** N1-95-10-2/37

5. **Subheading: Reports and Related Records Pertaining to Publishing Activities**

**Description of Records:** Forest Service report to Congressional Joint Committee on Printing regarding operation of Class A and B Plants and inventories of printing, binding, and related equipment in Class A and B Plants or in storage. Includes administrative information such as quarterly reports for publications, inventory, budget, manuscript status and statistical data.

**Note 1:** Excludes publications called "Reports."

**Note 2:** Previous subheading "Reports and Related Records."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy six years after cut-off.

**Disposition Authority:** GRS 5.7/050 - (DAA-GRS-2017-0008-0005)

**File Code - Heading: 1640 - Audio Visual Information**

1. **Subheading: Non-Record Audio, Video, Film, and Original Works of Art**

**Description of Records:** Non-Record Copies of audio productions, film (original footage), original artwork and paintings, stock footage, and video production items.

- a. Audio Productions - Copies of Forest Service sponsored and/or created audio productions routed between Forest Service units.
- b. Films - Original Footage. Copies of Forest Service sponsored films created for use within the Forest Service and routed between Forest Service units. Includes informational, educational, recruiting films; training films that explain agency functions or activities; research and development, fact-finding, and other study films; and copies of Forest Service local unit sponsored films highlighting a local problem or event.
- c. Stock Footage. Copies of outtakes and trims from Forest Service sponsored files created for use within the Agency associated with informational, educational, recruiting files; training files that explain agency functions or activities; research and development, fact-finding, and other study films.
- d. Video Productions. Copies of Forest Service sponsored and/or created video productions routed between Forest Service units. Original paintings and artwork of unusual or outstanding merit, that explain, instruct, advertise, or illustrate agency programs and functions. Includes original artwork and mechanicals, as well as original Cooperative Fire Protection artwork.

**Note 1:** Original paintings and artwork are retained in agency space.

**Note 2:** Original paintings and artwork is not considered an official record by NARA.

**Note 3:** Contact National Forest Service Historian to determine the best retention plan for original paintings and artwork.

**Note 4:** Copies are non-record material and should be routed between Forest Service units until no longer needed for administrative use, at which point the copies should be destroyed.

**Disposition:** Temporary (Non-record) (see notes). Cutoff at end of FY in which no longer needed.

**Destroy when no longer needed.**

## 2. Subheading: Routine Audiovisual Records

**Description of Records:** Photographs or audio-visual recordings of routine award ceremonies, retirement ceremonies, social events, and activities not related to the mission of the Forest Service. Also included:

- a. Production files or similar files that document origin, development, acquisition, use, and ownership of temporary audiovisual records.
- b. Records include recording of information on a variety of media and media production methods, such as audio productions, video productions, original film footage, graphic arts, and posters, and still photographs.
- c. Correspondence related to still photography, prints, slides, slide-tape, and multi-media programs, exhibits, motion pictures, and other audio-visual type records; Forest Service sponsored and/or created audio productions with a planned life of less than one year. Includes, but not limited to:
  - (1) Radio spots, information and public service radio programs, recruitment materials, speeches, interviews, and oral history recordings; scripts and finding aids for those deemed historically significant.
  - (2) Forest Service local unit sponsored/created audio productions highlighting a local problem or event; Forest Service sponsored motion picture films created for use within the Forest Service, with a planned life of less than one year.
  - (3) Informational, educational, recruiting films; training films that explain agency functions or activities; and research and development, fact-finding and other study films deemed non-significant.

- (4) Non-significant Forest Service local unit sponsored films highlighting a local problem or event; includes paste-ups generated while producing printed posters; includes captioned photographs deemed by Washington Office, Office of Communications and Forest Service History Program to be of limited administrative use or contain subject matter that is of no importance as a historical record.
- (5) Black-and-white and color negatives, contact sheets, prints, slides, transparencies, and digital images; Forest Service sponsored and/or created video productions with a planned life of less than one year.
- (6) Television news releases and information reports (excluding Smokey Bear and Woodsy Owl); training programs explaining agency functions or activities; video productions of historic significance; Forest Service local unit sponsored/created videos highlighting a local problem or event.

**Note 1:** Photographs associated with or created to document program management activities:

- Retain photograph in applicable program management file.
- Retain copies of significant photos per FSM 1640 criteria for significant photograph(s).

**Note 2:** Portraits of non-senior staff; images of employee awards events, retirement ceremonies, and departure ceremonies; and images of workshops, training, campaigns or commemorations common to most federal agencies (for example, Combined Federal Campaigns, Savings Bond Campaigns, blood drives, health fairs, ethnic history month events), and any other photographs that do not pertain to the unique mission of the Forest Service should be destroyed when no longer needed for business purposes.

**Note 3:** Do not retain aerial photographs under file code 1640 - Audiovisual. Aerial photographs associated with:

- Research activities - retained under file code 4110.
- Title claims and encroachment - retain under file code 5510.
- Aerial photograph negatives and indexes are retained under file code 7140 - Geospatial (see file code 7140 - Geospatial for additional information).

**Note 4:** Includes records previously retained under file codes:

- 1640 - Audio-Visual Information - Audio Productions - Non-Significant.
- 1640 - Audio-Visual Information - Films - Original Footage - Non-Significant.
- 1640 - Audio-Visual Information – General.
- 1640 - Audio-Visual Information - Graphic Arts - Poster Paste-Ups.
- 1640 - Audio-Visual Information - Still Photos - Non-Significant.

- 1640 - Video Productions - Non-Significant.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which no longer needed. Destroy two years after cut-off.

**Disposition Authority:** GRS 6.4/050 - (DAA-GRS-2016-0005-0006)

### 3. Subheading: Training

**Description of Records:** Obsolete - File under file code 6140 Employee Development, Performance, and Awards - Training - Forest Service Sponsored

### 4. Subheading: Audio Productions - Significant

**Description of Records:** Forest Service sponsored and/or created audio productions with a planned life of more than one year. Includes, but not limited to radio spots, information and public service radio programs, recruitment materials, speeches, interviews, and oral history recordings; scripts and finding aids for those deemed historically significant. Includes Forest Service local unit sponsored/created audio productions highlighting a local problem or event.

**Note 1:** Submit original master recording (if available) and duplicate copy to NARA (via Washington Office) five years after withdrawn from distribution.

**Note 2:** If hardcopy records exist, send to FRC storage at end of FY in which they are closed. If microfilm is located, immediately transfer to NARA using approved processes.

**Disposition:** Permanent (see notes). Cutoff at end of FY in which withdrawn from distribution. Transfer to NARA five years after cut-off.

**Disposition Authority:** N1-95-10-2/45a

### 5. Subheading: Film and Video Production - Significant

**Description of Records:** Forest Service sponsored films created for use within the Forest Service, with a planned life of one year or more; informational, educational, recruiting films; training films that explain agency functions or activities; research and development, fact-finding and other study films which are deemed historically significant. Records include:

- a. Forest Service local unit sponsored films highlighting a local problem or event.
- b. Internal personnel and administrative filmstrips, slide sets and multi-media programs that reflect the mission of the Forest Service or document events or phenomena that are significant.

- c. Well-organized and described out takes and trims from Forest Service sponsored files created for use within the Forest Service associated with informational, educational, recruiting files; training files that explain agency functions or activities; research and development, fact-finding and other study films which are deemed historically significant.
- d. Forest Service sponsored and/or created video productions with a planned life of more than one year.
- e. Television news releases and information reports (excluding Smokey Bear and Woodsy Owl); training programs explaining agency functions or activities; video productions of historic significance; IFS local unit sponsored/created videos highlighting a local problem or event.
- f. Forest Service sponsored and/or created video productions with a planned life of more than one year.
- g. Television news releases and information reports (excluding Smokey Bear and Woodsy Owl); training programs explaining agency functions or activities; video productions of historic significance; IFS local unit sponsored/created videos highlighting a local problem or event.

**Note 1:** Forest Service Region or Unit of Origin - submit original edited master, negative or color original plus separate soundtrack, and an intermediate master positive, or duplicate negative plus soundtrack and projection print and related scripts to NARA five years after withdrawn from distribution.

**Note 2:** Forward original and one copy, or two copies of each slide set, filmstrips, and accompanying audio recordings or scripts to the Washington Office for offer to NARA five years after the program is completed.

**Note 3:** Submit original edited master and duplicate copy of video productions to NARA (via Washington Office) five years after withdrawn from distribution.

**Note 4:** If hardcopy records exist, send to FRC storage at end of FY in which they are closed. If microfilm is located, immediately transfer to NARA using approved processes.

**Note 5:** Includes records previously retained under file codes:

- 1640 - Audio-Visual Information - Films - Original Footage – Significant.
- 1640 - Audio-Visual Information - Slides, Filmstrips, and Multi-media Programs.
- 1640 - Audio-Visual Information - Stock Footage – Significant.
- 1640 - Audio-Visual Information - Video Productions – Significant.



**Disposition:** Permanent (see notes). Cutoff at end of FY in which withdrawn from production or program is completed. Transfer to NARA 15 years after cutoff.

**Disposition Authority:** N1-95-10-2/42(a), N1-95-10-2/40, N1-95-10-2/43(a), N1-95-10-2/44(a)

## 6. Subheading: Graphic Arts Products and Records

**Description of Records:** Includes posters and other graphic art records, associated with cooperative fire protection, that explain, instruct, advertise, or illustrate agency programs and functions.

**Note 1:** Transfer 2 copies of each published poster.

**Note 2:** If hardcopy records exist, send to FRC storage at end of FY in which they are closed.

If microfilm is located, immediately transfer to NARA using approved processes.

**Note 3:** Includes records previously retained under file codes:

- 1640 - Audio-Visual Information - Graphic Arts - Cooperative Fire Protection Posters.
- 1640 - Audio-Visual Information - Graphic Arts - Other Published Posters.

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA one year after cut-off.

**Disposition Authority:** N1-95-10-2/41(b), N1-95-10-2/41(a)

## 7. Subheading: Still Photos - Significant (Post-1988)

**Description of Records:** Includes original and copies (when original does not exist) of post-1998 portraits and photographs (including digital photographs) that:

- a. Provide documentation of essential transactions of the Forest Service; or
- b. Contain information unique in substance, arrangement, or manner of presentation, that is unavailable in another format; or utilizes significant new technology and represents an advance in the state of the art or records and/or represents the state or health of forest landscapes, including wildlife, bodies of water and watersheds, or any other portion of the forest ecosystem.
- c. Contains finding aids such as data sheets, shot lists, catalogs, indexes, list of captions, the PIC Database.

**Note 1:** Photograph captions should contain as much information as possible, but photographs should not be discarded if captions are not available.

**Note 2:** Photographs that cannot be captioned should be:

- Offered to Forest Service History Program (Washington Office), and
- Retained on unit of origin as non-record material until administrative/reference use ceases, and then destroyed.

**Note 3:** Originating offices are to review post-1998 photo collections for original photo material having archival value. Submit such material (as applicable/available), along with documentary data to both the Washington Office, Office of Communications, and the Forest Service History Program (Washington Office) every two years:

- Washington Office, Office of Communications.
- Original black-and-white negatives, and captioned print.
- Original color negatives, a duplicate negative (if one exists), and a captioned print.
- Original color transparencies or slides, caption information, and a duplicate slide or transparency or internegatives (if one exists).
- Electronic copies of digital photographs.
- Forest Service History Program (Washington Office).
- Duplicates of photographs and prints from negatives provided to Washington Office, Office of Communications.
- Electronic copies of digital photographs.

**Note 4:** Washington Office, Office of Communications Staff will collect original photographic material and documentary data from Washington Office and field units and transfer to National Archives two years after receipt.

**Note 5:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 6:** Forest Service History Program (Washington Office) will manage record material under file code 1680.

**Note 7:** Copies of images may be retained as official record if original image is not available. If original image is available, copies are non-record material and should be destroyed when administrative/reference use ceases.

**Note 8:** Units transferring photographic material to Washington Office and/or NARA, should make notation on any administrative-use copies indicating actions taken to ensure that duplicate offerings are not made to either the Washington Office or NARA.

**Note 9:** Do not retain aerial photographs under file code 1640 - Audiovisual. Aerial photographs associated with:

- Research activities - retained under file code 4110.
- Title claims and encroachment - retained under file code 5510.
- Aerial photograph negatives and indexes are retained under file code 7140 - Geospatial (see file code 7140 - Geospatial for additional information).

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA two years after cut-off.

**Disposition Authority:** N1-95-10-2/38

#### 8. Subheading: Still Photography - Historical Collection (Pre-1988)

**Description of Records:** Pre-1998 photographs that provide documentation of essential transactions of the Forest Service or significant events. Includes negatives, original color transparencies and slides, black-and-white photographic prints (the browsing file) and any associated finding aids.

**Note 1:** Contact Forest Service Records Officer to arrange immediate transfer to National Archives and Records Administration. The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 2:** Provide Forest Service History Program (Washington Office) with duplicates of pre-1998 photographs and prints from negatives.

**Note 3:** Do not retain aerial photographs under file code 1640 - Audiovisual. Aerial photographs associated with:

- Research activities - retained under file code 4110.
- Title claims and encroachment - retained under file code 5510.
- Aerial photograph negatives and indexes are retained under file code 7140 - Geospatial (see file code 7140 - Geospatial for additional information).

**Note 4:** Previous subheading "Still Photography - Historical Collection."

**Disposition:** Permanent (see notes). Transfer to NARA immediately.

**Disposition Authority:** N1-95-10-2/39

**File Code - Heading: 1650 - Media Relations Program**

**1. Subheading: Public Affairs Product Production Working Files**

**Description of Records:** Records related to developing speeches, publications, educational materials, audiovisual materials including posters, public conferences, and other public outreach materials, including but not limited to:

- a. News clippings.
- b. Marketing research.
- c. Copies of records used for reference in preparing products.
- d. Research notes.
- e. Printer galleys.
- f. Drafts and working copies.
- g. Preparatory or preliminary artwork or graphics.
- h. Bibliographies, checklists, and indexes of Forest Service publications. And
- i. Clearances related to release of products.

**Exclusion:** This item does not include the following types of records:

- Final products such as speeches, publications, educational materials, agency histories, mission-related audiovisual materials including posters, conference, and public outreach materials.
- Unique collections of records or original materials (such as interviews or oral histories) the Forest Service assembles for research or final product development purposes.
- Drafts or working files that propose or evaluate options or alternatives and their implications in the development of high-level policies and decisions, natural resource management analysis and decisions, or that document findings or support recommendations.
- Bibliographies, checklists, or indexes relating to records scheduled as permanent, such as official Forest Service publications.
- Records relating to obtaining approval or clearance for releasing information from other agencies or outside organizations. Clearances for release of information related to declassification review.

**Note 1:** Now-obsolete forms of printing production materials (for example, line and halftone negatives, screened paper prints, and offset lithographic plates), line copies of

graphs and charts, as well as cartographic records prepared during intermediate stages of publication that may be found in older project files are temporary under this item.

**Note 2:** Includes records previously retained under file codes:

- 1650 - Media Relations Program – Clippings.
- 1650 - Media Relations Program - Radio and Television.

**Disposition:** Temporary (see notes). Cutoff when no longer needed for business use. Destroy records immediately after cut-off.

**Disposition Authority:** GRS 6.4/030 - (DAA-GRS-2016-0005-0003)

## 2. Subheading: Routine Media Relations Records

**Description of Records:** Records of interactions with the press or media that contain duplicate, minimal, or limited information, such as:

- a. Requests and responses for interviews.
- b. Requests and responses for information or assistance for media stories.
- c. Daily or spot news recordings or videos available to local radio and TV stations.
- d. Notices or announcements of media events.
- e. Public service announcements.
- f. Copies of articles created by the Forest Service for publication in news media.

**Exclusion:** Transcripts of press conferences or press briefings, briefing books, and press releases are not covered by this item. Retain per applicable records retention schedule items in the 1600-1690 file code series.

**Note:** Previous subheading “General.”

**Disposition:** Temporary (see notes). Cutoff when no longer needed for business use. Destroy records immediately after cut-off.

**Disposition Authority:** GRS 6.4/040 - (DAA-GRS-2016-0005-0004)

## 3. Subheading: Policy Speeches

**Description of Records:** Includes policy speeches and by-lined articles for the Chief, Associate Chief, and forestry-related speeches for USDA Assistant Secretary for Natural Resources and Environment; and selected policy speeches for Regional Foresters and Forest Supervisors.

**Note 1:** Issuing office maintains official record.

**Note 2:** If hardcopy records exist, send to FRC storage at end of FY in which they are closed. If microfilm is located, immediately transfer to NARA using approved processes.

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-2/47

#### 4. Subheading: Press Releases

**Description of Records:** Forest Service issued press releases.

**Note 1:** Non-record reference copies of press releases should be maintained for no more than 24 months. Such copies shall be marked "Reference" or "Copy."

**Note 2:** If hardcopy records exist, send to FRC storage at end of FY in which they are closed. If microfilm is located, immediately transfer to NARA using approved processes.

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-2/46

### File Code - Heading: 1660 - Web Content and Format

#### 1. Subheading: External and Internal Forest Service Websites

**Description of Records:** Forest Service external websites on the Internet that disseminate information about the Forest Service and its activities to the public. Internal websites, or intranets, provide information that may be useful to employees in learning about agency activities, policies, and services, and in understanding the workplace and employee benefits. Records include web pages that contain information duplicated and maintained as the official recordkeeping copy external to the website.

**Exclusion:** This schedule does not include the following types of website records. These records must be scheduled on an Forest Service-specific records schedule:

- Records maintained on websites designated by the Forest Service as the recordkeeping copy.
- Snapshots of websites taken at any time, such as prior to a revision to the website or during the change of Presidential administrations.
- Websites containing unique information not found in other agency records.
- Websites containing special collections of documents pulled together from different sources or records series.

- Data contained in “Back-End” databases or databases that are accessed through a website or web portal (system is to be scheduled separately with NARA).
- Internal collaboration networks sites, or “Wikis,” including such applications as SharePoint and Google Drive.
- Internal or external blogs.
- Comments received on agency websites that are collected and used in any manner for agency business are to be extracted and retained as agency records under appropriate existing records retention schedules.

**Note 1:** If the official recordkeeping copy of records duplicated on Forest Service websites are not covered by an approved Forest Service-specific records schedule, and Forest Service-specific records schedule must be approved before this schedule disposition instruction can be applied to the information placed on the web pages.

**Note 2:** Includes records previously retained under file codes:

- 1660 - Web Content and Format - External Websites.
- 1660 - Web Content and Format - Internal Websites.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which superseded or obsolete. Destroy one year after cut-off.

**Disposition Authority:** N1-95-10-1/1 and N1-95-10-1/2

## 2. Subheading: Other Website Content

**Description of Records:** Records include:

- a. Snapshots of websites taken at any time, such as prior to a revision to the website or during the change of Presidential administrations.
- b. Websites containing unique information not found in other Forest Service records.
- c. Websites containing special collections of documents pulled together from different sources or records series.
- d. Internal collaboration networks sites, or “Wikis,” including such applications as SharePoint and Google Drive.
- e. Internal or external Forest Service-owned or -sponsored blogs.

**Exclusion:** Original documents posted on SharePoint (and similar internal collaboration network sites or wikis) shall be saved to and/or managed by the Forest Service’s approved electronic records management system according to currently approved

records retention schedules associated with the subject matter of the document. If not feasible to save in original location (for example, in SharePoint), the records shall be retained in a repository linked to the Forest Service's electronic records management system.

**Note:** Includes records previously retained under file codes:

- 1660 - Web Content and Format - External Websites.
- 1660 - Web Content and Format - Internal Websites.

**Disposition:** (see notes). Cutoff when no longer needed for Forest Service business. Destroy one year after cut-off.

**Disposition Authority:** N1-95-10-1/1 and N1-95-10-1/2

3. **Subheading: Social Media Records on Third-Party Websites - Content and Content Logs**

**Description of Records:** Third-party controlled websites include but are not limited to sites for such activities as social networking (Facebook, LinkedIn, Google+, and more of the same), video sharing (YouTube, Vimeo, and so forth), microblogging (Twitter, Tumblr, and more of the same), and photo sharing (Instagram, Flickr). Content posted by authorized agency representatives on official agency social media accounts that are controlled by third-party vendors. Postings may include pointers to the Forest Service's website, general announcements and notices about events, highlights of agency activities, and copies of agency photographs or audio/visual items.

**Disposition:** Cutoff when no longer needed. Destroy immediately after cut-off.

**Disposition Authority:** N1-95-10-010

4. **Subheading: Social Media Records on Third-Party Websites - Program Records**

**Description of Records:** Records relating to the application, implementation, and certification of social media platforms. Records may include vendor agreements and social media use policies.

**Disposition:** Temporary. Cutoff at end of FY in which superseded or obsolete. Destroy two years after cut-off.

**Disposition Authority:** Pending

5. **Subheading: Website and Social Media Comments**

**Description of Records:** Comments received on Forest Service websites or social media platforms that the Forest Service does not respond to, use, or otherwise act upon in support of agency business.



**Exclusion:** Comments received on agency websites or social media sites that are captured by the Forest Service and used in any manner not covered by the GRS must be retained according to currently approved records retention schedules associated with use of the comments.

**Note:** These records may be maintained and managed in place on social media platforms as they are short-term temporary records.

**Disposition:** Temporary (see notes). Cutoff when no longer needed. Destroy immediately after cut-off.

**Disposition Authority:** Pending

## 6. Subheading: Web Management Records

**Description of Records:** Records related to the design and management of agency websites, including but not limited to:

- a. Website planning and design records, templates, frames, style sheets, site maps, website architecture, user feedback, and other records related to the design and development of the Forest Service's website.
- b. Web server configuration and maintenance records, including histories of changes made to the system.
- c. Software product information, product licenses and manuals.
- d. Policies and procedures established to ensure oversight of web content.
- e. Traffic logs, search result reports, broken link reports, and other reports and statistics collected on website use and website performance.
- f. Requests for updates, corrections and revisions and follow-up.
- g. Web post logs and clearances.
- h. Internal systems used to track updates, corrections, revisions, ongoing maintenance, and minor enhancements.

**Note 1:** System backups are retained under file code items in the 6600 series.

**Note 2:** The Forest Service may keep logs documenting when public notices are posted and how long such notices were posted because some notices must be available for a specific amount of time. Forest Service program personnel should determine how long to retain these logs for business needs.

**Note 3:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which superseded or obsolete. Destroy three years after cut-off.

**Disposition Authority:** Pending

**File Code - Heading: 1670 - Library**

**1. Subheading: Library Administration**

**Description of Records:** Includes correspondence and related records pertaining to library management and service functions; to include English version of material (on Forestry) originally published in some other language, such as French, Spanish, German, and so forth.

**Note:** Includes records previously retained under file codes:

- 1670 - Library – General.
- 1670 - Library – Translations.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which no longer needed for administrative use. Destroy three years after cut-off.

**Disposition Authority:** DAA-0095-2018-0083-0001

**File Code - Heading: 1680 - History Program**

**1. Subheading: Administrative History**

**Description of Records:** Files consisting of records having historical importance to the Forest Service. Record may also be retained under additional record schedule item(s) elsewhere in the Forest Service. Examples include important correspondence, newspaper clippings, reports, and so forth.

**Note 1:** See FSM 1680.

**Note 2:** All offices retain file on unit.

**Note 3:** Close file at end of FY and apply retention period.

**Disposition:** Permanent (see notes). Cutoff at end of FY. and apply retention period.

**Disposition Authority:** N1-95-10-4/58

## 2. Subheading: Forest Service History

**Description of Records:** Records include:

- a. **Archival History:** Includes history material, such as biographies of persons of interest to the public and historical community; oral histories; Forest histories not part of official Forest Service publications (see file code 1630); information regarding special events (such as Forest Service anniversaries, commemorations, dedications, and so forth); research papers and reports of historic value excluding those under file code 1680 - Reports; publications such as "History Line" or articles and books produced by History Program; and other items deemed to be of historical value.
- b. **Commemoration, Anniversary, or Significant Event:** Documents related to the celebration and commemoration of important dates and events in agency history. As least one copy of posters, pamphlets, and other promotional material should be sent to the Washington Office History Program, as part of the permanent Forest Service records. In addition, documentation produced by the Forest Service to record response to or involvement in significant events (such as natural or man-caused disasters, memorials, or commemorations) will be gathered by the Washington Office from the field for permanent retention.
- c. **Cultural History:** Documents not produced by the History Program, which record and provide insight into the Forest Service's material and cultural history. Such items may include, but are not limited to, employee surveys, internal publications, signs, uniforms, unpublished papers and studies, and commemoration materials.

**Note 1:** See FSM 1680.

**Note 2:** File speeches under file code 1650.

**Note 3:** Retain articles and books produced by History Program in originating office only.

**Note 4:** Documents collected in field offices should be transferred to the Washington Office - History Program.

**Note 5:** If hardcopy records exist, send to FRC storage at end of FY in which they are closed. If microfilm is located, immediately transfer to NARA using approved processes.

**Note 6:** Includes records previously retained under file codes:

- 1680 - History Program - Administrative History.
- 1680 - History Program - Archival History.
- 1680 - History Program - Commemoration, Anniversary, or Significant Event.
- 1680 - History Program - Cultural History.

**Disposition:** Permanent (see notes). Cutoff at end of FY in which file closed. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-2/53, N1-95-10-5/4b, N1-95-10-5/4a

### 3. Subheading: Historical Reports and Studies

**Description of Records:** Includes internal documents produced by the Historians for other Forest Service units, such as: Legislative Affairs, Office of Communication, Conservation Education, Fire and Aviation, State and Private Forestry, Grey Towers National Historic Site, and Policy and Analysis. Contents address or describe historical context of policy issues, recommendations on the preservation of historical sites, and other related documentation.

**Note:** If hardcopy records exist, send to FRC storage at end of FY in which they are closed. If microfilm is located, immediately transfer to NARA using approved processes.

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-2/54

### 4. Subheading: History Program Administrative Files

**Description of Records:** Correspondence and records of a routine nature that cannot be placed in other 1680 categories. Includes documentation of cooperation among history partners.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 25 years after cut-off.

**Disposition Authority:** N1-95-10-4/57

## File Code - Heading: 1690 - Internal Communications

### 1. Subheading: Internal Communications

**Description of Records:** Records include general administrative records and communications; Daily News Digests consisting of daily summary of news items on nationwide activities used to keep Chief and Staff groups current on news pertaining to Forest Service; summaries of current newspaper clippings, magazine articles, or other medial items; forms and reports associated with Early Warning Alert communications used to bring urgent matters to the attention of officials in the Washington Office and field headquarters offices; and other related internal communications.

**Note:** Includes records previously retained under file codes:

- 1690 - Internal Communications - Daily News Digest.
- 1690 - Internal Communications - Early Warning Alert.
- 1690 - Internal Communications – General.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy five years after cut-off.

**Disposition Authority:** N1-95-10-4/60, N1-95-10-2/58, N1-95-10-4/59

## 2. Subheading: Internal Newsletters, and Standard Sessions

**Description of Records:** Contains information from regular (sometimes daily) meetings held by the Chief and primary Washington Office Staff on Forest Service policies, activities, and issues.; Regular newsletters created at all levels of the organization, covering policy and administrative needs such as safety, training, incentive awards, or similar official subject.; Agendas containing subject of policy, organization, training, and other areas affecting the Forest Service; including the issue, decision made, and background documents.

**Note 1:** Washington Office maintains official record.

**Note 2:** If hardcopy records exist, send to FRC storage at end of FY in which they are closed. If microfilm is located, immediately transfer to NARA using approved processes.

**Note 3:** Includes records previously retained under file codes:

- 1690 - Internal Communications - Chief and Staff Notes.
- 1690 - Internal Communications - Internal Newsletters.
- 1690 - Internal Communications - Standard Sessions.

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA 15 years after cut-off.

**Disposition Authority:** N1-95-10-2/56, N1-95-10-2/55, N1-95-10-2/57

## File Code - Heading: 1700 - Civil Rights

### 1. Subheading: Civil Rights General Administrative Records

**Description of Records:** General program-related correspondence and copies of regulations with related records that pertain to the Civil Rights Act of 1964, Public Law 88-352, Volume 26, U. S. Statutes, page 241 (Pub. L. 88-352, Stat. 241), the Equal Employment Opportunity (EEO) Act of 1972, Public Law 92-261 (Pub. L. 92-261) and any other pertinent legislation and records pertaining to Civil Rights too broad for retention under another records retention schedule.

**Note 1:** Retain records specific to EEO under file code 1760.

**Note 2:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy three years after cut-off.

**Disposition Authority:** GRS 2.3/030 - (DAA-GRS-2015-0007-0006)

## 2. Subheading: Inquiries

**Description of Records:** Obsolete. File standard inquiries and responses under file code 6270 - Availability of Records - General Information Requests.

## File Code - Heading: 1710 - Civil Rights Program Management

### 1. Subheading: Civil Rights Affirmative Action Plans

**Description of Records:** Obsolete. Retain records under file code 1750 - Civil Rights Reports - Civil Rights Reports.

### 2. Subheading: ADR Conflict Management and Prevention

**Description of Records:** Alternative Dispute Resolution (ADR) is any procedure, conducted by a neutral third party, which is used to resolve issues in controversy, including, but not limited to, conciliation, facilitation, mediation, fact finding, mini-trials, arbitration, and use of ombudsmen. The records covered by this schedule relate to techniques and processes used in an agency's ADR program in resolving disputes with or between its own employees. Includes records pertinent to the program management and routine activities of offices running ADR processes. Includes:

- a. Program-related correspondence (excludes case-related correspondence).
- b. Copies of statutes, regulations.
- c. Meeting minutes.
- d. Final reports provided to senior management, oversight agencies, and related records and data created, received, and maintained for purposes of tracking agency compliance with relevant Executive Order(s), as amended.
- e. Copies of records of financial payments and authorizations to mediators and/or facilitators (excludes copies held by financial offices).
- f. Evaluation records of the ADR program.

- g. Other records relating to the Forest Service's overall administration of its ADR program.

**Disposition:** Temporary. Cutoff at end of FY. Destroy three years after cut-off.

**Disposition Authority:** GRS 2.3/010 - (DAA-GRS-2015-0007-0001)

### 3. Subheading: ADR Case Files - Informal Process

**Description of Records:** This item includes records that are not associated with another employee dispute, complaint, or grievance process. Includes:

- a. Agreements to use ADR.
- b. Documentation of the settlement or discontinuance of the ADR case.
- c. Parties' written evaluations of the process and/or the neutral third-party mediator.
- d. Correspondence related to intake, process, settlement, and evaluations (excluding evaluations of ADR program).

**Note 1:** Records may contain PII, or information protected by FOIA, PA, or other statute, restrict access.

**Note 2:** Records previously retained under file code 6170 - Personnel Relations and Services - Alternative Dispute Resolution (ADR) Proceedings.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which case is closed. Destroy three years after cut-off.

**Disposition Authority:** GRS 2.3/011 - (DAA-GRS-2015-0007-0002)

### 4. Subheading: ADR Case Files - Formal Process

**Description of Records:** This item includes originals and copies of records generated in response to a referral from another dispute, grievance, or complaint process (like EEO complaints or grievances). Includes:

- a. Agreements to use ADR.
- b. Documentation of the settlement or discontinuance of the ADR case.
- c. Parties' written evaluations of the process and/or the neutral third-party mediator.

Correspondence related to intake, process, settlement, and evaluations (excluding evaluations of ADR program).

**Note:** Records may contain PII, or information protected by FOIA, PA, or other statute, restrict access.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which case is closed. Destroy seven years after cut-off.

**Disposition Authority:** GRS 2.3/012 - (DAA-GRS-2015-0007-0003)

5. **Subheading: Equal Employment Opportunity General Program Files**

**Description of Records:** Obsolete. Retain records under file code 1700 - Civil Rights - Civil Rights General Administrative Records.

**File Code - Heading: 1720 - Civil Rights Public Notification**

1. **Subheading: Public Notification Nondiscrimination Policy Notification**

**Description of Records:** Records document policies and practices regarding the creation and distribution of Forest Service communication to public ensuring all eligible persons (including women, minorities, persons with disabilities, and low income and underserved persons and communities) are encouraged to participate in Forest Service programs, activities, services, and benefits; and that such announcements inform the public of Forest Service nondiscrimination programs, activities, and policies. Includes records relating to distribution of information concerning services and/or products available to the public, that is, wood permits, Christmas tree permits, and recreational facilities.

**Note:** Previous heading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 15 years after cut-off.

**Disposition Authority:** N1-95-10-4/62

**File Code - Heading: 1730 - Civil Rights Impacts**

1. **Subheading: Civil Rights Impact Analysis**

**Description of Records:** Documentation resulting from the evaluation and analysis of policies, actions, or decisions that affect the Forest Service work force or federally conducted and federally assisted programs and activities. This includes records related to the analytical process used to determine the scope, intensity, direction, duration, and significance of the effects of the Forest Service's proposed employment and program policies, actions, and decisions; information or data which may infer that a policy,



action, or decision will affects groups or classes of persons, positively or negatively; expedited clearance requests to submit a rule, notice, or other regulatory action without a Civil Rights Impact Analysis (CRIA); requests for waiver from the CRIA approval process; identification of the effects of eligibility criteria, methods of administration, or other agency-imposed requirements that may adversely and disproportionately impact employees or program beneficiaries based on their membership in a protect group; follow-up, monitoring and evaluation documentation based on CRIA findings; Civil Rights Certifications, final draft copy of the rule, notice, reorganization proposal, or other regulatory action; cost/benefit analysis and other documents as appropriate, that are a part of the regulatory docket; and the signed CRIA.

Releasability: Civil Rights and other Federal Agencies Upon Request (Ref: USDA DR4300-4)

**Note:** Includes records previously retained under file codes:

- 1730 - Civil Rights Impacts – General.
- 1730 - Civil Rights Impacts - Civil Rights Impact Statements.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which case file is closed. Destroy 15 years after cut-off.

**Disposition Authority:** N1-095-10-004

#### **File Code - Heading: 1740 - Civil Rights Training**

##### **1. Subheading: General**

**Description of Records:** Obsolete. Retain training records (as appropriate) under file codes:

- a. 6140 - Employee Development, Performance, Awards - Training-Agency Sponsored, and
- b. 6140 - Employee Development, Performance, Awards - Training-Individual Employee Training Records.

#### **File Code - Heading: 1750 - Civil Rights Reports**

##### **1. Subheading: Civil Rights Reports**

**Description of Records:** Internal and external reports and associated background materials. Includes the following Civil Rights Records:

- a. Affirmative Action Plans (AAP).

- b. Accomplishment reports.
- c. General reports.
- d. Title VI Status Reports.
- e. EEO Compliance Reports.
- f. Employment Statistics.

**Note:** Includes records previously retained under file codes:

- 1750 - Civil Rights Reports - Civil Rights Affirmative Action Plans.
- 1750 - Civil Rights Reports - Civil Rights Accomplishment Reports.
- 1750 - Civil Rights Reports – General.
- 1750 - Civil Rights Reports - Title VI Status Reports.
- 1750 - Civil Rights Reports - EEO Compliance Reports.
- 1750 - Civil Rights - Employment Statistics.
- 1750 - Civil Rights - EEO Affirmative Action Plans.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which report is issued.  
Destroy five years after cut-off.

**Disposition Authority:** GRS 2.3/035 - (DAA-GRS-2015-0007-0011)

#### **File Code - Heading: 1760 - Equal Employment Opportunity**

##### **1. Subheading: Equal Employment Opportunity Compliance Reports**

**Description of Records:** Obsolete - retain records under file code 1750 - Civil Rights Reports - Civil Rights Reports.

##### **2. Subheading: Employment Statistics**

**Description of Records:** Obsolete - retain records under file code 1750 - Civil Rights Reports - Civil Rights Reports.

##### **3. Subheading: Equal Employment Opportunity Affirmative Action Plans**

**Description of Records:** Obsolete - retain records under file code 1750 - Civil Rights Reports - Civil Rights Reports.

##### **4. Subheading: Equal Employment Opportunity Compliance Review Files**

**Description of Records:** Reviews, background documents, and correspondence relating to contractor employment practices.

**Note 1:** May contain PII, retain in secure location and control access.

**Note 2:** Previous subheading "Compliance Review Files."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy seven years after cut-off.

**Disposition Authority:** GRS 2.3/034 - (DAA-GRS-2015-0007-0010)

5. **Subheading: Equal Employment Opportunity General Administrative Files**

**Description of Records:** Correspondence, copies of regulations with related records pertaining to the Civil Rights Act of 1964, Pub. L. 88-352, Stat. 241, the EEO Act of 1972, Pub. L. 92-261 and any pertinent future legislation; and agency EEO Committee meeting and records including minutes and reports. Includes requests for agency assistance in housing matters, such as rental or purchase.

**Note 1:** May contain PII, retain in secure location and control access.

**Note 2:** Includes records previously retained under file codes:

- 1760 - Equal Employment Opportunity – General.
- 1760 - Equal Employment Opportunity – Housing.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy three years after cut-off.

**Disposition Authority:** GRS 2.3/030 - (DAA-GRS-2015-0007-0006)

6. **Subheading: Equal Employment Opportunity Discrimination Complaint Case Files - Informal Process**

**Description of Records:** Cases resolved within the Forest Service that did not go to the formal process stage. Records include:

- a. Intake sheet,
- b. Summary report,
- c. Notes,
- d. Supporting documentation, and
- e. Correspondence.

**Note 1:** Records contain PII, retain in secure location and control access.

**Note 2:** If formal case is filed, all records in the prior informal case are to be moved to the formal process case file.

**Note 3:** Previous subheading: "Discrimination Complaints."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which case is resolved or closed.

**Disposition Authority:** GRS 2.3/031 - (DAA-GRS-2015-0007-0007)

7. **Subheading: Equal Employment Opportunity Discrimination Complaint Case Files - Formal Process**

**Description of Records:** Originating agency's file containing complaints with related correspondence, reports, exhibits, withdrawal notices, copies of decisions, records of hearings and meetings, and other official complaint case file records. Includes cases resolved within the Forest Service, by the EEO Commission, or by a U.S. Court.

**Note 1:** Records contain PII, retain in secure location and control access.

**Note 2:** Previous subheading "Discrimination Complaints."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which case is resolved or closed. Destroy seven years after cut-off.

**Disposition Authority:** GRS 2.3/032 - (DAA-GRS-2015-0007-0008)

8. **Subheading: Equal Employment Opportunity Case Files - No Equal Employment Opportunity Complaint**

**Description of Records:** Records include cases that did **NOT** result in an official form or informal EEO complaint.

**Note 1:** Records contain PII, retain in secure location and control access.

**Note 2:** Previous subheading "No Case Filed."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which case is resolved. Destroy two years after cut-off.

**Disposition Authority:** GRS 2.3/033 - (DAA-GRS-2015-0007-0009)

9. **Subheading: Reasonable Accommodation from Equal Employment Opportunity – Employee Case and Supplemental Files**

**Description of Records:** Individual employee files created, received, and maintained by EEO reasonable accommodation, diversity/disability programs, employee relations

coordinators, supervisors, administrators, or Human Resources (HR) Specialists containing records of requests for reasonable accommodation and/or assistive technology devices and services that have been requested for or by an employee. Records include:

- a. Request approvals and denials,
- b. Notice of procedures for informal dispute resolution or appeal processes, including ADR processes,
- c. Forms,
- d. Correspondence,
- e. Emails,
- f. Policy guidance documents,
- g. Records of oral conversations,
- h. Medical records, and
- i. Supporting notes and documentation.

**Note 1:** These records are NOT maintained in employee's Official Personnel File (OPF) nor in supervisor's Unofficial Personnel File (UPF).

**Note 2:** May contain PII, retain in secure location and control access.

**Note 3:** Includes records previously retained under file codes:

- 1760 - Equal Employment Opportunity - Reasonable Accommodation - Employee Case Files.
- 1760 - Equal Employment Opportunity - Reasonable Accommodation - Supplemental Files.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which employee separates from the Forest Service or all appeals are concluded, whichever is later.

**Disposition Authority:** GRS 2.3/021 - (DAA-GRS-2015-0007-0005)

#### 10. Subheading: Reasonable Accommodation from Equal Employment Opportunity General Program Files

**Description of Records:** Reasonable accommodation administrative records not linked to a case file. Records include:

- a. Instructions,
- b. Directives,
- c. Notices,
- d. Timetables and guidelines for requesting, processing, and approving requests and for appealing decisions for reasonable accommodation,
- e. Reports provided annually to oversight agencies such as the Equal Employment Opportunity Commission (EEOC), related records, and data created, received, and maintained for purposes of tracking agency compliance with relevant Executive Order(s), as amended, and EEOC guidance, and
- f. Notification records to internal and external stakeholders such as the EEOC, collective bargaining representative(s), and agency EEO offices.

**Note:** Includes records previously retained under file codes:

- 1760 - Equal Employment Opportunity - Reasonable Accommodation – General.
- 1760 - Equal Employment Opportunity - Reasonable Accommodation - Tracking System.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which superseded. Destroy 3 years after cut-off.

**Disposition Authority:** GRS 2.3/020 - (DAA-GRS-2015-0007-0004)

#### 11. Subheading: Equal Employment Opportunity Special Emphasis Programs

**Description of Records:** Records regarding the Forest Service Special Emphasis Programs (SEP) such as: Federal Women's Program, Hispanic Employment Program, Native American Program, and so forth; including general administrative records related to special programs management.

**Note:** Includes records previously retained under file codes:

- 1760 - Equal Employment Opportunity - SEP Federal Women's Program.
- 1760 - Equal Employment Opportunity - SEP Hispanic Employment Program.
- 1760 - Equal Employment Opportunity - SEP Native American Employment Program.
- 1760 - Equal Employment Opportunity - Special Emphasis Programs.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy ten years after cut-off.

**Disposition Authority:** N1-95-10-4/67, N1-95-10-2/59, N1-95-10-4/68, N1-95-10-4/66

## 12. Subheading: Equal Employment Opportunity Special Programs

**Description of Records:** Records regarding the Forest Service Special Programs (SP) such as Cooperative Education, Upward Mobility, employment of physical and mentally disabled personnel, and so forth; including general administrative records related to special programs management.

**Note:** Includes records previously retained under file codes:

- 1760 - Equal Employment Opportunity - SP Cooperative Education.
- 1760 - Equal Employment Opportunity - SP Other.
- 1760 - Equal Employment Opportunity - SP Upward Mobility.
- 1760 - Equal Employment Opportunity - Special Programs (SP).

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy ten years after cut-off.

**Disposition Authority:** N1-95-10-4/71, N1-95-10-4/72, N1-95-10-4/70, N1-95-10-4/69

## File Code - Heading: 1770 - Federal Financial Assistance Programs

### 1. Subheading: Federal Financial Assistance Assurances and Compliance Reviews

**Description of Records:** Case files consisting of reviews, background papers and correspondence relating to contractor employment practices.

**Note:** Includes records previously retained under file codes:

- 1770 - Federal Financial Assistance Programs – Assurances.
- 1770 - Federal Financial Assistance Programs - Compliance Reviews.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy ten years cut-off.

**Disposition Authority:** N1-95-88-2

### 2. Subheading: Federal Financial Assistance Program Case Files

**Description of Records:** Case files associated with programs covered by Title VI, complaints, issues, noncompliance, reports, exhibits, withdrawal notices, copies of decisions, records of hearings and meetings; noncompliance notices; and other general administrative program management correspondence.

**Note 1:** May contain PII, retain in secure location and control access.

**Note 2:** Includes records previously retained under file codes:

- 1770 - Federal Financial Assistance Programs – Complaints.
- 1770 - Federal Financial Assistance Programs – General.
- 1770 - Federal Financial Assistance Programs – Noncompliance.
- 1770 - Federal Financial Assistance Programs - Programs covered by Title VI.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy ten years after cutoff.

**Disposition Authority:** N1-95-10-4/77, N1-95-10-4/73, N1-95-10-4/78, N1-95-10-4/74

## **File Code - Heading: 1780 - Direct Programs**

### **1. Subheading: Direct Program Case Files**

**Description of Records:** Records include, but are not limited to minority participation targets, complaints and reports related to direct program management and administration, and related activities; for example: recreation, range - grazing, timber management - free use permits, and cooperative forestry - minority landowners assistance).

**Note 1:** Records may contain PII, or information protected by FOIA, PA, or other statute, restrict access.

**Note 2:** Includes records previously retained under file codes:

- 1780 - Direct Programs – General.
- 1780 - Direct Programs - Minority Participation and Targets.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy ten years after cut-off.

**Disposition Authority:** DAA-0095-2018-0087-0001

## **File Code - Heading: 1790 - Socioeconomic Programs**

### **1. Subheading: Socioeconomic Program and Administrative Files**

**Description of Records:** Includes general correspondence, questionnaires, and related records regarding available Forest Service procurement procedures used to assist minority, women-owned, and other economically and socially disadvantaged small businesses to promote the growth and establishment of minority, women-owned, and other proven socially and economically disadvantaged small business concerns, allowing them to become self-sustaining competitive entities.

**Note:** Previous subheading “General.”



**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy five years after cut-off.

**Disposition Authority:** N1-95-10-4/81

**File Code - Heading: 1800 - Volunteers and Service (Formerly file code "1800 – Youth, Volunteer, and Hosted Programs")**

**1. Subheading: Volunteers and Service Administrative Program Files**

**Description of Records:** Broad programmatic records (such as correspondence) related to youth, volunteer, and hosted human resource programs too broad to file elsewhere in file code 1800-1870 series. Includes Accomplishment Report submitted by each program. Contains narratives and statistics on accomplishments collected by field units and consolidated for use in the Annual Report made to Congress. Includes accomplishment reports for:

- a. Youth Conservation Corps (YCC)
- b. Job Corps
- c. Volunteers
- d. International Volunteers
- e. Partnerships and Organization Agreements (formerly Hosted Programs)
- f. Public Land Corps.

**Note:** Includes records previously retained under file codes:

- 1800 – Youth, Volunteer, and Hosted Programs – General.
- 1800 – Youth, Volunteer, and Hosted Programs – Reports.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy three years after cut-off.

**Disposition Authority:** GRS 2.2/100 – (DAA-GRS-2017-0007-0015)

**2. Subheading: Inquiries**

**Description of Records:** Obsolete. File standard inquiries and responses under file code 6270 – Availability of Records – General Information Requests.

**File Code - Heading: 1810 - Service Programs (Volunteers and Service)**

**1. Subheading: Service Program Outreach**

**Description of Records:** Includes general correspondence, policy and procedural records, reports, studies, and records related to special outreach efforts for hosted human resource programs.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy three years after cut-off.

**Disposition Authority:** N1-95-10-2/61

**2. Subheading: Service Program Partnerships**

**Description of Records:** Includes documentation of partnerships with Federal and non-Federal entities (excluding Job Corps), including non-profit organizations.

**Note 1:** Contains PII, store in secure location, limit access.

**Note 2:** Maintain case file for each agreement.

**Note 3:** Retain copy of MOUs and agreements under appropriate file code 1580 retention item.

**Note 4:** Essential records.

**Note 5:** Previous subheading "Partnerships."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which agreement/MOU is terminated. Destroy ten years after cut-off.

**Disposition Authority:** GRS 1.1/010 - (DAA-GRS-2013-0003-0001)

**File Code - Heading: 1820 - Public Lands Corps**

**1. Subheading: Public Lands Corps and Resource Assistants Program Administrative Program Files**

**Description of Records:** Includes correspondence and other records related to the administration of the Public Lands Corps program (such as media contacts); outreach projects; policy development with other federal agencies, substantive Congressional and other inquiries that seek clarification of Forest Service policies, plans, and decisions/documentation of current issues that may lead to national policy. Includes documentation pertaining to direct operation of Public Lands Corps programs, such as

enrollment policy, staffing, project selection, and establishment and operation of conservation centers.

**Note 1:** Establish subject folders or case files as needed.

**Note 2:** Some files may contain PII, store securely, control access.

**Note 3:** Previous subheading "General."

**Note 4:** Privacy Act System of Records (PA SOR) USDA/FS-15 - Human Resources covers these records. Review PA SOR for additional access and storage requirements.

**Note 5:** Essential records.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy five years after cut-off.

**Disposition Authority:** Pending

#### **File Code - Heading: 1830 - Volunteers and Service Programs**

##### **1. Subheading: Volunteer and Service Programs Planning and Administrative Files**

**Description of Records:** Includes records related to recruitment, safety, supervision, orientation, and training for the management of the volunteer's program. Includes general correspondence related to the administration of the program (such as media contacts); outreach projects; policy development of the volunteer's program with other federal agencies; substantive Congressional and other inquiries that seek clarification of Forest Service policies, plans; and decisions/documentation of current issues that may lead to national policy.

**Note 1:** Establish subject folders or case files as needed.

**Note 2:** Some files may contain PII, store securely, control access.

**Note 3:** Privacy Act System of Records USDA/FS-15 - Human Resources covers these records. Review PA SOR for additional access and storage requirements.

**Note 4:** Includes records previously retained under file codes:

- 1830 - Volunteers and Service Programs – General.
- 1830 - Volunteers and Service Programs – Plans.

**Note 5:** Records may contain PII, or information protected by FOIA, PA, or other statute, restrict access.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy three years after cut-off.

**Disposition Authority:** GRS 2.2/100 - (DAA-GRS-2017-0007-0015)

## 2. Subheading: Individual and Group Volunteer Case Files

**Description of Records:** Records document service performed without compensation by people not under a federal appointment. Includes students as defined in Title 5, United States Code, section 3111 (5 U.S.C. 3111) and non-students. Records include volunteer agreements documenting position title, office title, duty location, days/hours on duty; parental approval forms; performance evaluations; training information; certificates of appreciation; correspondence documenting inclusive dates of service and total hours or days worked.

**Exclusion:** Records documenting service for volunteers (students) who receive Federal appointments or for whom service is creditable for leave or any other employee benefits. Retain these records in file code 6130 - Employment and Status Changes - Official Personnel Folder (long or short term, as appropriate).

**Note 1:** Some files may contain PII, store securely, control access.

**Note 2:** Privacy Act System of Records USDA/FS-15 - Human Resources covers these records. Review PA SOR for additional access and storage requirements.

**Note 3:** Includes records previously retained under file codes:

- 1830 - Volunteers and Service Programs - Individual and Group Volunteer Services.
- 1830 - Volunteers and Service Programs - Recognition of Service.
- 1830 - Volunteers and Service Programs - Sponsored Volunteer Services.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which volunteer departs service. Destroy four years after cut-off.

**Disposition Authority:** GRS 2.2/110 - (DAA-GRS-2017-0007-0016)

## File Code - Heading: 1840 - Youth Conservation Corps

### 1. Subheading: Youth Conservation Corps Applications

**Description of Records:** Recruiter's file of applications (selected, non-selected, and alternates) and related information on applicants.

**Note 1:** Privacy Act Systems of Records USDA/FS-27 – YCC Enrollee Medical Records and USDA/FS-30 - YCC Recruitment System cover these records. Review PA SOR for additional access and storage requirements.

**Note 2:** Previous subheading "Applications."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy five years after cut-off.

**Disposition Authority:** N1-95-10-4/87

## 2. Subheading: Youth Conservation Corps Audits

**Description of Records:** Includes reports, correspondence, and related records of regular and special audits of State grant projects.

**Note 1:** Retention period begins with completion of final action.

**Note 2:** Previous subheading "Audits."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which final action is taken. Destroy five years after cut-off.

**Disposition Authority:** N1-95-10-2/67

## 3. Subheading: Youth Conservation Corps Enrollee Pay Records

**Description of Records:** Include forms, database printouts, advance payment vouchers, and related records; and other general correspondence concerning enrollee pay.

**Note 1:** May contain PII, store securely, limit access.

**Note 2:** Privacy Act System of Records USDA/FS-28 - YCC Enrollee Payroll Records covers these records. Review PA SOR for additional access and storage requirements.

**Note 3:** Includes records previously retained under file codes:

- 1840 - Youth Conservation Corps - Enrollee Pay.
- 1840 - Youth Conservation Corps - Enrollee Pay Records.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy five years after cut-off.

**Disposition Authority:** GRS 1.1 - (DAA-GRS-2013-0003-0001)

## 4. Subheading: Youth Conservation Corps Enrollee Records

**Description of Records:** Includes application forms, medical history forms, and so forth; evaluation of enrollee's performance by camp staff, and accident/injury forms. Records are covered by Privacy Act Systems of Record USDA/FS-27 and USDA/FS-29.

**Note 1:** Retain list of enrollee names and addresses for five years after session ends. Restrict access to names and addresses as per approved Privacy Act Systems of Record.

**Note 2:** Privacy Act Systems of Records:

- USDA/FS-27 - YCC Enrollee Medical Records;
- USDA/FS-28 - YCC Enrollee Payroll Records;
- USDA/FS-29 - YCC Enrollee Records;
- USDA/FS-30 – YCC Recruitment System; and
- USDA/FS-31 - YCC Research Files cover these records.

Review PA SOR for additional access and storage requirements.

**Note 3:** Previous subheading “Enrollee Records.”

**Disposition:** Temporary (see notes). Cutoff at end of FY in which enrollee leaves program. Destroy 40 years after cut-off.

**Disposition Authority:** N1-95-10-4/89

5. **Subheading: Youth Conservation Corps Administrative Program Files**

**Description of Records:** Includes general correspondence related to the administration of the program and other subjects not covered below.

**Note 1:** May contain PII, store securely, limit access.

**Note 2:** Previous subheading “General.”

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy five years after cut-off.

**Disposition Authority:** N1-95-10-4/82

6. **Subheading: Grant Programs**

**Description of Records:** Obsolete. Retain all existing records under file code 1840 - YCC - Youth Conservation Corps Administrative Program Files.

7. **Subheading: Youth Conservation Corps Interagency Agreements**

**Description of Records:** Interagency agreements concerning YCC, supplements and revisions to agreements, and related correspondence; reports.

**Note 1:** File YCC annual accomplishment report under file code 1800 - Youth, Volunteer, and Hosted Programs - Reports (permanent retention).

**Note 2:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 3:** If hardcopy records exist, send to FRC storage at end of FY in which they are closed. If microfilm is located, immediately transfer to NARA using approved processes.

**Note 4:** Active agreements are essential records.

**Note 5:** Previous subheading "Interagency Agreements."

**Note 6:** Retain copy of Interagency MOUs and agreements under appropriate 1580 retention item.

**Disposition:** Permanent (see notes). Cutoff at end of FY in which agreement expires or terminates. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-2/66

8. **Subheading: Distribution of Funds and Youth Conservation Corps Planning**

**Description of Records:** Obsolete. Retain all existing records under file code 1840 - YCC - Youth Conservation Corps Administrative Program Files.

9. **Subheading: Youth Conservation Corps Plans**

**Description of Records:** Includes project work plans, environmental awareness plans, safety plans, and related records.

**Note 1:** Establish plans by subject matter.

**Note 2:** Previous subheading "Plans."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy five years after cut-off.

**Disposition Authority:** N1-95-10-4/83

10. **Subheading: Youth Conservation Corps Recruitment and Selection**

**Description of Records:** Correspondence, recruiting plans, cooperative agreements with State officials coordinating youth recruiting, and related records.

**Note 1:** Privacy Act Systems of Records:

- USDA/FS-27 – YCC Enrollee Medical Records;
- USDA/FS-28 - YCC Enrollee Payroll Records;
- USDA/FS-29 - YCC Enrollee Records;
- USDA/FS-30 - YCC Recruitment System; and
- USDA/FS-31 - YCC Research Files cover these records.

Review PA SOR for additional access and storage requirements.

**Note 2:** Previous subheading "Youth Recruitment and Selection."

**Note 3:** Retain copy of MOUs and agreements under appropriate file code 1580 retention item.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy five years after cut-off.

**Disposition Authority:** N1-95-10-4/86

**File Code - Heading: 1850 - Job Corps Civilian Conservation Corps**

**1. Subheading: Job Corps Civilian Conservation Corps Centers (JCCCC Centers)**

**Description of Records:** Includes survey records, establishment records, and related correspondence for individual centers.

**Exclusion:** File general operational records under file code 1850 - Job Corps Civilian Conservation Corps - JCCCC General Administrative and Reports Files.

**Note 1:** Arrange case folders alphabetically by center name and location.

**Note 2:** Washington Office maintains official record; National Forest Service Job Corp Headquarters may maintain official record on behalf of Washington Office.

**Note 3:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 4:** If hardcopy records exist, send to FRC storage at end of FY in which they are closed. If microfilm is located, immediately transfer to NARA using approved processes.

**Note 5:** Previous subheading "Centers."

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA 15 years after cut-off.

**Disposition Authority:** N1-95-10-6/10

**2. Subheading: Education and Training Program**

**Description of Records:** Includes correspondence and records related to basic education, General Education Development (GED) at individual centers, vocational education, training programs, wellness, and counseling, and so forth.

**Exclusion:** Retain student records under file code 1850 - Job Corps Civilian Conservation Corps - JCCCC Separated Student Employee Records.



**Note:** Privacy Act System of Records Department of Labor (DOL)/Govt-2 - Job Corps Student Records covers all or some of the records retained under this file code. Review this Privacy Act System of Records for additional access and storage requirements.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy ten years after cut-off.

**Disposition Authority:** N1-95-10-4/91

3. **Subheading: Job Corps Buildings and Related Facilities General Operational Support and Reports**

**Description of Records:** Records documenting operational support of facility design, engineering, and construction projects. Records include project requests and approvals; meeting agendas, minutes, and similar records; budget and cost working files; task, punch, and action item lists; work logs; progress reports and presentation materials; related correspondence and notes. Includes reports pertaining to buildings and related facilities. Reports include, but are not limited to planned consolidations, inspections (including maintenance and safety), historic preservation, assessment, inventories, and program of work narratives.

**Exclusion:** Do not use to retain building maintenance records.

**Note 1:** GRS authorizes retention of five years or longer if needed for Forest Service purposes. Forest Service has determined records should be retained for ten years.

**Note 2:** Previously retained under subheading "Facilities."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which administrative use ceases. Destroy ten years after cut-off.

**Disposition Authority:** GRS 5.4/060 - (DAA-GRS-2016-0011-0007)

4. **Subheading: Job Corps Buildings and Related Facilities Projects- Final**

**Description of Records:** Final and as-built drawings, plans, and designs; and all other records pertaining to facility design, engineering, and construction.

**Exclusion:** Retain project case files for significant buildings and related facilities under file code 7310 - Buildings and Related Facilities - Buildings and Related Facilities Significant Projects.

**Note 1:** Maintain case folders by project.

**Note 2:** Retain significant project case files under file code 7310 - Buildings and Related Facilities - Significant Projects. Dispose of all other records when superseded, or transfer

to new owners, or dispose of when structure is removed from Federal inventory, as appropriate.

**Note 3:** Previously retained under subheading "Facilities."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which facility is no longer used by Forest Service. Destroy all other records when superseded, or transfer to new owners, or destroy when structure is removed from Federal inventory, as appropriate.

**Disposition Authority:** GRS 5.4/051 - (DAA-GRS-2016-0011-0006)

5. **Subheading: Job Corps Buildings and Related Facilities Projects - Preliminary**

**Description of Records:** Draft, preliminary, intermediate, working, and contract negotiation drawings.

**Note 1:** Maintain case folders by project.

**Note 2:** Previously retained under subheading "Facilities."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which superseded, or project terminates. Destroy immediately after cut-off.

**Disposition Authority:** GRS 5.4/050 - (DAA-GRS-2016-0011-0005)

6. **Subheading: Job Corps Facility Long-Term Maintenance**

**Description of Records:** Records document long-term maintenance and repair activities relating to Job Corps structures owned and/or operated by the Forest Service. Documentation includes:

- a. Repair and maintenance work orders, requisitions, and related papers.
- b. Maintenance and inspection logs and reports.
- c. Job orders, service call records, action sheets, and repair logs.
- d. Work, shop, or job schedules.

**Exclusion:** Records pertaining to expenditure of appropriated or non-appropriated funds.

**Note 1:** GRS 5.4/070 authorizes longer retention if necessary for Forest Service business and NARA has approved Forest Service request for longer retention period.

**Note 2:** Previously retained under subheading "Facilities."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 20 years after cut-off.

**Disposition Authority:** GRS 5.4/070 - (DAA-GRS-2016-0011-0008)

7. **Subheading: Job Corps Facility Minor Maintenance**

**Description of Records:** Records document completion of custodial and minor repair work to Job Corps facilities owned/or operated by the Forest Service.

**Note:** Previously retained under subheading "Facilities."

**Disposition:** Temporary (see notes). Cutoff immediately upon completion of work. Destroy 90 days after cut-off.

**Disposition Authority:** GRS 5.4/071 - (DAA-GRS-2016-0011-0009)

8. **Subheading: JCCCC General Administrative and Reports Files**

**Description of Records:** Includes general correspondence, plans (Standard Operating Procedures, Career Development Services System, Quality Assurance Plan, and so forth) and reports related to the administration of the Job Corps program and the Job Corps Centers; Includes inspection reports, annual national review assessment review reports by Forest Service and Department of Labor (DOL), morning report recapitulation, quarterly reports. This file also includes subject matter for Student Employee placement, clothing, facilities, and other subjects not covered in other sub-categories.

**Note 1:** File records pertaining to Safety and Health Program under the 6700 series.

**Note 2:** Privacy Act System of Records DOL/Govt-2 - Job Corps Student Records covers all or some of the records retained under this file code. Review PA SOR DOL/Govt-2 for additional access and storage requirements.

**Note 3:** Includes records previously retained under file codes:

- 1850 - Job Corps Civilian Conservation Corps – General.
- 1850 - Job Corps Civilian Conservation Corps – Reports.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy ten years after cut-off.

**Disposition Authority:** N1-95-10-4/90

9. **Subheading: JCCCC Interagency Agreements and Cooperation**

**Description of Records:** Correspondence and records relative to overall Job Corps Program operations/management, including copies of agreements between USDA, the Department of Labor, and other Departments. Includes revisions and amendments to the master agreement.

**Note 1:** Previous subheading “Interagency Agreements and Cooperation.”

**Note 2:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 3:** If hardcopy records exist, send to FRC storage at end of FY in which they are closed. If microfilm is located, immediately transfer to NARA using approved processes.

**Note 4:** Active agreements are essential records.

**Note 5:** Retain copy of MOUs and agreements under appropriate 1580 retention item.

**Disposition:** Permanent (see notes). Cutoff at end of FY in which agreement expires or terminates. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-6/11

#### 10. Subheading: JCCCC Project Work Plans

**Description of Records:** Includes plans and related correspondence. Includes cooperative work projects and associated agreements.

**Note:** Previous subheading “Project Work Plans.”

**Disposition:** Temporary (see notes). Cutoff at end of FY in which plan is superseded. Destroy ten years after cut-off.

**Disposition Authority:** N1-95-10-4/93

#### 11. Subheading: JCCCC Residential and Recreation

**Description of Records:** Includes records pertaining to center recreation, residential living, and related correspondence.

**Note 1:** File records pertaining to procurement and supply of clothing under the 6300 series. File records of clothing issued under the 6400 series.

**Note 2:** Previous subheading “Residential and Recreation.”

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy ten years after cut-off.

**Disposition Authority:** N1-95-10-4/92

## 12. Subheading: JCCCC Separated Student Employee Records

**Description of Records:** Correspondence and records relative to conduct, discipline, education, vocational training awards, assignments, and investigations and student employee health records.

**Note 1:** Maintain active records at Job Corps Office. Process separated and deceased student records as indicated.

**Note 2:** Records contain PII.

**Note 3:** Privacy Act System of Records DOL/Govt-2 - Job Corps Student Records covers all or some of the records retained under this file code. Review this Privacy Act System of Records for additional access and storage requirements.

**Note 4:** The Forest Service Job Corps National Office will process:

- All transfers of records (including student records), and
- Response or referral of all inquiries (including FOIA and PA requests).

**Note 5:** Previously retained under subheading "Student Employee Personnel Records."

**Disposition:** Temporary (see notes). Cutoff at end of school year. Per DOL direction, closed student records are to be held at a Job Corps Center for three years after cut-off, then transferred to FRC storage via ARCIS web-based system. Retain for 75 years after date of birth of student employee (Separated Only).

**Disposition Authority:** Dept. of Labor Schedule NC-369-76-2/59

## 13. Subheading: JCCCC Deceased Student Employee Records

**Description of Records:** Correspondence and records relative to conduct, discipline, education, vocational training awards, assignments, and investigations and student employee health records.

**Note 1:** Maintain active records at Job Corps Office. Process separated and deceased student records as indicated.

**Note 2:** Records contain PII.

**Note 3:** Privacy Act System of Records DOL/Govt-2 - Job Corps Student Records covers all or some of the records retained under this file code. Review this Privacy Act System of Records for additional access and storage requirements.

**Note 4:** The Forest Service Job Corps National Office will process:

- All transfers of records (including student records), and
- Response or referral of all inquiries (including FOIA and PA requests).

**Note 5:** Previously retained under subheading "Student Employee Personnel Records."

**Note 6:** Within ten days after death, transfer entire personnel records to Department of Labor, National Health Office, Employment and Training Administration Office of Job Corps, Room N4508, Francis Perkins Building, Washington, DC 20210

**Disposition:** Temporary (see notes). Cutoff daily. Transfer records to Note 6, ten days after cut-off.

**Disposition Authority:** Department. of Labor Schedule NC-369-76-2/59

## **File Code - Heading: 1860 - Senior Community Service Employment Program**

### **1. Subheading: Coordination and Cooperation**

**Description of Records:** Program Inactive. Do not use to create new records. Includes general correspondence related to various senior programs conducted by State governments and other organizations. Files include copies of agreements from other sponsoring organizations and sharing of quarterly progress reports.

**Note:** Program inactive, apply retention period to currently existing records.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy five years after cut-off.

**Disposition Authority:** N1-95-10-4/96

### **2. Subheading: Enrollee by State**

**Description of Records:** Program Inactive. Do not use to create new records. Includes the report on the number of enrollees by State.

**Note:** Program inactive, apply retention period to currently existing records.

**Disposition:** Temporary (see notes). Cutoff when report no longer needed. Destroy five years after cut-off.

**Disposition Authority:** N1-95-10-4/100

### **3. Subheading: Enrollee Work-Site Records**

**Description of Records:** Program Inactive. Do not use to create new records. Includes orientation, certification, safety training documentation, training records, assessment

and plans, transition to unsubsidized employment, follow-up documentation after placement and other records related to the worksite.

**Note:** Program inactive, apply retention period to currently existing records.

**Disposition:** Temporary (see notes). Cutoff when employment separation. Destroy five years after cut-off.

**Disposition Authority:** N1-95-10-4/99

#### 4. Subheading: Equitable Distribution Plans

**Description of Records:** Program Inactive. Do not use to create new records. Includes plans from States requesting enrollee slots. There are copies provided to all sponsors.

**Note:** Program inactive, apply retention period to currently existing records

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy five years after cut-off.

**Disposition Authority:** N1-95-10-4/97

#### 5. Subheading: General

**Description of Records:** Program Inactive. Do not use to create new records. General correspondence related to policy clarifications and other records too broad to file under a subject heading. Establish subject folders as needed.

**Note:** Program inactive, apply retention period to currently existing records

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy five years after cut-off.

**Disposition Authority:** N1-95-10-4/95

#### 6. Subheading: Interagency Agreement

**Description of Records:** Program Inactive. Do not use to create new records. Includes the interagency agreement, supplements, modifications, closeout documents, and financial status report.

**Note 1:** Program inactive, apply retention period to currently existing records.

**Note 2:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 3:** Store closed hardcopy records at FRC until eligible for transfer to NARA custody.

**Disposition:** Permanent (see notes). Cutoff when agreement expires or terminates. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-2/70

## 7. Subheading: Planning and Distribution of Slots

**Description of Records:** Program Inactive. Do not use to create new records. Includes correspondence relating to the capability and distribution of Senior Community Service Employment Program (SCSEP) slots. Includes local project data prepared on a yearly basis.

**Note:** Program inactive, apply retention period to existing records.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy five years after cut-off.

**Disposition Authority:** N1-95-10-4/102

## 8. Subheading: Recruitment and Selection

**Description of Records:** Program Inactive. Do not use to create new records. Application for program.

**Note:** Program inactive, apply retention period to existing records

**Disposition:** Temporary (see notes). Cutoff when application no longer needed or ineligible applications. Destroy five years after cut-off.

**Disposition Authority:** N1-95-10-4/98

## 9. Subheading: Reports

**Description of Records:** Program Inactive. Do not use to create new records. Includes quarterly progress reports, narrative attachments which are required by the Department of Labor for congressional testimony on the status of the program; file also includes reporting of local project data.

**Note 1:** File financial records, such as Report of Cumulative Obligations, Quarterly Report of Cumulative contributions and so forth, under file code 6550 Accounting and apply retention period.

**Note 2:** Program inactive, apply retention period to existing records.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy five years after cut-off.

**Disposition Authority:** N1-95-10-2/71



## 10. Subheading: Special or Experimental Projects

**Description of Records:** Program Inactive. Do not use to create new records. Includes proposals, agreement forms, correspondence, strategies and techniques, and other records related to improving unsubsidized placement for older Americans.

**Note 1:** Establish folders by project.

**Note 2:** Program inactive, apply retention period to existing records.

**Disposition:** Temporary (see notes). Cutoff after termination of special project. Destroy five years after cut-off.

**Disposition Authority:** N1-95-10-4/101

## File Code - Heading: 1870 - Young Adult Conservation Corps

### 1. Subheading: Enrollee Records

**Description of Records:** Program Inactive. Do not use to create new records. Personnel records of separated enrollees. Includes Young Adult Conservation Corps (YACC)-2 forms, medical history form, evaluation of enrollee's performance, accident and injury forms and related records.

Washington Office, Regional Office (RO), Executive Service, Supervisors Office (SO): Remove medical records from the personnel folder for each separated enrollee.

a. Personnel records-Transferred to Local FRC. Destroyed July 1, 1989.

b. Medical Records-Transferred to Local FRC. Destroy on July 1, 2022.

**Disposition:** Temporary (see notes). Destroy July 1, 2022.

**Disposition Authority:** N1-95-88-2

### 2. Subheading: Interagency Agreements

**Description of Records:** Program Inactive. Do not use to create new records. YACC Program closed in 1981. Records include interagency agreements, YACC supplements, and revisions to agreements.

**Note 1:** Program inactive, apply retention period to currently existing records.

**Note 2:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Disposition:** Permanent (see notes). Transfer to NARA immediately.

**Disposition Authority:** N1-95-88-2

3. **Subheading: Enrollee Pay Records**

**Description of Records:** Program Inactive. Do not use to create new records. The YACC Program closed in 1981. The original enrollee pay records (56-year retention) and State Grant case files (seven-year retention after the program closed) are maintained by the Department of Interior.

4. **Subheading: Reports**

**Description of Records:** Program Inactive. Do not use to create new records. The YACC program closed in 1981. Includes national level annual reports submitted to the President and Congress highlighting accomplishments of program, study reports, narrative reports prepared by field units.

**Note 1:** Only national-level reports are to be retained permanently, all supporting documentation and field reports were designated for temporary retention (five-years) and if found should be destroyed.

**Note 2:** Immediately transfer permanent records to NARA.

**Note 3:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Disposition:** Permanent (see notes).

**Disposition Authority:** N1-95-88-2

**File Code - Heading: 1900 - Planning**

1. **Subheading: Planning Process General Administrative Records**

**Description of Records:** Correspondence and reports relating to various planning processes at all levels of the Forest Service; and records that cannot be readily identified with one of the specific processes described in 1910 through 1990.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy ten years after cut-off.

**Disposition Authority:** N1-95-10-4/103

## 2. Subheading: Inquiries

**Description of Records:** Obsolete. File standard inquiries and responses under file code 6270 - Availability of Records - General Information Requests.

### File Code - Heading: 1910 - Natural Resource Planning

#### 1. Subheading: National Resource Planning Policy Issues

**Description of Records:** Includes all material and directions relating to policy issue identification, organization, and procedures, but does not include decisions or rationale for them which is to be found within resource element files.

**Note 1:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 2:** If hardcopy records exist, send to FRC storage at end of FY in which the record is closed.

**Note 3:** Previous subheading "Policy Issues."

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA 15 years after cut-off.

**Disposition Authority:** N1-95-10-4/119

#### 2. Subheading: National Resource Planning Program

**Description of Records:** Includes general correspondence and other program related material including organization structure, plans, committees, other assignments, public participation, other reviews, departmental direction and review, congressional oversight activities, and coordination with other agencies. Also, material prepared for formal distribution for review and comments, reporting progress, or explaining the program.

**Note 1:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 2:** If hardcopy records exist, send to FRC storage at end of FY in which the record is closed.

**Note 3:** Previous subheading "Program."

**Disposition:** Permanent (see notes). Cutoff at end of FY in which administrative use ends. Transfer to NARA 15 years after cut-off.

**Disposition Authority:** N1-95-10-4/114

**3. Subheading: National Resource Planning Reports of the Forest Service**

**Description of Records:** Includes President's Statement of Policy and any congressional revisions, the Annual Report of the Forest Service as required by Section 8 of the Act, published Assessment, published Report to Congress on the Nation's Renewable Resources.

**Note 1:** Washington Office maintains official record.

**Note 2:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 3:** If hardcopy records exist, send to FRC storage at end of FY in which the record is closed.

**Note 4:** Previous subheading "Reports of the Forest Service."

**Disposition:** Permanent (see notes). Cutoff aft FY. Transfer to NARA 15 years after cut-off.

**Disposition Authority:** N1-95-10-6/12

**4. Subheading: Natural Resource Planning Special Studies Reports**

**Description of Records:** Studies conducted to support the Resource Planning Act (RPA) Assessment or program activities. These studies relate to supply and demand for natural resources, economic values, and other activities in support of the RPA process. Establish case file by study number assigned by the Washington Office.

**Note 1:** Washington Office maintains official record of RPA Special Studies Reports.

**Note 2:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 3:** Previous subheading "RPA Special Studies Reports."

**Note 4:** If hardcopy records exist, send to FRC storage at end of FY in which the record is closed.

**Disposition:** Permanent (see notes). Cutoff at end of FY in which study ends. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-2/72

5. **Subheading: National Resource Planning Program Administration**

**Description of Records:** Records pertain to administration of the National Resource Planning program. Topics include:

- a. **Analysis:** Material specifically relating to the analysis procedures used in the RPA program development process; unit cost analysis, benefit value analysis, discount rate analysis, present network, physical, biological, social, and other economic analysis.
- b. **Direction:** copies of issues pertaining to the RPA program development process, except for direction relating to policy issues and analysis included under file code 1910 - National Resource Planning - Policy Issues.
- c. **General:** Correspondence and material relating to the Nation's renewable resources and development of the Forest Service program at all levels, and not covered by a specific secondary subject.
- d. **President's Statement of Policy:** Correspondence, review comments, and suggestions for the President's Statement of Policy transmitting RPA Assessment and Program to Congress.
- e. **Public Involvement in Planning:** Records concerning overall public involvement activities and comments concerning RPA which do not specifically relate to a particular resource element, program, or assessment document.
- f. **Renewable Resources Assessment:** Information and public comments related to the past, present, and future trends; issues relating to the resource potential and opportunities for expanding supplies; impacts of recreation management and use of other resources; and techniques for resource analysis.
- g. **Renewable Resources Recommended Program:** Public comments, processes, and analysis information specifically relating to the resource element in the development of the recommended program.
- h. **Resources Interactions:** Information and public comments related to interactions between resources, because of management and use, and techniques for analyses of these interactions.
- i. **Assessment:** Correspondence, public comments, and other assessment-related material including organizations, structure, plans, committees and assignments, departmental direction and review, public participation and other review, congressional oversight activities, and coordination with other agencies. Includes material prepared for formal distribution for review and comment, reporting process, or explaining the assessment.

- j. **Assessment and Program Database Information:** Information regarding natural resource planning database management and operations.
- k. **Assumptions:** Material relating to development of basic assumptions for assessment analysis, population projections, estimates of economic activity, analyses of alternative future relationships between basic assumptions and resource use.
- l. **Description of Forest Service Programs:** Information and public comments relating to the Forest Service Programs and responsibilities called for in section 3(a) 3 of the Forest and Rangeland Renewable Resources Planning Act of 1974.
- m. **Minerals and Other Resources:** Information and public comments relating to the past, present, and future supply and demand for minerals and other resource activities; issues relating to this resource, potential and opportunities for expanding supplies; impacts of recreation management and use of other resources; and techniques for resource analyses. Resources include minerals, urban forestry, wetlands, air, and items not included in the renewable resource categories.

**Note 1:** Establish subject files as appropriate.

**Note 2:** Includes records previously retained under file codes:

- 1910 - Natural Resource Planning – Analysis.
- 1910 - Natural Resource Planning – Direction.
- 1910 - Natural Resource Planning – General.
- 1910 - Natural Resource Planning - President’s Statement of Policy.
- 1910 - Natural Resource Planning - Public Involvement in Planning.
- 1910 - Natural Resource Planning - Renewable Resources Assessment.
- 1910 - Natural Resource Planning - Renewable Resources Recommended Program.
- 1910 - Natural Resource Planning - Resources Interactions.
- 1910 - Natural Resource Planning – Assessment.
- 1910 - Natural Resource Planning - Assessment Database.
- 1910 - Natural Resource Planning – Assumptions.
- 1910 - Natural Resource Planning - Description of Forest Service Programs.
- 1910 - Natural Resource Planning - Minerals and Other Resources.
- 1910 - Natural Resource Planning - Program Database.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 25 years after cut-off.

**Disposition Authority:** DAA-0095-2018-0090-0001

6. **Subheading: RPA Special Studies - Case Files**

**Description of Records:** Studies conducted to support the RPA Assessment or program activities. These studies relate to supply and demand for natural resources, economic values, and other activities in support of the RPA process. The case file includes approved proposals and funding, progress reports, contracts or cooperative agreements, and projects conducted to support the studies, along with copies of final reports. Establish case file by study number assigned by the Washington Office.

**Note 1:** Establish a case file for each individual study.

**Note 2:** Retain copy of MOUs and agreements under appropriate 1580 retention item.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which study completed. Destroy 25 years after cut-off.

**Disposition Authority:** N1-95-10-4/105

**File Code - Heading: 1920 - Land Management Planning**

1. **Subheading: Land Management Planning National Forest Decision Documents**

**Description of Records:** Includes Environmental Impact Statement, the final Forest plan, amendments, and revisions.

**Note 1:** SO, maintains official record.

**Note 2:** Paper and microfilm copies stored in other offices are for reference use only and should be destroyed when ten years old.

**Note 3:** Record material may include maps created on Mylar. Include any Mylar maps in transfers to NARA.

**Note 4:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 5:** If hardcopy records exist, send to FRC storage at end of FY in which the record is closed.

**Note 6:** If official records exist on microfilm, immediately transfer to NARA.

**Note 7:** Current plan designated as essential record.

**Note 8:** Previous subheading "National Forest Decision Documents."

**Disposition:** Permanent (see notes). Cutoff at end of FY in which the decision signed. Transfer to NARA two years after cut-off.

**Disposition Authority:** N1-95-10-2/76

## 2. Subheading: National Forest Planning Process

**Description of Records:** Includes planning process used at the National Forest level, required by Section 6; decisions and direction given; the work plan, correspondence; data information files or other documentation of analytical procedures, collection procedures, or any general process actions proposed or used throughout the planning process. Must maintain as evidentiary material as potential legal or court evidence.

**Note 1:** SO, maintains official record.

**Note 2:** Record material may include maps created on Mylar. Include any Mylar maps in transfers to NARA.

**Note 3:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 4:** If hardcopy records exist, send to FRC storage at end of FY in which the record is closed.

**Note 5:** If official records exist on microfilm, immediately transfer to NARA.

**Disposition:** Permanent (see notes). Cutoff at end of FY in which the decision signed. Transfer to NARA two years after cut-off.

**Disposition Authority:** N1-95-10-2/75

## 3. Subheading: National Recreation Area Designation

**Description of Records:** Includes maps, tabular data, correspondence, and background material relating to studies for National Recreation Areas (NRA). File alphabetically by name of area. Use file code 2370 for management of established NRAs.

**Note 1:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 2:** If hardcopy records exist, send to FRC storage at end of FY in which they are closed.



**Disposition:** Permanent (see notes). Cutoff at end of FY in which the study/project completed. Transfer to NARA 15 years after cut-off.

**Disposition Authority:** N1-95-10-6/18

4. **Subheading: Land Management Planning Policy and Agreements**

**Description of Records:** Includes memorandums, review comments, negotiation decisions and direction for planning between national, regional, forest, or state levels within the Forest Service; negotiations, inter-related planning, significant correspondence with Congress and the public which is signed by the Chief and Deputy Chiefs.

**Note 1:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 2:** If hardcopy records exist, send to FRC storage at end of FY in which they are closed.

**Note 3:** Essential records.

**Note 4:** Retain copy of MOUs and agreements under appropriate file code 1580 retention item.

**Note 5:** Previous subheading "Policy and Agreements."

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA 15 years after cut-off.

**Disposition Authority:** N1-95-10-6/14

5. **Subheading: Roadless Area Review and Evaluation**

**Description of Records:** Includes study, background data, correspondence and other records relating to the Roadless Area Review and Evaluation (RARE II) 1977-78. File future wilderness designation information under wilderness designation category.

**Note 1:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 2:** Units may retain reference copy of information deemed necessary for ongoing work. All such documents must be marked "Reference" and be maintained separately from official agency records.

**Disposition:** Permanent (see notes). Cutoff when RARE II project completed, closed, or no new records being created.

**Disposition Authority:** N1-95-10-6/17

## 6. Subheading: Regional Decision Document

**Description of Records:** Include EIS, final Regional Plan, amendments, and revisions.

**Note 1:** Regional Office maintains official record.

**Note 2:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 3:** Paper and microfilm copies stored in other offices are for reference use only and should be destroyed when ten years old.

**Note 4:** If hardcopy records exist, send to FRC storage at end of FY in which the record is closed.

**Note 5:** If official records exist on microfilm, immediately transfer to NARA.

**Note 6:** Essential records.

**Disposition:** Permanent (see notes). Cutoff at end of FY in which the decision signed. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-2/74

## 7. Subheading: Regional Planning

**Description of Records:** Includes correspondence and information related to regional planning which includes communication between the Regions or with the National or Forest levels from a given region; or correspondence with other agencies, State, and local governments, or with private individuals or interest groups.

**Note 1:** File the final regional plan and any amendments under Regional Decision Document.

**Note 2:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 3:** Store closed hardcopy records at FRC until eligible for transfer to NARA custody.

**Note 4:** If hardcopy records exist, send to FRC storage at end of FY in which they are closed.

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA 15 years after cut-off.

**Disposition Authority:** N1-95-10-6/15

## 8. Subheading: Regional Planning Process

**Description of Records:** Includes documentation of planning process used at the regional level, required by section 6 regulations; team meeting minutes, decisions, direction from the Chief, Regional Forester, Area Director; the work plan, correspondence, data information files, or other documentation of analytical procedures, collection procedures, or any general process actions proposed or used throughout the planning process. Must maintain all evidentiary material as potential legal or court evidence.

**Note 1:** RO, maintains official record.

**Note 2:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 3:** Paper and microfilm copies stored in other offices are for reference use only and should be destroyed when ten years old.

**Note 4:** If hardcopy records exist, send to FRC storage at end of FY in which the record is closed.

**Note 5:** If official records exist on microfilm, immediately transfer to NARA.

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-2/73

## 9. Subheading: Special Management Areas

**Description of Records:** Includes planning information and correspondence for areas designated for special management studies; Mount St. Helen's or other special disaster areas.

**Exclusion:** Excludes management records filed under subjects, such as 2800 Minerals.

**Note 1:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 2:** If hardcopy records exist, send to FRC storage at end of FY in which the record is closed.

**Disposition:** Permanent (see notes). Cutoff at end of FY in which records are no longer needed for administrative use. Transfer to NARA 15 years after cut-off.

**Disposition Authority:** N1-95-10-6/20

#### 10. Subheading: Wild and Scenic River Designation

**Description of Records:** Includes tabular data, background information and correspondence relating to studies of potential wild, scenic, and recreational rivers. Includes the national rivers inventory and any amendments, deletions, or additions. Updated on basis of forest planning cycle approximately every ten years. Inventory includes rivers with potential for classification of wild and scenic designations listed by state and location data.

**Note 1:** Organize folders alphabetically by name of river.

**Note 2:** Use 2350 for management of Wild and Scenic rivers designated in national system.

**Note 3:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 4:** If hardcopy records exist, send to FRC storage at end of FY in which the record is closed.

**Note 5:** Essential records.

**Disposition:** Permanent (see notes). Cutoff at end of FY in which study was completed. Transfer to NARA 15 years after cut-off.

**Disposition Authority:** N1-95-10-6/19

#### 11. Subheading: Wilderness Designation

**Description of Records:** Includes maps, tabular data, correspondence, background information for ongoing special studies related to areas proposed for wilderness designation; and information which supports the congressional action taken. Excludes management of established wilderness, which is filed under file code 2320.

**Note 1:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 2:** If hardcopy records exist, send to FRC storage at end of FY in which the record is closed.

**Note 3:** Essential records.

**Disposition:** Permanent (see notes). Cutoff at end of FY in which the decision signed. Transfer to NARA 15 years after cut-off.

**Disposition Authority:** N1-95-106/16

## 12. Subheading: Land Management Planning Program Administration Records

**Description of Records:** Land management planning program administration records pertaining to the following subjects:

- a. Coastal Zone Management: Coordination, monitoring, review, and implementation of state programs for management of coastal zones, particularly as they apply to federal activities per Coastal Zone Management Act as amended.
- b. General program administration records.
- c. National Forest Monitoring and Evaluation: Documentation of procedural requirements, the results of all field forest plan monitoring activities and the evaluation of information.
- d. National Forest Planning: correspondence and information related to forest planning including communication between RO and NF, and between Washington Office and RO. File final National Forest Plan and any amendments under National Forest Decision Documents.
- e. National Forest Planning Criteria: Evaluation and decision criteria and process criteria applied throughout the planning process; correspondence, and documentation records mainly between the SO and the IDT.
- f. Regional Monitoring and Evaluation: Written procedural requirements, results of monitoring activities and evaluation of information.

**Note 1:** Create subject folders as needed.

**Note 2:** Includes records previously retained under file codes:

- 1920 - Land Management Planning - Coastal Zone Management.
- 1920 - Land Management Planning – General.
- 1920 - Land Management Planning - National Forest Monitoring and Evaluation.
- 1920 - Land Management Planning - National Forest Planning.
- 1920 - Land Management Planning - National Forest Planning Criteria.
- 1920 - Land Management Planning - Regional Monitoring and Evaluation.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 25 years after cut-off.

**Disposition Authority:** DAA-0095-2018-0091-0001

### 13. Subheading: Land Management Planning Criteria and Comments

**Description of Records:** Records pertain to land management planning criteria and comments received, including:

- a. National Forest Public Comments: Comments that must be considered in the development of plans, and correspondence documenting response and status information.
- b. RARE II Public Comments: Comments and suggestions from the public concerning areas proposed for wilderness designation.
- c. Regional Planning - Public Comments: Comments from the public which must be considered in the development of regional plans, and correspondence documenting response and status information.
- d. Regional Planning Criteria: Evaluation and decision criteria and processes criteria, correspondence, and documentation records; between the interdisciplinary team and the Regional Forester.

**Note:** Includes records previously retained under file codes:

- 1920 - Land Management Planning - National Forest Public Comments.
- 1920 - Land Management Planning - RARE II Public Comments.
- 1920 - Land Management Planning - Regional Planning - Public Comments.
- 1920 - Land Management Planning - Regional Planning Criteria.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which the case or project file is closed. Destroy 25 years after cut-off.

**Disposition Authority:** DAA-0095-2018-0091-0002

**File Code - Heading: 1930 - Program Development and Budgeting**

**1. Subheading: Program Planning**

**Description of Records:** Correspondence and reports documenting the development, operation, and maintenance of a program development and budgeting process; and procedures that encompass all program areas and organizational levels.

**Exclusion:** Instruction packages and annual budget proposals, which are filed in file code 1930 - Program Development and Budgeting - Program Development and Budgeting Administration.

**Note 1:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 2:** If hardcopy records exist, send to FRC storage at end of FY in which the record is closed.

**Note 3:** NARA has approved Forest Service exception request to GRS 1.3, item 040 for this item.

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA 15 years after cut-off.

**Disposition Authority:** N1-95-10-4/128

**2. Subheading: Program Planning and Allocation Database**

**Description of Records:** Includes information regarding program planning and allocation database management and operations.

**Exclusion:** Database repository scheduled separately.

**Note 1:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 2:** If hardcopy records exist, send to FRC storage at end of FY in which the record is closed.

**Disposition:** Permanent (see notes). Cutoff at end of FY in which administrative use ceases. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-88-2

3. **Subheading: Program Development and Budgeting Administration**

**Description of Records:** Program development and budget administration records including general correspondence and material not covered by a specific secondary subject; preparation of short-term program proposals; development of budgets; and direction for the National, Region, Area, Station, and Local levels. Also includes records pertaining to the following subjects:

- a. **Agency and Department Estimates:** Notebook prepared after "Fine Tuning" of final submission. Includes copy of cover letter and formal submission material.
- b. **Budget Presentation:** Includes correspondence directly related to the budget estimates and presentation of the Forest Service budget.
- c. **Legislative Program Files:** The proposals identified by the Forest Service for potential inclusion in the Department's proposed legislative program, proposals submitted by Washington Office and field units. Records include legislative reports, drafts of proposed legislation, background information and memorandums, emails, and related correspondence.
- d. **Congressional Presentation:** Includes hearing preparation materials; capability statements; questions and answers and inserts for the record; and miscellaneous requests from the subcommittees, committees, and/or congressional members and their staffs.
- e. **Department Presentation:** Includes budget material requested by the Department for formal submission; backup material; spread sheets, executive summary; analysis papers; questions and answers generated after formal submission.
- f. **Explanatory Notes - Final Publication:** Final Publication explanatory notes for program development and budget.
- g. **OMB Presentation:** Material used in the Department of Agriculture's formal presentation to the OMB; backup material; spread sheets; executive summary; analysis papers; questions and answers generated after formal submission; and Budget Appendix material.
- h. **Program Budget Development Instructions:** Includes correspondence transmitting and/or revising the final instructions and record copy of program budget development package.
- i. **Projects:** Program development and budget project files not directly associated with the Department, OMB, or congressional presentation (outlay report, inflation, and receipts).



- j. **Washington Office Alternative Budget Proposals:** the initial budget presentation with alternatives, subsequently required alternatives in written form, and related computer-generated reports.
- k. **Historical Summaries:** Includes “Bed Sheets,” reports on obligations by object class, personnel summaries, and information digests.

**Exclusion:** Excludes items retained under file code 6520.

**Note 1:** Create subject folders as needed.

**Note 2:** Includes records previously retained under file codes:

- 1930 - Program Development and Budgeting - Agency and Department Estimates.
- 1930 - Program Development and Budgeting.
- 1930 - Program Development and Budgeting - Budget Presentation.
- 1930 - Program Development and Budgeting - Congressional Presentation.
- 1930 - Program Development and Budgeting - Explanatory Notes - Final Publication.
- 1930 - Program Development and Budgeting – General.
- 1930 - Program Development and Budgeting - OMB Presentation.
- 1930 - Program Development and Budgeting - Program Development Instructions.
- 1930 - Program Development and Budgeting – Projects.
- 1930 - Program Development and Budgeting – Washington Office Alternative Budget Proposals.
- 1930 - Program Development and Budgeting - Historical Summaries.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy six years after cut-off.

**Disposition Authority:** GRS 1.3.010 - (DAA-GRS-2015-0006-0001)

## **File Code - Heading: 1940 - Inventory, Monitoring, and Assessment Activities**

### **1. Subheading: Coordination and Collaboration**

**Description of Records:** Obsolete. Retain records under file code 1580 - Grants, Cooperative Agreements, and Other Agreements - Case Files - Approved.

**Disposition:** Temporary. Cutoff at end of FY. Destroy ten years after cut-off.

**Disposition Authority:** GRS 1.2/020 - (DAA-GRS-2013-0008-0001)

**2. Subheading: Inventory, Monitoring, and Assessment Program Administration**

**Description of Records:** Records pertain to planning, standards-based approach, and framework, as well as coordination and collaboration. Inventory, monitoring, and assessment records include documentation of:

- a. Land management activities regarding social, economic, and ecological evaluations of conditions and trends.
- b. Collaboration within the Forest Service and with other land management partners to provide resource information that meets a wide range of needs.
- c. Inventory, monitoring, and assessment activities.
- d. Information management framework for all Forest Service inventory, monitoring, and assessment activities, including those under the direct authority and responsibility of each Deputy Chief; and broad authorities, management objectives, policies, responsibilities, and processes that support Forest Service land management activities.
- e. Integrated Program Plans: Approved agency field unit plans for inventory, monitoring, and assessment activities.
- f. Management and Administration: Correspondence and records relating to administration and management of integrated program plans; standards-based approach and framework; and agency coordination and collaboration for inventory, monitoring, assessment.
- g. Reports required by OMB, USDA, and other for inventory, monitoring, and assessment activities.
- h. Standards-based approach and framework: Includes agency implementation plans, reviews, and associated documentation.

**Note 1:** Create subject folders as needed.

**Note 2:** Includes records previously retained under file codes:

- 1940 - Inventory, Monitoring, and Assessment Activities – General.
- 1940 - Inventory, Monitoring, and Assessment Activities - Integrated Program Plans.
- 1940 - Inventory, Monitoring, and Assessment Activities - Management and Administration.
- 1940 - Inventory, Monitoring, and Assessment Activities – Reports.
- 1940 - Inventory, Monitoring, and Assessment Activities - Standards-based Approach and Framework.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy ten years after cut-off.

**Disposition Authority:** DAA-0095-2018-0092-0001

### 3. Subheading: Studies

**Description of Records:** General studies related to inventory, monitoring, and assessment activities.

**Disposition:** Temporary. Cutoff at end of FY in which study completed. Destroy ten years after cut-off.

**Disposition Authority:** N1-95-10-3/24

## File Code - Heading: 1950 - Environmental Policies and Procedures

### 1. Subheading: Environmental Impact Statement

**Description of Records:** Documentation related to Forest Service National Environmental Policy Act (NEPA)EIS project files, including but not limited to: Final EIS (FEIS), Record of Decision (ROD), and all documents used in drafting of the ROD. Also includes supporting documents such as published Notices of Intent (NOI) and Notices of Availability (NOA), Official Draft EIS (DEIS) distributed to public for comment, source Geographic Information System (GIS) files, maps, and all other documents used in the preparation of the DEIS including individual reports and comments from Agency specialists, IDT meeting notes, EIS supplemental statements, Mitigation Action Plans (MAP) and other documentation used in the drafting of the DEIS.

**Exclusion 1:** Excludes EIS records associated with rule making and forest planning activities; such records are to be retained under the appropriate 1010 and 1920 records retention categories.

**Exclusion 2:** EIS comments, NEPA scoping mailing lists, and all other project mailing lists, which are retained under file code 1950 - Environmental Policy and Procedures - NEPA General.

**Exclusion 3:** Records for projects officially dropped before ROD was signed, retain such records under file code 1950 - Environmental Policy and Procedures - NEPA General.

**Exclusion 4:** Reference material cited in the DEIS, FEIS, ROD or elsewhere in the record. Reference documents are not official records and shall not be included as part of project records.

**Note 1:** The official Forest Service record is to be retained and transmitted to NARA in electronic format.

**Note 2:** Establish separate case file for each EIS.

**Note 3:** Request transfer authorization via NARA designated method (for example, ERA) prior to transferring records to custody and ownership of NARA.

**Note 4:** Essential records.

**Disposition:** Permanent (see notes). Cutoff when decision signed. Transfer to NARA ten years after cut-off.

**Disposition Authority:** DAA-0095-2017-0001-0001

## 2. Subheading: NEPA General

**Description of Records:** Documentation related to the NEPA; to include but not limited to the following Environmental Assessments (EA), Categorical Exclusion (CATEX), and similar NEPA project files consisting of:

- a. Requests for and responses to public comment and involvement (to include comments from Forest Service personnel, Federal and State governments, and comments from any other source as appropriate).
- b. NEPA scoping and all other project mailing lists.
- c. Comments received from Federal and State governments, the public, and other sources via email, standard mail, or other sources.
- d. Documentation of interagency cooperation and consultation, resolution of disagreements.
- e. Scoping process and scoping determinations.
- f. Findings of no significant impact (FONSI), Decision Memo (DM) MAP, reviews of public and external agency comments.
- g. Feasibility analysis.
- h. Cost-benefit analysis.
- i. The following EIS records are covered by this item:
  - (1) Projects officially dropped prior to issuance of signed Record of Decision
  - (2) Scoping and all other project mailing lists.
  - (3) Original records consisting of comments received from Federal and State governments, the public, and other sources via email, standard mail, or

other sources. (Note that, as appropriate, comments and Forest Service responses are included as part of the published DEIS and FEIS. This item pertains to the original record copy of the comment received and any responses not included in the DEIS and/or FEIS.).

j. In addition, the following records are covered by this item:

- (1) Referrals to the Council of Environmental Quality, proposals for legislation.
- (2) External NEPA-related documentation received by the Forest Service affecting NFS lands, State and Private Forestry, Research programs, or where the Forest Service is a cooperating agency.

**Exclusion:** Reference material cited in project documents. Reference documents are not official records and shall not be included as part of project records.

**Note 1:** Establish subject or case files as appropriate.

**Note 2:** Close project files when decision signed.

**Note 3:** Close subject files at end of FY and apply retention period.

**Note 4:** Files may contain Essential records.

**Disposition:** Temporary (see notes). Cutoff project files when decision signed, or project officially discontinued. Cutoff subject files at FY. Destroy 15 years after cut-off.

**Disposition Authority:** DAA-0095-2017-0001-0002

## **File Code - Heading: 1960 - Policy Analysis**

### **1. Subheading: Policy Analysis Case Studies**

**Description of Records:** Includes reviews, analysis and study reports, staff papers, and any related records that analyze current Forest Service or emerging policy issues.

**Note 1:** Establish case folders by year and subject matter.

**Note 2:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 3:** If hardcopy records exist, send to FRC storage at end of FY in which the record is closed.

**Note 4:** Previous subheading "Case Studies."

**Disposition:** Permanent (see notes). Cutoff at end of FY in which study completed. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-2/80

## 2. Subheading: Policy Analysis Administration

**Description of Records:** Includes general correspondence and material concerning routine transactions, such as trip reports, individual letters and memoranda answering requests, and progress reports not directly related to a specific study.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy three years after cut-off.

**Disposition Authority:** N1-95-10-2/81

## File Code - Heading: 1970 - Social and Economic Analysis

### 1. Subheading: Economic and Social Analysis Administrative Records

**Description of Records:** Includes records related to technical and procedural direction for conducting economic and social analysis.

**Exclusion:** Economic and social analysis case file material that should be filed under the appropriate file designation for the subject. For example, an economic and social analysis related to an EIS is filed under file code 1950.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy three years after cut-off.

**Disposition Authority:** N1-95-10-2/82

## File Code - Heading: 1990 - Special Plans and Studies

### 1. Subheading: Special Plans and Studies Case Files

**Description of Records:** Case files consist of a plan containing the details of the research findings that will be tested for local or national application, a justification, cooperators, questions that the study will answer, the methodology, cost, and funding, follow up, and final report. The studies may be routine or substantive, such as studies affecting more than one region.

**Note 1:** Office originating the study maintains the official record.

**Note 2:** Records related to Surface Environment and Mining are now filed under 4310.

**Note 3:** Organize by case file.

**Note 4:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 5:** If hardcopy records exist, send to FRC storage at end of FY in which the record is closed.

**Note 6:** Previous subheading "General."

**Disposition:** Permanent (see notes). Cutoff at end of FY in which the case/study is completed. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-2/83

## 42.2 - 2000 Series File Codes

The following tables provide guidance for managing Forest Service unstructured records in electronic formats. Staffs must use the Electronic Records Retention Schedules and store records in official Forest Service designated repositories.

### File Code - Heading: 2020 - Ecological Restoration and Resilience

#### 1. Subheading: Ecological Restoration and Resilience Classification and Inventory

**Description of Records:** Records include:

- a. Field sheets for plant species,
- b. Analysis records,
- c. Statistical analyses, and so forth, that are used in field guides, biological opinions, and
- d. Other publications.

**Note 1:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 2:** If hardcopy records exist, send closed hardcopy records to FRC storage at the end of the FY.

**Note 3:** Previous subheading "Classification and Inventory."

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA in five-year blocks, when the most recent file is 15 years old.

**Disposition Authority:** N1-95-10-3/29

#### 2. Subheading: Ecological Restoration and Resilience General Administrative Records

**Description of Records:** Records pertaining to broad, foundational policy for using ecological restoration to manage NFS lands and associated resources in a sustainable manner. Includes comprehensive objectives, policy, responsibilities, definitions, and principles to guide achievement of sustainable management and ecological resilience, especially under changing and uncertain future environmental conditions, such as those driven by climate change and increasing human use. Designation reaches across all program areas and activities applicable to management of national forests and grasslands to ensure integration and coordination at all levels and within all organizational units. Record material includes correspondence.



**Note 1:** Use designation only for records pertaining to overall ecological restoration and resilience policy, including general correspondence.

**Note 2:** Records pertaining to specific resources or management should be filed under the applicable records schedule for said resource.

**Note 3:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy ten years after cut-off.

**Disposition Authority:** N1-95-10-3/28

## **File Code - Heading: 2030 - Large Scale Event Recovery (LaSER)**

### **1. Subheading: LaSER Administrative Records**

**Description of Records:** Includes general records and correspondence related to large scale event recovery plans and activities.

**Note 1:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 2:** If hardcopy records exist, send closed records to FRC storage at the end of the FY.

**Note 3:** Previous subheading "General."

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-5/5a

### **2. Subheading: LaSER Databases**

**Description of Records:** Includes information regarding LaSER database management and operations.

**Note 1:** Database repository scheduled separately.

**Note 2:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note3:** If hardcopy records exist, send closed records to FRC storage at the end of the FY.

**Disposition:** Permanent (see notes). Cutoff when administrative use ceases. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-5/5g

### 3. Subheading: LaSER Plan

**Description of Records:** Includes LaSER plan case files including assessments, budget, form FS-2000-1, executive summary, recommendations, post-event conditions, recovery objectives, description of actions, monitoring plan, research opportunities, partners and funding sources, skills and staffing needs, maps, recovery plan team members, and recovery plan approval.

**Note 1:** Establish case files as needed.

**Note 2:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 3:** If hardcopy records exist, send closed hardcopy records to FRC storage at the end of the FY.

**Disposition:** Permanent (see notes). Cutoff when case file closed. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-5/5b

### 4. Subheading: LaSER Monitoring

**Description of Records:** Results of LaSER monitoring conducted to verify the implementation of recovery treatments and evaluate site-specific effectiveness and impacts of treatments. Records are used to determine if treatments have met desired objectives or have had unanticipated impacts, and whether additional treatments are needed. Records also document evaluation of determination regarding whether treatments are warranted in areas where damaged resources were initially recommended or implemented, or to provide untreated control data for treatment evaluation. Monitoring records include:

- a. Questions monitoring is intended to address.
- b. Measurable indicators.
- c. Data collection techniques.
- d. Analysis, evaluation, and reporting techniques.

- e. Monitoring report timeframes; and
- f. Monitoring results.

**Note 1:** Establish case files as needed.

**Note 2:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 3:** If hardcopy records exist, send closed hardcopy records to FRC storage at the end of the FY.

**Note 4:** Previous subheading “Monitoring.”

**Disposition:** Permanent (see notes). Cutoff when case file closed. Transfer to NARA ten years after cut-off.

**Disposition Authority:** Pending

#### 5. Subheading: LaSER Non-Federal Lands

**Description of Records:** Includes documentation of post-event conditions and recovery objectives or activities for non-Federal intermingled or adjacent lands impacted by the large-scale event.

**Note 1:** Establish case files as needed.

**Note 2:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 3:** If hardcopy records exist, send closed hardcopy records to FRC storage at the end of the FY.

**Note 4:** Previous subheading “Non-Federal Lands.”

**Disposition:** Permanent (see notes). Cutoff when case file closed. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-5/5d

#### 6. Subheading: LaSER - Other Federal Lands

**Description of Records:** Records documenting joint large-scale assessments, planning, and implementation actions.

**Note 1:** Establish case files as needed.

**Note 2:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 3:** If hardcopy records exist, send closed hardcopy records to FRC storage at the end of the FY.

**Note 4:** Previous subheading "Other Federal Lands."

**Disposition:** Permanent (see notes). Cutoff when case file closed. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-5/5e

## 7. Subheading: LaSER Reporting

**Description of Records:** Annual national LaSER activity report developed by Washington Office which summarizes regional recovery plans.

**Note 1:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 2:** If hardcopy records exist, send closed hardcopy records to FRC storage at the end of the FY.

**Note 3:** Previous subheading "Reporting."

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-5/5f

## File Code - Heading: 2060 - Ecosystem, Classification, Interpretation, and Application

### 1. Subheading: Ecosystem, Classification, Interpretation, and Application General Program Administration

**Description of Records:** Includes general correspondence and other records related to service-wide direction for the components of the ecosystem classification program.

**Note:** Previously subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy five years after cut-off.

**Disposition Authority:** N1-95-10-2/84

**File Code - Heading: 2070 - Vegetation Ecology**

**1. Subheading: Vegetation Ecology Program Records**

**Description of Records:** Includes records regarding use, growth, development, and storage of native plant materials. Also includes records related to service-wide direction for the components of the Biological Diversity program.

**Note:** Includes records previously retained under file codes:

- 2070 - Vegetation Ecology - Classification and Inventory.
- 2070 - Vegetation Ecology – General.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 25 years after cut-off.

**Disposition Authority:** N1-95-10-3/30

**File Code - Heading: 2100 - Environmental Management**

**1. Subheading: Environmental Management Classification and Inventory**

**Description of Records:** Records include field sheets for plant species, analysis records, statistical analyses, and so forth, that are used in field guides, biological opinions, and other publications.

**Note 1:** Establish case files as needed.

**Note 2:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 3:** If hardcopy records exist, send closed hardcopy records to FRC storage at the end of the FY.

**Note 4:** Previous subheading “Classification and Inventory.”

**Disposition:** Permanent (see notes). Cutoff when case is closed. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-5/6b

**2. Subheading: Environmental Management Program Records**

**Description of Records:** Includes general correspondence related to service-wide direction for the components of the Biological Diversity program.

**Note 1:** Close file at end of FY and apply retention period.

**Note 2:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 3:** If hardcopy records exist, send closed hardcopy records to FRC storage at the end of the FY.

**Note 4:** Previous subheading "General."

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-5/6a

**File Code - Heading: 2130 - Solid Waste Management**

**1. Subheading: Solid Waste Management General Administrative Records**

**Description of Records:** Includes general records, including correspondence, on the design, construction, management, operation, and maintenance of the Forest Service solid waste system. These processes ensure public health and safety.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Destroy three years after cut-off.

**Disposition Authority:** N1-95-10-2/85

**File Code - Heading: 2150 - Pesticide Use, Management and Coordination**

**1. Subheading: Pesticide Use Accident and Incident Case Files**

**Description of Records:** Includes correspondence, final reports, investigation notes and field notes related to accidents and incidents involving use of pesticides.

**Note 1:** Establish case files as needed.

**Note 2:** Previous subheading "Accidents and Incidents."

**Disposition:** Temporary (see notes). Cutoff when case is closed. Destroy 75 years after cut-off.

**Disposition Authority:** N1-95-10-6/23

2. **Subheading: Forest Service Pesticide Impact Assessment Program**

**Description of Records:** Case files containing proposal, progress reports, final reports of studies conducted by Forest Service research units or universities for identifying pesticide effects on forest and rangelands.

**Note 1:** Proposals not funded: Destroy when reference use ceases.

**Note 2:** Establish case files as needed.

**Disposition:** Temporary (see notes). Cutoff when case is closed. Destroy 75 years after cut-off.

**Disposition Authority:** N1-95-10-6/24

3. **Subheading: Pesticide Use, Management and Coordination Administrative Records**

**Description of Records:** Includes records related to pesticide management overall policies, development, and clarifications. Includes pesticides use records and yearly report of pesticides used on national forests; conduct of projects records; pesticide selection, application, and monitoring records; safety in pesticide uses records.

**Note:** Includes records previously retained under file codes:

- 2150 - Pesticide Use, Management and Coordination – General.
- 2150 - Pesticide Use, Management and Coordination - Pesticide Use Reports.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 75 years after cut-off.

**Disposition Authority:** DAA-0095-2018-0015-0001

4. **Subheading: Inquiries**

**Description of Records:** Obsolete. File standard inquiries and responses under file code 6270 - Availability of Records - General Information Requests.

5. **Subheading: Pesticide Use Training and Federal Certification**

**Description of Records:** Correspondence, memoranda, agreements, authorizations, reports, requirement reviews, plans, and objectives relating to the establishment and operation of training courses and conferences. Records include the unit program manager's documentation of employee pesticide use training and certification necessary for reviews, audits, and compliance with state and federal safety requirements.

**Note 1:** Create case files as needed.

**Note 2:** Privacy Act System of Records USDA/FS-41- Certified Pesticide Applicators covers all or some of the records retained under this file code. Review PA SOR USDA/FS-41 for additional access and storage requirements.

**Note 3:** As appropriate also retain training records under file codes:

- 6100 - Personnel - Supervisor's Personnel Files,
- 6140 - Employee Development, Performance, Awards - Training-Agency Sponsored, and/or
- 6140 - Employee Development, Performance, Awards - Training-Individual Employee Training Records.

**Note 4:** Previous subheading "Training and Federal Certification."

**Disposition:** Temporary (see notes). Cutoff after completion of specific training program. Destroy five years after cut-off.

**Disposition Authority:** GRS 2.6/010 - (DAA-GRS-2016-0014-0001)

## **File Code - Heading: 2160 - Hazardous Materials Management**

### **1. Subheading: Hazardous Materials Program Management Records**

**Description of Records:** Includes records related to hazardous chemical program management, policies, development, and clarifications. Records include:

- a. Using documentation,
- b. Project case files,
- c. Selection, application, and monitoring records,
- d. Safety in uses documentation,
- e. Protection measures for use of hazardous chemicals including employee protection,
- f. Controls on acquisition and use,
- g. Transportation, storage, and handling records,
- h. Training documentation (course materials and employee completion/certification),
- i. Protective gear records, and
- j. Administrative components of the hazardous material program.



**Note 1:** As appropriate also retain training records under file codes:

- 6100 - Personnel - Supervisor's Personnel Files.
- 6140 - Employee Development, Performance, Awards - Training-Individual Employee Training Records.

**Note 2:** Includes records previously retained under file codes:

- 2160 - Hazardous Materials Management – General.
- 2160 - Hazardous Materials Management - Hazardous Chemical Management.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 30 years after cut-off.

**Disposition Authority:** N1-095-10-003

## 2. Subheading: CERCLA Hazardous Materials Sites

**Description of Records:** Includes site-specific records relating to hazardous waste sites submitted under CERCLA (Superfund or Comprehensive Environmental Response, Compensation, and Liability Act of 1980 (CERCLA) is a United States federal law designed to clean up sites contaminated with hazardous substances and pollutants). Records include correspondence, memoranda, meeting notes, work plans, financial and technical progress reports, statements of work and other site-specific contract documentation, Hazard Ranking System (HRS) packages, National Priorities List (NPL) determination, Abbreviated Preliminary Assessments (APA), site inspections (SIs), sampling and analysis data, Pollution Reports (POLREPs), endangerment assessments, risk assessments, health and safety plans, remedial investigation reports, feasibility study reports, proposed plans for selected remedial action, and applicable or relevant and appropriate requirements, concurrence memoranda, concurrence reports, remedial design and action reports, community relations plans, public meeting notes, closure and post closure reports, compliance reports, delisting correspondence, and other related records needed to document CERCLA activities conducted at federal hazardous waste sites.

**Note:** If hardcopy records exist, send closed hardcopy records to FRC storage at the end of the FY.

**Disposition:** Permanent (see notes). Cutoff at end of FY in which removal and/or remedial action is completed. Transfer to NARA 30 years after initial cut-off and additional accumulated records every five years thereafter.

**Disposition Authority:** Pending

**File Code - Heading: 2170 - Energy Management**

**1. Subheading: Energy Program Management Records**

**Description of Records:** Includes records documenting:

The accomplishments or progress of Forest Service energy-related programs. Some energy programs are initiated within the research arm of the Forest Service such as cooperatives between the Forest Service and other governmental or private organizations. Some are initiated by the Department of Energy.

The coordination with other agencies that have energy related programs such as the Department of Energy Regional Program Advisory Committees; and other organizations such as the Council of Biomass Energy Technology Sponsors (CBETS).

Internal meeting activities.

**Exclusion:** Research-related energy programs are filed under file code 4000.

**Note 1:** Establish folders by project or subject matter.

**Note 2:** Includes records previously retained under file codes:

- 2170 - Energy Management - Energy Programs.
- 2170 - Energy Management – General.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy ten years after cut-off.

**Disposition Authority:** DAA-0095-2018-0029-0001

**2. Subheading: Inquiries**

**Description of Records:** Obsolete. File standard inquiries and responses under file code 6270 - Availability of Records - General Information Requests.

**File Code - Heading: 2200 - Range**

**1. Subheading: Range Program Administration**

**Description of Records:** General records (including correspondence and Mission-related training materials) pertaining to Range activities too broad to file under a specific file subject.

**Note:** Previous subheading “General.”

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy five years after cut-off.

**Disposition Authority:** N1-95-10-4/149

2. **Subheading: Inquiries**

**Description of Records:** Obsolete. File standard inquiries and responses under file code 6270 - Availability of Records - General Information Requests.

3. **Subheading: Range Policy and Direction**

**Description of Records:** Records (including correspondence) relating to policy or program direction concerning range conditions, criteria for classifying grazing lands, directed to other agencies on policy matters, or signed by the Chief of the Forest Service or the Secretary of USDA.

**Note 1:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 2:** If hardcopy records exist, send closed hardcopy records to FRC storage at the end of the FY.

**Note 3:** Previous subheading "Policy and Direction."

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-2/86

4. **Subheading: Training**

**Description of Records:** Obsolete.

- a. Retain employee training completion records under file code 6140 - Employee Development, Performance, Awards - Training-Individual Employee Training Records.
- b. Retain non-Mission related training materials under file code 6140 - Employee Development, Performance, Awards - Training-Forest Service Sponsored.
- c. Retain Mission-related training materials under file code 7500 - Water Storage and Transmission - Water Storage and Transmission General Program Administration.

**File Code - Heading: 2210 - Rangeland Management Planning**

**1. Subheading: Range Management Planning General Administrative Records**

**Description of Records:** General records (including correspondence) pertaining to proposed activities which may not have developed fully to create a specific case folder in the items following. File correspondence of permanent value under file code 2200 - Range Allotment Management Plans.

**Note 1:** Close file at end of FY and apply retention period.

**Note 2:** Previous heading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy ten years after cut-off.

**Disposition Authority:** N1-95-10-4/150

**2. Subheading: Range Allotment Management Plans**

**Description of Records:** Includes correspondence, maps and overlays, photos, trend transect records, grazing capacity estimates, tabulations, utilization records--permitted and actual use--related summary report materials and administrative studies related to range analysis; environmental assessment and decision notices; and the allotment management plan. Includes ranges from which grazing may currently be excluded and previously prepared range analysis files. Create case files by allotment.

**Note 1:** Supervisors Office, maintains official files.

**Note 2:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 3:** If hardcopy records exist, send closed hardcopy records to FRC storage at the end of the FY.

**Disposition:** Permanent (see notes). Cutoff when plan is revised or superseded.

**Disposition Authority:** N1-95-10-6/26

**File Code - Heading: 2230 - Grazing and Livestock Use Fee Permit System**

**1. Subheading: Grazing and Livestock Use Fee Studies**

**Description of Records:** Case files consisting of all study material collected, including working papers, statistical summaries developed, or other information used in support of fees charged.

**Note 1:** Existing hardcopy files are arranged chronologically.

**Note 2:** All case files are retained by the Washington Office; field offices send case file documents to Washington Office, keep reference copy for no more than three years.

**Note 3:** Records regarding monies collected for grazing are filed under 6530.

**Note 4:** Previous subheading "Fee Studies."

**Disposition:** Temporary (see notes). Cutoff after study is completed. Destroy 75 years after cut-off.

**Disposition Authority:** N1-95-10-4/153

## 2. Subheading: Grazing and Livestock Use Fees

**Description of Records:** Files consisting of general correspondence relative to standards and regulations and related discussions leading to the determination of the fee charged for grazing or crossing of livestock on National Forest lands and on other lands under Forest Service control.

**Note:** Previous heading "Fees."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 75 years after cut-off.

**Disposition Authority:** N1-95-10-6/27

## 3. Subheading: Grazing and Livestock Permittee Records

**Description of Records:** Includes case files consisting of authorizing documents, supplements, amendments, correspondence, and related records. Case file includes approved permittee application, supporting documents, and other supplemental information used in determining whether a permit should be issued. Annual record of permitted use - documents permittee, number, and type of livestock allowed to graze, and billing for season.

**Note 1:** Establish files by PERMIT TYPE: Term (Grazing Agreements, Private Land), Temporary, Livestock Use, and Other Permits.

**Note 2:** Arrange case files by name of permittee.

**Note 3:** Transfer any existing hardcopy records to Federal Records Center ten years after file is closed.

**Note 4:** Consider converting active permittee case files to electronic medium. Hardcopy may be destroyed after validating accuracy of electronic copy. Manage electronic copy as official record.

**Note 5:** Official files are managed by Supervisor's Office.

**Note 6:** Duplicate records retained for administrative use must be designated as REFERENCE and destroyed when administrative use ceases, do not transfer duplicate hardcopy or electronic records to FRC.

**Note 7:** Produce all responsive documents in response to litigation for FOIA/PA requests.

**Note 8:** Privacy Act System of Records USDA/FS-14- Grazing Permittees - Individual - NFS covers all or some of the records retained under this file code. Review PA SOR USDA/FS-14 for additional access and storage requirements.

**Note 9:** Includes records previously retained under file codes:

- 2230 - Grazing and Livestock Use Fee Permit System - Permit Case Files.
- 2230 - Grazing and Livestock Use Fee Permit System - Permittee Card File.

**Disposition:** Temporary (see notes). Cutoff after permit closes. Destroy 75 years after cut-off.

**Disposition Authority:** DAA-0095-2018-0030-0002

#### 4. **Subheading: Grazing and Livestock Use Permit System Administrative Records**

**Description of Records:** Files consisting of:

- a. General correspondence and related records too broad to file under specific secondary subject.
- b. Unapproved applications, including the application, supporting documents, and other supplemental information used in determining that a permit should not be issued.

**Note 1:** Files traditionally reside at Supervisor's Office.

**Note 2:** File appeals to grazing boards in pertinent case folders.

**Note 3:** Privacy Act System of Records USDA/FS-14- Grazing Permittees - Individual - NFS covers all or some of the records retained under this file code. Review PA SOR USDA/FS-14 for additional access and storage requirements.

**Note 4:** Includes records previously retained under file codes:

- 2230 - Grazing and Livestock Use Fee Permit System – General.

- 2230 - Grazing and Livestock Use Fee Permit System - Permittee Application Unapproved.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy ten years after cut-off.

**Disposition Authority:** DAA-0095-2018-0030-0002

## **File Code - Heading: 2240 - Range Improvements**

### **1. Subheading: Range Improvement Program Management**

**Description of Records:** Records include:

- a. Files consisting of records pertaining to range improvements too broad to file under a specific 2240 file code category.
- b. Case folders consisting of any correspondence and supporting documentation regarding any complaints or complications resulting from any nonstructural improvements to NFS lands. May include statements and other supporting data and photographs.

**Note:** Includes records previously retained under file codes:

- 2240 - Range Improvements – General.
- 2240 - Range Improvements – Nonstructural.
- 2240 - Range Improvements Nonstructural Incidents.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy ten years after cut-off.

**Disposition Authority:** DAA-0095-2018-0031-0001

### **2. Subheading: Range Invasive Species and Predator Treatments**

**Description of Records:** Records document application on range lands of pesticides and other treatments of woody plants, noxious farm weeds, and other plants, including those of a poisonous variety, rodents, predators, insects, and diseases.

**Note 1:** Case files created when necessary and arranged alphabetically.

**Note 2:** Previous subheading “Pesticides.”

**Disposition:** Temporary (see notes). Cutoff when case file is closed. Destroy 300 years after cut-off.

**Disposition Authority:** N1-95-10-2/88

3. **Subheading: Structural Range Improvements**

**Description of Records:** Documentation regarding structural improvements made to National Forest lands including items such as cattle guards, fences, gates, corrals, and water developments.

**Note 1:** Retain record of authorities and agreements to build structural improvements under various cooperative programs between Forest Service and permittees in the appropriate permittee case folder under file code 2230.

**Note 2:** Previous subheading "Structural."

**Disposition:** Temporary (see notes). Cutoff when structural improvement is completed. Destroy ten years after cut-off.

**Disposition Authority:** N1-95-10-2/90

**File Code - Heading: 2250 - Range Cooperation**

1. **Subheading: Range Advisory Boards**

**Description of Records:** Files include copies of charters, correspondence, notice of meetings, minutes, memberships, rosters, bylaws, and all supporting documentation of business conducted by Grazing Advisory Boards.

**Note 1:** Case files arranged alphabetically by board.

**Note 2:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 3:** If hardcopy records exist, send closed hardcopy records to FRC storage at the end of the FY.

**Note 4:** Previous subheading "Advisory Boards."

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA 15 years after cut-off.

**Disposition Authority:** N1-95-10-6/29

2. **Subheading: Range Cooperative Associations**

**Description of Records:** Information pertaining to various organizations formed by National Forest grazing permittees. Included is documentation such as membership, minutes of meetings, and MOUs, agreements, renewals, and general correspondence.



**Note 1:** Arrange case file by organization name.

**Note 2:** Some files may contain PII, store securely, control access. Privacy Act System of Records USDA/FS-14- Grazing Permittees - Individual - NFS covers all or some of the records retained under this file code. Review PA SOR USDA/FS-14 for additional access and storage requirements.

**Note 3:** Previous subheading "Associations."

**Disposition:** Temporary (see notes). Cutoff after termination of association between Forest Service and organization. Destroy 25 years after cut-off.

**Disposition Authority:** N1-95-10-2/91

3. **Subheading: Range Cooperation Program Administration**

**Description of Records:** Documents too broad to fit into a specific case file concerning various organizations, such as conservation organizations, the Farmer's Union, the Farm Bureau, and other recognized groups that are not specifically chartered.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 25 years after cut-off.

**Disposition Authority:** N1-95-10-4/156

**File Code - Heading: 2260 - Wild Free-Roaming Horses and Burros**

1. **Subheading: Wild Free-Roaming Horses and Burros Program Management**

**Description of Records:** Correspondence and information of a general nature, too broad to fit into a specific case file.

**Note 1:** Store all existing closed hardcopy records at Federal Records Centers.

**Note 2:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 75 years after cut-off.

**Disposition Authority:** N1-95-10-4/157

2. **Subheading: Wild Free-Roaming Horses and Burros Historic Range**

**Description of Records:** All records used as the basis for initial determination of all wild horse and/or burro territories. Records shall include inventories of wild free-roaming horses and burros on given areas of public lands, as defined by the Wild Horses and Burros Protection Act Public Law 92-195 (Pub. L. 92-195), maps of those lands, and any

additional information collected during the initial inventory and mapping activities. The initial inventory and mapping activities should have been completed within 30 months of enactment of Pub. L. 92-195.

**Note 1:** Arrange case files by specific area or territory.

**Note 2:** Original records may be currently filed with forest plan documentation or in other locations. In such cases, a duplicate copy should be retained under this file code and the original should be transferred to NARA.

**Note 3:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 4:** As of 2017, all official records are retained in hardcopy.

**Note 5:** Previous subheading "Historic Range."

**Disposition:** Permanent (see notes). Cutoff after all existing files is closed.

**Disposition Authority:** N1-95-10-2/93

**3. Subheading: Management of Wild Free-Roaming Horses and Burros Designated Ranges**

**Description of Records:** Records pertain to management of Wild Free-Roaming Horses and Burros designated ranges. Records include:

- a. Correspondence and cooperative agreements between Forest Service and other state/local government agencies, permittees, or private landowners regarding maintenance of wild horses and burros.
- b. Case files contain all inventories of horses, statistical data regarding maintenance, studies, and maps; and all documentation regarding use of any specific area for grazing of wild horses in conjunction with multiple use management of public lands, includes adoption, relocation, and final disposal of wild horses. These plans are specifically formulated for individual ranges where overcrowding of wild horses has occurred. The animals are either placed under private maintenance or relocated to other National Forest areas.
- c. Documentation (including correspondence) regarding settlement of any disputes arising out of wild horses causing damage to private lands.
- d. Documentation of joint land management plans for those properties immediately adjacent to National Forests that wild horses use as their natural range.

- e. Cooperative agreements between Forest Service and State livestock boards regarding determination of ownership in cases of dispute.
- f. Management plans concerning those lands specifically designated by the Chief of the Forest Service as having emphasis placed on horse maintenance rather than multiple use.

**Note:** Includes records previously retained under file codes:

- 2260 - Wild Free-Roaming Horses and Burros – Cooperation.
- 2260 - Wild Free-Roaming Horses and Burros - Designated Ranges.
- 2260 - Wild Free-Roaming Horses and Burros - Management Plans - Case Files.
- 2260 - Wild Free-Roaming Horses and Burros - Relocation and Disposal.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which the case file closed, agreement ends, administrative use ceases, plan revised or superseded, or placement action completed.

**Disposition Authority:** DAA-0095-2018-0033-0001

## **File Code - Heading: 2270 - Information Management and Reports (Range)**

### **1. Subheading: Range Management Information System**

**Description of Records:** Includes information maintained regarding database management and operations for applications/systems with data pertaining to forest range, grazing permits, annual grazing authorizations, actual grazing use, and improvements.

**Disposition:** Permanent. Transfer to FRC storage after three years. Transfer to NARA when ten years old.

**Disposition Authority:** N1-95-88-1

### **2. Subheading: Range Management Reports**

**Description of Records:** All 2200 reports, including annual grazing statistical, and final study reports. Includes one-time reports. Maintain separate folders, as needed, by name of report.

**Note 1:** Washington Office maintains record copy.

**Note 2:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 3:** If hardcopy records exist, send closed hardcopy records to FRC storage at the end of the FY.

**Note 4:** Some files may contain PII, store securely, control access.

**Note 5:** Privacy Act System of Records USDA/FS-14- Grazing Permittees - Individual - NFS covers all or some of the records retained under this file code. Review PA SOR USDA/FS-14 for additional access and storage requirements.

**Note 6:** Previous subheading "Reports."

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA 15 years after cut-off.

**Disposition Authority:** N1-95-10-6/31

## **File Code - Heading: 2300 - Recreation, Wilderness, and Related Resource Management**

### **1. Subheading: Recreation, Wilderness, and Related Resource Management**

**Description of Records:** Records include:

- a. Correspondence related to policy, direction, and procedures of recreation management and correspondence too broad to file elsewhere in this series.
- b. Correspondence, policy, direction, and procedures related to the Campground Host Program, volunteers carrying out campground duties, and other volunteer activities administered in conjunction with the Human Resource Volunteers Program.

**Note:** Includes records previously retained under file codes:

- 2300 - Recreation, Wilderness, and Related Resource Management – General.
- 2300 - Recreation, Wilderness, and Related Resource Management – Volunteers.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy three years cutoff.

**Disposition Authority:** DAA-0095-2018-0036-0001

### **2. Subheading: Inquiries**

**Description of Records:** Obsolete. File standard inquiries and responses under file code 6270 - Availability of Records - General Information Requests.

**File Code - Heading: 2310 - Planning and Data Management (Recreation)**

**1. Subheading: Recreation Planning Program Administration Records**

**Description of Records:** Includes general records related to the Land Management Planning process, such as the Recreation Opportunity Spectrum. Planning documents filed under file code 1920.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy three years after cut-off.

**Disposition Authority:** N1-95-10-2/97

**2. Subheading: Subunit Recreation Plans**

**Description of Records:** Composite plans designed to specifically implement the Forest Plan in a subunit of a management area, a specific management area, or any plan that deals with multiple sites.

**Exclusion:** Reports to be integrated into the land management planning process and filed under file code 1920.

**Note 1:** Forest Supervisor/Ranger District (RD) Office maintains official record.

**Note 2:** Previous subheading "Recreation Subunit Plans."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which plan updated or facility ceases to exist. Destroy three years after cutoff.

**Disposition Authority:** N1-95-10-4/160

**3. Subheading: Recreation Resource Information Management**

**Description of Records:** Includes recreation management correspondence and records specifically related to the Land Management Planning Process.

**Note 1:** Washington Office maintains official record.

**Note 2:** Data from 1939 is on microfilm, all record copies of microfilm to be immediately offered to NARA.

**Note 3:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 4:** If hardcopy records exist, send closed hardcopy records to FRC storage at the end of the FY.

**Note 5:** Previous subheading "Resource Information Management."

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-2/96

## **File Code - Heading: 2320 - Wilderness Management**

### **1. Subheading: Designated Wilderness**

**Description of Records:** Case files related to designated wilderness areas and subsequent management activities carried out within wilderness areas. Records consists of correspondence, study report, legal description (map), legislative history, the management plan derived from the Forest Plan and amendments, congressional and public inquiries, and other related records.

**Note 1:** Supervisor's Office maintains official record.

**Note 2:** Establish case files as needed.

**Note 3:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 4:** If hardcopy records exist, send closed hardcopy records to FRC storage at the end of the FY.

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-2/98

### **2. Subheading: Wilderness Management Program Administration**

**Description of Records:** General correspondence related to wilderness management, planning, management of other resources, use of motorized equipment and so forth. File also includes substantive Congressional and other inquiries seeking clarification of Forest Service policies, plans, and decisions; documentation of current issues that may lead to national and regional policy; guidelines, and so forth.

**Note 1:** Organize by subject matter.

**Note 2:** Establish case files as needed and apply the retention period after case file closes.

**Note 3:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy three years after cut-off.

**Disposition Authority:** N1-95-20-1/99

## **File Code - Heading: 2330 - Publicly Managed Recreation Opportunities**

### **1. Subheading: Publicly Managed Recreation Opportunities Program Administration Records**

**Description of Records:** Includes records related to:

- a. The development and management of recreation sites administered by Forest Service,
- b. Recreation fee regulations,
- c. The Annual Report and other statistical data on collection fees for the campgrounds collected annually by the regions for the Department of Interior Annual Report and for forecasting revenues for potential Forest Service legislation.
- d. The Golden Age Passport, Camp Stamp Program, and similar programs.

**Note 1:** Establish folders by subject matter; and case files as needed.

**Note 2:** Includes records previously retained under file codes:

- 2330 - Publicly Managed Recreation Opportunities – General.
- 2330 - Publicly Managed Recreation Opportunities – Reports.
- 2330 - Publicly Managed Recreation Opportunities - Special Programs.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy ten years after cut-off.

**Disposition Authority:** DAA-0095-2018-0038-0001

### **2. Subheading: Recreation Fee Envelopes**

**Description of Records:** Records consist of completed recreation fee permit envelopes (and similar documents) used to collect and/or record the collection of fees associated with visitor day and campground use on Forest Service lands. Information collected includes the amount collected (via envelope or other method), number of days paid,

time and date of purchase, visitor's vehicle license number and registered state, visitor's home zip code, number in party, other charges (if applicable), visitor's Interagency Pass/Golden Passport or Regional Forest Pass Number (if applicable). The information is collected at the recreation site and is used by Forest Service Collection Agents (including Collection Officers), Forest Protection Officers, and Federal Law Enforcement Agents to ensure recreation fee compliance by national forest visitors. Additionally, some information may be recorded and retained by national forest recreation staff and used to monitor national forest visitation patterns.

**Note 1:** Accounts and supporting documents pertaining to American Indians and Alaska Natives are not authorized for disposal. Such records must be retained indefinitely since they may be needed in litigation involving the Federal Government's role as trustee of property held by the Federal Government and managed for the benefit of American Indians. These records include those created under the Alaska Native Claims Settlement Act of 1971 (Pub. L. 92-203, 85 Stat. 688).

**Note 2:** Records schedule approved by GAO and NARA.

**Note 3:** Records originated in hardcopy, will need to be retained electronically (scanned).

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy one year after cut-off.

**Disposition Authority:** N1-95-12-6

### 3. **Subheading: Site Plans for Publicly Managed Recreation Opportunities**

**Description of Records:** Plans for campgrounds, playgrounds, picnic areas, swim sites, boat launches, and other publicly managed recreation sites and visitor information sites.

**Note 1:** Supervisor's or District Ranger's Office maintains official record.

**Note 2:** Establish case files as needed.

**Note 3:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 4:** If hardcopy records exist, send closed hardcopy records to FRC storage at the end of the FY.

**Note 5:** Previous subheading "Site Plans."

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA ten years after cut-off.



**Disposition Authority:** N1-95-10-2/100

**File Code - Heading: 2340 - Privately Provided Recreation Opportunities**

**1. Subheading: Privately Provided Recreation Opportunities - Program Administrative Records**

**Description of Records:** Includes general correspondence related to the development and management of recreation sites administered by private enterprise on the National Forests; records related to concessions, avalanche control, group use by institutions, private recreation uses, and so forth.

**Note 1:** Establish subject matter and case file folders as needed.

**Note 2:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy three years after cut-off.

**Disposition Authority:** N1-95-10-4/164

**2. Subheading: Site Plans for Privately Provided Recreation Opportunities**

**Description of Records:** Plans for ski areas, resorts, and other recreation facilities.

**Note 1:** Official records (including plans) maintained by Supervisor's or Ranger District Office.

**Note 2:** Include copies of site plans in special use case files (file code 2720).

**Note 3:** Previous subheading "Site Plans."

**Disposition:** Temporary (see notes). Cutoff when plan superseded, or site terminated. Destroy three years after cut-off.

**Disposition Authority:** N1-95-10-4/165

**File Code - Heading: 2350 - Trail, River, and Similar Recreation Opportunities**

**1. Subheading: Trail, River, Off-Road Vehicle Use, and Similar Recreation Opportunities Program Administrative Records**

**Description of Records:** Includes records of a general nature pertaining to:

- a. Trail management including forest development, national recreation trails, and national scenic and historic trail administration.

- b. River management including river recreation.
- c. Off-Road Vehicle use management.
- d. Road recreation management, and similar forms of recreation such as hiking, caving, mountaineering, horseback riding, and so forth.
- e. Records also include substantive congressional and other inquiries seeking clarification of Forest Service policies, plans, and decisions.

**Note 1:** Establish subject folders as needed.

**Note 2:** Retain routine Congressional and other inquiries under file code 6270 - Availability of Records - General Information Requests.

**Note 3:** Includes records previously retained under file codes:

- 2350 - Trail, River, and Similar Recreation Opportunities – General.
- 2350 - Trail, River, and Similar Recreation Opportunities - Off-Road Vehicle Use Management.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy ten years after cut-off.

**Disposition Authority:** DAA-0095-2018-0040-0001

## 2. **Subheading: Studies of Trail, River, and Similar Recreation Opportunities**

**Description of Records:** Includes special studies related to internal and external studies of trails, rivers, and other similar recreation activities. File also includes administrative studies and case files for the development of policy and federal regulations. Excludes congressionally mandated studies.

**Note 1:** Organize by case file.

**Note 2:** Retention period begins when case file closed.

**Note 3:** Previous subheading “Studies.”

**Disposition:** Temporary (see notes). Cutoff at end of FY in which the study is completed. Destroy ten years after cut-off.

**Disposition Authority:** N1-95-10-4/168

3. **Subheading: Designated National Recreation Trails**

**Description of Records:** Case files of individual officially designated trails. File includes material related to an establishment report for a designated trail or an associated side or connecting trail.

**Note 1:** Establish case file by trail.

**Note 2:** When the Forest Service is the administering agency, the Supervisor's Office will maintain the official record.

**Note 3:** When another agency is the administering agency, copies are retained for reference only and destroyed when no longer needed. Do not send copies to FRC or NARA.

**Note 4:** Break file every ten years after trail is designated.

**Note 5:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Disposition:** Permanent (see notes). Cutoff after trail is designated. Cutoff file every ten years. Transfer to NARA immediately after cut-off, retain copy for business use.

**Disposition Authority:** N1-95-10-2/101

4. **Subheading: National Scenic and Historic Trails**

**Description of Records:** Case files related to designated National Scenic and Historical Trails or associated side or connecting trails. File contains correspondence, study report, legislative history, plan, official location, Advisory Council, special agreements, partnership groups, and other related records.

**Note 1:** Establish case file by trail.

**Note 2:** When the Forest Service is the administering agency, the Regional/Area Office will maintain the official record.

**Note 3:** When another agency is the administering agency, copies are retained for reference only and destroyed when no longer needed. Do not send copies to FRC or NARA.

**Note 4:** Break file every ten years after trail is designated.

**Note 5:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Disposition:** Permanent (see notes). Cutoff after trail is designated. Cutoff file every ten years. Transfer to NARA immediately after cut-off.

**Disposition Authority:** N1-95-10-2/102

5. **Subheading: Non-Designated Rivers Managed for Recreation Activities**

**Description of Records:** Includes a plan and correspondence related to rivers listed in National Rivers Inventory and other rivers managed for river recreation activities that are not yet designated as “Wild and Scenic Rivers.”

**Note 1:** Establish case file by river.

**Note 2:** Retain records under this records retention schedule until river designated as Wild and Scenic. Once river designated, retain new records for the newly designated Wild and Scenic River under file code 2350 - Trail, River, and Similar Recreation Opportunities - Wild and Scenic Rivers.

**Note 3:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 4:** Previous subheading “Non-Designated Rivers.”

**Disposition:** Permanent (see notes). Cutoff once river is designated as “Wild and Scenic.” Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-5/7

6. **Subheading: Wild and Scenic Rivers**

**Description of Records:** Includes study report and related records, correspondence, river plan, official boundaries, and legislative history. These rivers are designated by Congress as part of the Wild and Scenic River System. Study reports conducted under file code 1920 are to be filed here when designated.

**Note 1:** Establish case file by river.

**Note 2:** When the Forest Service is the administering agency, the Supervisor’s Office will maintain the official record.

**Note 3:** When another agency is the administering agency, copies are retained for reference only and destroyed when no longer needed. Do not send copies to FRC or NARA.

**Note 4:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Disposition:** Permanent (see notes). Cutoff at end of FY. after river is designated. Cutoff file every ten years. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-2/103

7. **Subheading: National Rivers Inventory**

**Description of Records:** Obsolete. File all records under file code 1920 - Land Management Planning - Wild and Scenic River.

**File Code - Heading: 2360 - Heritage Program Management**

1. **Subheading: Heritage Program Management Program Administration**

**Description of Records:** Includes general heritage program correspondence too broad to be filed under a specific subject. Excludes correspondence of permanent value.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy ten years after cut-off.

**Disposition Authority:** N1-95-10-4/169

2. **Subheading: Heritage Program Public Use and Enhancement**

**Description of Records:** Includes records of use and adaptive re-use of cultural resources, volunteer and interpretive programs, and related publications.

**Note 1:** Establish case files by site.

**Note 2:** Screen all pre-1982 files in for Policy and Direction records.

**Note 3:** Do not send to FRC.

**Note 4:** Previous subheading "Public Use and Enhancement."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which case filed closed. Destroy ten years after cut-off.

**Disposition Authority:** N1-95-10-4/174

### 3. Subheading: Heritage Program Consultation

**Description of Records:** Reports prepared for the Advisory Council or Historic Preservation, State, and Tribal Historic Preservation Officers; and Tribes, including evaluation reports, records of test excavations, determinations of eligibility, National Register of Historic Places nominations, mitigation plans, and program plans.

**Note 1:** Establish case files by site.

**Note 2:** Screen all pre-1982 files for “Heritage Program Policy and Direction” records.

**Note 3:** Archaeological and paleontological site and permit information is RESTRICTED unless allowed by agency permit.

**Note 4:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 5:** A scanned, or electronic copy of the records may be retained on site for use by Forest Service personnel for ongoing operations. The copy must be designated as “Reference” or “Working Copy.” The official copy shall be transferred to NARA for preservation.

**Note 6:** Previous subheading “Consultation.”

**Disposition:** Permanent (see notes). Cutoff at end of FY in which project and/or consultation completed. Transfer to NARA 30 years after cut-off. Restrict public access per existing statute and law.

**Disposition Authority:** N1-95-10-4/170

### 4. Subheading: Heritage Program Data Recovery

**Description of Records:** Includes excavation results and findings data forms, photographs of artifacts; records of location and description of artifacts stored in curatorial institutions.

**Note 1:** Establish case files by site.

**Note 2:** Screen all pre-1982 files in for “Heritage Program Policy and Direction” records.

**Note 3:** Archaeological and paleontological site and permit information is RESTRICTED unless allowed by agency permit.

**Note 4:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 5:** A scanned, or electronic copy of the records may be retained on site for use by Forest Service personnel for ongoing operations. The copy must be designated as "Reference" or "Working Copy." The official copy shall be transferred to NARA for preservation.

**Note 6:** Previous subheading "Data Recovery."

**Disposition:** Permanent (see notes). Cutoff at end of FY in which project and/or consultation completed. Transfer to NARA 30 years after cut-off. Restrict public access per existing statute and law.

**Disposition Authority:** N1-95-10-4/171

## 5. Subheading: Identification of Heritage Cultural Resources

**Description of Records:** Overviews, existing data reviews, and field surveys. Includes summaries of cultural resource information by specific areas; site inventory records, site inventory forms, photographs, site maps, descriptions, project inventory records, reports of areas inventoried, resources located; and recommendations.

**Note 1:** Establish case files by site.

**Note 2:** Screen all pre-1982 files in for Policy and Direction records.

**Note 3:** Official records maintained by Regional Office and Supervisor's Office.

**Note 4:** Archaeological and paleontological site and permit information is RESTRICTED unless allowed by agency permit.

**Note 5:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 6:** A scanned, or electronic copy of the records may be retained on site for use by Forest Service personnel for ongoing operations. The copy must be designated as "Reference" or "Working Copy." The official copy shall be transferred to NARA for preservation.

**Note 7:** Previous subheading "Identification."

**Disposition:** Permanent (see notes). Cutoff at end of FY in which project and/or consultation completed. Transfer to NARA 30 years after cut-off. Restrict public access per existing statute and law.

**Disposition Authority:** N1-95-10-4/172

6. **Subheading: Heritage Program Policy and Direction**

**Description of Records:** Includes correspondence related to policy or program direction, directed to other agencies on policy matters, or signed by the Chief of the Forest Service or the Secretary of USDA.

**Note 1:** Transfer closed file to NARA when 15 years old.

**Note 2:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 3:** If hardcopy records exist, send closed hardcopy records to FRC storage at the end of the FY.

**Note 4:** Previous subheading “Policy and Direction.”

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA 15 years after cut-off.

**Disposition Authority:** N1-95-10-6/32

7. **Subheading: Heritage Management Protection and Stewardship**

**Description of Records:** Includes actions taken to protect and maintain cultural resources; including preservation, restoration, rehabilitation, and stabilization.

**Note 1:** Establish case files by site.

**Note 2:** Screen all pre-1982 files in for “Heritage Program Policy and Direction” records.

**Note 3:** Archaeological and paleontological site and permit information is RESTRICTED unless allowed by agency permit.

**Note 4:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 5:** A scanned, or electronic copy of the records may be retained on site for use by Forest Service personnel for ongoing operations. The copy must be designated as



“Reference” or “Working Copy.” The official copy shall be transferred to NARA for preservation.

**Note 6:** If hardcopy records exist, send closed hardcopy records to FRC storage at the end of the FY.

**Note 7:** Previous subheading “Protection and Stewardship.”

**Disposition:** Permanent (see notes). Cutoff at end of FY in which project and/or consultation completed. Transfer to NARA 30 years after cut-off. Restrict public access per existing statute and law.

**Disposition Authority:** N1-95-10-4/173

## **File Code - Heading: 2370 - Special Recreation Designations**

### **1. Subheading: Special Recreation Designation Program**

**Description of Records:** File contains correspondence, study report, legislative history, plan, official location, special agreements, management direction, and other related records.

**Note 1:** Establish files by special designation, such as National Recreation Area, Botanical Area, National Landmarks, National Volcanic Monument, and so forth.

**Note 2:** Regions and Areas maintain official files.

**Note 3:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 4:** If hardcopy records exist, send closed hardcopy records to FRC storage at the end of the FY.

**Note 5:** Previous subheading “General.”

**Disposition:** Permanent (see notes). Cutoff at end of FY in which special designation has been officially approved. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-2/104

## **File Code - Heading: 2380 - Landscape Management**

### **1. Subheading: Landscape Management Program Administration**

**Description of Records:** Includes general correspondence concerning landscape management too broad to be filed under a specific subject.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy three years after cut-off.

**Disposition Authority:** N1-95-10-2/105

2. **Subheading: Landscape Management Mapping and Documentation**

**Description of Records:** Includes maps identifying variety of classes of vegetation and landforms, and documentation of recommended and final visual quality objectives that reflect administration of impacts on Forest Service landscape.

**Note 1:** If records retained in hardcopy, do not send to FRC.

**Note 2:** Previous subheading "Mapping and Documentation."

**Disposition:** Temporary (see notes). Cutoff when maps and recommendations included and/or addressed in forest planning documents. Destroy three years after cut-off.

**Disposition Authority:** N1-95-10-4/175

**File Code - Heading: 2390 - Interpretive Service**

1. **Subheading: Interpretive Service Program Management Records**

**Description of Records:** Records include:

- a. General records pertaining to on-the-ground activities that add to visitor enjoyment, knowledge, or appreciation of National Forests.
- b. Documentation of site-specific facility designs, exhibits, and description of types of interpretive programs being conducted; and
- c. Interpretive Association Report - an internal annual report listing the gross and net sales and loss, new publications donated to the Forest Service, and similar information which is compiled from field unit reports and consolidated in the Washington Office.

**Note:** Includes records previously retained under file codes:

- 2390 - Interpretive Service – General.
- 2390 - Interpretive Service – Plans.
- 2390 - Interpretive Service – Reports.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy ten years after cut-off.

**Disposition Authority:** DAA-0095-2018-0042-0001

**File Code - Heading: 2400 - Forest Management**

**1. Subheading: Forest Management Program Administration**

**Description of Records:** Correspondence and Congressional of a routine nature related to forest management and other records too broad to be filed under a specific subject heading.

**Exclusion:** Screen this file annually for records to go under file code 2400 - Forest Management - Forest Management Policy.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy five years after cut-off.

**Disposition Authority:** N1-95-10-4/179

**2. Subheading: Forest Management Studies**

**Description of Records:** Administrative studies addressing operational problems, guidelines, technical evaluations of applications designed to answer specific management problems. Include correspondence, reports, and other records.

**Note:** Previous subheading "Studies."

**Disposition:** Temporary (see notes). Cutoff when study completed. Destroy five years after cut-off.

**Disposition Authority:** N1-95-10-2/106

**3. Subheading: Inquiries**

**Description of Records:** Obsolete. File standard inquiries and responses under file code 6270 - Availability of Records - General Information Requests.

**4. Subheading: Forest Management Policy**

**Description of Records:** Includes correspondence relating to forest management policies, program, and direction; policy signed by the Chief of the Forest Service or by the Secretary of USDA. File also includes Congressional of a substantive nature that require more than a routine response; correspondence from private sector organizations and individuals seeking clarification on Forest Service Forest Management policy, plans, and decisions.

**Note 1:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 2:** If hardcopy records exist, send closed hardcopy records to FRC storage at the end of the FY.

**Note 3:** Previous subheading "Policy."

**Disposition:** Permanent (see notes). Cutoff at end of FY. Every five years. Transfer to NARA 15 years after cut-off.

**Disposition Authority:** N1-95-10-6/33

5. **Subheading: Forest Management Special Projects**

**Description of Records:** Includes general correspondence, periodic reports and other records related to special projects with broad application across forest management functions such as Heli-Stat, CycloCrane, and so forth. Offer records to NARA when the project is completed, and the records are no longer needed in the Agency.

**Note 1:** Organize by case file by project name.

**Note 2:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 3:** Previous subheading "Special Projects."

**Note 4:** If hardcopy records exist, send closed hardcopy records to FRC storage at the end of the FY.

**Disposition:** Permanent (see notes). Cutoff when project ends. Transfer to NARA 15 years after cut-off.

**Disposition Authority:** N1-95-10-6/34

**File Code - Heading: 2410 - Timber Resource Management Planning**

1. **Subheading: Timber Resource Management Planning Program Administration**

**Description of Records:** Includes correspondence related to timber management planning process; congressional and public inquiries about inventories (including surveys), land suitability and allowable sale quantity; records pertaining to the planning and establishment of sustained yield units; and other related records. Establish subject folders as needed.

**Note 1:** File sustained-yield unit case files under the appropriate file item in file code 2460 - Uses of Timber Other Than Commercial and apply the retention period.

**Note 2:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy five years after cut-off.

**Disposition Authority:** N1-95-10-2/108

## 2. Subheading: Timber Management Plans (pre-1991 only)

**Description of Records:** (Obsolete) The Final Plan and amendments for the management of timber resources on the National Forests. These plans have a ten-year cycle. Some may predate 1960. Since timber management plans are no longer generated this is a closed series.

**Note:** Offered all pre-1991 Final Plans and amendments to NARA in 1991.

**Disposition:** Permanent (see notes). Transfer immediately to NARA.

**Disposition Authority:** N1-95-10-2/107

## File Code - Heading: 2420 - Timber Appraisals

### 1. Subheading: Timber Appraisal Methods

**Description of Records:** Includes general correspondence and other records related to the theory and application of appraisal methods and approvals for use.

**Note 1:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 2:** If hardcopy records exist, send closed hardcopy records to FRC storage at the end of the FY.

**Note 3:** Previous subheading "Appraisal Methods."

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA 15 years after cut-off.

**Disposition Authority:** N1-95-10-6/36

## 2. Subheading: Timber Appraisal Program Administration

**Description of Records:** Records include:

- a. **Appraisal Data:** General program correspondence, including correspondence and comments related to the management of the timber appraisal program.
- b. **General Information:** Records related to all price and cost components, or factors involved in the timber appraisal.
- c. **Price, Supply, and Demand Trends:** Data series, graphic displays, background material, historical and projected trends, correspondence, and other records pertaining to market conditions and appraisal relationships.
- d. **Profits, Stumpage, and Base Period:** Correspondence and other records related to the development and use of profits and risk, stumpage value and base periods, and vase period value appraisal items.
- e. **Rate Redetermination, Damage Appraisal, and Stumpage Rate:** Correspondence and other records, including instructions, related to rate determination, damage, comparison, standard price appraisals, and stumpage rate adjustments.
- f. **Reports:** Development of appraisals and appraisal reports not covered in individual timber sale case records.
- g. **Selling Values and Costs:** Development of tables, graphs, and instructions for use of selling values and production cost appraisal items.

**Note 1:** Create subject files as needed.

**Note 2:** Includes records previously retained under file codes:

- 2420 - Timber Appraisals - Appraisal Data.
- 2420 - Timber Appraisals – General.
- 2420 - Timber Appraisals - Price, Supply, and Demand Trends.
- 2420 - Timber Appraisals - Profits, Stumpage, and Base Period.
- 2420 - Timber Appraisals - Rate Redetermination, Damage Appraisal and Stumpage Rate.
- 2420 - Timber Appraisals – Reports.
- 2420 - Timber Appraisals - Selling Values and Costs.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 30 years after cut-off.

**Disposition Authority:** DAA-0095-2018-0043-0001

### 3. Subheading: Timber Appraisal Studies

**Description of Records:** Includes records related to both internal and external studies of appraisals and appraisal methods; as well as records related to studies including index sales involving appraisal data.

**Note 1:** Create subject files as needed.

**Note 2:** Includes records previously retained under file codes:

- 2420 - Timber Appraisals - Appraisal Method Studies.
- 2420 - Timber Appraisal – Studies.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which study ends. Destroy 30 years after cut-off.

**Disposition Authority:** DAA-0095-2018-0043-0002

## File Code - Heading: 2430 - Commercial Timber Sales

### 1. Subheading: Commercial Timber Sale Policy

**Description of Records:** Records regarding interpretation and/or development of policies associated with commercial timber sales, including responses to Congressional correspondence.

**Note 1:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 2:** If hardcopy records exist, send closed hardcopy records to FRC storage at the end of the FY.

**Note 3:** Previous subheading “Policy.”

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA 15 years after cut-off.

**Disposition Authority:** N1-95-10-6/38

### 2. Subheading: Commercial Timber Sale Preparation, Advertisement, and Award - Small Business Programs

**Description of Records:** Includes the development and administration of the sale program set aside for small business. This involves five-year re-computation of shares, protests of size class, semi-annual analysis procedures, Special Salvage Timber Sale program, and reports.

**Note 1:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 2:** If hardcopy records exist, send closed hardcopy records to FRC storage at the end of the FY.

**Note 3:** Previous subheading "Preparation, Advertisement, and Award - Small Business Programs."

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA 15 years after cut-off.

**Disposition Authority:** N1-95-10-6/39

3. **Subheading: Commercial Timber Sale Preparation, Advertisement, and Award - Debarment and Suspension Cases**

**Description of Records:** Case files which document firms or individuals that have been recommended for suspension or debarment under Title 2, Code of Federal Regulations, Part 180—OMB Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement) (2 CFR 180) and Title 2, code of Federal Regulations, Part 417--nonprocurement debarment and suspension replaces the existing USDA implementation of the governmentwide common rule 2 CFR 417. Close file when debarring officer decides not to suspend or debar or when debarment period has expired.

**Note:** Previous subheading "Preparation, Advertisement, and Award - Debarment and Suspension Cases."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which case file closed. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-10-4/191

4. **Subheading: Commercial Timber Sales Program Administrative Records**

**Description of Records:** Includes records pertaining to:

- a. Change in Status: Includes adjustment and extension, modification and assignments, termination, cancellation, and damages.
- b. General: Includes authorizations and correspondence related to policies for commercial timber sales.



- c. Preparation, Advertisement, and Award: Includes developing the five-to-ten-year timber sale program, environmental assessment of sales, layout of sale units and transportation facilities, preparation of prospectus and advertisement, and meeting all requirements for awarding the sale.
- d. Preparation, Advertisement, and Award - Debarment and Suspension: Includes general correspondence, policy and direction concerning debarment and suspension of bidders under 2 CFR 180 and 2 CFR 417, and letters from OGC, except those pertaining to specific cases.
- e. Timber Export Restrictions: Includes policy, administration, reports, and other records related to timber export restrictions.
- f. Timber Sale Administration: Includes general correspondence regarding contract compliance, deposits, payments, and road loans.
- g. Wood Residue Utilization Program: Includes proposals, plans, general correspondence and records related to the project implementation concerning the wood utilization program. Also includes personal use charge firewood program.

**Note 1:** Establish case and subject files as needed.

**Note 2:** Includes records previously retained under file codes:

- 2430 - Commercial Timber Sales - Change in Status.
- 2430 - Commercial Timber Sales – General.
- 2430 - Commercial Timber Sales - Preparation, Advertisement and Award.
- 2430 - Commercial Timber Sales - Preparation, Advertisement, and Award - Debarment and Suspension.
- 2430 - Commercial Timber Sales - Timber Export Restrictions.
- 2430 - Commercial Timber Sales - Timber Sale Administration.
- 2430 - Commercial Timber Sales - Wood Residue Utilization Program.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which administrative use ceases. Destroy 30 years after cut-off.

**Disposition Authority:** DAA-0095-2018-0045-0001

## **File Code - Heading: 2440 - Designating, Cruising, Scaling, and Accountability**

### **1. Subheading: Designating, Cruising, Scaling, and Accountability Management**

**Description of Records:** Records pertain to the following timber management activities:

- a. Designation: Marking individual trees or units of trees to carry out the silvicultural prescriptions.

- b. Development of marking rules, programs, scaling handbooks and procedures.
- c. General correspondence and other records related to the basic authority and policy for designation and measuring trees and forest products, including descriptions of criteria for presale measurement sales.
- d. Cruising, scaling, and other records related to the measurement systems involved in cruising, tree measurement sales, and scaling and measurement certifications.
- e. Check Scale and Log Accountability Reports which contain volume determination records for presale and scaling needs.

**Note 1:** Scale and cruise records and reports pertaining to individual timber disposal cases should be filed in appropriate file code 2450 or 2460 case files.

**Note 2:** Create subject files as needed.

**Note 3:** Includes records previously retained under file codes:

- 2440 - Designating, Cruising, Scaling, and Accountability – Designation.
- 2440 - Designating, Cruising, Scaling, and Accountability – Development.
- 2440 - Designating, Cruising, Scaling, and Accountability – General.
- 2440 - Designating, Cruising, Scaling, and Accountability – Measurement.
- 2440 - Designating, Cruising, Scaling, and Accountability – Reports.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which administrative use ceases. Destroy 30 years after cut-off.

**Disposition Authority:** DAA-0095-2018-0047-0001

## **File Code - Heading: 2450 - Timber Sale Contract Administration**

### **1. Subheading: Timber Sale Contract Administration Program Management Records**

**Description of Records:** Records pertain to general timber sale contract administration program management, including:

- a. Development: Records related to the development of new or revised provisions, contract, and permit forms (NARA exempted this item from GRS).
- b. General documentation associated with timber sale contract administration.
- c. Preparation and Interpretation: Records related to the preparation and interpretation of standard contract and permit forms.

**Note:** Includes records previously retained under file codes:

- 2450 - Timber Sale Contract Administration – Development.
- 2450 - Timber Sale Contract Administration – General.
- 2450 - Timber Sale Contract Administration - Preparation and Interpretation.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which administrative use ceases. Destroy 30 years after cut-off.

**Disposition Authority:** DAA-0095-2018-0049-0001

## 2. Subheading: Timber Sale Contract Administration Policy

**Description of Records:** Records regarding interpretation and/or development of policies associated with timber sale contract administration, including responses to Congressional correspondence.

**Note 1:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 2:** If hardcopy records exist, send closed hardcopy records to FRC storage at the end of the FY.

**Note 3:** Previous subheading “Policy.”

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA 15 years after cut-off.

**Disposition Authority:** N1-95-10-6/41

## 3. Subheading: Timber Sale Contracts

**Description of Records:** Case files, financial analyses files containing correspondence and records pertaining to the sale, award, and administration of individual timber sales. Includes the Timber Sale Statement of Account and Synopsis, which shall be retained with contract.

**Note 1:** Screen closed timber sale contract case file for title evidence. Transfer any title records to file code 5590 - Landownership Status - Landownership Status Title and follow retention instructions. Planning office should also review files prior to destruction to determine if information is still of value, or historically significant.

**Note 2:** NARA exempted this item from GRS.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which case file closed. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-10-4/202

4. **Subheading: Timber Sale Permits**

**Description of Records:** Case files, containing correspondence and records pertaining to the preparation and administration of individual permits for the sale of timber, firewood, Christmas trees, or other forest products.

**Disposition:** Temporary. Cutoff at end of FY in which case file closed. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-10-4/2013

**File Code - Heading: 2460 - Uses of Timber Other Than Commercial Timber Sales**

1. **Subheading: Administrative Use, Miscellaneous Products, Free Use, and Settlement Records for Uses of Timber Other Than Commercial Timber Sales**

**Description of Records:** Case files containing correspondence, direction, and information by specific use as in disaster relief, free use and administration, timber settlement, timber selected and offered in exchange, sales of seized and innocent trespass materials, sales of other forest products and timber property sales.

**Note:** Previous subheading "Administrative Use, Miscellaneous Products, Free Use, Settlement."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which case file closed. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-10-4/205

2. **Subheading: Uses of Timber Other Than Commercial Timber Sales Program Administration**

**Description of Records:** Includes general correspondence, inquiries, policy, and direction related to administrative use, miscellaneous products, free use, settlement, and sustained yield units.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-10-4/204

3. **Subheading: Sustained-Yield Units for Uses of Timber Other Than Commercial Timber Sales Program**

**Description of Records:** Case files containing general correspondence, direction, and information. Set up case folders by units.

**Note 1:** Records usually maintained by Regional Office.

**Note 2:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 3:** If hardcopy records exist, send closed hardcopy records to FRC storage at the end of the FY.

**Note 4:** Destroy all reference copies five years after case file closed.

**Note 5:** Previous subheading "Sustained-Yield Units."

**Disposition:** Permanent (see notes). Cutoff at end of FY in which case file closed.

**Disposition Authority:** N1-95-10-2/109

**File Code - Heading: 2470 - Silvicultural Practices**

1. **Subheading: Silvicultural Programs**

**Description of Records:** Records pertain to the following silvicultural practices and topics:

- a. Examination and Prescription: Examination/Prescriptions, Stand Modeling and Stocking Levels, Training and Certification.
- b. Forest Tree Improvement: Includes correspondence, reports and other records related to tree improvement program.
- c. Forest Tree Nurseries: Includes correspondence, reports and other data on the construction, development, improvement of nurseries.
- d. General Program Administration: Includes general records, including correspondence, related to silvicultural practices in the Forest Service and outside of the Agency.
- e. Reforestation: Correspondence and reports concerning all aspects of site preparation, protection of reforestation and committees working on reforestation matters.

- f. Silvicultural Systems and Related Cutting Methods: Includes records related to even and uneven aged management, clearcutting, shelter wood, seed tree, thinning, selection, salvage and so forth.
- g. Timber Stand Improvement: Reports related to release, thinning, pruning, fertilization and pesticides.
- h. Tree Seeds: Correspondence, reports and surveys related to the tree improvement program.

**Note 1:** Create subject files as needed.

**Note 2:** Includes records previously retained under file codes:

- 2470 - Silvicultural Practices - Examination and Prescription.
- 2470 - Silvicultural Practices - Forest Tree Improvement.
- 2470 - Silvicultural Practices - Forest Tree Nurseries.
- 2470 - Silvicultural Practices – General.
- 2470 - Silvicultural Practices – Reforestation.
- 2470 - Silvicultural Practices - Silvicultural Systems and Related Cutting Methods.
- 2470 - Silvicultural Practices - Timber Stand Improvement.
- 2470 - Silvicultural Practices - Tree Seeds.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which administrative use ceases. Destroy 30 years after cut-off.

**Disposition Authority:** DAA-0095-2018-0052-0001

## 2. Subheading: Silvicultural Practices Policy

**Description of Records:** Includes correspondence related to policy including interpretation and implementation of National Forest Management Act and NEPA.

**Note 1:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 2:** If hardcopy records exist, send closed hardcopy records to FRC storage at the end of the FY.

**Note 3:** Previous subheading “Policy.”

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA 30 years after cut-off.

**Disposition Authority:** N1-95-10-6/42

3. **Subheading: Silvicultural Practices Associated with Tree Seed and Forest Tree Nursery Cases**

**Description of Records:** Case files containing:

- a. **Tree Seeds Cases:** Records pertain to seed production plans, reports on production of orchards, and general documentation including correspondence.
- b. **Forest Tree Nursery Cases:** Records include correspondence, reports, and documentation related to specific nurseries.

**Note 1:** Create case files as needed.

**Note 2:** Includes records previously retained under file codes:

- 2470 - Silvicultural Practices - Tree Seeds – Cases.
- 2470 - Silvicultural Practices - Forest Tree Nurseries – Cases.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which case file closed. Destroy 30 years after cut-off.

**Disposition Authority:** DAA-0095-2018-0052-0002

**File Code - Heading: 2480 - Protection of Timber Sale Areas and Timberlands**

1. **Subheading: Protection of Timber Sale Areas and Timberlands Program**

**Description of Records:** Includes general correspondence related to reduction of risks, hazards, erosion control and other silvicultural practices.

**Note:** Previous subheading “General.”

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy five years after cut-off.

**Disposition Authority:** N1-95-10-2/110

**File Code - Heading: 2490 - Timber Management Information System**

1. **Subheading: Timber Management Information System Administration**

**Description of Records:** Includes general records, including correspondence and all related documents (unstructured data), not stored within a Forest Management Information System database, and related to any of the Forest Management Information Systems.

**Note 1:** Privacy Act System of Records USDA/Forest Service-24 - Special Use Authorizations covers all or some of the records retained under this file code. Review PA SOR USDA/Forest Service-24 for additional access and storage requirements.

**Note 2:** Some records may contain PII, store in a secure location, and restrict access.

**Note 3:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 4:** If hardcopy records exist, send closed hardcopy records to FRC storage at the end of the FY.

**Note 5:** Database system/application repositories scheduled separately.

**Note 6:** Previous subheading "General."

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-5/8

## **File Code - Heading: 2500 - Watershed and Air Management**

### **1. Subheading: Watershed and Air Management General Program Administration**

**Description of Records:** Includes general correspondence related to responsibilities, coordination with other resource management, and correspondence too broad to be filed under a specific subject heading.

**Note 1:** Screen all folders in file code 2500 series for significant correspondence and documentation for NFS Watershed case files on selected watersheds. If found, retain under file code 2510 - Watershed Planning - NFS Watershed Case Files.

**Note 2:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy three years after cut-off.

**Disposition Authority:** N1-95-10-2/111

### **2. Subheading: Inquiries**

**Description of Records:** Obsolete. File standard inquiries and responses under file code 6270 - Availability of Records - General Information Requests.



**File Code - Heading: 2510 - Watershed Planning**

**1. Subheading: Watershed Planning Administrative Records**

**Description of Records:** Includes general correspondence, inventories, reports, and other records documenting watershed improvement plans for long-term improvement activities for burn areas, storm and flood areas, and damage from geologic agents, avalanches, and natural disasters.

**Note 1:** Soil and Water Surveys for National Assessments are filed under file code 1910- National Resource Planning - National Resource Planning Program Administration

**Note 2:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-10-4/216

**2. Subheading: NFS Watershed Case Files**

**Description of Records:** Includes case files on selected watersheds which document the watershed condition, water resource history, past events that influence current watershed conditions; provides a data base for support services, soil and water inventories, and assigning watershed priorities. The documentation may include reports on water resource developments, support services, water, soil, and resource inventories, hydrologic analyses, and other documentation that characterizes the condition of the watershed. Establish case files according to the NFS coding system.

**Note 1:** Screen all folders in file code 2500 series for significant correspondence and documentation for NFS Watershed case files on selected watersheds. If found, retain under file code 2510 - Watershed Planning - NFS Watershed Case Files.

**Note 2:** Files generally located at Supervisor or Ranger District Office.

**Note 3:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 4:** If hardcopy records exist, send closed hardcopy records to FRC storage at the end of the FY.

**Note 5:** Screen file code 2520 - Watershed Protection and Management - Burned Area Emergency Response for records appropriate for inclusion in this file.

**Disposition:** Permanent (see notes). Cutoff at end of FY. every ten years. Make copy for administrative reference. Transfer to NARA immediately after cut-off.

**Disposition Authority:** N1-95-10-2/112

**3. Subheading: Watershed Planning Projects**

**Description of Records:** Case files containing evaluations of damage, request for funding, allocations of damage of approved projects, and follow-up reports.

**Disposition:** Temporary. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-10-4/217

**File Code - Heading: 2520 - Watershed Protection and Management**

**1. Subheading: Watershed Protection, Surveys, and Monitoring**

**Description of Records:** Records include records pertaining to the following watershed activities:

- a. **Floodplain and Wetland Protection:** Case files include documentation on floodplain management and wetland protection.
- b. **Natural Disaster and Flood Damage Surveys:** Case files contain information on damage estimates, photos, copies of requests for funding, and related records.
- c. **Watershed Monitoring Plans:** Case files containing plans and other documentation evaluating the effects of management activities of a resource.

**Note 1:** Screen files for documents deemed necessary for the file code 2510 - Watershed Planning - NFS Watershed Case Files. Apply retention period to remainder of documents.

**Note 2:** Retain any existing hardcopy watershed monitoring plan records in office, do not send to FRC storage.

**Note 3:** Includes records previously retained under file codes:

- 2520 - Watershed Protection and Management - Floodplain and Wetland Protection.
- 2520 - Watershed Protection and Management - Natural Disaster and Flood Damage Surveys.
- 2520 - Watershed Protection and Management - Monitoring Plans.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which case file closed. Destroy 30 years after cut-off.

**Disposition Authority:** DAA-0095-2018-0054-0001

## 2. Subheading: Burned Area Emergency Response

**Description of Records:** Includes Burned Area Emergency Response (BAER) case files which document emergency response burn area reports, requests for funding, and all records pertaining to project.

**Note 1:** Screen files for documents deemed necessary for the file code 2510 - Watershed Planning - NFS Watershed Case Files. Apply retention period to remainder of documents.

**Note 2:** Retain a copy of the Burned Area Emergency Response (BAER) report in the applicable incident file maintained under file code 5180 - Fire Package - Fire Incident History File.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which maintenance and evaluation are no longer applied.

**Disposition Authority:** N1-95-10-4/219

## 3. Subheading: Watershed Support, Improvements, and Emergency Rehabilitation

**Description of Records:** Case files containing documentation of implementation, maintenance, and evaluation of watershed improvement projects and rehabilitation programs; and special watershed management services required to fulfill a watershed role when another activity is occurring such as a timber sale.

**Note 1:** Create case files as needed.

**Note 2:** Screen files for documents deemed necessary for the file code 2510 - Watershed Planning - NFS Watershed Case Files. Apply retention period to remainder of documents.

**Note 3:** Includes records previously retained under file codes:

- 2520 - Watershed Protection and Management - Support Services.
- 2520 - Watershed Protection and Management - Watershed Improvement.
- 2520 - Watershed Protection and Management - Watershed Improvement - Cooperative Emergency Watershed Rehabilitation.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which maintenance and evaluation are no longer applied. Destroy 30 years after cut-off.

**Disposition Authority:** DAA-0095-2018-0054-0002

4. **Subheading: Watershed Protection and Management Administrative Records**

**Description of Records:** Includes general correspondence, memorandums and reports related to implementation of watershed improvement projects, and support services to other resource management activities that do not fit under a specific case file.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 30 years after cut-off.

**Disposition Authority:** Pending

5. **Subheading: Riparian Areas**

**Description of Records:** Includes general correspondence on policy, delineation of areas, management, guidelines of areas having distinctive resource values and characteristics that comprise riparian ecosystems; file also contains direction and guidelines for stream and lake classification.

**Note 1:** Permanent hardcopy records may be microfilmed.

**Note 2:** If hardcopy permanent records are microfilmed, transfer the hardcopy records to NARA in accordance with the approved disposition once the microfilm is verified. Retain the microfilm copies in agency and destroy when no longer needed for administrative use.

**Note 3:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 4:** If hardcopy records exist, send closed hardcopy records to FRC storage at the end of the FY.

**Note 5:** Screen all folders in file code 2500 series for significant correspondence and documentation for NFS watershed case files on selected watersheds. If found, retain under file code 2510 - Watershed Planning - NFS Watershed Case Files.

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-5/9

6. **Subheading: Watershed Condition Assessment**

**Description of Records:** Includes general correspondence related to guidelines, procedures, criteria, and standards for classifying watershed conditions.

**Note 1:** Screen all folders in file code 2500 series for significant correspondence and documentation for NFS watershed case files on selected watersheds. If found, retain under file code 2510 - Watershed Planning - NFS Watershed Case Files.

**Note 2:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 3:** If hardcopy records exist, send closed hardcopy records to FRC storage at the end of the FY.

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA 15 years after cut-off.

**Disposition Authority:** N1-95-10-6/43

## **File Code - Heading: 2530 - Water Resource Management**

### **1. Subheading: Water Resource Management Case Files**

**Description of Records:** Consists of case files containing records pertaining to:

- a. Barometer Watersheds: Includes documentation that measures the impact of watershed practices on water resources for typical watershed sites. Case studies include the plan of work, standards of operation, reports, and so forth.
- b. Cooperative Water-Related Activities: Includes flood forecasting, weather modification, and water measurement.
- c. Out-service Water Resource Development: Includes River basin programs, advisory committee, and coordination with other agencies; and out-service water development projects.
- d. Water Quality Management: Interpretative reports based on analyses of water quality data.
- e. Water Resource Investigations: Collection data necessary for conducting forest management planning implementation; data includes surface and ground water supplies, climate, water quality, terrestrial features, hydrologic surveys, and so forth.

**Note 1:** Screen files for documents deemed necessary for the file code 2510 - Watershed Planning - NFS Watershed Case Files. Apply retention period to remainder of documents.

**Note 2:** Maintain existing barometer watershed, water quality management, and water resource investigation hardcopy records on site, do not send to FRC.

**Note 3:** Retention period begins when case file closed.

**Note 4:** Includes records previously retained under file codes:

- 2530 - Water Resource Management - Barometer Watersheds.
- 2530 - Water Resource Management - Cooperative Water-Related Activities.
- 2530 - Water Resource Management - Out Service Water Resource Development.
- 2530 - Water Resource Management - Water Quality Management.
- 2530 - Water Resource Management - Water Resource Investigations.
- 2530 - Water Resource Management.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which case file closed. Destroy 30 years after cut-off.

**Disposition Authority:** DAA-0095-2015-0055-0001

## 2. Subheading: Water Resource Management Administrative Records

**Description of Records:** Includes general correspondence and other records too broad for a specific case file that relates to water resource inventories, hydrologic inventories, water resource management, barometer watersheds and water resource management support services.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-10-4/226

## File Code - Heading: 2540 - Water Uses and Development

### 1. Subheading: Municipal Supply Watersheds - Executive Order, Presidential Proclamation, Legislation, Secretary

**Description of Records:** Includes agreement that specifies terms under which Forest Service conducts activities with municipalities; some are congressional. Case file contains management plans, specific management classification, and notice of restrictions, boundary posting records, maps, and inspection.

**Note 1:** Establish case files as needed.

**Note 2:** Official record resides at Forest Supervisor's Office.

**Note 3:** All Offices - when the agreement is signed, send file(s) to the appropriate Supervisor's Office for consolidation into case file.

**Note 4:** Screen files for documents deemed necessary for the file code 2510 - Watershed Planning - NFS Watershed Case Files. Apply retention period to remainder of documents.

**Note 5:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 6:** If hardcopy records exist, send closed hardcopy records to FRC storage at the end of the FY.

**Disposition:** Permanent (see notes). Cutoff at end of FY in which agreement is signed. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-2/113

2. **Subheading: Municipal Supply Watersheds- Regional Office/Supervisor's Office**

**Description of Records:** Records pertain to watersheds created by regions and Supervisor's Offices (not by Legislative Action) that provide the principal source of community water; encouragement provided to municipalities to provide adequate and appropriate water treatment; and costs associated with unusually restrictive practices required to meet state-approved Best Management Practices for protection of surface water.

**Note 1:** Screen files for documents deemed necessary for the file code 2510 - Watershed Planning - NFS Watershed Case Files. Apply retention period to remainder of documents.

**Note 2:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 3:** If hardcopy records exist, send closed hardcopy records to FRC storage at the end of the FY.

**Disposition:** Permanent (see notes). Cutoff at end of FY in which administrative use ceases. Transfer to NARA 15 years after cut-off.

**Disposition Authority:** N1-95-10-6/44

3. **Subheading: Water Rights Case Files**

**Description of Records:** Includes case files documenting water right use. File contains the original permits, licenses, reserved water right notification, court decrees, proof of shares, and other records verifying water right use. Also includes background and working papers.

**Note 1:** Screen files for documents deemed necessary for the file code 2510 - Watershed Planning - NFS Watershed Case Files. Apply retention period to remainder of documents.

**Note 2:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 3:** If hardcopy records exist, send closed hardcopy records to FRC storage at the end of the FY.

**Note 4:** Previous subheading "Water Rights."

**Disposition:** Permanent (see notes). Cutoff at end of FY in which case file closed. Transfer to NARA 15 years after cut-off.

**Disposition Authority:** N1-95-10-6/45

4. **Subheading: Water Rights - Water Uses Rights and Requirements**

**Description of Records:** Includes inventory files on water uses, water requirements, and water rights which are needed for the planning and implementation of program on NFS lands. Database outputs are selected data in the form of basic statistical or summary reports and may be maintained electronically.

**Note 1:** Database repositories scheduled separately.

**Note 2:** All offices retain printouts as reference, destroy when no longer needed.

**Note 3:** Source documents may be destroyed once data is transferred to the inventory database.

**Note 4:** Screen files for documents deemed necessary for the file code 2510 - Watershed Planning - NFS Watershed Case Files. Apply retention period to remainder of documents.

**Note 5:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.



**Note 6:** If hardcopy records exist, send closed hardcopy records to FRC storage at the end of the FY.

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-2/114

5. **Subheading: General Water Rights Denials, Cancellations, Uses of Others, and Program Management Records**

**Description of Records:** Records include:

- a. **Water Rights:** Denials or Cancellations: Closed cases involving denials or cancellations of applications.
- b. **Water Uses of Others:** Case files documenting dispute between Forest Service and private or non-Federal users of water on or affecting National Forest lands. The file contains an application, protest letter to the State agency, and other records related to the dispute.
- c. **General Program Management Records:** Includes general correspondence, memorandums, and other records too broad to fit under a specific subject heading that relate to National Forest water rights; outside request for changes in policy; in-Service request for clarification of policy for authorization to assert claims under certain authorities or to use specific quantification methodologies; municipal supply watersheds, and water quality management.

**Note 1:** Screen files for documents deemed necessary for the file code 2510 - Watershed Planning - NFS Watershed Case Files. Apply retention period to remainder of documents not moved to file code 2510 - NFS Watershed case files. Screen files for documents deemed necessary for file code 2510 NFS watershed case files. Apply retention period to remainder of documents not moved to file code 2510 NFS Watershed case files.

**Note 2:** Includes records previously retained under file codes:

- 2450 - Water Uses and Development – General.
- 2450 - Water Uses and Development - Water Rights - Denials or Cancellations.
- 2450 - Water Uses and Development - Water Uses of Others.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which case file closed.

**Disposition Authority:** DAA-0095-2018-0056-0001

**File Code - Heading: 2550 - Soil Management**

**1. Subheading: Soil Management Programmatic Records**

**Description of Records:** Correspondence, memorandums, and other records pertaining to soil management which do not fit under a specific secondary subject heading.

**Note 1:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-10-6/48

**2. Subheading: Soil Management Resource Inventories**

**Description of Records:** Includes soil resource inventory reports and supporting documentation.

**Note 1:** Screen files for documents deemed necessary for the NFS watershed case files. Apply retention period to remainder of documents not moved to file code 2510 - Watershed Planning - NFS Watershed Case Files.

**Note 2:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 3:** If hardcopy records exist, send closed hardcopy records to FRC storage at the end of the FY.

**Disposition:** Permanent (see notes). Cutoff at end of FY in which administrative use ceases. Transfer to NARA 15 years after cut-off.

**Disposition Authority:** N1-95-10-6/49

**3. Subheading: Soil Interpretation Case Files**

**Description of Records:** Case files include documentation related to soil management support services, soil quality monitoring, special soil investigations, soil interpretations, and cooperative soil programs.

**Note 1:** Screen files for documents deemed necessary for the NFS watershed case files. Apply retention period to remainder of documents not moved to file code 2510 - Watershed Planning - NFS Watershed Case Files.

**Note 2:** Previous subheading "Soil Interpretation."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which administrative use ceases. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-10-6/50

**File Code - Heading: 2560 - Groundwater Resource Management**

**1. Subheading: Groundwater Authorizations**

**Description of Records:** Includes records pertaining to proposals, applications, and special use authorizations that involve water extraction or injection wells on or water pipelines crossing NFS Lands.

**Note 1:** Create case files as needed.

**Note 2:** Accounts and supporting documents pertaining to American Indians and Alaska Natives are not authorized for disposal. Such records must be retained indefinitely since they may be needed in litigation involving the Federal Government's role as trustee of property held by the Federal Government and managed for the benefit of American Indians. These records include those created under the Alaska Native claims Settlement Act of 1971 (Pub. L. 92-203, 85 Stat. 688).

**Note 3:** Pre-existing records may currently be retained under other 2500 series file code categories, and/or other file code categories associated with grazing, special uses, minerals and geology, recreation, and so forth. As applicable, ensure a copy of pre-existing records is retained under the appropriate 2560 file code category.

**Note 4:** Previous subheading "Authorizations."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which the authorization expires. Destroy 50 years after cut-off.

**Disposition Authority:** N1-95-10-10/2

**2. Subheading: Groundwater Projects, Including Cleanup**

**Description of Records:** Records pertain to:

- a. Groundwater resources associated with specific projects. Records document hydrological connection between groundwater and surface water, cross-contamination, reductions in quantity, aquifer storage and recovery, mineral and energy development, oil and gas operations, geothermal operations, tunneling, and other impacts of proposed agency projects, approvals, and authorizations on groundwater resources on NFS lands.

- b. Cleanup of groundwater on NFS lands contaminated with hazardous substances, petroleum products, pollutants, or contaminants. Also includes determinations as to potential cleanup sites.

**Note 1:** Create case files as needed.

**Note 2:** Accounts and supporting documents pertaining to American Indians and Alaska Natives are not authorized for disposal. Such records must be retained indefinitely since they may be needed in litigation involving the Federal Government's role as trustee of property held by the Federal Government and managed for the benefit of American Indians. These records include those created under the Alaska Native Claims Settlement Act of 1971 (Pub. L. 92-203, 85 Stat. 688).

**Note 3:** Pre-existing records may currently be retained under other 2500 series file code categories, and/or other file code categories associated with grazing, special uses, minerals and geology, recreation, and so forth. As applicable, ensure a copy of pre-existing records is retained under the appropriate 2560 file code category.

**Note 4:** Includes records previously retained under file codes:

- 2560 - Groundwater Resource Management – Cleanup.
- 2560 - Groundwater Resource Management – Projects.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which the project ends. Destroy 50 years after cut-off.

**Disposition Authority:** DAA-0095-2018-0057-0001

### 3. Subheading: Groundwater Cooperation with External Entities

**Description of Records:** Records document collaboration with local, State, and other Federal agencies and Tribes to sustain the availability and usability of groundwater over the long-term using conventional and innovative approaches.

**Note 1:** Create case files as needed.

**Note 2:** Accounts and supporting documents pertaining to American Indians and Alaska Natives are not authorized for disposal. Such records must be retained indefinitely since they may be needed in litigation involving the Federal Government's role as trustee of property held by the Federal Government and managed for the benefit of American Indians. These records include those created under the Alaska Native Claims Settlement Act of 1971 (Pub. L. 92-203, 85 Stat. 688).

**Note 3:** Pre-existing records may currently be retained under other 2500 series file code categories, and/or other file code categories associated with grazing, special uses,

minerals and geology, recreation, and so forth. As applicable, ensure a copy of pre-existing records is retained under the appropriate 2560 file code category.

**Note 4:** Previous subheading “Cooperation.”

**Disposition:** Temporary (see notes). Cutoff at end of FY in which the partnership or collaboration ends. Destroy 50 years after cutoff.

**Disposition Authority:** Pending

#### 4. Subheading: Groundwater Programmatic Administrative Records

**Description of Records:** Records, including correspondence, regarding management of groundwater resources associated with NFS lands, not covered by other file code 2560 records categories.

**Note 1:** Accounts and supporting documents pertaining to American Indians and Alaska Natives are not authorized for disposal. Such records must be retained indefinitely since they may be needed in litigation involving the Federal Government’s role as trustee of property held by the Federal Government and managed for the benefit of American Indians. These records include those created under the Alaska Native Claims Settlement Act of 1971 (Pub. L. 92-203, 85 Stat. 688).

**Note 2:** Pre-existing records may currently be retained under other 2500 series file code categories, and/or other file code categories associated with grazing, special uses, minerals and geology, recreation, and so forth. As applicable, ensure a copy of pre-existing records is retained under the appropriate 2560 file code category.

**Note 3:** Previous subheading “General.”

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 50 years after cut-off.

**Disposition Authority:** N1-95-10-10/5

#### 5. Subheading: Groundwater Legal Considerations

**Description of Records:** Records document efforts to comply with State and Federal water-related laws and regulations protecting groundwater from activities associated with outdoor recreation, authorized special uses, permitted livestock grazing, and fish and wildlife management (including consultation with States). Additionally, records document groundwater claims, adjudications, and administrative proceedings associated with Federal reserved water rights under the Organic Administration Act, the Wild and Scenic Rivers Act, and the Wilderness Act. Includes records associated with Tribal treat and reserved rights, as well as cooperation with Department of the Interior and affected Tribes during Tribal water settlement negotiations involving NFS groundwater resources.

**Note 1:** Create case files as needed.

**Note 2:** Accounts and supporting documents pertaining to American Indians and Alaska Natives are not authorized for disposal. Such records must be retained indefinitely since they may be needed in litigation involving the Federal Government's role as trustee of property held by the Federal Government and managed for the benefit of American Indians. These records include those created under the Alaska Native Claims Settlement Act of 1971 (Pub. L.92-203, 85 Stat. 688).

**Note 3:** Pre-existing records may currently be retained under other 2500 series file code categories, and/or other file code categories associated with grazing, special uses, minerals and geology, recreation, and so forth. As applicable, ensure a copy of pre-existing records is retained under the appropriate 2560 file code category.

**Note 4:** Previous subheading "Legal Considerations."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which the legal case closed. Destroy 50 years after cut-off.

**Disposition Authority:** N1-95-10-10/7

## 6. Subheading: Inquiries

**Description of Records:** Obsolete. Retain general inquiries under file code 6270 - Availability of Records - General Information Requests. Retain inquiries from American Indians and Alaska Natives under file code 2560 - Groundwater Resource Management - Groundwater Programmatic Administrative Records.

## 7. Subheading: Groundwater Measuring, Reporting, and Protection

**Description of Records:** Records pertain to:

- a. Measuring and Reporting: Records document volume of extracted or injected water, excluding authorized minerals or energy development on NFS lands.
- b. Source Water Protection: Records document collaboration and coordination efforts to protect drinking water systems located entirely or partially on NFS lands. Collaboration and coordination occur with Environmental Protection Agency (EPA); State, local, and Tribal governments; drinking water providers, and holders of special use authorizations. Includes documentation of safeguards, contingencies, and plans that serve as an acceptable permanent solution when proposing to develop new or expanded water supply facilities on NFS lands in response to emergency water supply shortages.

**Note 1:** Create case files as needed.

**Note 2:** Accounts and supporting documents pertaining to American Indians and Alaska Natives are not authorized for disposal. Such records must be retained indefinitely since they may be needed in litigation involving the Federal Government's role as trustee of property held by the Federal Government and managed for the benefit of American Indians. These records include those created under the Alaska Native Claims Settlement Act of 1971 (Pub. L.92-203, 85 Stat. 688).

**Note 3:** Pre-existing records may currently be retained under other 2500 series file code categories, and/or other file code categories associated with grazing, special uses, minerals and geology, recreation, and so forth. As applicable, ensure a copy of pre-existing records is retained under the appropriate 2560 file code category.

**Note 4:** Includes records previously retained under file codes:

- 2560 - Groundwater Resource Management - Measuring and Reporting.
- 2560 - Groundwater Resource Management - Source Water Protection.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which the water uses ceases. Destroy 50 years after cut-off.

**Disposition Authority:** DAA-0095-2018-0057-0002

## **File Code - Heading: 2580 - Air Resource Management**

### **1. Subheading: Air Resource Class I Areas**

**Description of Records:** Includes general correspondence and other records related to the identification, protection, and management of National Forest lands designated as Class I areas including problems associated with air quality related values in those areas and re-designation proposals submitted from States.

**Note 1:** Establish case files as needed.

**Note 2:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 3:** If hardcopy records exist, send closed hardcopy records to FRC storage at the end of the FY.

**Note 4:** Previous subheading "Class I Areas."

**Disposition:** Permanent (see notes). Cutoff at end of FY in which case file is closed. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-5/10b

2. **Subheading: Air Resource Management Administrative Records**

**Description of Records:** Correspondence, memorandums, and other general records pertaining to air resource management that do not fit under a specific secondary subject heading.

**Note 1:** Transfer closed file to NARA when ten years old.

**Note 2:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 3:** If hardcopy records exist, send closed hardcopy records to FRC storage at the end of the FY.

**Note 4:** Previous subheading "General."

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-5/10a

3. **Subheading: Inquiries**

**Description of Records:** Obsolete. File standard inquiries and responses under file code 6270 - Availability of Records - General Information Requests.

4. **Subheading: Inventorying and Monitoring of Air Resource**

**Description of Records:** Values Affected by Air Pollution (Includes reports and summary of data).

**Note 1:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 2:** If hardcopy records exist, send closed hardcopy records to FRC storage at the end of the FY.

**Note 3:** Previous subheading "Inventorying and Monitoring of Resource."

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-5/10d



5. **Subheading: Air Pollutants**

**Description of Records:** Includes general correspondence on different types of pollutants and their effects on the environment.

**Note 1:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 2:** If hardcopy records exist, send closed hardcopy records to FRC storage at the end of the FY.

**Note 3:** Previous subheading "Pollutants."

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-5/10e

6. **Subheading: Air Resource Prevention of Significant Deterioration**

**Description of Records:** Case files containing the application, data collected that determines the effects of a proposed major emitting facility and concurrences or non-concurrences with EPA's proposed exemptions and variances, and approvals.

**Note 1:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 2:** If hardcopy records exist, send closed hardcopy records to FRC storage at the end of the FY.

**Note 3:** Previous subheading "Prevention of Significant Deterioration."

**Disposition:** Permanent (see notes). Cutoff at end of FY in which case file closed. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-5/10c

7. **Subheading: Training**

**Description of Records:** Obsolete.

- a. Retain employee training completion records under file code 6140 - Employee Development, Performance, Awards - Training-Individual Employee Training Records.

- b. Retain non-Mission related training materials under file code "6140 - Employee Development, Performance, Awards - Training-Forest Service Sponsored."
- c. Retain Mission-related training materials under file code "2580 - Air Resource Management - Air Resource Management Administrative Records."

## **File Code - Heading: 2590 - Weather Program**

### **1. Subheading: Weather Program Administrative Records**

**Description of Records:** Correspondence, memorandums, and other general records pertaining to the weather program. Includes request for meteorological assistance and related research by Forest Service units.

**Note 1:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 2:** If hardcopy records exist, send closed hardcopy records to FRC storage at the end of the FY.

**Note 3:** Previous subheading "General."

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-5/11a

### **2. Subheading: Weather Data**

**Description of Records:** Weather data and climatic information.

**Note 1:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 2:** If hardcopy records exist, send closed hardcopy records to FRC storage at the end of the FY.

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-5/11b

**File Code - Heading: 2600 - Wildlife, Fish, and Sensitive Plant Habitat Management**

**1. Subheading: Wildlife, Fish, and Sensitive Plant Habitat Management Program Administration**

**Description of Records:** Records, including correspondence, related to policy and procedures; congressional and responses to the public related to wildlife and fisheries policy; also includes correspondence too broad to be filed under a specific subject heading.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-10-6/51

**2. Subheading: Inquiries**

**Description of Records:** Obsolete. File standard inquiries and responses under file code 6270 - Availability of Records - General Information Requests.

**File Code - Heading: 2610 - Cooperative Relations (Wildlife, Fish, and Sensitive Plant Habitat Management)**

**1. Subheading: Wildlife Cooperative Relations Program**

**Description of Records:** General documentation pertaining to cooperative relations between Forest Service, States, Bureau of Land Management, and other organizations outside of the Federal government. May include copies of MOU and other agreements.

**Note 1:** Establish as case files by name of cooperator.

**Note 2:** Retain official record of MOUs and other agreements under file code 1580 - Grants, Cooperative Agreements, and Other Agreements - Approved Grants and Agreements Case Files.

**Note 3:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which case file is closed. Transfer to NARA 30 years after cut-off.

**Disposition Authority:** N1-95-10-4/234

**File Code - Heading: 2620 - Habitat Planning and Evaluation**

**1. Subheading: Administrative Studies and Non-TES Plans**

**Description of Records:** Includes case files that analyze the effectiveness of certain projects and record factors that affect the management of wildlife, its environment, and recreational uses of these resources. Includes specific wildlife and fish plans (other than state-wide comprehensive plan) for species other than Threatened and Endangered Species (TES).

**Exclusion:** Regional and Forest Plans are filed under file code 1920-Land Management Planning.

**Note 1:** Records are established as case files.

**Note 2:** Includes records previously retained under file codes:

- 2620 - Habitat Planning and Evaluation - Administrative Studies.
- 2620 - Habitat Planning and Evaluation - Plans (Other).

**Disposition:** Temporary (see notes). Cutoff at end of FY in which case file is closed. Destroy 30 years after cut-off.

**Disposition Authority:** DAA-0095-2018-0058-0001

**2. Subheading: Habitat Planning and Evaluation Program Administrative Records**

**Description of Records:** Includes general records, including correspondence, related to pre-planning analysis for habitat projects for wildlife and fish species.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-10-4/235

**3. Subheading: Habitat Planning and Evaluation Statewide Comprehensive Plans**

**Description of Records:** Includes state-wide comprehensive plan for species other than Threatened and Endangered. Records are established as case files.

**Exclusion:** Regional and Forest Plans are filed under file code 1920 - Land Management Planning.

**Note 1:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 2:** If hardcopy records exist, send closed hardcopy records to FRC storage at the end of the FY.

**Note 3:** Previous subheading "Statewide Comprehensive Plans."

**Disposition:** Permanent (see notes). Cutoff at end of FY in which plan is superseded. Transfer to NARA 15 years after cut-off.

**Disposition Authority:** N1-95-10-6/52

#### 4. **Subheading: Habitat Planning and Evaluation Surveys**

**Description of Records:** Includes correspondence and survey data that determine the abundance of wildlife by species and population trends. Includes records of surveys designed to measure habitat conditions.

**Note 1:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 2:** If hardcopy records exist, send closed hardcopy records to FRC storage at the end of the FY.

**Note 3:** Previous subheading "Surveys."

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA 15 years after cut-off.

**Disposition Authority:** N1-95-10-4/238

### **File Code - Heading: 2630 - Management of Wildlife and Fish Habitat**

#### 1. **Subheading: Wildlife and Fish Habitat General Program Administration**

**Description of Records:** Records, including correspondence and plans related to the actual projects and implementation of practices designed to correct or enhance habitat conditions, coordination of habitat projects with other Forest Service activities such as timber, range, minerals, and geology.

**Note 1:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 2:** If hardcopy records exist, send closed hardcopy records to FRC storage at the end of the FY.

**Note 3:** Previous subheading "General."

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA 15 years after cut-off.

**Disposition Authority:** N1-95-10-6/53

2. **Subheading: Wildlife and Fish Habitat Improvement Work**

**Description of Records:** Includes project case files of actual projects being conducted. Case files contain structural implementation of improvement activities such as fish structure, watering facilities, and nest structures.

**Note 1:** Records are established as case files.

**Note 2:** Previous subheading "Improvement Work."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which case file closed. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-10-4/239

3. **Subheading: Wildlife and Fish Habitat Special Areas**

**Description of Records:** Includes correspondence and plans related to areas designated for intensive management such as zoological or botanical areas.

**Note 1:** Records are established as case files.

**Note 2:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 3:** If hardcopy records exist, send closed hardcopy records to FRC storage at the end of the FY.

**Note 4:** Previous subheading "Special Areas."

**Disposition:** Permanent (see notes). Cutoff FY in which case file closed. Transfer to NARA 15 years after cut-off.

**Disposition Authority:** N1-95-10-6/54

**File Code - Heading: 2640 - Stocking and Harvesting**

1. **Subheading: Wildlife and Fish Stocking and Harvesting Program Administration**

**Description of Records:** Records, including correspondence, related to the stocking, and harvesting of wildlife and fish species on National Forest lands.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-10-4/240

2. **Subheading: Wildlife and Fish Stocking Projects**

**Description of Records:** Includes special projects related to exotic fish and wildlife species.

**Note:** Previous subheading "Stocking Projects."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which case file closed. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-10-4/241

**File Code - Heading: 2650 - Animal Damage Management**

1. **Subheading: Animal Damage Management Administrative Records**

**Description of Records:** Records, including correspondence, related to predator and rodent control; animal damage control reports and reviews; procedures for control between the Bureau of Land Management, Fish and Wildlife Services, and state agencies.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy ten years after cut-off.

**Disposition Authority:** N1-95-10-6/55

2. **Subheading: Predators and Rodent Control Projects**

**Description of Records:** Includes records on predator and rodent control activities.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which case file is closed. Destroy ten years after cut-off.

**Disposition Authority:** N1-95-10-6/56

**File Code - Heading: 2660 - Administration (Fish and Wildlife)**

**1. Subheading: Fish and Wildlife Program Administration**

**Description of Records:** Includes correspondence, inspection guides, Mission-related training materials, and miscellaneous records.

**Note 1:** As appropriate:

- Retain employee training completion records under file code 6140 - Employee Development, Performance, Awards - Training-Individual Employee Training Records.
- Retain non-Mission related training materials under file code 6140 - Employee Development, Performance, Awards - Training-Forest Service Sponsored.

**Note 2:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy ten years after cut-off.

**Disposition Authority:** N1-95-10-4/243

**2. Subheading: Fish and Wildlife Annual Reports**

**Description of Records:** Includes the Annual Report on all animal and fish population on National Forest lands.

**Note 1:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 2:** If hardcopy records exist, send closed hardcopy records to FRC storage at the end of the FY.

**Note 3:** Previous subheading "Reports."

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA 15 years after cut-off.

**Disposition Authority:** N1-95-10-6/57

**File Code - Heading: 2670 - Threatened, Endangered, and Sensitive Plants and Animals**

**1. Subheading: TES Classification and Habitat Designation**

**Description of Records:** Obsolete. These records are available from the Fish and Wildlife Service's website. Forest service does not maintain lists.



2. **Subheading: TES Program General Administrative Records**

**Description of Records:** Includes general correspondence too broad to be filed under a specific subject heading.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-10-4/244

3. **Subheading: TES Taking**

**Description of Records:** Includes prohibitions, permits, Federal Register notices, and comments on permit request.

**Note:** Previous subheading "Taking."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which administrative use ceases. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-10-4/246

4. **Subheading: TES Cooperation**

**Description of Records:** Includes general correspondence, biological opinions on formal consultations with Fish and Wildlife Services; copies of cooperative agreements with the International Convention Advisory Committee), the Endangered Species Scientific Authority, the USDA Endangered Species Work, state agencies, and so forth.

**Note 1:** Establish records as case files.

**Note 2:** Retain official record of MOUs and other agreements under file code 1580 - Grants, Cooperative Agreements, and Other Agreements - Approved Grants and Agreements Case Files.

**Note 3:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 4:** If hardcopy records exist, send closed hardcopy records to FRC storage at the end of the FY.

**Note 5:** Previous subheading "Cooperation."

**Disposition:** Permanent (see notes). Cutoff at end of FY in which case file closed. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-2/115

5. **Subheading: TES Planning**

**Description of Records:** Includes general correspondence, inventories and studies, recovery plans, action plans, reintroduction activities for the protection and recovery of classified species.

**Note 1:** Records are established as case files.

**Note 2:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 3:** If hardcopy records exist, send closed hardcopy records to FRC storage at the end of the FY.

**Note 4:** Previous subheading "Planning."

**Disposition:** Permanent (see notes). Cutoff at end of FY in which case file closed. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-2/116

6. **Subheading: TES Species**

**Description of Records:** Includes general correspondence and case files related to any species in the management program listed on the Endangered Species Act of 1973.

**Note 1:** Screen file for non-record material prior to offering to NARA.

**Note 2:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 3:** If hardcopy records exist, send closed hardcopy records to FRC storage at the end of the FY.

**Note 4:** Previous subheading "Species."

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-2/117

**File Code - Heading: 2680 - Habitat Management in Classified Areas**

**1. Subheading: General**

**Description of Records:** Obsolete.

**File Code - Heading: 2700 - Special Uses Management**

**1. Subheading: Special Uses Management General Administrative Records**

**Description of Records:** Includes general correspondence and records of a routine nature related to special use management. Establish subject files as needed.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy three years after cut-off.

**Disposition Authority:** N1-95-10-2/119

**2. Subheading: Inquiries**

**Description of Records:** Obsolete. File standard inquiries and responses under file code 6270 - Availability of Records - General Information Requests.

**File Code - Heading: 2710 - Special Use Authorizations**

**1. Subheading: Special Use Administrative Studies, Authorities, and Types of Authorizations**

**Description of Records:** Includes authorities for national appraisals and studies to revise special use fees and studies assessment and evaluation.

**Note:** Previous subheading "Administrative Studies."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which appraisal or study is completed. Destroy 50 years after cut-off.

**Disposition Authority:** N1-95-10-6/58

**2. Subheading: Special Use Authorization General Administrative Records**

**Description of Records:** Includes general correspondence and documents related to special use applications; the preparation and administration of special use permits; fee regulations, fee system and fee administration. Establish subject folders as needed.

**Note 1:** Use file code 2720 for applications and administration related to specific special use cases.

**Note 2:** Some files may contain PII, store securely, control access.

**Note 3:** Privacy Act System of Records USDA/FS-24- Special Use Authorizations covers all or some of the records retained under this file code. Review PA SOR USDA/FS-14 for additional access and storage requirements.

**Note 4:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which records are no longer needed for administrative use. Destroy three years after cut-off.

**Disposition Authority:** N1-95-10-2/120

## **File Code - Heading: 2720 - Special Uses Administration**

### **1. Subheading: Special Use Applications**

**Description of Records:** File consist of applications and supporting documentation used in determining whether to issue a permit.

**Note 1:** If application is approved, establish case file under file code 2720-Special Use Permits (Special Use Permit Cases or Significant Special Use Cases as appropriate) or 2720-Special Use Easement Cases. If disapproved, retain under this records schedule item.

**Note 2:** File appeals under file code 1570.

**Note 3:** Previous subheading "Applications."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which administrative use/reference value ceases. Destroy ten years after cut-off.

**Disposition Authority:** N1-95-10-4/247

### **2. Subheading: Special Use Easement Cases**

**Description of Records:** Case file includes correspondence, applications, letters of approval; documentation on the easements granted; financial analyses on the same facility; correspondence; reports. Arrange folders by project name or number.

**Note 1:** Supervisor's Office maintains official file, all units send pertinent records to SO for incorporation into official file.

**Note 2:** Screen file for documents deemed necessary for a permanent title file and follow instructions under file code 5590 - Landownership Status - Landownership Status Title.

**Note 3:** Some files may contain PII, store securely, control access.

**Note 4:** Privacy Act System of Records USDA/FS-24-Special Use Authorizations covers all or some of the records retained under this file code. Review PA SOR USDA/FS-24 for additional access and storage requirements.

**Note 5:** Previous subheading "Easements."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which administrative use ceases. Destroy ten years after cut-off.

**Disposition Authority:** N1-95-10-4/250

### 3. Subheading: Special Use Permit Cases

**Description of Records:** Case files, includes active authorizations, superseded authorizations, financial analyses on the same facility, correspondence, and reports.

**Exclusion:** Review and extract records to be retained under file codes 2730, 2770, and 2820.

**Note 1:** Establish case file by kind of use, permittee, and other identifying information.

**Note 2:** Excludes records created under "Alaska Native Claims Settlement Act of 1971" (Pub. L. 92-203, 85 Stat. 688). See "Alaska Native Claims Settlement Act" below.

**Note 3:** Supervisor's Office maintains official file, all units send pertinent records to SO for incorporation into official file.

**Note 4:** Some files may contain PII, store securely, control access.

**Note 5:** Privacy Act System of Records USDA/FS-24-Special Use Authorizations covers all or some of the records retained under this file code. Review PA SOR USDA/FS-14 for additional access and storage requirements.

**Note 6:** Includes records previously retained under file codes:

- 2720 - Special Uses Administration - Special Use Permits.
- 2720 - Special Uses Administration - Special Use Permits - Routine Cases.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which case file closed. Destroy ten years after cut-off.

**Disposition Authority:** DAA-0095-2018-0059-0001

4. **Subheading: Alaska Native Claims Settlement Act of 1971**

**Description of Records:** Obsolete. Retain records under file code 2730 - Road and Trail Rights-of-Way (ROW) Grants - Alaska Native Claims Settlement Act of 1971 - Road and Trail ROW Grants.

5. **Subheading: Special Uses Administration Programmatic Records**

**Description of Records:** Includes records on current and newly recognized kinds of land uses. File correspondence on specific cases in case files.

**Note 1:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 2:** As electronic retention of official records is approved for this file code category, pre-accession of electronic records is authorized by mutual consent of both NARA and Forest Service.

**Note 3:** If hardcopy records exist, send closed hardcopy records to FRC storage at the end of the FY.

**Note 4:** Previous subheading "General."

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-2/121

6. **Subheading: Significant Special Uses Cases**

**Description of Records:** Includes case files for important activities, including cultural resources permits and outfitters and guide services; for significant structures or improvements, such as hydroelectric projects, resorts, ski areas and residences; for other permits that Special Uses Administrators deem to be historically valuable.

**Note 1:** Supervisor's Office maintains official file, all units send pertinent records to SO for incorporation into official file.

**Note 2:** Some files may contain PII, store securely, control access.

**Note 3:** Privacy Act System of Records USDA/Forest Service-24-Special Use Authorizations covers all or some of the records retained under this file code. Review PA SOR USDA/Forest Service-24 for additional access and storage requirements.

**Note 4:** Retain copy of pertinent documents on site for ongoing reference, mark documents "REFERENCE USE".

**Note 5:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 6:** If hardcopy records exist, send closed hardcopy records to FRC storage at the end of the FY.

**Note 7:** Previous subheading "Significant Cases."

**Disposition:** Permanent (see notes). Cutoff at end of FY in which the special use permit expires. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-2/122

**File Code - Heading: 2730 - Road and Trail Rights-of-Way Grants**

**1. Subheading: Alaska Native Claims Settlement Act of 1971 - Road and Trail ROW Grants**

**Description of Records:** Records created Under Alaska Native Claims Settlement Act of 1971 (Pub.L. 92-203, 85 Stat. 688) - This disposition concerns records created by the Forest Service for contracts, leases, licenses, permits, rights-of-way, easements, or trespasses on lands or resources withdrawn for native selection according to the Alaska Native Claims Settlement Act.

**Note 1:** These records are essential to complete a statutory requirement in Section 1411 of the Alaska National Interest Lands Conservation Act Public Law 96-487, 94 Stat. 2497.

**Note 2:** Establish case file by kind of use, permittee, and other identifying information.

**Note 3:** Supervisor's Office maintains official file, all units send pertinent records to SO for incorporation into official file.

**Note 4:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 5:** If hardcopy records exist, send closed hardcopy records to FRC storage at the end of the FY.

**Note 6:** Previous subheading "Alaska Native Claims Settlement Act of 1971."

**Disposition:** Permanent (see notes). Cutoff at end of FY in which case file closed. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-2/124

2. **Subheading: Road and Trail ROW Programmatic Records**

**Description of Records:** General program records related to right-of-way grants, unapproved/withdrawn applications, and authorizations not related to a specific case.

**Note 1:** Retain approved applications under file code 2730 - Road and Trail Rights-of-Way Grants - Road and Trail ROW Easements and Authorizations.

**Note 2:** Includes records previously retained under file codes:

- 2730 - Road and Trail Rights-of-Way Grants – Applications.
- 2730 - Road and Trail Rights-of-Way Grants – General.
- 2730 - Road and Trail Rights-of-Way Grants - ROW Authorizations.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy ten years after cut-off.

**Disposition Authority:** DAA-0095-2018-0060-0001

3. **Subheading: Road and Trail ROW Easements and Authorizations**

**Description of Records:** Records consist of case files that include correspondence, applications, letters of approval, active authorizations, documentation for the easements granted, reports, and so forth for the following:

- a. **Department of Transportation (DOT) Easements:** Arrange folders by project name and number.
- b. **Federal Land Policy and Management Act (FLPMA) Permits:** Establish case file by kind of use, permittee, and other identifying information.
- c. **FLPMA easements:** Authorize rights-of-way grants outside of designated wilderness who pay a road fee. Organize case files by project name or number.
- d. **Forest Road and Trail Act (FRTA):** Authorizes the issuance of easements to qualified applicants who cooperate in the construction and maintenance of the road system needed to manage the NFS.

**Note 1:** Arrange folders by project name or number.

**Note 2:** Designate specific type of easement or authorization as part of the record name.

**Note 3:** Excludes records created under “Alaska Native Claims Settlement Act of 1971” (Pub. L. 92-203, 85 Stat. 688). See “Alaska Native Claims Settlement Act”.



**Note 4:** Supervisor's Office maintains official file, all units send pertinent records to SO for incorporation into official file.

**Note 5:** Screen file for documents deemed necessary for a permanent title file and follow instructions under file code 5590 - Landownership Status - Landownership Status Title.

**Note 6:** Includes records previously retained under file codes:

- 2730 - Road and Trail Rights-of-Way Grants - DOT Easements.
- 2730 - Road and Trail Rights-of-Way Grants - ROW Authorization Permits.
- 2730 - Road and Trail Rights-of-Way Grants - ROW Authorizations - FLPMA Easements.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which case file closed. Destroy ten years after cut-off.

**Disposition Authority:** DAA-0095-2018-0060-0002

## **File Code - Heading: 2760 - Withdrawals**

### **1. Subheading: Forest Service Withdrawals**

**Description of Records:** Case file consisting of the report of the withdrawal including the mineral report, correspondence with Bureau of Land Management, copies of published order establishing or altering the withdrawal or other pertinent records.

**Note 1:** A withdrawal is a management tool for withholding an area of NFS land from settlement, sale, location, or entry under some or all the general land laws, including the mining and mineral leasing law, for the purposes of limiting activities under those laws to maintain other public values in the area, or reserving the area for a particular public purpose or program. These programs and purposes may include quality of scientific, scenic, historical, ecological, environmental, air, water resource, archaeological values, or other special purposes.

**Note 2:** Upon completion of withdrawal action, the case file is retained under file code 5590 - Landownership Status - Landownership Status Title, thereby becoming permanent title file.

**Note 3:** If hardcopy records exist, send closed hardcopy records to FRC storage at the end of the FY.

**Disposition:** Permanent (see notes). Cutoff at end of FY in which the withdrawal action was completed. Transfer to NARA 15 years after cut-off.

**Disposition Authority:** N1-95-10-9/21

2. **Subheading: Forest Service Withdrawals Program Administrative Records**

**Description of Records:** Includes general correspondence and records not related to a specific withdrawal. Includes records pertaining withdrawal proposals for which decision was formally made to not finalize the withdrawal action.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy ten years after cut-off.

**Disposition Authority:** N1-95-10-4/258

3. **Subheading: Other Agency Withdrawals of National Forest Lands**

**Description of Records:** Case file consisting of the report on the withdrawal including minerals report, correspondence with BLM, copies of published order regarding the purpose of the withdrawal and other pertinent records. Project file contains information, correspondence, and agreements necessary for continuing management and coordination of the withdrawal use.

**Note:** All offices except Supervisor's Office: Upon completion of withdrawal action, transfer title evidence in case file to file code 5590 - Landownership Status - Land Status Title.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which the withdrawal is vacated. Destroy ten years after cut-off.

**Disposition Authority:** N1-95-10-2/126

**File Code - Heading: 2770 - Federal Power Act Projects**

1. **Subheading: Federal Power Act Program Administration**

**Description of Records:** Includes general records, including correspondence, not related to a specific project.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy five years after cut-off.

**Disposition Authority:** N1-95-10-4/259

## 2. Subheading: Federal Power Act Project Case Files

**Description of Records:** Case files include:

- a. Licensed and Exempt Permits: Active Federal energy Regulatory Commission project applications, authorizations, correspondence, reports, and other relevant documentation.
- b. Preliminary Permits / Investigation Special-Use Permits: Preliminary applications and supporting documentation used in determining whether to issue a Special Use permit for NFS land use not covered by FERC license.

**Note 1:** Establish authorization or easement case files by project name, number, applicant, or other identifying information.

**Note 2:** Supervisor's Office or Ranger District maintains official file, all other offices send official records to SO or RD for integration with the official file. Duplicate files maintained for reference only.

**Note 3:** If application is denied and subsequently appealed, retain appeal under file code 1570-Appeals and Litigation.

**Note 4:** If easement issued, records deemed necessary for permanent title file should also be retained under file code 5590 - Landownership Status - Land Status Title.

**Note 5:** Includes records previously retained under file codes:

- 2770 - Federal Power Act Projects - Licensed and Exempt Permits.
- 2770 - Federal Power Act Projects - Preliminary Permits / Investigation Special-Use Permits.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which project terminated or permit/proposal declared inactive. Destroy five years after cut-off.

**Disposition Authority:** DAA-0095-2018-0061-0001

## File Code - Heading: 2780 - Terms and Conditions (Special Uses)

### 1. Subheading: Terms and Conditions Program Administration

**Description of Records:** Includes general correspondence related to the purpose, meaning, and utility of approved clauses; and records documenting the development, review, and approval of general-purpose clauses and special purposes clauses.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which a decision is made regarding the adoption of clause(s). Destroy 20 years after cut-off.

**Disposition Authority:** N1-95-10-2/128

## **File Code - Heading: 2790 - Special Uses Data System**

### **1. Subheading: Special Uses Reports**

**Description of Records:** Includes reports produced by the Special Uses Data System (SUDS), or its successor, which provides information on special-use authorizations used for controls, budgets, and planning.

**Exclusion:** The data contained in SUDS is scheduled separately. The system contains instruction to prepare and track Special Use applications and authorizations, calculating land use and cost recovery fees, and generates authorizations, amendments, bills, and reports.

**Note 1:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 2:** If hardcopy records exist, send closed hardcopy records to FRC storage at the end of the FY.

**Note 3:** Previous subheading "Reports."

**Disposition:** Permanent (see notes). Cutoff at end of FY in which the report was issued. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-2/129

## **File Code - Heading: 2800 - Minerals and Geology**

### **1. Subheading: Minerals and Geology Program and Policy**

**Description of Records:** Includes general correspondence and related records pertaining to mineral and geology management overall policy, regulation development, directions, and procedures.

**Note 1:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 2:** If hardcopy records exist, send closed hardcopy records to FRC storage at the end of the FY.

**Note 3:** Previous subheading "General."

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-2/130

## 2. Subheading: Inquiries

**Description of Records:** Obsolete. File standard inquiries and responses under file code 6270 - Availability of Records - General Information Requests.

## File Code - Heading: 2810 - Mining Claims

### 1. Subheading: Mining Claims General Program Administration Records

**Description of Records:** Includes general correspondence, policy and regulations, directions, and procedures pertaining to locatable minerals; lands open to mineral entry and types of mining claims covered under the 1872 mining laws.

**Note 1:** Washington Office (Minerals) maintains official record.

**Note 2:** File materials pertaining to Public Law 87-851 (Pub. L. 87-851) Mining Claims Occupancy Act under 2810-Occupancy Act.

**Note 3:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 4:** If hardcopy records exist, send closed hardcopy records to FRC storage at the end of the FY.

**Note 5:** Previous subheading "General."

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-2/131

### 2. Subheading: Mining Claim Locations

**Description of Records:** Includes general correspondence and other regarding validity and use (or title and patent applications). Establish case files alphabetically by claimant.

**Note 1:** Washington Office (Minerals) files are to be organized by regions.

**Note 2:** Some files may contain PII, store securely, control access.

**Note 3:** Privacy Act System of Records USDA/FS-16- Mineral Lessees and Permittees covers all or some of the records retained under this file code. Review PA SOR USDA/FS-16 for additional access and storage requirements.

**Note 4:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 5:** If hardcopy records exist, send closed hardcopy records to FRC storage at the end of the FY.

**Note 6:** Previous subheading "Locations."

**Disposition:** Permanent (see notes). Cutoff at end of FY in which the case file closed. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-2/132

### 3. Subheading: Mining Claims Occupancy Act

**Description of Records:** Includes general correspondence and related records pertaining to the Mining Claim Occupancy Act Pub. L. 87-851. Establish case files alphabetically by claimant.

**Note 1:** Records reside in Minerals section at Washington Office and Regional Offices. regions segregate by State. Washington Office segregate by region and state.

**Note 2:** Regional Office Minerals transfer records to Washington Office Minerals after study is completed.

**Note 3:** Some files may contain PII, store securely, control access.

**Note 4:** Privacy Act System of Records USDA/FS-16-Mineral Lessees and Permittees covers all or some of the records retained under this file code. Review PA SOR USDA/FS-16 for additional access and storage requirements.

**Note 5:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 6:** If hardcopy records exist, send closed hardcopy records to FRC storage at the end of the FY.

**Note 7:** Previous subheading "Occupancy Act."

**Disposition:** Permanent (see notes). Cutoff at end of FY in which case file closed.  
Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-2/135

#### 4. Subheading: Mining Claims Surface Rights

**Description of Records:** Includes general correspondence and other records regarding the Multiple-Use Mining Act Public Law 84-167 (Pub. L. 84-167). Establish case files alphabetically by claimant and by BLM or Forest Service area number.

**Note 1:** Includes general correspondence and other records regarding the Multiple-Use Mining Act (Pub. L. 84-167). Establish case files alphabetically by claimant and by BLM or Forest Service area number.

**Note 2:** Regional Office Minerals transfer records to Washington Office Minerals after study is completed.

**Note 3:** Some files may contain PII, store securely, control access.

**Note 4:** Privacy Act System of Records USDA/FS-16-Mineral Lessees and Permittees covers all or some of the records retained under this file code. Review PA SOR USDA/FS-16 for additional access and storage requirements.

**Note 5:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 6:** If hardcopy records exist, send closed hardcopy records to FRC storage at the end of the FY.

**Note 7:** Previous subheading "Surface Rights."

**Disposition:** Permanent (see notes). Cutoff at end of FY in which case file closed.  
Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-2/133

#### 5. Subheading: Mining Claims Within Power Site Withdrawals

**Description of Records:** Includes general correspondence, mining claims, and other records related to Mining Claims Rights Restoration Act Public Law 84-359.

**Note 1:** Some files may contain PII, store securely, control access.

**Note 2:** Privacy Act System of Records USDA/FS-16-Mineral Lessees and Permittees covers all or some of the records retained under this file code. Review PA SOR USDA/FS-16 for additional access and storage requirements.

**Note 3:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 4:** If hardcopy records exist, send closed hardcopy records to FRC storage at the end of the FY.

**Note 5:** Previous subheading "Within Power Site Withdrawals."

**Disposition:** Permanent (see notes). Cutoff at end of FY in which case file closed. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-2/134

#### **File Code - Heading: 2820 - Mineral Leases, Permits, and Licenses**

1. **Subheading: Mineral Leases, Permits, and Licenses General Program Administrative Records**

**Description of Records:** Includes correspondence and records pertaining to policy and regulation developments, direction and procedures concerning permits or leases issued by BLM. File records related to interagency agreements under file code 1580.

**Exclusion:** Experimental (Research) Stations do not maintain file code 2820 files.

**Note 1:** Washington Office - Minerals official files are organized by region.

**Note 2:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 50 years after cut-off.

**Disposition Authority:** N1-95-10-6/59

2. **Subheading: Mineral Leases, Permits, and Licenses**

**Description of Records:** Organize records under the following categories:

- a. Coal,
- b. Geothermal,
- c. Oil and Gas,



- d. Phosphate,
- e. Other Leasable Minerals, and
- f. Includes correspondence, leases, permits, lessee/permittee information, inventories, evaluations, development plans, operating plans, forms, and other records documenting the activities of the specific projects or sites.

**Exclusion:** Experimental (Research) Stations do not maintain file code 2820 files.

**Note 1:** Establish case files alphabetically by name of lessee/permittee, leases or numerically by BLM serial number.

**Note 2:** File related appeal cases under file code 1570.

**Note 3:** Some files may contain PII, store securely, control access.

**Note 4:** Privacy Act System of Records USDA/FS-16-Mineral Lessees and Permittees covers all or some of the records retained under this file code. Review PA SOR USDA/FS-16 for additional access and storage requirements.

**Note 5:** Includes records previously retained under file codes:

- 2820 - Mineral Leases, Permits, and Licenses – Coal.
- 2820 - Mineral Leases, Permits, and Licenses – Geothermal.
- 2820 - Mineral Leases, Permits, and Licenses - Oil and Gas.
- 2820 - Mineral Leases, Permits, and Licenses - Other Leasable Minerals.
- 2820 - Mineral Leases, Permits, and Licenses – Phosphate.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which case file closed. Destroy 50 years after cut-off.

**Disposition Authority:** DAA-0095-2018-0062-0001

#### **File Code - Heading: 2830 - Mineral Reservations and Rights Outstanding**

##### **1. Subheading: Mineral Reservations and Rights Outstanding General Program Administration Records**

**Description of Records:** Includes correspondence and records regarding policy, regulations, direction, and procedure pertaining to development of minerals per Reserved and Outstanding Mineral Rights (ROR), mineral potential of NFS lands with ROR and Types of ROR being developed.

**Exclusion:** Experimental (Research) Stations do not maintain file code 2830 files.

**Note 1:** Washington Office Minerals maintains official record pertaining to policy, regulations, direction, and procedures.

**Note 2:** Washington Office - Minerals official files related to the administration of areas or projects subject to ROR are organized by region.

**Note 3:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 50 years at cut-off.

**Disposition Authority:** N1-95-10-6/60

2. **Subheading: Mineral Operation Permits, Authorizations, or Notices to Proceed**

**Description of Records:** Includes permits, authorizations, notices to proceed, and similar records filed alphabetically by mineral ownership, permittee, or name of mineral operation being conducted on NFS lands.

**Exclusion:** Experimental (Research) Stations do not maintain file code 2830 files.

**Note:** Privacy Act System of Records USDA/FS-16- Mineral Lessees and Permittees covers all or some of the records retained under this file code. Review PA SOR USDA/FS-16 for additional access and storage requirements.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which case file closed. Destroy 50 years after cut-off.

**Disposition Authority:** N1-95-10-2/137

**File Code - Heading: 2840 - Reclamation**

1. **Subheading: Reclamation Program Administrative Records**

**Description of Records:** Records covering the general administrative components of the reclamation program. Records include correspondence regarding the Forest Service's reclamation program.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-10-3/34

## 2. Subheading: Reclamation Agreements and Memorandums of Understanding

**Description of Records:** Records include:

- a. Agreements regarding joint jurisdiction between more than one agency (Federal or State) over a mineral operation and the role of each agency.
- b. MOU among regions, stations, and areas regarding reclamation assistance or technology transfer to units. Includes documentation of responsibilities such as technical assistance, reclamation training, field contacts, and expenditures.

**Note 1:** Establish case files.

**Note 2:** A copy of each Agreement or MOU is also retained under file code 1580 - Grants and Agreements.

**Note 3:** GRS 1.2, item 020 allows for records to be retained longer than ten years if needed for Forest Service business. The Forest Service has determined that these records are to be retained for 30 years after cut-off.

**Note 4:** Includes records previously retained under file codes:

- 2840 - Reclamation - Information and Technology Transfer.
- 2840 - Reclamation - Cooperative Agreements.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which the Agreement or MOU expires. Destroy 30 years after cut-off.

**Disposition Authority:** GRS 1.2/020 - (DAA-GRS-2013-0008-0001)

## 3. Subheading: Reclamation Bonding and Plans of Operation

**Description of Records:** Records include:

- a. **Reclamation bonding:** Bonds or other financial guarantees for specific reclamation activities or standards to facilitate full or partial release of the instruments.
- b. **Plans of Operation:** Operating plans covering the administrative and environmental components of reclamation plan of operations. Includes, but not limited to, a written description of planned on-the-ground mineral activities, including reclamation, conducted by the mineral operator for locatable, leasable, or common variety minerals.

**Note 1:** Organize by case file.

**Note 2:** Some files may contain PII, store securely, control access.

**Note 3:** Privacy Act System of Records USDA/FS-16- Mineral Lessees and Permittees covers all or some of the records retained under this file code. Review PA SOR USDA/FS-16 for additional access and storage requirements.

**Note 4:** Includes records previously retained under file codes:

- 2840 - Reclamation - Plans of Operation.
- 2840 - Reclamation - Reclamation Bonding.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which the reclamation project is completed and/or bond is released. Destroy 30 years after cut-off.

**Disposition Authority:** DAA-0095-2018-0063-0001

#### 4. Subheading: Reclamation Monitoring

**Description of Records:** Records pertaining to reclamation monitoring, including assessments of condition and environmental quality of reclaimed sites following release of bonds or other financial guarantees. Includes monitoring of revegetated areas, large waste embankments, tailing dams and impoundments, French drains, stream diversions, dam structures on permanent water impoundments, and water treatment facilities.

**Disposition:** Temporary. Cutoff at end of FY in which administrative use ceases. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-10-3/37

#### 5. Subheading: Reclamation Program Policy and Procedures

**Description of Records:** Records regarding reclamation program policies and procedures, including but not limited to, reclamation components for plans of operations, measurable performance standards for common reclamation practices, bonding, and monitoring.

**Note 1:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 2:** If hardcopy records existed, store closed records at FRC until eligible for transfer to NARA custody.

**Note 3:** Previous subheading "Policy."

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-2/12

**File Code - Heading: 2850 - Mineral Materials**

**1. Subheading: Mineral Materials General Program Administration Records**

**Description of Records:** Records, including correspondence, related to the sale, free use, and management of mineral materials and other records too broad to file under file code 2850 - Mineral Materials – Permits.

**Note 1:** Close file at end of FY and apply retention period.

**Note 2:** Some files may contain PII, store securely, control access.

**Note 3:** Privacy Act System of Records USDA/FS-16- Mineral Lessees and Permittees covers all or some of the records retained under this file code. Review PA SOR USDA/FS-16 for additional access and storage requirements.

**Note 4:** Previous subheading “General.”

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 50 years after cut-off.

**Disposition Authority:** N1-95-10-6/61

**2. Subheading: Mineral Materials Permits**

**Description of Records:** File includes correspondence, contract forms permit, permittee information, inventories, evaluations, development plans, operating plans, appraisals, forms, and other records documenting the activities of the specific projects or sites of mineral excavation. Establish files by sale, project, site, or permittee.

**Note 1:** Some files may contain PII, store securely, control access.

**Note 2:** Privacy Act System of Records USDA/FS-16- Mineral Lessees and Permittees covers all or some of the records retained under this file code. Review PA SOR USDA/FS-16 for additional access and storage requirements.

**Note 3:** Previous subheading “Permits.”

**Disposition:** Temporary (see notes). Cutoff at end of FY in which administrative use ceases. Destroy 50 years after cut-off.

**Disposition Authority:** N1-95-10-4/265

**File Code - Heading: 2860 - Forest Service Authorized Prospecting and Mineral Collecting**

**1. Subheading: Forest Service Authorized Prospecting and Mineral Collecting General Program Administration Records**

**Description of Records:** Correspondence and other records of a general nature not associated with a specific case file.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 50 years after cutoff.

**Disposition Authority:** N1-95-10-6/62

**2. Subheading: Geophysical and Geothermal Prospecting**

**Description of Records:** Includes records (applications, authorizations, and so forth) regarding Forest Service authorization of prospecting and mineral collecting, including but not limited to:

- a. Seismic activities.
- b. Geophysical and geothermal prospecting on unleased NFS lands.
- c. Indirect and direct data gathering techniques.

**Note 1:** Organize case files by type of prospecting, region, forest, district, type of action, and FY.

**Note 2:** Some files may contain PII, store securely, control access.

**Note 3:** Privacy Act System of Records USDA/FS-16- Mineral Lessees and Permittees covers all or some of the records retained under this file code. Review PA SOR USDA/FS-16 for additional access and storage requirements.

**Note 4:** Includes records previously retained under file codes:

- 2860 - Forest Service Authorized Prospecting and Mineral Collecting - Geophysical Prospecting.
- 2860 - Forest Service Authorized Prospecting and Mineral Collecting - Geothermal Prospecting.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which administrative use ceases. Destroy 50 years after cut-off.

**Disposition Authority:** DAA-0095-2018-0064-0001

**File Code - Heading: 2880 - Geologic Resources, Hazards, and Services**

**1. Subheading: Geologic Resources, Hazards, and Service Program Administrative Records**

**Description of Records:** Includes general correspondence, policy statements, direction and procedures related to geologic resources, hazards, and services.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 25 years after cut-off.

**Disposition Authority:** N1-95-10-4/266

**2. Subheading: Geologic Information**

**Description of Records:** Includes records related to the assessments and management of geologic resources, such as karst and cave resources and ecosystems, paleontological resources, specially designated geologic areas, and geologic hazards, for example, landslides, rock falls, volcanic activity, earthquakes, flooding, karst collapse, and naturally occurring hazardous minerals.

**Note 1:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 2:** If hardcopy records exist, store the closed hardcopy records at FRC until eligible for transfer to NARA custody.

**Disposition:** Permanent (see notes). Cutoff at end of FY in which administrative use ceases. Transfer to NARA 15 years after cut-off.

**Disposition Authority:** N1-95-10-4/267

**3. Subheading: Geologic Inventory and Investigation Data, and Reports**

**Description of Records:** Records include the following geologic information:

- a. **Geologic Inventory Data:** Includes data for the preparation of land and resource management plans; wilderness study areas, and areas proposed for wilderness designation, and for other planning and resource management purposes.
- b. **Geologic Investigation Data:** Includes data for studies of the feasibility, design, construction, maintenance, and monitoring of projects and facilities, and the potential effects on NFS lands and resources.

- c. **Geologic Reports:** Includes reports on projects and facilities with information, conclusions, and recommendations relating to geologic investigations or inventories. File alphabetically by project or facility.

**Note:** Includes records previously retained under file codes:

- 2880 - Geologic Resources, Hazards, and Services - Geologic Inventory Data.
- 2880 - Geologic Resources, Hazards, and Services - Geologic Investigation Data.
- 2880 - Geologic Resources, Hazards, and Services - Geologic Reports.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which administrative use ceases. Destroy 25 years after cut-off.

**Disposition Authority:** DAA-0095-2018-0065-0001

#### **File Code - Heading: 2890 - Minerals and Geology Certification**

1. **Subheading: Minerals and Geology Certification Program Management**

**Description of Records:** Includes general records and correspondence related to minerals and geology certification for personnel qualified to conduct mine safety assessments at abandoned/inactive mines.

**Note 1:** Some files may contain PII, store securely, control access.

**Note 2:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which administrative use ends. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-10-3/42

2. **Subheading: Certifications of Mineral Administrators, Examiners, and Oil and Gas Resource Specialists**

**Description of Records:** Records pertaining to certification of:

- a. Local Mineral Administrators.
- b. Mineral Examiners and Review Mineral examiners; and
- c. Oil and Gas Resource Specialists.

**Note 1:** Create case files as needed.

**Note 2:** Some files may contain PII, store securely, control access.



**Note 3:** Includes records previously retained under file codes:

- 2890 - Minerals and Geology Certification - Locatable Minerals Administrators.
- 2890 - Minerals and Geology Certification - Mineral Examiners.
- 2890 - Minerals and Geology Certification - Oil and Gas Resource Specialists.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which certification is revoked or expires. Destroy 30 years after cut-off.

**Disposition Authority:** DAA-0095-2018-0066-0001

## **File Code - Heading: 2900 - Invasive Species**

### **1. Subheading: Non-Native Invasive Species Program Administrative Records**

**Description of Records:** Administrative records pertaining to management of the NFS Invasive Species Program, including budget and performance activities. Includes general non-native invasive species records not retained under another file code 2900 item, as well as criteria, practices, programs, policies, directives, and other publications related to non-native invasive species program performance and budget formulation and execution.

**Exclusion:** File all native insect and disease records under file code 3400.

**Note:** Includes records previously retained under file codes:

- 2900 - Invasive Species - Budget and Performance.
- 2900 - Invasive Species – General.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 25 years after cut-off.

**Disposition Authority:** DAA-0095-2018-0067-0002

### **2. Subheading: Invasive Species Inventory, Treatment, and Early Detection and Rapid Response**

**Description of Records:** Records include:

- Inventory and Treatment:** Program inventory and treatment data management activities documentation, and other data dealing with the collection and reporting of information related to NFS invasive species inventory and treatment activities.
- Early Detection and Rapid Response (EDRR):** Documentation, including program specific correspondence, associated with non-native (exotic) invasive species prevention, and EDRR activities.

**Exclusion:** File all native insect and disease records under file code 3400.

**Note 1:** Some files may contain PII, store securely, control access.

**Note 2:** Includes records previously retained under file codes:

- 2900 - Invasive Species - Early Detection and Rapid Response.
- 2900 - Invasive Species - Inventory and Treatment.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which administrative use ends. Destroy 25 years after cut-off.

**Disposition Authority:** DAA-0095-2018-0067-0002

### 3. Subheading: Invasive Species Case Files - Plants

**Description of Records:** Records include individual case files associated with treatment of plant invasive species in specific geographic locations on Forest Service units.

**Exclusion:** File all native insect and disease records under file code 3400.

**Note 1:** Some files may contain PII, store securely, control access.

**Note 2:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 3:** If hardcopy records exist, send closed hardcopy records to FRC storage at the end of the FY.

**Disposition:** Permanent (see notes). Cutoff at end of FY in which project is completed. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-5/14c

### 4. Subheading: Invasive Species Case Files - Vertebrate

**Description of Records:** Records include individual case files associated with treatment of vertebrate invasive species in specific geographic locations on Forest Service units.

**Exclusion:** File all native insect and disease records under file code 3400.

**Note 1:** Some files may contain PII, store securely, control access.

**Note 2:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 3:** If hardcopy records exist, send closed hardcopy records to FRC storage at the end of the FY.

**Note 4:** Previous subheading "Case Files - Vertebrate."

**Disposition:** Permanent (see notes). Cutoff at end of FY in which project is completed. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-5/14b

5. **Subheading: Invasive Species Control and Management**

**Description of Records:** Records include correspondence; documentation of criteria, practices, programs, policies, and directives; and records pertaining to control treatments, integrated pest management techniques, and related technological development information on controlling invasive species within the NFS.

**Exclusion:** File all native insect and disease records under file code 3400.

**Note 1:** Some files may contain PII, store securely, control access.

**Note 2:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 3:** If hardcopy records exist, send closed hardcopy records to FRC storage at the end of the FY.

**Note 4:** Previous subheading "Control and Management."

**Disposition:** Permanent (see notes). Cutoff at end of FY in which administrative use ceases. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-3/49

6. **Subheading: Invasive Species Rehabilitation and Restoration**

**Description of Records:** Documentation of activities associated with NFS invasive species program rehabilitation and restoration activities. Records include information on criteria, practices, programs, policies, directives, and other documentation regarding the rehabilitation and restoration of areas impacted (or potentially impacted) by invasive species.

**Exclusion:** File all native insect and disease records under file code 3400.

**Note 1:** Some files may contain PII, store securely, control access.

**Note 2:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 3:** If hardcopy records exist, send closed hardcopy records to FRC storage at the end of the FY.

**Note 4:** Previous subheading "Rehabilitation and Restoration."

**Disposition:** Permanent (see notes). Cutoff at end of FY in which administrative use ceases. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-3/50

#### 7. Subheading: Invasive Species Case Files - Invertebrate

**Description of Records:** Records include individual case files associated with treatment of invertebrate invasive species in specific geographic locations on Forest Service units.

**Exclusion:** File all native insect and disease records under file code 3400.

**Note 1:** Some files may contain PII, store securely, control access.

**Note 2:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 3:** If hardcopy records exist, send closed hardcopy records to FRC storage at the end of the FY.

**Note 4:** Previous subheading "Case Files - Invertebrate."

**Disposition:** Permanent (see notes). Cutoff at end of FY in which project is completed. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-5/14a

#### 8. Subheading: Invasive Species Case Files - Pathogens

**Description of Records:** Records include individual case files associated with treatment of pathogen species in specific geographic locations on Forest Service units.

**Note 1:** Some files may contain PII, store securely, control access.

**Note 2:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 3:** If hardcopy records exist, send closed hardcopy records to FRC storage at the end of the FY.

**Note 4:** Previous subheading "Case Files - Pathogens."

**Disposition:** Permanent (see notes). Cutoff at end of FY in which project is completed. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-5/14d

## 42.3 - 3000 Series File Codes

The following provides guidance for managing Forest Service unstructured records in electronic format. Staffs must use and store records in official Forest Service designated repositories.

### File Code - Heading: 3000 - State and Private Forestry

#### 1. Subheading: Inquiries

**Description of Records:** Obsolete. File standard inquiries and responses under file code 6270 – Availability of Records – General Information Requests.

#### 2. Subheading: State and Private Forestry Program Administration

**Description of Records:** Records pertain to general administration of the State and Private Forestry program and records pertaining to the National Association of State Foresters (NASF) and its activities.

**Exclusion:** Records pertaining to policy.

**Note 1:** Includes records previously retained under file codes:

- 3000 – State and Private Forestry – General.
- 3000 – State and Private Forestry – National Association of State Foresters.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy three years after cut-off.

**Disposition Authority:** DAA-0095-2018-0004-0001

#### 3. Subheading: State and Private Forestry Program Policy

**Description of Records:** Includes correspondence and records related to State and Private Forestry policy, Advisory Committee, NASF, authorities, responsibilities, organization, and general or administrative practices.

**Exclusion:** File cooperative agreements under file code 1580.

**Note 1:** The Records Officer authorization via a NARA approved transfer form (for example, an ERA TR) required prior to transferring permanent records to the custody and ownership of NARA.

**Note 2:** If hardcopy records exist, send closed hardcopy records to FRC storage at end of FY.

**Note 3:** Previous subheading “Policy.”

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-2/138

4. **Subheading: State and Private Forestry Special Projects**

**Description of Records:** Includes action plans and follow-ups, special reports or summaries, and related working papers which address State and Private objectives or responsibilities.

**Exclusion:** File all original speeches under file code 1650-Press, Radio, Television – Policy Speeches. Retain duplicate copies of speeches in the case file.

**Note 1:** Establish as case files.

**Note 2:** The Records Officer authorization via a NARA approved transfer form (for example, an ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 3:** If hardcopy records exist, send hardcopy records to FRC storage at end of FY in which the record is closed.

**Note 4:** Previous subheading “Special Projects.”

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-2/140

**File Code - Heading: 3100 - Cooperative Fire Protection**

1. **Subheading: Cooperative Fire Protection (CFP) Program Administration**

**Description of Records:** General records relating to Cooperative Fire Protection too broad to file under a specific subject. Includes correspondence related to all components of Cooperative Fire Program and Prevention programs.

**Exclusion:** Records (including correspondence) pertaining to Smokey Bear Program.

**Note 1:** Includes records previously retained under file codes:

- 3100 – Cooperative Fire Protection – General.
- 3100 – Cooperative Fire Protection – Planning.
- 3100 – Cooperative Fire Protection – Prevention.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy five years after cut-off.

**Disposition Authority:** DAA-0095-2018-0007-0001

## 2. Subheading: Inquiries

**Description of Records:** Obsolete. File standard inquiries and responses under file code 6270 – Availability of Records – General Information Requests.

### File Code - Heading: 3110 - Smokey Bear Program

#### 1. Subheading: Smokey Bear Audio Visual Productions

**Description of Records:** Includes 16mm films, video tape, and slide set presentations; public service advertising; and other Smokey Bear Program audio and visual productions made in and for the Washington Office or regions. This includes television, radio, newspaper, magazine, outdoor and transit advertising, news releases, brochures, campaign catalogs, educational videos and files, and other productions deemed historically significant.

**Exclusion:** Videos with a planned life of less than one year – dispose of within one year of creation.

**Note 1:** Washington Office maintains official record.

**Note 2:** Copies are non-record material and should be routed between Forest Service units until no longer needed for administrative use, at which point the copies should be destroyed.

**Note 3:** The Records Officer authorization via a NARA approved transfer form (for example, an ERA TR) required prior to transferring permanent records to the custody and ownership of NARA.

**Note 4:** If hardcopy records exist, send closed hardcopy records to FRC storage at end of FY.

**Note 5:** Previous subheading “Audio Visual Productions.”

**Disposition:** Permanent (see notes). Cutoff at end of FY in which the audio-visual production is withdrawn from distribution. Transfer original edited master and duplicate copy to NARA five years after cut-off.

**Disposition Authority:** N1-95-10-2/144

#### 2. Subheading: Smokey Bear General Program Administration

**Description of Records:** Includes correspondence relating to all components, and other subject matters, specifically related to administration of the Smokey Bear Program,



excluding agreements, licenses, and authorizations. Establish folders by subject matter (file code 1640 – Audiovisual – Graphic Arts for disposition of artwork).

**Note 1:** Washington Office maintains official record; all offices transfer records to the Washington Office.

**Note 2:** The Records Officer authorization via a NARA approved transfer form (for example, an ERA TR) required prior to transferring permanent records to the custody and ownership of NARA.

**Note 3:** If hardcopy records exist, send closed hardcopy records to FRC storage at end of FY.

**Note 4:** Previous subheading “General.”

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA 15 years after cut-off.

**Disposition Authority:** N1-95-10-6/63

3. **Subheading: Smokey Bear Cooperative Agreements**

**Description of Records:** Obsolete, retain agreements under appropriate file code 1580 – Grants and Agreements category.

4. **Subheading: Smokey Bear Licenses**

**Description of Records:** Includes inquiries; approved license and/or amendments; copy of bond surety, if required; royalty statements; bills for collection; and correspondence.

**Note:** Washington Office maintains official record; transfer records to the Washington Office.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which the license is terminated. Destroy ten years after cut-off.

**Disposition Authority:** N1-95-10-2/143

**File Code - Heading: 3120 - Fire Equipment and Supply Management**

1. **Subheading: Fire Equipment and Supply Management Program**

**Description of Records:** Includes records, including correspondence, related to excess equipment, supplies, and purchasing of supplies by states.

**Note:** Previous subheading “General.”

**Disposition:** Temporary (see notes). Cutoff at end of FY in which administrative use ceases.

**Disposition Authority:** N1-95-10-4/274

**File Code - Heading: 3130 - Wildland Fire Protection Program**

**1. Subheading: Wildland Fire Protection Program Administration**

**Description of Records:** Includes general records related to Federal technical and financial assistance provided to states in protecting state and private lands in all aspects of fire protection.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which administrative use ceases.

**Disposition Authority:** N1-95-10-4/275

**File Code - Heading: 3140 - Extreme Fire Situation Program**

**1. Subheading: Extreme Fire Situation Program Administration**

**Description of Records:** Includes correspondence, studies, reports, and other records related to fire suppression assistance to States and the FEMA Fire Management Assistance Program.

**Note:** Includes records previously retained under file codes:

- 3140 – Extreme Fire Situation Program – General.
- 3140 – Extreme Fire Situation Program – Federal Emergency Management Agency.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which administrative use ceases. Destroy five years after cut-off.

**Disposition Authority:** DAA-0095-2018-0008-0001

**File Code - Heading: 3150 - Rural Community Fire Protection**

**1. Subheading: Rural Community Fire Protection Program Administration**

**Description of Records:** Includes correspondence and records pertaining to assisting States in organizing, equipping, and training rural fire organizations in communities with populations of less than 10,000.

**Exclusion:** Retain training materials under file code 6140 – Employee Development, Performance, Awards – Training – Agency Sponsored (GRS 2.6, item 010).

**Note:** Previous subheading “General.”

**Disposition:** Temporary (see notes). Cutoff at end of FY in which administrative use ceases. Destroy five years after cut-off.

**Disposition Authority:** N1-95-10-4/278

## **File Code - Heading: 3170 - Cooperation (Fire Protection)**

### **1. Subheading: Fire Protection Cooperation Agreements and Compacts**

**Description of Records:** Documentation consists of fire protection records pertaining to:

- a. Cooperative agreements with Federal, state, and local governments, including supplements and revisions.
- b. Interstate Forest Fire Protection Compacts regarding regional coordination efforts with States to assist in fire protection activities, Records including supplements, revisions, and related correspondence.

**Note 1:** Retain a copy of agreements under file code 1580 – Grants and Agreements – Case Files (approved).

**Note 2:** Includes records previously retained under file codes:

- 3170 – Cooperation – Cooperative Agreements.
- 3170 – Cooperation – Interstate Forest Fire Protection Compacts.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which agreement expires or terminates. Destroy ten years after cut-off.

**Disposition Authority:** GRS 1.2/020 - (DAA-GRS-2013-0008-0001)

### **2. Subheading: Fire Protection Cooperation Program Administration**

**Description of Records:** Includes documentation of a general nature related to fire protection with Federal, state, and local governments.

**Note:** Previous subheading “General.”

**Disposition:** Temporary (see notes). Cutoff at end of FY in which administrative use ceases. Destroy five years after cut-off.

**Disposition Authority:** N1-95-10-4/279

**File Code - Heading: 3180 - Records, Reports, Studies, and Publications (Cooperative Wildfire Program)**

**1. Subheading: Cooperative Wildfire Program Reports, Studies, and Publications**

**Description of Records:** Records pertain to the Cooperative Wildfire Program and include General correspondence:

- a. **Reports:** Including input source documents for the FS-3100-8 Annual Wildfire Report and similar reports documenting expenditures. The Wildfire Report contains data on acres protected; number of wildfires; and acres burned by cause and size class on State and private forest lands, as well as the report of State legislation that affects State fire programs.
- b. **Studies:** The Efficiency Analysis Report documents alternative program actions for more efficient fire protection. An Efficiency Analysis is conducted on an as-needed basis when opportunities for program improvements are identified. The file also includes special studies that may lead to setting policy and are conducted at the regional level, or at the Washington Office when the issue is national in scope.

**Exclusion:** Published reports retained under this schedule are reference material. The record copies of the Annual Wildfire Report, National Forest Fire Report, Rural Fire Prevention, and Control Program Financing are published and maintained by Public Affairs staffs under file code 1630 – Forest Service Publications.

**Note 1:** The Washington Office, Fire and Aviation Management Staff collected the 1911-1982 Annual Wildlife Report, National Forest Fire Report, Rural Fire Prevention, and Control Program Financing records and transferred these records to NARA between 1988 and 1990.

**Note 2:** Establish folders by reports and special studies.

**Note 3:** If hardcopy records exist, retain on site, and do not transfer to FRC storage.

**Note 4:** Includes records previously retained under file codes:

- 3180 – Records, Reports, Studies, and Publications – General.
- 3180 – Records, Reports, Studies, and Publications – Reports.
- 3180 – Records, Reports, Studies, and Publications – Studies.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy five years after cut-off.

**Disposition Authority:** DAA-0095-2018-0009-0001

**File Code - Heading: 3200 - Rural Forestry Assistance**

**1. Subheading: Rural Forestry Assistance Program Administration**

**Description of Records:** Includes records related to broad policy on cooperative forestry assistance programs and general documentation related to training for State Foresters and private landowners.

**Note 1:** NARA approved exemption from GRS; determined records are Forest Service Mission specific.

**Note 2:** Includes records previously retained under file codes:

- 3200 – Rural Forestry Assistance – General.
- 3200 – Rural Forestry Assistance – Training.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 15 years after cut-off.

**Disposition Authority:** DAA-0095-2018-0010-0001

**2. Subheading: Inquiries**

**Description of Records:** Obsolete. File standard inquiries and responses under file code 6270 – Availability of Records – General Information Requests.

**File Code - Heading: 3210 - Forest Management Assistance**

**1. Subheading: Forest Management Assistance Program**

**Description of Records:** Records pertaining to non-Federal land resource management and technical assistance, as well as the Annual Financial Status Report and Accomplishment Report (and supporting documentation).

**Note 1:** Control records previously filed under file code 3210 are now filed under file code 1410. File agreements under file codes 1530, 1540, or 1580 (as appropriate). Financing and plans are now filed under appropriate file code 6500 designation.

**Note 2:** Includes records previously retained under file codes:

- 3210 – Forest Management Assistance – General.
- 3210 – Forest Management Assistance – Reports.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 15 years after cut-off.

**Disposition Authority:** DAA-0095-2018-0011-0001

**File Code - Heading: 3220 - Cooperative Nursery Production**

**1. Subheading: Cooperative Nursery Production Administration**

**Description of Records:** Includes the following records associated with the Cooperative Nursery Production program:

- a. **Correspondence and general programmatic documentation:** Related to assistance in furnishing tree plant stocks.
- b. **International Seed Trade:** Policies, procedures, and general documentation (including correspondence) related to the control of forest reproductive material moving in international trade.
- c. **Nursery Production Assistance:** General records and administrative studies and reviews related to cooperative forestry tree nursery programs.
- d. **Seed Handling and Testing:** Records pertaining to the cleaning, drying, extracting, and testing of tree seeds conducted by the National Tree Seed Laboratory.
- e. **Seed Handling and Testing – Seed Testing:** Test request sheet, laboratory worksheet, radiograph, germination sheet for each treatment, tetrazolium test sheet, and correspondence on test interpretations.

**Note 1:** File “Cost-Sharing Conservation Program” records under file code 3300 – Forestry Incentives.

**Note 2:** File “Administrative Studies” records under file code 4110 – Study Plans.

**Note 3:** File “Forestry Loans” records under file code “3300 – Forestry Incentives.”

**Note 4:** Includes records previously retained under file codes:

- 3220 – Cooperative Nursery Production – General.
- 3220 – Cooperative Nursery Production – International Seed Trade.
- 3220 – Cooperative Nursery Production – Nursery Production Assistance.
- 3220 – Cooperative Nursery Production – Seed Handling and Testing.
- 3220 – Cooperative Nursery Production – Seed Handling and Testing – Seed Testing.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 15 years after cut-off.

**Disposition Authority:** DAA-0095-2018-0012-0001

2. **Subheading: International Exchange of Seed**

**Description of Records:** Includes general correspondence, records of policies and procedures, exchanges records of seed, and transfers of seed and pollen internationally.

**Disposition:** Temporary. Cutoff at end of FY in which administrative use ceases. Destroy 15 years after cut-off.

**Disposition Authority:** N1-95-10-4/293

3. **Subheading: Seed Handling and Testing – Seed Bank**

**Description of Records:** Includes case studies containing correspondence with foreign researchers, U.S. photo certificate, packing list, receipt of registered mail, foreign import permit, report of money received, and bill for collection.

**Note:** Establish case files for each study.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which study ends. Destroy 15 years after cut-off.

**Disposition Authority:** N1-95-10-4/291

**File Code - Heading: 3230 - Cooperative Tree Improvement**

1. **Subheading: Cooperative Tree Improvement Program**

**Description of Records:** Includes general correspondence, studies, and reports related to cooperative forestry tree improvement programs covered under Public Law 95-313.

**Note 1:** Establish as case files.

**Note 2:** Previous subheading “General.”

**Disposition:** Temporary (see notes). Cutoff at end of FY in which case file closed. Destroy 15 years after cut-off.

**Disposition Authority:** N1-95-10-4/295

**File Code - Heading: 3240 - Forest Products Utilization**

1. **Subheading: Forest Products Utilization Program**

**Description of Records:** Includes general correspondence and records related to assistance for improvement of harvesting, processing, marketing and use of wood products, and wood for energy.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 15 years after cut-off.

**Disposition Authority:** N1-95-10-4/296

**File Code - Heading: 3250 - Forest Soil and Water Management**

**1. Subheading: Forest Soil and Water Management Program**

**Description of Records:** Includes: general correspondence and other records related to protection and improvement of soil fertility and productivity on non-Federal forest lands; the quality, quantity, and timing of water yield; and technical assistance to other agencies.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 15 years after cut-off.

**Disposition Authority:** N1-95-10-4/297

**File Code - Heading: 3260 - Urban Forestry Assistance**

**1. Subheading: Urban Forestry Assistance Program**

**Description of Records:** Includes general correspondence related to providing technical assistance to states for the protection, development, and management of forestland in and near urban areas.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 15 years after cut-off.

**Disposition Authority:** N1-95-10-4/298

**File Code - Heading: 3300 - Forestry Incentives**

**1. Subheading: Forest Incentives Program Administration**

**Description of Records:** Documentation, including general correspondence between the Washington Office and field units, on procedures and policies about forestry incentives. File also contains information regarding loans, insurance, and other records that do not fit under the other file designations in this series.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy five years after cut-off.



**Disposition Authority:** N1-95-10-2/145

**2. Subheading: Inquiries**

**Description of Records:** Obsolete. File standard inquiries and responses under file code 6270 – Availability of Records – General Information Requests.

**File Code - Heading: 3310 - Cost-sharing Programs**

**1. Subheading: Cost-sharing Program Administration**

**Description of Records:** Includes records pertaining to procedures, direction, and guidelines related to cost-sharing programs, such as the Environmental Quality Incentives Program. The period of payment is ten years.

**Note 1:** Establish case folders by program.

**Note 2:** Previous subheading “General.”

**Disposition:** Temporary (see notes). Cutoff at end of FY in which administrative use ceases. Destroy five years after cut-off.

**Disposition Authority:** N1-95-10-2/146

**File Code - Heading: 3320 - Forest Taxation**

**1. Subheading: Taxation Program Administration**

**Description of Records:** Includes general correspondence on forest taxation laws and incentives.

**Note:** Previous subheading “General.”

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy five years after cut-off.

**Disposition Authority:** N1-95-10-2/148

**2. Subheading: Taxation Reports and Studies**

**Description of Records:** Includes reports and studies written on a contractual and non-contractual basis to provide taxation and finance information to potential users for educating private landowners on tax laws and other incentives provided by Congress. These reports are unique and completed on an as-needed basis. The data from the reports and studies are used in a variety of forestry and tax publications. This file does not include material for tax booklets that are published annually through the Government Printing Office, covered under file code 1630 – Forest Service Publications.

**Note 1:** The Records Officer authorization via a NARA approved transfer form (for example, an ERA TR) required prior to transferring permanent records to the custody and ownership of NARA.

**Note 2:** If hardcopy records exist, send closed hardcopy records to FRC storage at end of the FY.

**Note 3:** Previous subheading "Reports and Studies."

**Disposition:** Permanent (see notes). Cutoff at end of FY in which report or study completed. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-2/147

**File Code - Heading: 3330 - Loans**

**1. Subheading: Loans**

**Description of Records:** Obsolete. File code 3330 discontinued as of 10/1/2010. File correspondence under file code 3300 – Forestry Incentives – Forest Incentives Program Administration.

**File Code - Heading: 3340 - Insurance**

**1. Subheading: Insurance**

**Description of Records:** Obsolete. File code 3340 discontinued as of 10/1/2010. File correspondence under file code 3300 – Forestry Incentives – Forest Incentives Program Administration.

**File Code - Heading: 3350 - Conservation Reserve**

**1. Subheading: Conservation Reserve Program**

**Description of Records:** Includes general correspondence related to the Forest Service providing technical assistance for tree planting under the Conservation Reserve Program.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy five years after cut-off.

**Disposition Authority:** N1-95-10-2/149

**File Code - Heading: 3360 - Forest Legacy Program**

**1. Subheading: Forest Legacy Information System**

**Description of Records:** Forest Legacy Information System includes information maintained regarding database management and operations for applications/systems funded through the Forest Legacy Program.

**Exclusion:** Database systems scheduled separately.

**Note 1:** The Records Officer authorization via a NARA approved transfer form (for example, an ERA TR) required prior to transferring permanent records to the custody and ownership of NARA.

**Note 2:** If hardcopy records exist, send closed records to FRC storage at end of the calendar year.

**Disposition:** Permanent (see notes). Cutoff at end of CY. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-5/15c

**2. Subheading: Forest Legacy Program Guidance**

**Description of Records:** Records pertaining to the national or regional implementation guidance and direction for the Forest Legacy Program. Includes State-specific assessments, assessment amendments and updates, designation letters, and MOU and Agreements.

**Note 1:** Maintain by calendar year at host unit.

**Note 2:** The Records Officer authorization via a NARA approved transfer form [for example, an ERA TR) required prior to transferring permanent records to the custody and ownership of NARA.

**Note 3:** If hardcopy records exist, send closed records to FRC storage at end of FY.

**Note 4:** Previous subheading "Guidance."

**Disposition:** Permanent (see notes). Cutoff at end of FY in which case closed or document completed. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-5/15a

### 3. Subheading: Forest Legacy Program Projects

**Description of Records:** Records pertain to the use of Federal funds by grantees to acquire lands or interest in lands under the Forest Legacy Program. Records document the Federal financial investment in assuring the land or interests in land is protected in perpetuity. Records may include a copy of the recorded conservation easement/deed; review appraisal report; amicable agreement letters; proof of clear title; and minerals determinations. For conservation easements, project files may also include baseline documentation or a cover page, summary of annual monitoring, and a forest stewardship/multi-resource plan cover page. In addition, the project files must include project grant information, including:

- a. The award letter,
- b. All grant modifications,
- c. Invoices,
- d. Financial reports, and
- e. Progress reports (containing plain language on substantial transactions)

**Note 1:** Establish case files using the following case naming convention that is generated when a project and tract(s) are entered in Forest Legacy Information System: Regional Codes (Washington Office digit first-level organization code)-State abbreviation (Federal information Processing Standard Washington Office-letter abbreviations)-Project Number (four-digit number, starting with 1000 and continuing sequentially)-tract in alphabetical sequence (Washington Office letters, starting with AA and continuing sequentially). The Forest Legacy Program project identifier will be cross-referenced with the grant number.

**Note 2:** Maintain by CY at host unit.

**Note 3:** The Records Officer authorization via a NARA approved transfer form (for example, an ERA TR) required prior to transferring permanent records to the custody and ownership of NARA.

**Note 4:** Office of record maintains an up-to-date list of records residing at unit, as well as records transferred to FRCs and NARA.

**Note 5:** If hardcopy records exist, send closed records to FRC storage at end of CY.

**Note 6:** Previous subheading "Projects."

**Disposition:** Permanent (see notes). Cutoff at CY in which the document is completed, updated, expires, or the case is closed.

**Disposition Authority:** N1-95-10-5/15b

4. **Subheading: Forest Legacy Program Administrative Records**

**Description of Records:** Routine correspondence, comments, and other documentation not associated with a specific case file, regarding Forest Legacy Program guidelines and direction; routine requests for information and responses; informal reports and attachments; general program recommendations; and other transactions of a general nature, not associated with a specific case file, regarding Forest Legacy Program planning, execution, administration, and implementation.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy ten years after cut-off.

**Disposition Authority:** N1-95-10-3/52

5. **Subheading: Forest Legacy Program Reviews**

**Description of Records:** Documentation of Forest Service reviews, state program reviews, and state quality-assurance inspections of program implementation of appraisal services. Records include documentation of outside-agency, program-wide audits, and inspection reports.

**Note:** Previous subheading "Program Reviews."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which administrative use ceases. Destroy ten years after cut-off.

**Disposition Authority:** N1-95-10-3/53

6. **Subheading: Forest Legacy Program Special Projects**

**Description of Records:** Records include special project case files and documents.

**Note 1:** Maintain on host unit.

**Note 2:** Create case files for projects.

**Note 3:** Previous subheading "Special Projects."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which project ends. Destroy ten years after cut-off.

**Disposition Authority:** N1-95-10-3/54

**File Code - Heading: 3400 - Forest Health Protection**

**1. Subheading: Forest Health Protection Program Authorities and Responsibilities**

**Description of Records:** Includes general correspondence and other records related to authorities and responsibilities applicable to Forest Health Management.

**Exclusion:** File all native insect and disease records under file code 3400; file all exotic (non-native) invasive species records under file code 2900.

**Note 1:** The Records Officer authorization via a NARA approved transfer form (for example, an ERA TR) required prior to transferring permanent records to the custody and ownership of NARA.

**Note 2:** If hardcopy records exist, send closed hardcopy records to FRC storage at end of FY.

**Note 3:** Previous subheading "General."

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-2/150

**2. Subheading: Inquiries**

**Description of Records:** Obsolete. File standard inquiries and responses under file code 6270 – Availability of Records – General Information Requests.

**File Code - Heading: 3410 - Detection, Monitoring and Evaluation (Forest Health Protection)**

**1. Subheading: Forest Health Protection Detection, Monitoring, and Evaluation**

**Description of Records:** Includes documentation associated with Forest Health Protection detection, monitoring, and evaluation activities, such as correspondence, field surveillance reports, detection surveys, their planning and conduct.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 25 years after cut-off.

**Disposition Authority:** N1-95-10-4/299

**File Code - Heading: 3420 - Management (Forest Health Protection)**

**1. Subheading: Forest Health Protection Management**

**Description of Records:** Includes documentation associated with Forest Health Protection management activities, including correspondence, Biological Evaluations, Economic Evaluations, and EAs.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which administrative use ceases. Destroy 25 years after cut-off.

**Disposition Authority:** N1-95-10-4/300

**File Code - Heading: 3430 - Program Funding and Accomplishment Reporting (Forest Health Protection)**

**1. Subheading: Forest Health Protection Program Funding and Accomplishment Reporting**

**Description of Records:** Includes information associated with Forest Health Protection program funding and accomplishment reporting, such as correspondence, criteria, and supporting documentation necessary to support control projects.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which administrative use ceases. Destroy 25 years after cut-off.

**Disposition Authority:** N1-95-10-4/301

**File Code - Heading: 3440 - Special Forest Health Protection Projects**

**1. Subheading: Special Forest Health Protection Projects**

**Description of Records:** Includes correspondence and case files related to Forest Health Protection special projects.

**Note 1:** Folders arranged alphabetically by name of project.

**Note 2:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which case file closed. Destroy 25 years after cut-off.

**Disposition Authority:** N1-95-10-4/302

**File Code - Heading: 3450 - Forest Health Protection Administration**

**1. Subheading: Collection of Expenditure and Accomplishment Reporting Data (1906-1971)**

**Description of Records:** Data collected before the installation of an automated system in 1971.

**Note:** The Records Officer authorization via a NARA approved transfer form (for example, an ERA TR) required prior to transferring permanent records to the custody and ownership of NARA.

**Disposition:** Permanent (see notes). Records closed in 1971. No new records to be created and retained under this item after 1971. Transfer immediately any existing records to NARA.

**Disposition Authority:** N1-95-10-2/153

**2. Subheading: Forest Health Protection Expenditure Summary Report**

**Description of Records:** Textual report which provides a breakdown of financial expenditures for major forest health protection on Federal and state lands. Arrange in chronological order.

**Note 1:** Washington Office maintains official record.

**Note 2:** The Records Officer authorization via a NARA approved transfer form (for example, an ERA TR) required prior to transferring permanent records to the custody and ownership of NARA.

**Note 3:** If hardcopy records exist, send closed hardcopy records to FRC storage at end of FY.

**Note 4:** Previous subheading "Expenditure Summary Report."

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-2/152

**3. Subheading: Forest Health Protection General Administration Records**

**Description of Records:** Includes correspondence, Annual Condition Reports, and other records related to the funding and financing of forest health protection activities. Folders arranged by subject matter and/or geographic location.



**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 25 years after cut-off.

**Disposition Authority:** N1-95-10-4/303

4. **Subheading: Forest Health Protection Reports**

**Description of Records:** Includes Forest Health Protection Accomplishment Report.

**Note 1:** The Records Officer authorization via a NARA approved transfer form (for example, an ERA TR) required prior to transferring permanent records to the custody and ownership of NARA.

**Note 2:** If hardcopy records exist, send closed hardcopy records to FRC storage at end of FY.

**Note 3:** Previous subheading "Reports."

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-2/151

**File Code - Heading: 3500 - Cooperative Watershed**

1. **Subheading: Cooperative Watershed Program Administration**

**Description of Records:** Includes general correspondence too broad to be filed under a specific heading; policy information generated by U.S. Natural Resources Conservation Service; also, general reports to Natural Resources Conservation Service.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy five years after cut-off.

**Disposition Authority:** N1-95-10-2/154

2. **Subheading: Inquiries**

**Description of Records:** Obsolete. File standard inquiries and responses under file code 6270 – Availability of Records – General Information Requests.

**File Code - Heading: 3510 - Watershed Protection and Flood Prevention**

**1. Subheading: Watershed Protection and Flood Prevention Program Administration**

**Description of Records:** Includes general correspondence related to Public Law 566, which ensures that all Forest and Rangelands are evaluated and considered from a multiple-use standpoint on multiple-use watershed projects.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy ten years after cut-off.

**Disposition Authority:** N1-95-10-4/304

**2. Subheading: Watershed Protection and Flood Prevention Reports**

**Description of Records:** Includes reports of activities accomplished on projects by acres, compiled by project, which are summarized by regions and the Washington Office.

**Note 1:** The Records Officer authorization via a NARA approved transfer form (for example, an ERA TR) required prior to transferring permanent records to the custody and ownership of NARA.

**Note 2:** If hardcopy records exist, send closed hardcopy records to FRC storage at end of FY.

**Note 3:** Previous subheading "Reports."

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA 15 years after cut-off.

**Disposition Authority:** N1-95-10-4/305

**3. Subheading: Small Watershed Projects**

**Description of Records:** Case files containing applications, correspondence planning process, forestry reports prepared on each project, watershed Washington Office plan contract documents, project accomplishment reports, and EIS.

**Note 1:** Folders filed alphabetically by program or project.

**Note 2:** The Records Officer authorization via a NARA approved transfer form (for example, an ERA TR) required prior to transferring permanent records to the custody and ownership of NARA.

**Note 3:** If hardcopy records exist, send closed hardcopy records to FRC storage at end of FY.

**Disposition:** Permanent (see notes). Cutoff at end of FY in which case closed. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-2/155

**File Code - Heading: 3520 - River Basin Programs**

**1. Subheading: River Basin Program Administration**

**Description of Records:** Includes general correspondence and other records related to comprehensive and special planning efforts that will result in the best use or combination of uses of water and related land resources.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 15 years after cut-off.

**Disposition Authority:** N1-95-10-4/306

**2. Subheading: River Basin Studies**

**Description of Records:** Case files containing proposals, plans of work, correspondence, reports, and financial data.

**Note 1:** The Records Officer authorization via a NARA approved transfer form (for example, an ERA TR) required prior to transferring permanent records to the custody and ownership of NARA.

**Note 2:** If hardcopy records exist, send closed hardcopy records to FRC storage at end of FY.

**Disposition:** Permanent (see notes). Cutoff at end of FY in which case file closed. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-2/156

**File Code - Heading: 3530 - Flood Prevention Program**

**1. Subheading: Flood Prevention Projects**

**Description of Records:** Case files contain project plans, correspondence, reviews, budgetary information, work plans, and accomplishment reports.

**Note 1:** The Records Officer authorization via a NARA approved transfer form (for example, an ERA TR) required prior to transferring permanent records to the custody and ownership of NARA.

**Note 2:** If hardcopy records exist, send closed hardcopy records to FRC storage at end of FY.

**Disposition:** Permanent (see notes). Cutoff at end of FY in which case file closed. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-2/157

## 2. Subheading: Flood Prevention Program Administration

**Description of Records:** Includes general correspondence and other records pertaining to Public Law 534, which ensures restoration and preservation of desirable watershed conditions on forestlands.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 25 years after cut-off.

**Disposition Authority:** N1-95-10-4/307

## File Code - Heading: 3540 - Emergency Watershed Protection

### 1. Subheading: Emergency Watershed Protection Projects

**Description of Records:** Case files contain records such as applications, approvals, and completion reports.

**Note 1:** The Records Officer authorization via a NARA approved transfer form (for example, an ERA TR) required prior to transferring permanent records to the custody and ownership of NARA.

**Note 2:** If hardcopy records exist, send closed hardcopy records to FRC storage at end of FY.

**Note 3:** Previous subheading "Emergency Projects."

**Disposition:** Permanent (see notes). Cutoff at end of FY in which case file closed. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-2/158

### 2. Subheading: Emergency Watershed Protection Program Administration

**Description of Records:** Includes general correspondence pertaining to emergency measures used to assist local areas on Forest lands affected by fire, flood, or other disasters.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 25 years after cut-off.

**Disposition Authority:** N1-95-10-4/308

**File Code - Heading: 3560 - Interagency Programs (Watershed)**

**1. Subheading: Interagency Watershed Programs**

**Description of Records:** Includes general correspondence pertaining to States, counties, municipalities, and other local groups involved in watershed programs.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy five years after cut-off.

**Disposition Authority:** N1-95-10-2/159

**File Code - Heading: 3570 - Hydrologic Surveys and Analysis**

**1. Subheading: Cooperative Hydrologic Surveys and Analysis Program**

**Description of Records:** Includes correspondence and technical reports related to program direction, as well as planning, conducting, and evaluating hydrologic surveys and analysis in response to a cooperative watershed management study or program.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy ten years after cut-off.

**Disposition Authority:** N1-95-10-4/309

**File Code - Heading: 3600 - Rural Resource Conservation and Development**

**1. Subheading: Rural Resource Conservation and Development General Program Administration**

**Description of Records:** Includes general correspondence and other records too broad to be filed under a specific subject heading.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy five years after cut-off.

**Disposition Authority:** N1-95-10-4/310

## 2. Subheading: Inquiries

**Description of Records:** Obsolete. File standard inquiries and responses under file code 6270 – Availability of Records – General Information Requests.

### File Code - Heading: 3610 - Rural Development

#### 1. Subheading: Rural Development Program Administration and Reports

**Description of Records:** Records, including correspondence, pertaining to the coordination of forestry activities with other United States Department of Agriculture (USDA) Committees and outside agencies, to help support State and local concerns in eliminating problems in rural areas. Includes:

- a. The Annual Rural Development Report, which is a consolidated report from field units summarizing special projects with USDA to help farmers; and
- b. The Annual Needs Assessment Report required by USDA.

**Note:** Includes records previously retained under file codes:

- 3610 – Rural Development – General.
- 3610 – Rural Development – Reports.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy five years after cut-off.

**Disposition Authority:** DAA-0095-2018-0013-0001

### File Code - Heading: 3620 - Resource Conservation and Development

#### 1. Subheading: Resource Conservation and Development Annual Forestry Plan of Work

**Description of Records:** Report containing funding needs for the Resource Conservation and Development.

**Note:** Previous subheading “Annual Forestry Plan of Work.”

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy ten years after cut-off.

**Disposition Authority:** N1-95-10-4/312

#### 2. Subheading: Resource Conservation and Development Projects

**Description of Records:** Case files containing applications, plans, and changes in forestry.

**Note:** Previous subheading “Projects.”

**Disposition:** Temporary (see notes). Cutoff at end of FY in which case file closed. Destroy ten years after cut-off.

**Disposition Authority:** N1-95-10-2/161

3. **Subheading: Resource Conservation and Development State and Local Programs**

**Description of Records:** Includes general correspondence and other records related to working with State and local governmental units and sponsors for the purposes of improving the social, economic, and environmental conditions of a Resource Conservation and Development area, as well as identifying forestry activities and opportunities which will help sponsors with new and expanded problems to meet the needs of their rural citizens.

**Note 1:** The Records Officer authorization via a NARA approved transfer form (for example, an ERA TR) required prior to transferring permanent records to the custody and ownership of NARA.

**Note 2:** If hardcopy records exist, send closed hardcopy records to FRC storage at end of FY.

**Note 3:** Previous subheading "General."

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-10-2/160

4. **Subheading: Resource Conservation and Development Reports**

**Description of Records:** Annual Report for Resource Conservation and Development Projects and National Accomplishment Summary Report.

**Note 1:** File economic development regions and multicounty planning records in 3600 and apply retention period.

**Note 2:** The Records Officer authorization via a NARA approved transfer form (for example, an ERA TR) required prior to transferring permanent records to the custody and ownership of NARA.

**Note 3:** If hardcopy records exist, send closed hardcopy records to FRC storage at end of FY.

**Note 4:** Previous subheading "Reports."

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA 15 years after cut-off.

**Disposition Authority:** N1-95-10-6/65

**File Code - Heading: 3700 - Organization Management Assistance (External)**

**1. Subheading: External Organization Management Assistance**

**Description of Records:** Includes correspondence and other records related to technical assistance provided to State Foresters or equivalent officials in the areas of managerial assistance. Includes systems studies and analysis; employee development and training; and managerial improvement.

**Exclusion:**

- Retain internal employee training completion records under file code 6140 – Employee Development, Performance, Awards – Training-Individual Employee Training Records.
- Retain non-Mission related training materials under file code 6140 – Employee Development, Performance, Awards – Training – Forest Service Sponsored.

**Note:** Previous subheading “General.”

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy five years after cut-off.

**Disposition Authority:** N1-95-10-4/313

**File Code - Heading: 3900 - Statewide Forest Resource Planning**

**1. Subheading: Statewide Forest Resource Planning General Administration Records**

**Description of Records:** Includes general correspondence concerning State Forest resource planning and coordination with the Forest Service. Excludes correspondence with a specific plan or special project.

**Note:** Previous subheading “General.”

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy three years after cut-off.

**Disposition Authority:** N1-95-10-4/314



2. **Subheading: Statewide Forest Resource Planning Special Projects**

**Description of Records:** Includes correspondence, work plans, reports, and documents concerning projects between state officials and the Forest Service. Case file by State.

**Note:** Previous subheading "Special Projects."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which administrative use ceases. Destroy three years after cut-off.

**Disposition Authority:** N1-95-10-4/316

3. **Subheading: State Forest Resource Plans**

**Description of Records:** Includes state plan, revisions, amendments, tables, attainment reports, and correspondence concerning development and publication of the state plan. Case file by State.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which plan is superseded. Destroy three years after cut-off.

**Disposition Authority:** N1-95-10-4/315

## 42.4 - 4000 Series File Codes

The following provides guidance for managing Forest Service unstructured records in electronic formats. Staffs maintaining records electronically must use the Electronic Records Retention Schedules and store records in official Forest Service designated repositories.

### File Code - Heading: 4000 - Research and Development

#### 1. Subheading: Research and Development General Programmatic Records

**Description of Records:** General records, including general correspondence and documentation of policy development, regarding the Forest Service Research and Development (R&D) program not covered elsewhere in this schedule.

**Note 1:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 2:** If hardcopy records exist, send closed records to FRC storage at end of the FY.

**Note 3:** Previous subheading "General."

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA in five-year blocks when most recent record is 15 years old.

**Disposition Authority:** N1-95-12-4/2

#### 2. Subheading: Inquiries

**Description of Records:** Obsolete. File standard inquiries and responses under file code 6270 - Availability of Records - General Information Requests.

#### 3. Subheading: Statistical Methods

**Description of Records:** Records include statistical analysis supporting all phases of research, including experimental and sampling design, data analysis and interpretation. Additionally, records may include documentation and reviews of study plans, grant proposals, and research products for appropriateness of statistical methods and inference from analysis.

**Disposition:** Temporary. Cutoff at end of FY in which analysis is completed. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-12-1/1

4. **Subheading: Statistical Reports**

**Description of Records:** Records include statistical reports for each State, following coverage by an initial inventory and by each subsequent reinventory. Statistical reports for regions, survey units, and counties are optional. Reports compare principal statistics with similar data from previous surveys or estimates and indicate the extent to which differences are attributable to such factors as changes in forest conditions, or differing accuracy standards, definitions, and techniques.

Statistical reports should also include an appraisal of the outlook for timber supplies in terms of available cut, for example, and technical opportunities for improving the future supply situation. Statistical reports for counties or Survey units may be issued at the option of Forest Service Research Stations. The release of county statistics should be accompanied by a statement on reliability and a word of caution regarding the use of statistics with high sampling errors.

Final reports may be included in other reports included elsewhere in this schedule, though an official copy of the report should be retained under this file code.

**Disposition:** Temporary. Cutoff at end of FY in which report is issued. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-12-5/1

**File Code - Heading: 4020 - Research Data Management**

1. **Subheading: Research Data Management General Administrative Records**

**Description of Records:** Records, including general correspondence, associated with Forest Service research data management activities not covered elsewhere in this retention schedule. Includes information regarding prospective and retrospective archive-related budget and performance information. Documentation includes communication with Research Stations regarding archive activities.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-12-5/2

2. **Subheading: Policies and Procedures**

**Description of Records:** Records include policies and procedures for research data archiving and management.

**Disposition:** Temporary. Cutoff at end of FY. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-12-5/3

3. **Subheading: Research Data Archive**

**Description of Records:** Records include the formal archive research data products developed from Forest Service R&D studies (original study data scheduled separately).

**Note 1:** Database systems and applications holding archive data products consisting of structured research data are scheduled separately.

**Note 2:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 3:** If hardcopy records exist, send closed records to FRC storage at end of the FY.

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA in 5-year blocks when most recent is 50 years old.

**Disposition Authority:** N1-95-12-5/4

**File Code - Heading: 4060 - Research Facilities and Areas**

1. **Subheading: Construction**

**Description of Records:** General records, not covered elsewhere in the file codes 4000, 6300, or 7300 series, regarding construction of research facilities and areas.

**Note:** Prior to applying disposition transfer closed applicable records to Forest Service history file and apply retention period to remaining records.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which facility no longer used by agency.

**Disposition Authority:** N1-95-12-2/1

2. **Subheading: Equipment**

**Description of Records:** General records, not covered elsewhere in file codes 4000, 6300, or 7000 series, regarding research equipment selection, development, and maintenance.

**Disposition:** Temporary. Cutoff at end of FY in which equipment excessed or otherwise disposed. Destroy three years after cut-off.

**Disposition Authority:** N1-95-12-2/2

### 3. Subheading: Experimental Forests and Ranges

**Description of Records:** Experimental forests, ranges, grasslands, and watersheds provide lands for conducting research that serves as a basis for the management of forests and rangelands. An approved establishment record is required for every experimental area. Records include:

Establishment record for the experimental area, which contains:

- a. Map showing location of experimental area, including boundaries and ownership status.
- b. Photographs or illustrations showing typical conditions of the landscape.
- c. Narrative including purpose of experimental area, cover types, physical and climatic conditions, and description of and impact upon land and resource values.
- d. Accessibility.
- e. Existing facilities.
- f. Arrangements for management, administration, and protection.
- g. Recommendations.
- h. Dates and signatures.
- i. Designation order.
- j. Documentation indicating whether approved regional guides and forest plans include the proposed experimental forest or range.
- k. Environmental analysis.
- l. Changes to boundaries of experimental areas.
- m. Resource management and study plans, which include natural resource guidelines, to protect experimental areas from activities that would reduce research value.
- n. Termination order and associated documentation disestablishing the experimental area.

**Note 1:** Provide copies of applicable records to Forest Service Historian for inclusion in Forest Service history file (file code 1680).

**Note 2:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 3:** If hardcopy records exist, send closed records to FRC storage at end of the FY.

**Disposition:** Permanent (see notes). Cutoff at end of FY in which experimental area disestablished. Transfer to NARA in five-year blocks beginning when most recent record is 15 years old.

**Disposition Authority:** Pending

4. **Subheading: Research Facilities and Areas General Administrative Records**

**Description of Records:** General records, including correspondence, not covered elsewhere in this schedule, regarding the selection, development, and maintenance of research facilities, equipment, and areas, including offices, laboratories, greenhouses, and experimental forests and ranges.

**Note 1:** Do not use when correspondence concerns a specific building or related structure that is retained under file code 7300 categories.

**Note 2:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy three years after cut-off.

**Disposition Authority:** N1-95-12-2/3

5. **Subheading: Research Natural Areas**

**Description of Records:** A research natural area is a physical or biological unit in which current natural conditions are maintained insofar as possible. Research natural areas are part of a national network of ecological areas designated in perpetuity for research and education and/or to maintain biological diversity on NFS lands. They are principally used for non-manipulative research, observation, and study. Establishment record for the research natural area, which contains:

- a. Analysis and recommendation for natural resource area.
- b. Map showing location of area, including boundaries and ownership status.
- c. Photographs or illustrations showing typical conditions of the landscape.
- d. Narrative including purpose of area, cover types, physical and climatic conditions, and description of and impact upon land and resource values.

- e. Arrangements for management, administration, and protection.
- f. Recommendations.
- g. Dates and signatures.
- h. Designation order.
- i. Documentation indicating whether approved regional guides and forest plans include the research natural area.
- j. Changes to boundaries of research natural areas.
- k. Termination order and associated documentation disestablishing the research natural area.

**Note 1:** Retain information on site as necessary for administrative use.

**Note 2:** Provide copies of applicable records to Forest Service Historian for inclusion in the Forest Service history file (File code 1680).

**Note 3:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 4:** If hardcopy records exist, send closed records to FRC storage at end of the FY.

**Disposition:** Permanent (see notes). Cutoff at end of FY in which area disestablished. Transfer to NARA ten years after cut-off.

**Disposition Authority:** N1-95-12-4/4

## **File Code - Heading: 4070 - Research Program Formulation and Documentation**

### **1. Subheading: General Research Program Formulation and Documentation Records**

**Description of Records:** Includes records that reflect overall policy, direction, and planning in the administration of the Research Stations, Laboratories, and continuing research units.

**Note 1:** Establish folders by subject matter:

- Policy,
- Program Formulation and Planning,
- Projects,
- Long Range Planning for Forestry Research,
- Application for Research Results, and

- Program Reporting.

**Note 2:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 3:** If hardcopy records exist, send closed records to FRC storage at end of the FY.

**Note 4:** Previous subheading "General."

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA in five-year blocks when most recent record is 15 years old.

**Disposition Authority:** N1-95-12-4/5

## **File Code - Heading: 4080 - Research Administration**

### **1. Subheading: Research Administration Cooperative Agreements**

**Description of Records:** Research agreements with universities, colleges, institutions, and organizational arms of the Forest Service, including reports. Case files may contain drafts and working papers used to develop the final agreement and documentation pertaining to ongoing agreement activities, including correspondence and other supporting documentation, such as:

- a. Applications, forms, and budget documents.
- b. Evaluation reports, panelist comments, review ratings or scores.
- c. Notice of agreement or equivalent, and terms and conditions.
- d. Amendment requests and actions, if any.
- e. Periodic and final performance reports (progress, narrative, financial).
- f. Audit reports and/or other monitoring or oversight documentation.
- g. Summary reports and the like.

**Note 1:** Create case files as needed.

**Note 2:** File rejected applications under file code 4080 - Research Administration - Unsuccessful G&A Applications.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which agreement is cancelled, terminated, or officially closed.



**Disposition Authority:** GRS 1.2/020 - (DAA-GRS-2013-0008-0001)

## 2. Subheading: General Research Administration Records

**Description of Records:** General correspondence and records not specific enough to be retained under other file code 4080 - Research Administration subheadings.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy three years after cut-off.

**Disposition Authority:** N1-95-12-2/4

## 3. Subheading: Research Administration Grants

**Description of Records:** Grant records associated with research program activities. Organize folders by country or organization and study, divide studies into pending, approved, and rejected, including reports.

Case files may contain drafts and working papers used to develop the final instrument and records pertaining to ongoing administration of the instrument, including correspondence and other supporting documentation, such as:

- a. Applications, forms, and budget documents.
- b. Evaluation reports, panelist comments, review ratings or scores.
- c. Notice of Grant Award or equivalent and grant terms and conditions.
- d. State plans, if any (submissions from states that assure compliance with all applicable Federal statutes and regulations in effect with respect to the period for which the State receives funding).
- e. Amendment requests and actions, if any.
- f. Periodic and final performance reports (progress, narrative, financial).
- g. Audit reports and/or other monitoring or oversight documentation.
- h. Summary reports and the like.

**Note 1:** Final Products - The tangible result of a completed grant produced/delivered by the recipient to satisfy the purpose of the award. Not all grants and cooperative agreements result in tangible products or deliverables. For those that do, a copy should be retained in the appropriate program or project file. Per GRS 1.2, item 30, all other copies may be destroyed when business use ceases.

**Note 2:** File rejected applications under file code 4080 - Research Administration - Unsuccessful G&A Applications.

**Note 3:** Previous subheading "Grants."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which grant is cancelled, terminated, or officially closed. Destroy ten years after cut-off.

**Disposition Authority:** GRS 1.2/020 - (DAA-GRS-2013-0008-0001)

#### 4. Subheading: Research Administration Interagency Agreements

**Description of Records:** Case files may contain drafts and working papers used to develop the final agreement and documentation pertaining to ongoing agreement activities, including correspondence and other supporting documentation, such as:

- a. Applications, forms, and budget documents.
- b. Evaluation reports, panelist comments, review ratings or scores.
- c. Notice of agreement or equivalent, and terms and conditions.
- d. Amendment requests and actions, if any.
- e. Periodic and final performance reports (progress, narrative, financial).
- f. Audit reports and/or other monitoring or oversight documentation.
- g. Summary reports and the like.

**Note 1:** Create case files as needed.

**Note 2:** File rejected applications under file code 4080 - Research Administration - Unsuccessful G&A Applications.

**Note 3:** Previous subheading "Interagency Agreements."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which agreement is cancelled, terminated, or officially closed. Destroy ten years after cut-off.

**Disposition Authority:** GRS 1.2/020 - (DAA-GRS-2013-0008-0001)

#### 5. Subheading: Research Administration Unsuccessful G&A Applications

**Description of Records:** Grant and interagency agreement case files - unsuccessful applications. Case files containing records relating to unsuccessful individual grant or cooperative agreements. Records include, but are not limited to:

- a. Applications, forms, and budget documents.
- b. Evaluation reports, panelist comments, review ratings or scores.
- c. Notice of non-aware or equivalent, and grant terms and conditions.
- d. Associated general documentation.

**Note:** Previous subheading “Unsuccessful G&A Applications.”

**Disposition:** Temporary (see notes). Cutoff at end of FY in which final action is taken. Destroy three years after cut-off.

**Disposition Authority:** GRS 1.2/021 - (DAA-GRS-2013-0008-6

#### **File Code - Heading: 4090 - Handbooks (Research)**

##### **1. Subheading: General Research Handbook Records**

**Description of Records:** General records, including correspondence, regarding research community handbooks, not found elsewhere in this schedule.

**Note:** Previous subheading “General.”

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy three years after cut-off.

**Disposition Authority:** N1-95-12-3/1

#### **File Code - Heading: 4100 - Forest and Rangeland Management Research**

##### **1. Subheading: Forest and Rangeland Management Research General Program Administrative Records**

**Description of Records:** General records, including correspondence, regarding policy and management of forest and rangeland management research. Research provides the science that addresses the understanding and managing of terrestrial vegetation process. The research focuses on forest management and silviculture, genetics and biotechnology, soils and forest/range production, fire and microbes, climate change, and forest operations.

**Note 1:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 2:** If hardcopy records exist, send closed records to FRC storage at end of the FY.

**Note 3:** Previous subheading "General."

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA in five-year blocks when most recent record is 15 years old.

**Disposition Authority:** N1-95-12-4/9

**File Code - Heading: 4110 - Programs (Forest and Rangeland Management Research)**

**1. Subheading: Forest and Rangeland Management Research Dendrology**

**Description of Records:** Obsolete. Dendrology

**2. Subheading: Forest and Rangeland Management Research Periodic Reports**

**Description of Records:** Forest and rangeland management research reports summarizing the results of studies. The results may also be published in scientific journals; however, journal articles do not substitute/replace requirement for a final report. Final reports include:

- a. Study title and administrative identifying information.
- b. Names of Principal Investigators and research unit(s) that performed the study.
- c. Study initiation and termination dates.
- d. Plain language summary of conclusions drawn from the study and their impact on science and society.

**Note 1:** Additional report information requirements may be specified by R&D or individual Research Stations.

**Note 2:** Research Stations maintain official record.

**Note 3:** Create case files as needed.

**Note 4:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 5:** If hardcopy records exist, send closed records to FRC storage at end of the FY.

**Note 6:** Previous subheading "Periodic Reports."

**Disposition:** Permanent (see notes). Cutoff at end of FY in which report is issued. Transfer to NARA 15 years after cut-off.

**Disposition Authority:** N1-95-12-1/2

3. **Subheading: Forest and Rangeland Management Research Problem Analysis**

**Description of Records:** Records include information about R&D problems regarding forest and rangeland management. Includes specific questions or statements of situations or conditions raised for inquiry and solution. Records include documentation of the problem-selection process, including an analysis of the feasibility of conducting R&D on the various problems the unit could address. Records may include documentation regarding the state of existing knowledge and urgency of the problem weighed against such factors as relevant R&D underway by other scientists, probable success in finding solutions within the specified period, opportunities for technology transfer and application, available resources, and ease or difficulty of reorienting R&D to problems of higher priority.

**Note 1:** Create case files as needed.

**Note 2:** Previous subheading "Problem Analysis."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which problem is resolved. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-12-4/10

4. **Subheading: Forest and Rangeland Management Research Program Formulation**

**Description of Records:** Policy, program formulation, and management records, including correspondence, regarding terrestrial vegetation research. Research focuses on forest management and silviculture, genetics and biotechnology, soils and forest/range production, fire and other disturbances, native and non-native insects, pathogens and plants, beneficial arthropods and microbes, climate change, and forest operations. Other areas in associated with this research include water, riparian management, Threatened and Endangered (T&E) species, economics, products, and carbon inventory.

**Note 1:** Establish case files as needed.

**Note 2:** Previous subheading "Program Formulation."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-12-4/11

5. **Subheading: Forest and Rangeland Management Research Data (Raw)**

**Description of Records:** All raw data and supplementary documentation produced during a study are to be maintained in original form. These records may also be stored as structured data in an electronic database repository or in the Forest Service Research Data Archive (scheduled separately, file code 4020). Records include, but are not limited to, observational data, sensor data, laboratory worksheets, records, notes, memoranda, photographs, software, videotapes, computer printouts, and instrument outputs in any storage format (paper, magnetic media, microfilm, microfiche, and so forth).

**Note 1:** Records retention policies for data stored in electronic database repositories: scheduled under a separate records retention schedule.

**Note 2:** Previous subheading "Research Data (Raw)."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which project ends. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-12-3/2

6. **Subheading: Forest and Rangeland Management Research Work Units**

**Description of Records:** Research Work Units and Programs are the basic problem-solving elements of Station R&D programs. Stations meet changing R&D needs and priorities by establishing new Research Work Units and programs, discontinuing old units and programs, or revising them, with concurrence of the Deputy Chief for R&D. Records maintained are associated with organization of a research work unit and general information regarding the work done by each work unit, including but not limited to research work unit descriptions or program charters. Types of research work units include pioneering research work units; multifunctional research work units; multi-project programs; research and development programs; and research, development, and application programs, including descriptions.

**Note:** Previous subheading "Research Work Units."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-12-4, item 12

7. **Subheading: Forest and Rangeland Management Research Study Plans**

**Description of Records:** Records consist of the description of the proposed study or experiment; a review of pertinent literature; a statement of the specific objectives; and a description of the field, laboratory, and office methods planned for use in the research or development. Additional records may include documentation associated with application of results obtained from the study and identification of means for

minimizing environmental health and safety hazards associated with the study. The plan may also include a schedule of activities and an estimate of the cost in scientist-years and funds and assign responsibility for conducting the study.

**Note:** Previous subheading "Study Plans."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which final report is issued. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-12-1, item 3

#### **File Code - Heading: 4200 - Wildlife and Fish Management Research**

##### **1. Subheading: Wildlife and Fish Management Research General Program Administrative Records**

**Description of Records:** General records, including correspondence, regarding policy and management of wildlife and fish management research. Research focuses on wildlife and fish management on private and public lands, and the recovery of threatened or endangered species. Scientists investigate the complex interactions among species, ecosystem dynamics and processes, land use and management, and emerging broad-scale threats, including global climate change, loss of open space, invasive species, and disease.

**Note 1:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 2:** Send existing closed hardcopy records to FRC storage at end of the FY.

**Note 3:** Previous subheading "General."

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA in 5-year blocks when most recent record is 15 years old.

**Disposition Authority:** N1-95-12-4/13

#### **File Code - Heading: 4210 - Programs (Wildlife and Fish Management Research)**

##### **1. Subheading: Wildlife and Fish Management Research Periodic Reports**

**Description of Records:** Wildlife and fish habitat research reports summarizing the results of studies. The results may also be published in scientific journals; however, journal articles do not substitute/replace requirement for a final report. Final reports include:

- a. Study title and administrative identifying information.
- b. Names of Principal Investigators and research unit(s) that performed the study.
- c. Study initiation and termination dates.
- d. Plain language summary of conclusions drawn from the study and their impact on science and society.

**Note 1:** Additional report information requirements may be specified by R&D or individual Research Stations.

**Note 2:** Research Stations maintain official record.

**Note 3:** Create case files as needed.

**Note 4:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 5:** Send existing closed hardcopy records to FRC storage at end of the FY.

**Note 6:** Previous subheading "Periodic Reports."

**Disposition:** Permanent (see notes). Cutoff at end of FY in which report is issued. Transfer to NARA 15 years after cut-off.

**Disposition Authority:** N1-95-12-1/4

## 2. Subheading: Wildlife and Fish Management Research Problem Analysis

**Description of Records:** Records include information about R&D problems regarding wildlife and fish-habitat management. Includes specific questions or statements of situations or conditions raised for inquiry and solution. Records include documentation of the problem-selection process, including an analysis of the feasibility of conducting R&D on the various problems the unit could address. Records may include documentation regarding the state of existing knowledge and urgency of the problem weighed against such factors as relevant R&D underway by other scientists, probable success in finding solutions within the specified period, opportunities for technology transfer and application, available resources, and ease or difficulty of reorienting R&D to problems of higher priority.

**Note 1:** Create case files as needed.

**Note 2:** Previous subheading "Problem Analysis."



**Disposition:** Temporary (see notes). Cutoff at end of FY in which problem is resolved. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-12-4/14

3. **Subheading: Wildlife and Fish Management Research Program Formulation**

**Description of Records:** Policy, program formulation, and management records, including correspondence, regarding wildlife and fish management research. Research focuses on wildlife and fish management on private and public lands, and the recovery of threatened or endangered species. Scientists investigate the complex interactions among species, ecosystem dynamics and processes, land use and management, and emerging broad-scale threats, including global climate change, loss of open space, invasive species, and disease.

**Note 1:** Establish case files as needed.

**Note 2:** Previous subheading "Program Formulation."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-12-4/15

4. **Subheading: Wildlife and Fish Management Research Data (Raw)**

**Description of Records:** All raw data and supplementary documentation produced during a study are to be maintained in original form. These records may also be stored as structured data in an electronic database repository or in the Forest Service Research Data Archive (scheduled separately, file code 4020). Records include, but are not limited to, observational data, sensor data, laboratory worksheets, records, notes, memoranda, photographs, software, videotapes, computer printouts, and instrument outputs in any storage format (paper, magnetic media, microfilm, microfiche, and so forth).

**Note 1:** Close file and apply retention period when project ends.

**Note 2:** Records retention policies for data stored in electronic database repositories. schedule under a separate records retention schedule.

**Note 3:** Previous subheading "Research Data (Raw)."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which project ends. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-12-3/3

5. **Subheading: Wildlife and Fish Management Research Work Units**

**Description of Records:** Research Work Units and Programs are the basic problem-solving elements of Station R&D programs. Stations meet changing R&D needs and priorities by establishing new Research Work Units and programs, discontinuing old units and programs, or revising them, with concurrence of the Deputy Chief for R&D. Records maintained are associated with organization of a research work unit and general information regarding the work done by each work unit, including but not limited to research work unit descriptions or program charters. Types of research work units include pioneering research work units; multifunctional research work units; multi-project programs; research and development programs; and research, development, and application programs, including descriptions.

**Note:** Previous subheading "Research Work Units."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-12-4/16

6. **Subheading: Wildlife and Fish Management Research Study Plans**

**Description of Records:** Records consist of the description of the proposed study or experiment; a review of pertinent literature; a statement of the specific objectives; and a description of the field, laboratory, and office methods planned for use in the research or development. Additional records may include documentation associated with application of results obtained from the study and identification of means for minimizing environmental health and safety hazards associated with the study. The plan may also include a schedule of activities and an estimate of the cost in scientist-years and funds and assign responsibility for conducting the study.

**Note:** Previous subheading "Study Plans."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-12-1/5

**File Code - Heading: 4300 - Watershed and Air Quality Management Research**

1. **Subheading: Watershed and Air Quality Management Research General Program Administrative Records**

**Description of Records:** General records, including correspondence, regarding policy and management of watershed and air quality management research. Research focuses on the sustainable management of essential water and air resources by providing clear air and safe drinking water, by protecting lives and property from wildland fire and smoke, and through adapting to climate variability and change. Research features

ecosystem services with a high level of integration between water, air, and soil research; and stresses the effects of climate variability and change on water budgets and carbon sequestration from an ecosystem perspective.

**Note 1:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 2:** Send existing closed hardcopy records to FRC storage at end of the FY.

**Note 3:** Previous subheading "General."

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA in 5-year blocks when most recent record is 15 years old.

**Disposition Authority:** N1-95-12-4/17

**File Code - Heading: 4310 - Programs (Watershed and Air Quality Management Research)**

**1. Subheading: Watershed and Air Quality Management Research Periodic Reports**

**Description of Records:** Watershed and air quality management research reports summarizing the results of studies. The results may also be published in scientific journals; however, journal articles do not substitute/replace requirement for a final report. Final reports include:

- a. Study title and administrative identifying information.
- b. Names of Principal Investigators and research unit(s) that performed the study.
- c. Study initiation and termination dates.
- d. Plain language summary of conclusions drawn from the study and their impact on science and society.

**Note 1:** Additional report information requirements may be specified by R&D or individual Research Stations.

**Note 2:** Research Stations maintain official record.

**Note 3:** Create case files as needed.

**Note 4:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 5:** Send existing closed hardcopy records to FRC storage at end of the FY.

**Note 6:** Previous subheading "Periodic Reports."

**Disposition:** Permanent (see notes). Cutoff at end of FY in which report is issued. Transfer to NARA 15 years after cut-off.

**Disposition Authority:** N1-95-12-1/6

2. **Subheading: Watershed and Air Quality Management Research Problem Analysis**

**Description of Records:** Research and Development problems associated with watershed management and rehabilitation. Includes specific questions or statements of situations or conditions raised for inquiry and solution. Records include documentation of the problem-selection process, including an analysis of the feasibility of conducting R&D on the various problems the unit could address. Records may include documentation regarding the state of existing knowledge and urgency of the problem weighed against such factors as relevant R&D underway by other scientists, probable success in finding solutions within the specified period, opportunities for technology transfer and application, available resources, and ease or difficulty of reorienting R&D to problems of higher priority.

**Note 1:** Create case files as needed.

**Note 2:** Previous subheading "Problem Analysis."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which problem is resolved. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-12-4/18

3. **Subheading: Watershed and Air Quality Management Research Program Formulation**

**Description of Records:** Policy, program formulation, and management records, including correspondence, regarding watershed management and rehabilitation research. Research focuses on the sustainable management of essential water and air resources by providing clear air and safe drinking water, by protecting lives and property from wildland fire and smoke, and through adapting to climate variability and change. Research features ecosystem services with a high level of integration between water, air, and soil research; and stresses the effects of climate variability and change on water budgets and carbon sequestration from an ecosystem perspective.

Set up individual folders as needed, for specific programs such as classification methods, damage prevention, erosion, hydrology, measurements, rehabilitation, and water yield improvement.

**Note 1:** Establish case files as needed.

**Note 2:** Previous subheading "Program Formulation."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-12-4/19

4. **Subheading: Watershed and Air Quality Management Research Data (Raw)**

**Description of Records:** All raw data and supplementary documentation produced during a study are to be maintained in original form. These records may also be stored as structured data in an electronic database repository or in the Forest Service Research Data Archive (scheduled separately, file code 4020). Records include, but are not limited to, observational data, sensor data, laboratory worksheets, records, notes, memoranda, photographs, software, videotapes, computer printouts, and instrument outputs in any storage format (paper, magnetic media, microfilm, microfiche, and so forth).

**Note 1:** Records retention policies for data stored in electronic database repositories: schedule under a separate records retention schedule.

**Note 2:** Previous subheading "Research Data (Raw)."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which project ends. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-12-3/4

5. **Subheading: Watershed and Air Quality Management Research Work Units**

**Description of Records:** Research Work Units and Programs are the basic problem-solving elements of Station R&D programs. Stations meet changing R&D needs and priorities by establishing new Research Work Units and programs, discontinuing old units and programs, or revising them, with concurrence of the Deputy Chief for R&D. Records maintained are associated with organization of a research work unit and general information regarding the work done by each work unit, including but not limited to research work unit descriptions or program charters. Types of research work units include pioneering research work units; multifunctional research work units; multi-project programs; research and development programs; and research, development, and application programs, including descriptions.

**Note:** Previous subheading "Research Work Units."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-12-4/20

6. **Subheading: Watershed and Air Quality Management Research Study Plans**

**Description of Records:** Records consist of the description of the proposed study or experiment; a review of pertinent literature; a statement of the specific objectives; and a description of the field, laboratory, and office methods planned for use in the R&D. Additional records may include documentation associated with application of results obtained from the study and identification of means for minimizing environmental health and safety hazards associated with the study. The plan may also include a schedule of activities and an estimate of the cost in scientist-years and funds and assign responsibility for conducting the study.

**Note:** Previous subheading "Study Plans."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which final report is issued. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-12-1/7

7. **Subheading: Watershed and Air Quality Management Research Surface Environment and Mining**

**Description of Records:** Includes material that describes the authorities, objectives, and responsibilities for Surface Environment and Mining.

**Note 1:** Washington Office maintains official record, all offices transfer records to Washington Office.

**Note 2:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 3:** Send existing closed hardcopy records to FRC storage at end of the FY.

**Note 4:** Previous subheading "Surface Environment and Mining."

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA in 5-year blocks when most recent record is 15 years old.

**Disposition Authority:** N1-95-12-4/21

**File Code - Heading: 4400 - Wildland Fire and Fuels Research**

**1. Subheading: Wildland Fire and Fuels Research General Program Administrative Records**

**Description of Records:** General records, including correspondence, regarding wildland fire and fuels research. Research focuses on developing the knowledge and tools that managers use to reduce negative impacts and enhance beneficial effects of fire, and fire and fuels management on society and the environment. The research has five major focus areas:

- a. Understanding and modeling fundamental fire processes,
- b. Interactions of fire with ecosystems and the environment,
- c. Social and economic aspects of fire,
- d. Evaluation of integrated management strategies and disturbance interactions at multiple scales, and
- e. Application of fire research to address management problems.

**Note 1:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 2:** Send existing closed hardcopy records to FRC storage at end of the FY.

**Note 3:** Previous subheading "General."

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA in five-year blocks when most recent record is 15 years old.

**Disposition Authority:** N1-95-12-4/23

**File Code - Heading: 4410 - Programs (Wildland Fire and Fuels Research)**

**1. Subheading: Wildland Fire and Fuels Research Periodic Reports**

**Description of Records:** Wildland fire and fuels research reports summarizing the results of studies. The results may also be published in scientific journals; however, journal articles do not substitute/replace requirement for a final report. Final reports include:

- a. Study title and administrative identifying information.
- b. Names of Principal Investigators and research unit(s) that performed the study.

- c. Study initiation and termination dates.
- d. Plain language summary of conclusions drawn from the study and their impact on science and society.

**Note 1:** Additional report information requirements may be specified by R&D or individual Research Stations.

**Note 2:** Research Stations maintain official record.

**Note 3:** Create case files as needed.

**Note 4:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 5:** Send existing closed hardcopy records to FRC storage at end of the FY.

**Note 6:** Previous subheading "Periodic Reports."

**Disposition:** Permanent (see notes). Cutoff at end of FY in which report is issued. Transfer to NARA 15 years after cut-off.

**Disposition Authority:** N1-95-12-1/8

## 2. **Subheading: Wildland Fire and Fuels Research Problem Analysis**

**Description of Records:** Research and Development problems regarding forest fires, atmospheric science, and fire control technology. Includes specific questions or statements of situations or conditions raised for inquiry and solution. Records include documentation of the problem-selection process, including an analysis of the feasibility of conducting R&D on the various problems the unit could address. Records may include documentation regarding the state of existing knowledge and urgency of the problem weighed against such factors as relevant R&D underway by other scientists, probable success in finding solutions within the specified period, opportunities for technology transfer and application, available resources, and ease or difficulty of reorienting R&D to problems of higher priority.

**Note 1:** Create case files as needed.

**Note 2:** Previous subheading "Problem Analysis."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which problem is resolved. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-12-4/24



3. **Subheading: Wildland Fire and Fuels Research Program Formulation**

**Description of Records:** Policy, program formulation, and management records, including correspondence, regarding wildland fire and fuels research. Research focuses on developing the knowledge and tools that managers use to reduce negative impacts and enhance beneficial effects of fire, and fire and fuels management on society and the environment. The research has five major focus areas:

- a. Understanding and modeling fundamental fire processes,
- b. Interactions of fire with ecosystems and the environment,
- c. Social and economic aspects of fire,
- d. Evaluation of integrated management strategies and disturbance interactions at multiple scales, and
- e. Application of fire research to address management problems.

Set up individual folders as needed, for specific programs such as forest fire science, atmospheric science, and fire control technology.

**Note 1:** Establish case files as needed.

**Note 2:** Previous subheading "Program Formulation."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-12-4, item 25

4. **Subheading: Wildland Fire and Fuels Research Data (Raw)**

**Description of Records:** All raw data and supplementary documentation produced during a study are to be maintained in original form. These records may also be stored as structured data in an electronic database repository or in the Forest Service Research Data Archive (scheduled separately, file code 4020). Records include, but are not limited to, observational data, sensor data, laboratory worksheets, records, notes, memoranda, photographs, software, videotapes, computer printouts, and instrument outputs in any storage format (paper, magnetic media, microfilm, microfiche, and so forth).

**Note 1:** Records retention policies for data stored in electronic database repositories: scheduled under a separate records retention schedule.

**Note 2:** Previous subheading "Research Data (Raw)."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which project ends. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-12-3/5

5. **Subheading: Wildland Fire and Fuels Research Work Units**

**Description of Records:** Research Work Units and Programs are the basic problem-solving elements of Station R&D programs. Stations meet changing R&D needs and priorities by establishing new Research Work Units and programs, discontinuing old units and programs, or revising them, with concurrence of the Deputy Chief for R&D. Records maintained are associated with organization of a research work unit and general information regarding the work done by each work unit, including but not limited to research work unit descriptions or program charters. Types of research work units include pioneering research work units; multifunctional research work units; multi-project programs; research and development programs; and research, development, and application programs, including descriptions.

**Note:** Previous subheading "Research Work Units."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-12-4/26

6. **Subheading: Wildland Fire and Fuels Research Study Plans**

**Description of Records:** Records consist of the description of the proposed study or experiment; a review of pertinent literature; a statement of the specific objectives; and a description of the field, laboratory, and office methods planned for use in the research or development. Additional records may include documentation associated with application of results obtained from the study and identification of means for minimizing environmental health and safety hazards associated with the study. The plan may also include a schedule of activities and an estimate of the cost in scientist-years and funds and assign responsibility for conducting the study.

**Note:** Previous subheading "Study Plans."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which final report is issued. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-12-1/9

**File Code - Heading: 4500 - Entomology, Pathology, and Invasive Species**

1. **Subheading: Entomology, Pathology, and Invasive Species General Program Administrative Research Records**

**Description of Records:** General records, including correspondence, regarding entomology, pathology, and invasive species research. The purpose of research is to

develop scientific information, methods, and technology to reduce, minimize, or eliminate the introduction, establishment, spread, and impact of invasive species, and to restore ecosystems affected by invasives or restore their functions. Research focuses on plants, animals, fish, insects, diseases, invertebrates, and other species that are not native to the ecosystem under consideration and whose introduction causes or is likely to cause economic or environmental harm.

**Note 1:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 2:** Send existing closed hardcopy records to FRC storage at end of the FY.

**Note 3:** Previous subheading "General."

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA in five-year blocks when most recent record is 15 years old.

**Disposition Authority:** N1-95-12-4/27

**File Code - Heading: 4510 - Programs (Entomology, Pathology, and Invasive Species Research)**

**1. Subheading: Entomology, Pathology, and Invasive Species Research Periodic Reports**

**Description of Records:** Forest Service entomology, pathology, and invasive species research reports summarizing the results of studies. The results may also be published in scientific journals; however, journal articles do not substitute/replace requirement for a final report. Final reports include:

- a. Study title and administrative identifying information.
- b. Names of Principal Investigators and research unit(s) that performed the study.
- c. Study initiation and termination dates.
- d. Plain language summary of conclusions drawn from the study and their impact on science and society.

**Note 1:** Additional report information requirements may be specified by R&D or individual Research Stations.

**Note 2:** Research Stations maintain official record.

**Note 3:** Create case files as needed.

**Note 4:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 5:** If hardcopy records exist, send closed records to FRC storage at end of the FY.

**Note 6:** Previous subheading "Periodic Reports."

**Disposition:** Permanent (see notes). Cutoff at end of FY in which report is issued. Transfer to NARA 15 years after cut-off.

**Disposition Authority:** Pending

2. **Subheading: Entomology, Pathology, and Invasive Species Research Problem Analysis**

**Description of Records:** Research and Development problems regarding insect control methods, insect identification, insect survey techniques, and forest insects. Includes specific questions or statements of situations or conditions raised for inquiry and solution. Records include documentation of the problem-selection process, including an analysis of the feasibility of conducting R&D on the various problems the unit could address. Records may include documentation regarding the state of existing knowledge and urgency of the problem weighed against such factors as relevant R&D underway by other scientists, probable success in finding solutions within the specified period, opportunities for technology transfer and application, available resources, and ease or difficulty of reorienting R&D to problems of higher priority.

**Note 1:** Create case files as needed.

**Note 2:** Previous subheading "Problem Analysis."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which problem is resolved. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-12-4/28

3. **Subheading: Entomology, Pathology, and Invasive Species Research Program Formulation**

**Description of Records:** Policy, program formulation, and management records, including correspondence, regarding entomology, pathology, and invasive species research. The purpose of research is to develop scientific information, methods, and technology to reduce, minimize, or eliminate the introduction, establishment, spread, and impact of invasive species, and to restore ecosystems affected by invasives or restore their functions. Research focuses on plants, animals, fish, insects, diseases, invertebrates, and other species that are not native to the ecosystem under consideration and whose introduction causes or is likely to cause economic or

environmental harm. Set up individual folders, as needed, for specific programs such as control methods, insect identification, insect survey techniques, and forest insects.

**Note 1:** Establish case files as needed.

**Note 2:** Previous subheading "Program Formulation."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-12-4/29

4. **Subheading: Entomology, Pathology, and Invasive Species Research Data (Raw)**

**Description of Records:** All raw data and supplementary documentation produced during a study are to be maintained in original form. These records may also be stored as structured data in an electronic database repository or in the Forest Service Research Data Archive (scheduled separately, file code 4020). Records include, but are not limited to, observational data, sensor data, laboratory worksheets, records, notes, memoranda, photographs, software, videotapes, computer printouts, and instrument outputs in any storage format (paper, magnetic media, microfilm, microfiche, and so forth).

**Note 1:** Records retention policies for data stored in electronic database repositories: schedule under a separate records retention schedule.

**Note 2:** Previous subheading "Research Data (Raw)."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which project ends. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-12-3/6

5. **Subheading: Entomology, Pathology, and Invasive Species Research Work Units**

**Description of Records:** Research Work Units and Programs are the basic problem-solving elements of Station R&D programs. Stations meet changing R&D needs and priorities by establishing new Research Work Units and programs, discontinuing old units and programs, or revising them, with concurrence of the Deputy Chief for R&D. Records maintained are associated with organization of a research work unit and general information regarding the work done by each work unit, including but not limited to research work unit descriptions or program charters. Types of research work units include pioneering research work units; multifunctional research work units; multi-project programs; research and development programs; and research, development, and application programs, including descriptions.

**Note:** Previous subheading "Research Work Units."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-12-4/30

6. **Subheading: Entomology, Pathology, and Invasive Species Research Study Plans**

**Description of Records:** Records consist of the description of the proposed study or experiment; a review of pertinent literature; a statement of the specific objectives; and a description of the field, laboratory, and office methods planned for use in the research or development. Additional records may include documentation associated with application of results obtained from the study and identification of means for minimizing environmental health and safety hazards associated with the study. The plan may also include a schedule of activities and an estimate of the cost in scientist-years and funds and assign responsibility for conducting the study.

**Note:** Previous subheading "Study Plans."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which final report is issued. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-12-1/11

**File Code - Heading: 4600 - Inventory and Monitoring Research**

1. **Subheading: Inventory and Monitoring Research General Program Administrative Records**

**Description of Records:** General records, including correspondence, regarding development of resource data, analysis, and tools needed to effectively identify status and trends of forests, management options and impacts, and threats and impacts of fire, insects, disease, and other natural processes, enhancing use and value of our Nation's forests and grasslands. Assessing current and potential effects of climate change is dependent on monitoring of forest ecosystems at greatest risk to rapid change. Focus areas include the development and use of integrated interdisciplinary science, technologies, and remote sensing to increase the timeliness and spatial resolution of incidence of forest fragmentation from land use change, and incidence of insect, disease, fire, and extreme weather events.

**Note 1:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 2:** Send existing closed hardcopy records to FRC storage at end of the FY.

**Note 3:** Previous subheading "General."

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA in five-year blocks when most recent record is 15 years old.

**Disposition Authority:** N1-95-12-4/31

**File Code - Heading: 4610 - Programs (Inventory and Monitoring Research)**

**1. Subheading: Inventory and Monitoring Research Data (Raw)**

**Description of Records:** All raw data and supplementary documentation (excluding Forest Inventory and Analysis (FIA) data) produced during a study are to be maintained in original form. These records may also be stored as structured data in an electronic database repository or in the Forest Service Research Data Archive (scheduled separately, file code 4020). Records include, but are not limited to, observational data, sensor data, laboratory worksheets, records, notes, memoranda, photographs, software, videotapes, computer printouts, and instrument outputs in any storage format (paper, magnetic media, microfilm, microfiche, and so forth).

**Exclusion:** FIA Data

**Note 1:** Records retention policies for data stored in electronic database repositories: scheduled under a separate records retention schedule.

**Note 2:** Previous subheading “Research Data (Raw).”

**Disposition:** Temporary (see notes). Cutoff at end of FY in which project ends. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-12-3/7

**2. Subheading: Forest Inventory and Analysis - Post 1986 Data not in FIA Database**

**Description of Records:** Records consist of USDA Forest Service program-related legacy data produced because of the FIA program after 1986, that does not reside in the FIA database.

**Restrictions:**

Information regarding exact plot location and specific ownership codes is restricted from public access. To protect the integrity of the FIA sample, the exact coordinates of the sample plot locations are confidential. Protection of confidentiality is incorporated into law through FY2000 Consolidated Appropriations bill Public Law 106-103 (Pub. L. 106-113) which amended the Food Security Act of 1985 Title 7, United States Code, Part 2276(d)—Confidentiality of Information (7 U.S.C. 2276(d)) to include FIA data. Cite restrictions when transferring records to FRC storage or National Archives. This schedule does NOT cover:

- a. FIA data entered in the FIA database.
- b. Data in systems and applications that are managed by other Federal agencies or non-Federal entities, even if the systems and applications are used by the Forest Service for natural resource management projects.
- c. Temporary-value data that supports Forest Service administrative functions.
- d. Data covered by NARA-issued GRS; and
- e. Data generated because of Forest Service-wide functions beyond the management of FIA programmatic activities (for example, procurement, financial management, property and supplies, personnel administration, and legal and litigation functions).

**Note 1:** Use this schedule for records dated after 1986.

**Note 2:** If hardcopy records exist, send closed records to FRC storage at end of the FY.

**Disposition:** Permanent (see notes). Cutoff at end of FY in which survey completed. Transfer to NARA 15 years after cut-off.

**Disposition Authority:** DAA-0095-2016-0003-0002

### 3. **Subheading: Forest Inventory Analysis - Legacy Data**

**Description of Records:** Records consist of USDA Forest Service program-related legacy data produced because of the FIA program from implementation of the program through 1986. This legacy data was gathered manually prior to the implementation of the FIA database and does not reside in the database.

#### **Restrictions:**

Information regarding exact plot location and specific ownership codes is restricted from public access. To protect the integrity of the FIA sample, the exact coordinates of the sample plot locations are confidential. Protection of confidentiality is incorporated into law through FY2000 Consolidated Appropriations bill (Pub. L. 106-113) which amended the Food Security Act of 1985 (7 U.S.C. 2276(d)) to include FIA data. Cite restrictions when transferring records to FRC storage or National Archives. This schedule does NOT cover:

- a. FIA data entered in the FIA database.
- b. Data in systems and applications that are managed by other Federal agencies or non-Federal entities, even if the systems and applications are used by the Forest Service for natural resource management projects.



- c. Temporary-value data that supports Forest Service administrative functions.
- d. Data covered by NARA-issued GRS; and
- e. Data generated because of Forest Service-wide functions beyond the management of FIA programmatic activities (for example, procurement, financial management, property and supplies, personnel administration, and legal and litigation functions).

**Note 1:** Use this schedule for records dated 1986 and earlier.

**Note 2:** Hardcopy records may be transferred to FRC until eligible for accession to National Archives.

**Disposition:** Permanent (see notes). Cutoff 12/31/1986. Transfer to NARA no later than 10/27/2021.

**Disposition Authority:** DAA-0095-2016-0002-0001

#### 4. **Subheading: Inventory and Monitoring Research Periodic Reports**

**Description of Records:** Inventory and monitoring research reports summarizing the results of studies. The results may also be published in scientific journals; however, journal articles do not substitute/replace requirement for a final report. Final reports include:

- a. Study title and administrative identifying information.
- b. Names of Principal Investigators and research unit(s) that performed the study.
- c. Study initiation and termination dates.
- d. Plain language summary of conclusions drawn from the study and their impact on science and society.

**Note 1:** Additional report information requirements may be specified by R&D or individual Research Stations.

**Note 2:** Research Stations maintain official record.

**Note 3:** Create case files as needed.

**Note 4:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 5:** If hardcopy records exist, send closed records to FRC storage at end of the FY.

**Note 6:** Previous subheading "Periodic Reports."

**Disposition:** Permanent (see notes). Cutoff at end of FY in which report is issued. Transfer to NARA 15 years after cut-off.

**Disposition Authority:** N1-95-12-1/12

5. **Subheading: Inventory and Monitoring Research Problem Analysis**

**Description of Records:** Research and Development problems regarding inventory and monitoring methods. Includes specific questions or statements of situations or conditions raised for inquiry and solution. Records include documentation of the problem-selection process, including an analysis of the feasibility of conducting R&D on the various problems the unit could address. Records may include documentation regarding the state of existing knowledge and urgency of the problem weighed against such factors as relevant R&D underway by other scientists, probable success in finding solutions within the specified period, opportunities for technology transfer and application, available resources, and ease or difficulty of reorienting R&D to problems of higher priority.

**Note 1:** Create case files as needed.

**Note 2:** Previous subheading "Problem Analysis."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which problem is resolved. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-12-4/32

6. **Subheading: Inventory and Monitoring Research Program Formulation**

**Description of Records:** Policy, program formulation, and management records, including correspondence, regarding development of resource data, analysis, and tools needed to effectively identify status and trends of forests, management options and impacts, and threats and impacts of fire, insects, disease, and other natural processes, enhancing use and value of our Nation's forests and grasslands. Assessing current and potential effects of climate change is dependent on monitoring of forest ecosystems at greatest risk to rapid change. Focus areas include the development and use of integrated interdisciplinary science, technologies, and remote sensing to increase the timeliness and spatial resolution of incidence of forest fragmentation from land use change, and incidence of insect, disease, fire, and extreme weather events.

**Note 1:** Establish case files as needed.

**Note 2:** Previous subheading "Program Formulation."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-12-4/33

7. **Subheading: Inventory and Monitoring Research Work Units**

**Description of Records:** Research Work Units and Programs are the basic problem-solving elements of Station R&D programs. Stations meet changing R&D needs and priorities by establishing new Research Work Units and programs, discontinuing old units and programs, or revising them, with concurrence of the Deputy Chief for R&D. Records maintained are associated with organization of a research work unit and general information regarding the work done by each work unit, including but not limited to research work unit descriptions or program charters. Types of research work units include pioneering research work units; multifunctional research work units; multi-project programs; research and development programs; and research, development, and application programs, including descriptions.

**Note:** Previous subheading "Research Work Units."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-12-4/34

8. **Subheading: Inventory and Monitoring Research Study Plans**

**Description of Records:** Records consist of the description of the proposed study or experiment; a review of pertinent literature; a statement of the specific objectives; and a description of the field, laboratory, and office methods planned for use in the research or development. Additional records may include documentation associated with application of results obtained from the study and identification of means for minimizing environmental health and safety hazards associated with the study. The plan may also include a schedule of activities and an estimate of the cost in scientist-years and funds and assign responsibility for conducting the study.

**Note:** Previous subheading "Study Plans."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which final report is issued. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-12-1/13

**File Code - Heading: 4700 - Forest Products and Uses Research**

**1. Subheading: Forest Products and Uses Research General Program Administrative Records**

**Description of Records:** General correspondence and information regarding the forest products and harvesting research program not covered elsewhere in this schedule. The Forest Products and Uses (FPU) research program provides the scientific and technology base to sustainably manage and use forest and forest fiber-based products. Focus areas include plant, soil, and social sciences; silviculture; productivity; forest and range management; harvesting operations; forest and biomass products and utilization; economics; urban forestry; bioenergy; and climate change.

**Note 1:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 2:** Send existing closed hardcopy records to FRC storage at end of the FY.

**Note 3:** Previous subheading "General."

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA in five-year blocks when most recent record is 15 years old.

**Disposition Authority:** N1-95-12-4/35

**File Code - Heading: 4710 - Programs - Forest Products and Uses Research**

**1. Subheading: Forest Products and Uses Periodic Reports**

**Description of Records:** Forest products and uses program research reports summarizing the results of studies. The results may also be published in scientific journals; however, journal articles do not substitute/replace requirement for a final report. Final reports include:

- a. Study title and administrative identifying information.
- b. Names of Principal Investigators and research unit(s) that performed the study.
- c. Study initiation and termination dates.
- d. Plain language summary of conclusions drawn from the study and their impact on science and society.

**Note 1:** Additional report information requirements may be specified by R&D or individual Research Stations.

**Note 2:** Research Stations maintain official record.

**Note 3:** Create case files as needed.

**Note 4:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 5:** Send existing closed hardcopy records to FRC storage at end of the FY.

**Note 6:** Previous subheading "Periodic Reports."

**Disposition:** Permanent (see notes). Cutoff at end of FY in which report is issued. Transfer to NARA 15 years after cut-off.

**Disposition Authority:** N1-95-12-1/14

## 2. Subheading: Forest Products and Uses Research Problem Analysis

**Description of Records:** Research and Development problems regarding utilization of forest and forest fiber-based products. Includes specific questions or statements of situations or conditions raised for inquiry and solution. Records include documentation of the problem-selection process, including an analysis of the feasibility of conducting R&D on the various problems the unit could address. Records may include documentation regarding the state of existing knowledge and urgency of the problem weighed against such factors as relevant R&D underway by other scientists, probable success in finding solutions within the specified period, opportunities for technology transfer and application, available resources, and ease or difficulty of reorienting R&D to problems of higher priority.

**Note 1:** Create case files as needed.

**Note 2:** Previous subheading "Problem Analysis."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which problem is resolved. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-12-4/36

## 3. Subheading: Forest Products and Uses Research Program Formulation

**Description of Records:** Policy, program formulation, and management records, including correspondence, regarding the forest products and harvesting research program not covered elsewhere in this schedule. The FPU research program provides the scientific and technology base to sustainably manage and use forest and forest fiber-based products. Focus areas include plant, soil, and social sciences; silviculture;

productivity; forest and range management; harvesting operations; forest and biomass products and utilization; economics; urban forestry; bioenergy; and climate change.

**Note 1:** Establish case files as needed.

**Note 2:** Previous subheading "Program Formulation."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-12-4/37

4. **Subheading: Forest Products and Uses Research Data (Raw)**

**Description of Records:** All raw data and supplementary documentation produced during a study are to be maintained in original form. These records may also be stored as structured data in an electronic database repository or in the Forest Service Research Data Archive (scheduled separately, file code 4020). Records include, but are not limited to, observational data, sensor data, laboratory worksheets, records, notes, memoranda, photographs, software, videotapes, computer printouts, and instrument outputs in any storage format (paper, magnetic media, microfilm, microfiche, and so forth).

**Note 1:** Records retention policies for data stored in electronic database repositories: scheduled under a separate records retention schedule.

**Note 2:** Previous subheading "Research Data (Raw)."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which project ends. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-12-3/8

5. **Subheading: Forest Products and Uses Research Work Units**

**Description of Records:** Research Work Units and Programs are the basic problem-solving elements of Station R&D programs. Stations meet changing R&D needs and priorities by establishing new Research Work Units and programs, discontinuing old units and programs, or revising them, with concurrence of the Deputy Chief for R&D. Records maintained are associated with organization of a research work unit and general information regarding the work done by each work unit, including but not limited to research work unit descriptions or program charters. Types of research work units include pioneering research work units; multifunctional research work units; multi-project programs; research and development programs; and research, development, and application programs, including descriptions.

**Note:** Previous subheading "Research Work Units."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-12-4/38

6. **Subheading: Forest Products and Uses Research Study Plans**

**Description of Records:** Records consist of the description of the proposed study or experiment; a review of pertinent literature; a statement of the specific objectives; and a description of the field, laboratory, and office methods planned for use in the research or development. Additional records may include documentation associated with application of results obtained from the study and identification of means for minimizing environmental health and safety hazards associated with the study. The plan may also include a schedule of activities and an estimate of the cost in scientist-years and funds and assign responsibility for conducting the study.

**Note:** Previous subheading "Study Plans."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which final report is issued. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-12-1/15

**File Code - Heading: 4800 - Forest Values and Benefits Research**

1. **Subheading: Forest Values and Benefits Research General Program Administrative Records**

**Description of Records:** General records, including correspondence, regarding Forest Values and Benefits (FVB) research. The focus of the FVB program is to promote human and ecological sustainability through research directed at understanding and managing forest products and their values and benefits that connect people with the natural world. This research focuses on nature-based recreation and changing trends in urban American society; connections between recreation visitors, communities, and the environment; human benefits and consequences of recreation and nature contact; the effectiveness of recreation management and decision-making; and sustaining ecosystems affected by recreation.

**Note 1:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 2:** If hardcopy records exist, send closed records to FRC storage at end of the FY.

**Note 3:** Previous subheading "General."

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA in 5-year blocks when most recent record is 15 years old.

**Disposition Authority:** N1-95-12-4/39

**File Code - Heading: 4810 - Programs - Forest Values and Benefits Research**

**1. Subheading: Forest Values and Benefits Research Periodic Reports**

**Description of Records:** Forest values and benefits research reports summarizing the results of studies. The results may also be published in scientific journals; however, journal articles do not substitute/replace requirement for a final report. Final reports include:

- a. Study title and administrative identifying information.
- b. Names of Principal Investigators and research unit(s) that performed the study.
- c. Study initiation and termination dates.
- d. Plain language summary of conclusions drawn from the study and their impact on science and society.

**Note 1:** Additional report information requirements may be specified by R&D or individual Research Stations.

**Note 2:** Research Stations maintain official record.

**Note 3:** Create case files as needed.

**Note 4:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 5:** Send existing closed hardcopy records to FRC storage at end of the FY.

**Note 6:** Previous subheading "Periodic Reports."

**Disposition:** Permanent (see notes). Cutoff at end of FY in which report is issued. Transfer to NARA 15 years after cut-off.

**Disposition Authority:** N1-95-12-1/16

**2. Subheading: Forest Values and Benefits Research Problem Analysis**

**Description of Records:** Records associated with R&D problems regarding FVB research. Includes specific questions or statements of situations or conditions raised for inquiry



and solution. Records include documentation of the problem-selection process, including an analysis of the feasibility of conducting R&D on the various problems the unit could address. Records may include documentation regarding the state of existing knowledge and urgency of the problem weighed against such factors as relevant R&D underway by other scientists, probable success in finding solutions within the specified period, opportunities for technology transfer and application, available resources, and ease or difficulty of reorienting R&D to problems of higher priority.

**Note 1:** Create case files as needed.

**Note 2:** Previous subheading "Problem Analysis."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which problem is resolved. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-12-4/40

### 3. Subheading: Forest Values and Benefits Research Program Formulation

**Description of Records:** Policy, program formulation, and management records, including correspondence, regarding FVB research. Includes specific questions or statements of situations or conditions raised for inquiry and solution. Records include documentation of the problem-selection process, including an analysis of the feasibility of conducting R&D on the various problems the unit could address. Records may include documentation regarding the state of existing knowledge and urgency of the problem weighed against such factors as relevant R&D underway by other scientists, probable success in finding solutions within the specified period, opportunities for technology transfer and application, available resources, and ease or difficulty of reorienting R&D to problems of higher priority.

**Note 1:** Establish case files as needed.

**Note 2:** Previous subheading "Program Formulation."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-12-4/41

### 4. Subheading: Forest Values and Benefits Research Data (Raw)

**Description of Records:** All raw data and supplementary documentation produced during a study are to be maintained in original form. These records may also be stored as structured data in an electronic database repository or in the Forest Service Research Data Archive (scheduled separately, file code 4020). Records include, but are not limited to, observational data, sensor data, laboratory worksheets, records, notes, memoranda,

photographs, software, videotapes, computer printouts, and instrument outputs in any storage format (paper, magnetic media, microfilm, microfiche, and so forth).

**Note 1:** Records retention policies for data stored in electronic database repositories: scheduled under a separate records retention schedule.

**Note 2:** Previous subheading "Research Data (Raw)."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which project ends. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-12-3/9

5. **Subheading: Forest Values and Benefits Research Work Units**

**Description of Records:** Research Work Units and Programs are the basic problem-solving elements of Station R&D programs. Stations meet changing R&D needs and priorities by establishing new Research Work Units and programs, discontinuing old units and programs, or revising them, with concurrence of the Deputy Chief for R&D. Records maintained are associated with organization of a research work unit and general information regarding the work done by each work unit, including but not limited to research work unit descriptions or program charters. Types of research work units include pioneering research work units; multifunctional research work units; multi-project programs; research and development programs; and research, development, and application programs, including descriptions.

**Note:** Previous subheading "Research Work Units."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-12-4/42

6. **Subheading: Forest Values and Benefits Research Study Plans**

**Description of Records:** Records consist of the description of the proposed study or experiment; a review of pertinent literature; a statement of the specific objectives; and a description of the field, laboratory, and office methods planned for use in the research or development. Additional records may include documentation associated with application of results obtained from the study and identification of means for minimizing environmental health and safety hazards associated with the study. The plan may also include a schedule of activities and an estimate of the cost in scientist-years and funds and assign responsibility for conducting the study.

**Note:** Previous subheading "Study Plans."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which final report is issued. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-12-1/17

**File Code - Heading: 4820 - Renewable Resources Economics**

**1. Subheading: Renewable Resources Economics General Program Administrative Records**

**Description of Records:** Records, including general correspondence, related to procedures and direction associated with renewable resources economics. The focus of the program is to:

- a. Provide economic analysis techniques and information for evaluating management and protection alternatives for forest and rangeland.
- b. Provide economic concepts and analysis procedures for evaluation of multiple output trade-offs on public and private lands.
- c. Provide analysis of present and future forest products demands, values, and trade patterns.
- d. Evaluate feasibility of emerging product and processing technology for wood and other forest products.

**Note 1:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 2:** As electronic retention of official records is approved for this file code category, pre-accession of electronic records is authorized by mutual consent of both NARA and Forest Service.

**Note 3:** If hardcopy records exist, send closed records to FRC storage at end of the FY.

**Note 4:** Previous subheading "General."

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA in five-year blocks when most recent record is 15 years old.

**Disposition Authority:** N1-95-12-4/43

## 2. Subheading: Renewable Resources Economics Periodic Reports

**Description of Records:** Renewable resources economic reports summarizing the results of studies. The results may also be published in scientific journals; however, journal articles do not substitute/replace requirement for a final report. Final reports include:

- a. Study title and administrative identifying information.
- b. Names of Principal Investigators and research unit(s) that performed the study.
- c. Study initiation and termination dates.
- d. Plain language summary of conclusions drawn from the study and their impact on science and society.

**Note 1:** Additional report information requirements may be specified by R&D or individual Research Stations.

**Note 2:** Research Stations maintain official record.

**Note 3:** Create case files as needed.

**Note 4:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 5:** Send existing closed hardcopy records to FRC storage at end of the FY.

**Note 6:** Previous subheading "Periodic Reports."

**Disposition:** Permanent (see notes). Cutoff at end of FY in which report is issued. Transfer to NARA 15 years after cut-off.

**Disposition Authority:** N1-95-12-1/18

## 3. Subheading: Renewable Resources Economics Problem Analysis

**Description of Records:** Renewable Resources Economics Problem Analysis Records, including general correspondence, related to procedures and direction associated with renewable resources economics.

Includes specific questions or statements of situations or conditions raised for inquiry and solution. Records include documentation of the problem-selection process, including an analysis of the feasibility of conducting R&D on the various problems the unit could address. Records may include documentation regarding the state of existing knowledge and urgency of the problem weighed against such factors as relevant R&D underway by other scientists, probable success in finding solutions within the specified

period, opportunities for technology transfer and application, available resources, and ease or difficulty of reorienting R&D to problems of higher priority.

**Note 1:** Create case files as needed.

**Note 2:** Previous subheading "Problem Analysis."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which problem is resolved. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-12-4/44

4. **Subheading: Renewable Resources Economics Program Formulation**

**Description of Records:** Policy, program formulation, and management records, including correspondence, regarding renewable resources economics research. Includes specific questions or statements of situations or conditions raised for inquiry and solution. Records include documentation of the problem-selection process, including an analysis of the feasibility of conducting R&D on the various problems the unit could address. Records may include documentation regarding the state of existing knowledge and urgency of the problem weighed against such factors as relevant R&D underway by other scientists, probable success in finding solutions within the specified period, opportunities for technology transfer and application, available resources, and ease or difficulty of reorienting R&D to problems of higher priority.

**Note 1:** Establish case files as needed.

**Note 2:** Previous subheading "Program Formulation."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-12-4/45

5. **Subheading: Renewable Resources Economics Research Data (Raw)**

**Description of Records:** All raw data and supplementary documentation produced during a study are to be maintained in original form. These records may also be stored as structured data in an electronic database repository or in the Forest Service Research Data Archive (scheduled separately, file code 4020). Records include, but are not limited to, observational data, sensor data, laboratory worksheets, records, notes, memoranda, photographs, software, videotapes, computer printouts, and instrument outputs in any storage format (paper, magnetic media, microfilm, microfiche, and so forth).

**Note 1:** Records retention policies for data stored in electronic database repositories: scheduled under a separate records retention schedule.

**Note 2:** Previous subheading “Research Data (Raw)”

**Disposition:** Temporary (see notes). Cutoff at end of FY in which project ends. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-12-3/10

6. **Subheading: Renewable Resources Economics Research Work Units**

**Description of Records:** Research Work Units and Programs are the basic problem-solving elements of Station R&D programs. Stations meet changing R&D needs and priorities by establishing new Research Work Units and programs, discontinuing old units and programs, or revising them, with concurrence of the Deputy Chief for R&D. Records maintained are associated with organization of a research work unit and general information regarding the work done by each work unit, including but not limited to research work unit descriptions or program charters. Types of research work units include pioneering research work units; multifunctional research work units; multi-project programs; research and development programs; and research, development, and application programs, including descriptions.

**Note:** Previous subheading “Research Work Units.”

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-12-4/46

7. **Subheading: Renewable Resources Economics Study Plans**

**Description of Records:** Records consist of the description of the proposed study or experiment; a review of pertinent literature; a statement of the specific objectives; and a description of the field, laboratory, and office methods planned for use in the research or development. Additional records may include documentation associated with application of results obtained from the study and identification of means for minimizing environmental health and safety hazards associated with the study. The plan may also include a schedule of activities and an estimate of the cost in scientist-years and funds and assign responsibility for conducting the study.

**Note:** Previous subheading “Study Plans.”

**Disposition:** Temporary (see notes). Cutoff at end of FY in which final report is issued. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-12-1/19

**File Code - Heading: 4900 - Emerging Research Areas**

**1. Subheading: Emerging Research Areas General Program Administrative Records**

**Description of Records:** General records, including correspondence, regarding development of Emerging Research Areas. Emerging Research Area's rest on a science foundation structured around Research and Development's (R&D's) Strategic Program Areas. In 2012 the five Emerging Research Area's are:

- a. Climate Change: Adaptation research to improve the resiliency of forests, rangelands, and aquatic areas, and mitigating the adverse impacts of climate change through trees, forests, and forest ecosystems.
- b. Biofuels: Alternative energy sources and new markets that contribute to energy security and independence while reducing greenhouse gases.
- c. Urban Natural Resources Stewardship: The management, protection, and stewardship of urban natural resources to improve people's lives.
- d. Nanotechnology: Leading-edge innovations in the development of wood products.
- e. Water Management and Restoration: Best management practices designed to protect and restore watersheds that enhance water quantity and quality.

**Note 1:** The list of Emerging Research Areas will change over time at R&D's discretion as new research areas come into being.

**Note 2:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 3:** Send existing closed hardcopy records to FRC storage at end of the FY.

**Note 4:** Previous subheading "General."

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA in five-year blocks when most recent record is 15 years old.

**Disposition Authority:** N1-95-12-5/5

**File Code - Heading: 4910 - Programs (Emerging Research Areas)**

**1. Subheading: Emerging Research Areas Periodic Reports**

**Description of Records:** Emerging research reports summarizing the results of studies. The results may also be published in scientific journals; however, journal articles do not

substitute/replace requirement for a final report. Includes refined data sets used during the writing of the periodic reports. Final reports include:

- a. Study title and administrative identifying information.
- b. Names of Principal Investigators and research unit(s) that performed the study.
- c. Study initiation and termination dates.
- d. Plain language summary of conclusions drawn from the study and their impact on science and society.

**Note 1:** Additional report information requirements may be specified by R&D or individual Research Stations.

**Note 2:** Research Stations maintain official record.

**Note 3:** Create case files as needed.

**Note 4:** Include refined data sets used during the writing of the report in transfers to NARA.

**Note 5:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 6:** Send existing closed hardcopy records to FRC storage at end of the FY.

**Note 7:** Previous subheading "Periodic Reports."

**Disposition:** Permanent (see notes). Cutoff at end of FY in which report is issued. Transfer to NARA 15 years after cut-off.

**Disposition Authority:** N1-95-12-3/12

## 2. Subheading: Emerging Research Areas Program Formulation

**Description of Records:** Policy, program formulation, and management records, including correspondence, regarding development of Emerging Research Areas. Emerging Research Area's rest on a science foundation structured around R&D's Strategic Program Areas. In 2012 the five Emerging Research Area's are:

- a. Climate Change: Adaptation research to improve the resiliency of forests, rangelands, and aquatic areas, and mitigating the adverse impacts of climate change through trees, forests, and forest ecosystems.



- b. Biofuels: Alternative energy sources and new markets that contribute to energy security and independence while reducing greenhouse gases.
- c. Urban Natural Resources Stewardship: The management, protection, and stewardship of urban natural resources to improve people's lives.
- d. Nanotechnology: Leading-edge innovations in the development of wood products.
- e. Water Management and Restoration: Best management practices designed to protect and restore watersheds that enhance water quantity and quality.

Set up individual folders, as needed, for specific programs such as economics, facilities, resources, and users.

**Note 1:** Establish case files as needed.

**Note 2:** Previous subheading "Program Formulation."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-12-5/7

### 3. Subheading: Emerging Research Areas Problem Analysis

**Description of Records:** Research and Development problems associated with emerging research areas. Includes specific questions or statements of situations or conditions raised for inquiry and solution. Records include documentation of the problem-selection process, including an analysis of the feasibility of conducting R&D on the various problems the unit could address. Records may include documentation regarding the state of existing knowledge and urgency of the problem weighed against such factors as relevant R&D underway by other scientists, probable success in finding solutions within the specified period, opportunities for technology transfer and application, available resources, and ease or difficulty of reorienting R&D to problems of higher priority.

**Note 1:** Create case files as needed.

**Note 2:** Previous subheading "Problem Analysis."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which problem is resolved. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-12-5/6

4. **Subheading: Emerging Research Areas Data (Raw)**

**Description of Records:** All raw data and supplementary documentation produced during a study are to be maintained in original form. These records may also be stored as structured data in an electronic database repository or in the Forest Service Research Data Archive (scheduled separately, file code 4020). Records include, but are not limited to, observational data, sensor data, laboratory worksheets, records, notes, memoranda, photographs, software, videotapes, computer printouts, and instrument outputs in any storage format (paper, magnetic media, microfilm, microfiche, and so forth).

**Note 1:** Records retention policies for data stored in electronic database repositories: scheduled under a separate records retention schedule.

**Note 2:** Previous subheading "Research Data (Raw)."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which project ends. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-12-3/13

5. **Subheading: Emerging Research Areas Work Units**

**Description of Records:** Research Work Units and Programs are the basic problem-solving elements of Station R&D programs. Stations meet changing R&D needs and priorities by establishing new Research Work Units and programs, discontinuing old units and programs, or revising them, with concurrence of the Deputy Chief for R&D. Records maintained are associated with organization of a research work unit and general information regarding the work done by each work unit, including but not limited to research work unit descriptions or program charters. Types of research work units include pioneering research work units; multifunctional research work units; multi-project programs; research and development programs; and research, development, and application programs, including descriptions.

**Note:** Previous subheading "Research Work Units."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-12-5/8

6. **Subheading: Emerging Research Areas Study Plans**

**Description of Records:** Records consist of the description of the proposed study or experiment; a review of pertinent literature; a statement of the specific objectives; and a description of the field, laboratory, and office methods planned for use in the research or development. Additional records may include documentation associated with application of results obtained from the study and identification of means for

minimizing environmental health and safety hazards associated with the study. The plan may also include a schedule of activities and an estimate of the cost in scientist-years and funds and assign responsibility for conducting the study.

**Note:** Previous subheading "Study Plans."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which final report is issued. Destroy 30 years after cut-off.

**Disposition Authority:** N1-95-12-3/11

## 42.5 - 5000 Series File Codes

The following provides guidance for managing Forest Service unstructured records in electronic formats. Staffs maintaining records electronically must immediately begin use of the Electronic Records Retention Schedules and store records in official Forest Service designated repositories.

### File Code - Heading: 5100 - Wildland Fire Management - Previously “5100 - Fire Management”

#### 1. Subheading: Wildland Fire Program Administration and Administrative Studies

**Description of Records:** Records pertain to fire management policies, programs, and administration not retained under any other records schedule item in the file code 5100 series. Includes broad policies pertaining to fire management program administration and administrative studies.

**Note:** Includes records previously retained under file codes:

- 5100 - Wildland Fire Management – General.
- 5100 - Wildland Fire Management – Studies.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 25 years after cut-off.

**Disposition Authority:** DAA-0095-2018-0017-0001

#### 2. Subheading: Inquiries

**Description of Records:** Obsolete. File standard inquiries and responses under file code 6270 - Availability of Records - General Information Requests.

#### 3. Subheading: Individual Employee Training Records

**Description of Records:** Records pertaining to fire training completed by permanent and temporary employees. Records include, but are not limited to:

- a. Forest Service copy of course completion records maintained in the BLM Incident Qualifications and Certifications System (IQCS).
- b. Fire Position Task Books maintained and used by fire management to document and determine employee incident qualifications (including certifications).

**Note 1:** Unit must maintain a copy of records entered in the BLM IQCS.

**Note 2:** Copy of records may be provided to receiving unit of transferring employees as needed.

**Note 3:** Records may include PII.

**Note 4:** Restrict access to records.

**Note 5:** Records are covered by Privacy Act System of Records USDA OP-1.

**Note 6:** GRS 2.6, item 030 allows for longer retention according to the Forest Service's needs.

**Note 7:** If needed, a second copy of training records may be retained (as appropriate) under file codes:

- 6140 - Employee Development, Performance, Awards - Training-Forest Service Sponsored.
- 6140 - Employee Development, Performance, Awards - Training-Individual Employee Training Records.

**Disposition:** Temporary (see notes). Review the Forest Service copy of training records annually and destroy superseded or obsolete documents. Destroy entire file relating to individual employee one year after employee separation or transfer.

**Disposition Authority:** GRS 2.6/030 - (DAA-GRS-2016-0014-0003)

## **File Code - Heading: 5110 - Wildfire Prevention**

### **1. Subheading: Wildfire Prevention Program**

**Description of Records:** Includes prevention plans and records documenting cost-efficient reduction of fire suppression expenditures; damages from human-caused fires; resource management objectives; fire management direction; coordination with other Forest Service offices, Federal and State agencies; and procedures and policies associated with the fire management analysis systems and applications.

**Note 1:** Create subject folders by topic.

**Note 2:** Includes records previously retained under file codes:

- 5110 - Wildfire Prevention – General.
- 5110 Wildfire Prevention – Plans.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 50 years after cut-off.

**Disposition Authority:** DAA-0095-2018-0018-0001

**File Code - Heading: 5120 - Wildland Fire Preparedness**

**1. Subheading: Dispatching**

**Description of Records:** Records associated with the implementation of a command decision to move resources from one place to another, includes geographic area and local dispatch operating plans and mobilization guides. Includes documentation (including voice recordings) associated with the following dispatch centers:

- a. The National Interagency Coordination Center: Coordinates and facilitates Interregional, Interagency, and international fire management support and predictive services.
- b. Geographic Area Coordination Centers: Provides interregional fire management support and prescribed fire support to Regions, National Forests, and cooperators identified in Regional or Geographic Area Mobilization Guides.
- c. Local dispatch centers: Provides wildland fire and prescribed fire support to national forests, ranger districts, and cooperating agencies.

**Disposition:** Temporary. Cutoff at end of FY. Destroy 50 years after cut-off.

**Disposition Authority:** N1-95-10-10, item 16

**2. Subheading: Fire-Danger Rating**

**Description of Records:** Includes records regarding the National Fire Danger Rating System (NFDRS), fire danger rating operating plan, fire danger rating pocket card for firefighter safety, and similar topics.

**Disposition:** Temporary. Cutoff at end of FY. Destroy 50 years after cut-off.

**Disposition Authority:** N1-95-10-10/17

**3. Subheading: Fire-Weather Forecasting**

**Description of Records:** Includes records pertaining to fire weather forecasting, including (but not limited to) documentation pertaining to (but not maintained in) fire-weather forecasting database systems or applications such as:

- a. Remote Automatic Weather Station.
- b. Weather Information Management System (WIMS).

c. Western Regional Climate Center. also includes records pertaining to:

(1) Fire weather forecasting policies and procedures, such as:

(a) The National Fire Danger Rating System Weather Station Standards,

(b) The WIMS User's Guide, and

(c) The Weather Station Handbook - An Interagency Guide for Wildland Managers.

**Note 1:** Database systems and applications scheduled separately.

**Note 2:** The Records Officer authorization via a NARA approved transfer form (for example, (ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 3:** Store all existing closed hardcopy records at FRC until eligible for transfer to NARA custody.

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA 15 years after cut-off.

**Disposition Authority:** N1-95-88-2 (5120-2) - GRS-2.0/11a (2)

#### 4. **Subheading: Fire Preparedness Program Administration and Reports**

**Description of Records:** Includes records of fire management planning activities, including accomplishments in preparing for wildland fire ignition. Records include:

- a. Annual plan and documentation associated with recognition of approaching critical fire situations, priority setting, deployment of forces, and planning for other actions to respond to fire situations.
- b. Oversight of operation and maintenance, as well as coordination with the NICCat Boise, Idaho. Fire management activities including preparedness planning; fire detection; communication systems; fire weather monitoring; wildland fire suppression; planning for wildland fire use; plans for maintaining fire records (including tabular and spatial data); and fire training course materials, and qualification guidance.

**Exemption:** All records documenting individual employee completion of training are maintained under file code 5100 - Fire Management - Individual Employee Training Records. NARA has granted an exemption to GRS 2.6/010 and 030 based on their determination that these records are unique to the Forest Service.

**Note 1:** Arrange current annual plans in folders by plan.

**Note 2:** The originating/sponsoring Forest Service unit or authority maintains the official record copy of training course material developed or sponsored by the Forest Service (such as that developed by the NWCG or by a regional fire staff). All other Forest Service units using the course materials are not required to maintain a record copy in official files. NARA has granted an exemption to GRS 2.6, items 010 and 030 based on their determination that these records are specific to the Forest Service mission.

**Note 3:** Includes records previously retained under file codes:

- 5120 - Wildland Fire Preparedness – General.
- 5120 - Wildland Fire Preparedness – Plans.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 50 years after cut-off.

**Disposition Authority:** N1-95-10-9/1, N1-95-10-10/18

## 5. Subheading: Fire Management Agreements

**Description of Records:** Records include documentation of agreements between the Forest Service, other Federal agencies and/or foreign countries regarding fire management cooperation. Includes correspondence and similar records pertaining cooperation among the Forest Service, other Federal agencies, and foreign countries.

**Note 1:** Arrange folders alphabetically by agency association, or individual.

**Note 2:** Cooperation with State, local, and private entities is retained under file code 3170 - Cooperation (Fire Protection) - Fire Protection Cooperation Agreements and Compacts.

**Note 3:** Retain a copy of agreements under file code 1580 - Grants and Agreements - Case Files (approved).

**Note 4:** GRS 1.2/020 allows for longer retention as needed for business use.

**Note 5:** Previously file code 5170 - Fire Management Cooperation – Agreements.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which agreement expires or terminates. Destroy 25 years after cut-off.

**Disposition Authority:** GRS 1.2/020 - (DAA-GRS-2013-0008-0001)



6. **Subheading: Fire Management Cooperation**

**Description of Records:** Fire management correspondence and similar records pertaining cooperation among the Forest Service, other Federal agencies, and foreign countries not covered elsewhere in this schedule.

**Disposition:** Temporary. Cutoff at end of FY. Destroy 25 years after cut-off.

**Disposition Authority:** N1-95-10-10/31

**File Code - Heading: 5130 - Wildfire Response - Previously "5130 - Wildland Fire Suppression" and "5190 - Management"**

1. **Subheading: Wildfire Dispatch Logs**

**Description of Records:** Information recorded in logs (both hardcopy and electronic) of fire starts and dispatch of personnel. Hardcopy logs often located in Forest Service Dispatch Centers. Often these documents are unique, one-of-a-kind records and may consist of loose pages stored in a map-sized ledger from which individual pages can be removed.

**Exclusion 1:** All hardcopy documentation created after adoption of electronic database system(s) are temporary and can be destroyed once it is verified that the data on the hardcopy has been recorded in the electronic system.

**Exclusion 2:** Retain records residing in electronic structured databases per records retention schedules N1-095-2009-001 and N1-095-2009-002, as appropriate.

**Note 1:** Care should be taken with paper documents showing extreme wear (edge cracking, paper discoloration). If possible, make a copy of the document using standard or map copier. Indicate in writing on document if it is a duplicate/copy of the original. Do not mark on original.

**Note 2:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 3:** Any reports generated from electronic database systems are to be retained according to the records schedule item for which the report was generated. For example: If a report is generated from a system such as Wild CAD and the report is used as an Individual Fire Report, then the report would be retained under file code 5180 - Fire Reports - Individual Fire Reports.

**Note 4:** Previous subheading "Fire Dispatch Logs."

**Disposition:** Permanent (see notes). Cutoff at end of FY. Legacy records (hardcopy or electric) created before implementation of electronic database systems should be transferred to National Archives when 15 years old. A copy may be retained on unit as needed for agency use.

**Disposition Authority:** N1-95-10-7/1

## 2. Subheading: Wildfire Organization Administration and Reports

**Description of Records:** Records pertaining to:

- a. The duties and responsibilities of Supervisors, employees, Line Officers, incident commanders, and other personnel associated with fire suppression activities.
- b. General correspondence and documentation associated with wildland fire suppression, such as fire suppression, emergency firefighters, safety, civil rights, structure fires, and strategies.
- c. Reports, plans, and programs pertaining to wildland fire suppression and organization.

**Note 1:** File fire incident reports under file code 5180.

**Note 2:** Includes records previously retained under file codes:

- 5130 - Wildfire Response - Fire Organization.
- 5130 - Wildfire Response – General.
- 5130 - Wildfire Response – Reports.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 50 years after cut-off.

**Disposition Authority:** DAA-0095-2018-0021-0001

## 3. Subheading: Administrative Fire Analysis and National Fire Planning

**Description of Records:** Policies, procedures, and reports regarding fire reviews, administrative fire analysis, and National Fire Planning. Includes documentation of:

- a. Documentation of planning, evaluation, and implementation of fire management programs.
- b. Evaluation of fire management program options at the forest, regional, and national level.
- c. Cut-off: end of FY in which administrative use ends

**Retention/Disposition:** Temporary, dispose of closed records 50 years after cut-off (pending NARA approval). DAA-0095-2018-0021-0002 Administrative Fire Analysis and National Fire Planning Policies, procedures, and reports regarding fire reviews, administrative fire analysis, and National Fire Planning. Includes documentation of:

- a. Documentation of planning, evaluation, and implementation of fire management programs.
- b. Evaluation of fire management program options at the forest, regional, and national level.

**Note 1:** Includes records previously retained under file codes:

- 5190 - Management - Administrative Fire Analysis.
- 5190 - Management – General.
- 5190 - Management - National Fire Planning.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which administrative use ceases. Destroy 50 years after cut-off.

**Disposition Authority:** DAA-0095-2018-0021-0002

**File Code - Heading: 5140 - Hazardous Fuels Management and Prescribed Fire - Previously “5140 - Fire Use” and “5150 - Fuel Management”**

**1. Subheading: Fire Use Analysis and Reporting**

**Description of Records:** Records document the following activities associated with fire use planning, fire use in forest land and resource management plans, wildland fire use, fuel management, and smoke management:

- a. Appraisal methods.
- b. Statistical appraisals.
- c. Evaluation, planning, and treatment to support land and resource management objectives.
- d. Methods for controlling flammability and reducing resistance to control activities.
- e. Burning plans and supporting documentation, including efforts to replace hazardous fuel with less flammable fuel or fuel that offers less resistance to suppression; and

- f. Annual fuel treatment reports summarizing accomplishment of fuel treatment on National Forest Lands.

**Note:** Includes records previously retained under file codes:

- 5140 - Fire Use - Appraisal Methods.
- 5140 - Fire Use - Statistical Appraisals.
- 5150 - Fuel Management – General.
- 5150 - Fuel Management – Reports.
- 5150 - Fuel Management - Burning Plans.
- 5150 - Fuel Management - Hazard Reduction.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 25 years after cut-off.

**Disposition Authority:** DAA-0095-2018-0020-0001

**File Code - Heading: 5150 - Fuel Management**

1. **Subheading: Hazardous Fuels Management and Prescribed Fire**

**Description of Records:** Obsolete, retain records under file code 5140 - Hazardous Fuels Management and Prescribed Fire - Fire Use Analysis and Reporting.

**File Code - Heading: 5160 - Fire Management Equipment and Supplies**

1. **Subheading: Fire Equipment and Supply Program**

**Description of Records:** Fire equipment inspection, maintenance, storage, and financing.

**Note:** Previous subheading “General.”

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 25 years after cut-off.

**Disposition Authority:** N1-95-10-10/29

**File Code - Heading: 5170 - Fire Management Cooperation**

1. **Subheading: Fire Management Cooperation**

**Description of Records:**

- a. Obsolete. Retain records under file code 5120 - Wildland Fire Preparedness - Fire Management Agreements.
- b. Obsolete. Retain records under file code 5120 - Wildland Fire Preparedness - Fire Management Cooperation.

**File Code - Heading: 5180 - Fire Reports**

**1. Subheading: Fire Package - Incident Administrative Records**

**Description of Records:** Records documenting the administrative and operational actions taken in the management of the incident, such as daily action plans, internal briefings, status summary reports (except final), inspection checklists, unit logs, worksheets, inventories, T-cards, resource orders, demobilization plans and checkout, cost estimates, agreements, fire behavior messages and forecasts, raw weather data captured elsewhere, safety reports and accident logs, firing plans, individual unit narratives, photos without long-term value, and similar records pertaining to logistics, resources, air operations, safety, and demobilization, which document decisions and activities with near-term importance, claims, payments, and litigation support.

**Note 1:** All hardcopy incident records under litigation hold are to remain in the fire box on the forest until the litigation hold is officially lifted. Records under litigation hold may not be sent to FRC storage unless prior approval received from OGC and Forest Service Claims.

**Note 2:** Keep incident records organized and separated by incident.

**Disposition:** Temporary (see notes). Cutoff at CY in which the incident is terminated. Destroy seven years after cut-off.

**Disposition Authority:** DAA-0095-2021-0005-0003

Additional disposition instructions:

- Paper records: Retain on site for three years after closing, then transfer to regional FRC.
- Electronic records: Maintain on site until disposition date.
- Reference copies: Documents with no further administrative value, including copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy: Destroy/delete within 180 days after the recordkeeping copy has been produced, or when administrative use ceases, whichever is longer.
- Working documents: Copies used for dissemination, revision, or updating, that are maintained in addition to the recordkeeping copy. Destroy/delete when dissemination, revision, updating is completed, or when administrative use ceases.
- Procurement documents: Purchase card holders (or equivalent entity) shall include a copy of all procurement documentation in the fire administrative record. This is in addition to the copy retained with their individual purchase

card records retained under applicable 6000 series file code categories.  
Temporary, seven years (CY's); N1-95-05-02, item 3

## 2. Subheading: Fire Incident History File

**Description of Records:** Records documenting significant events, actions taken, lessons learned, and other information with long-term value for managing natural resources on Federal lands, such as: project fire package, fire narrative and summary reports, final situation analyses, delegation of authority, incident action plans, Fire Behavior Analyst reports, field weather data not captured electronically, news articles and media releases, fire progression and final fire perimeter maps, photos and infrareds necessary to document resource impact and lessons learned. Other records may include those relating to joint operations and/or mutual aid; copies of incident reports and analyses prepared by agencies other than the Incident Management Team or host unit, or other agencies that support management decisions; records documenting significant interactions with communities affected by the incident; and selected reports or notes pertaining to high-level management, entrapment reports and security issues that have not been incorporated into the fire narrative. For incidents involving use of wildland fire for resource management purposes, include Wildland Fire Implementation Plans or equivalents.

**Note 1:** Maintain hardcopy records on the host unit for three years after closing or until no longer needed for other business needs or litigation unless unit has scanned the records. If scanned, retain and transfer hardcopy originals immediately to FRC storage.

**Note 2:** Keep incident records organized and separated by incident.

**Note 3:** After three years, send existing closed hardcopy records not under litigation hold to FRC storage until eligible for transfer to NARA custody.

**Note 4:** All hardcopy incident records under litigation hold are to remain in the fire box on the forest until the litigation hold is officially lifted unless transfer to FRC storage has been pre-approved by OGC and Forest Service Claims.

**Note 5:** Retain electronic records within the Forest Service-designated electronic system until eligible for transfer to NARA.

**Note 6:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Disposition:** Permanent (see notes). Cutoff at CY in which incident is terminated. Hold on host unit for three years. Transfer to NARA 20 years after cut-off.

**Disposition Authority:** DAA-0095-2021-0005-0002

### 3. Subheading: Individual Fire Reports

**Description of Records:** Reports on individual wildland fires with information on location, extent, causes, dates and times, suppression strategy, resources used, costs, fire effects, and other information needed to plan and manage fire and to access its effects on natural resources.

**Note 1:** This category may be used to retain individual “ABC-MISC” fire reports, though individual fire reports may also be maintained and transferred with the Fire Incident History File (N1-95-05-02, item 2).

**Note 2:** Retain Type 1 and Type 2 (and similar) fire documentation under file code 5180 - Fire Reports - Fire Incident History File (N1-95-05-02, item 2).

**Note 3:** Keep incident records organized and separated by incident.

**Note 4:** Maintain hardcopy records on the host unit for three years after closing or until no longer needed for other business needs or litigation unless unit has scanned the records. If scanned, retain, and immediately transfer the original hardcopy records to FRC storage.

**Note 5:** After three years, send existing closed hardcopy records not under litigation hold to FRC storage until eligible for transfer to NARA custody. All incident records under litigation hold are to remain in the fire box on the forest until the litigation hold is officially lifted unless transfer to FRC storage has been pre-approved by OGC and Forest Service Claims.

**Note 6:** Retain electronic records within the Forest Service-designated electronic system until eligible for transfer to NARA.

**Note 7:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Disposition:** Permanent (see notes). Cutoff at CY in which incident is terminated. Hold on host unit for three years. Transfer to NARA 20 years after cut-off.

**Disposition Authority:** DAA-0095-2021-0005-0001

**File Code - Heading: 5190 - Fire Management**

**1. Subheading: Fire Management**

**Description of Records:**

- a. Obsolete. Retain records under file code 5130 - Wildfire Response - Administrative Fire Analysis and National Fire Planning.
- b. Obsolete. FFF -Do not use.

**File Code - Heading: 5300 - Law Enforcement**

**1. Subheading: Law Enforcement Program General Administration**

**Description of Records:** Includes general correspondence and materials regarding law enforcement that are too broad to be filed under a specific subject heading. Also includes damage appraisal and claims.

**Note 1:** File records pertaining to law enforcement identification cards under file code 5320-Pocket Credentials.

**Note 2:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy five years after cut-off.

**Disposition Authority:** N1-95-10-9/2

**File Code - Heading: 5310 - Law Enforcement Planning**

**1. Subheading: Law Enforcement Planning**

**Description of Records:** Law Enforcement Plan that identifies problems, trends, workloads at each organizational level, staffing needs that outline how field units will conduct law enforcement program.

**Note 1:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 2:** Send existing closed hardcopy records to FRC storage at the end of the FY.

**Note 3:** Previous subheading "General."

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA 15 years after cut-off.



**Disposition Authority:** N1-95-10-9/3

**File Code - Heading: 5320 - Law Enforcement Investigation - Previously "5320 - Investigation"**

**1. Subheading: Law Enforcement Investigation Program Administration Records**

**Description of Records:** Includes general correspondence and records pertaining to types of investigations, procedures, reporting, reports to OIG, and directions.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy ten years after cut-off.

**Disposition Authority:** Pending

**2. Subheading: Investigative Cases**

**Description of Records:** Investigations related to fraud, abuse and misuse by Forest Service personnel and non-Forest Service personnel.

**Note:** Establish case files as needed.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which case filed closed. Destroy ten years after cut-off.

**Disposition Authority:** Pending

**3. Subheading: Pocket Credentials**

**Description of Records:** Includes documentation and records of credential cards for special agents and special officers.

**Note:** Establish case files as needed.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which case file closed. Destroy ten years after cut-off.

**Disposition Authority:** Pending

**File Code - Heading: 5330 - Law Violations**

**1. Subheading: Closure Orders**

**Description of Records:** Includes originals of closures/restrictions on roads, trails, and areas on Forest Service lands.

**Disposition:** Temporary. Cutoff at end of FY in which closure order rescinded. Destroy ten years after cut-off.

**Disposition Authority:** N1-95-10-8/1

## 2. Subheading: Law Violation Program Administration

**Description of Records:** Includes correspondence and records related to law violations; including, but not limited to Violation Notices, Warning Notices, and Incident Reports. Information regarding violations shall also be entered and retained in the Law Enforcement Investigations Management Attainment Reporting System (LEIMARS) database.

**Note 1:** Retain video recordings of confirmed violations under applicable category, such as 5340 - Law Enforcement Reports - Case Reports.

**Note 2:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy ten years after cut-off.

**Disposition Authority:** N1-95-10-9/7

## File Code - Heading: 5340 - Law Enforcement Reports - Previously "5340 - Reports"

### 1. Subheading: Law Enforcement Case Reports

**Description of Records:** Includes case files containing data (including video documentation) that enables reviewing officials and attorneys to access the prospective merits of a case to present in court.

**Note:** Previous subheading "Case Reports."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which case file is closed. Destroy ten years after cut-off.

**Disposition Authority:** N1-95-10-9/8

### 2. Subheading: Law Enforcement Program Reports

**Description of Records:** Includes records associated with the (LEIMARS), Cooperative Law Enforcement Activity Reports, and Annual Report.

**Exclusion:** Electronic database systems and applications, including database repositories are scheduled separately.

**Note 1:** Computer input documents should be destroyed when no longer needed for administrative use, unless retained as an official record under another file code category.

**Note 2:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 3:** Send existing closed hardcopy records to FRC storage at the end of the FY.

**Note 4:** Previous subheading "Reports."

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA 15 years after cut-off.

**Disposition Authority:** N1-95-10-9/9

#### **File Code - Heading: 5350 - Procedures (Law Enforcement)**

##### **1. Subheading: Law Enforcement Procedures**

**Description of Records:** Includes records and reports pertaining to violation prevention and enforcement, including related activities with Federal, State, and local law enforcement agencies.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy ten years after cut-off.

**Disposition Authority:** N1-95-10-9/10

#### **File Code - Heading: 5360 - Cooperative Law Enforcement**

##### **1. Subheading: Cooperative Law Enforcement**

**Description of Records:** Records related to the coordination, implementation, execution, monitoring, and completion of grant and agreements.

**Exclusion:** Retain agreements under file code 1580 - Grants and Agreements - Approved Grants and Agreements Case Files.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy three years after cut-off.

**Disposition Authority:** GRS 1.2/010 - (DAA-GRS-2013-0008-0007)

**File Code - Heading: 5370 - Suitability Requirements, Training, and Standards**

**1. Subheading: Law Enforcement Suitability Requirements, Training, and Standards Administration**

**Description of Records:** Includes policy and procedures, correspondence and memorandums related to levels of training standards for employees with law enforcement duties. Includes documentation associated with employee completion of law enforcement and investigation training requirements.

**Note 1:** NARA has granted an exemption to GRS 2.6, items 010 and 030, as these items are specific to the Forest Service's mission.

**Note 2:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 20 years after cut-off.

**Disposition Authority:** N1-95-10-9/12

**2. Subheading: Canine (K-9) Service Records**

**Description of Records:** Records documenting the acquisition, training, activities, care, and retirement of canine partners. Records include:

- a. Acquisition records,
- b. Breeder and lineage records,
- c. Vaccination and medical history records,
- d. Microchip number and identification records,
- e. Deficiencies/remedies,
- f. Training courses taken and resulting grades and certifications,
- g. Initial report of positive detections and bite incidents, and
- h. End-of-service documentation (through retirement or death).

**Disposition:** Temporary. Cutoff at end of FY in which superseded or obsolete, or dog is released from service, whichever is sooner. Destroy three years after cut-off.

**Disposition Authority:** GRS 5.6/160 - (DAA-GRS-2017-0006-0021)

**File Code - Heading: 5380 - Law Enforcement Equipment**

**1. Subheading: Law Enforcement Equipment Administration**

**Description of Records:** Includes correspondence, memorandums, and other records related to policy on law enforcement firearms, chemical agents, self-defense, defensive equipment, uniforms, vehicles, and specialized equipment. Includes records tracking specialized equipment issued to law enforcement personnel.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which no longer needed for administrative use. Destroy 20 years after cut-off.

**Disposition Authority:** N1-95-10-9, item 13

**File Code - Heading: 5400 - Landownership**

**1. Subheading: Landownership Program General Administration Records**

**Description of Records:** Records concerning landownership too broad to be filed under one of the more specific subjects.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy five years after cut-off.

**Disposition Authority:** N1-95-10-10/35

**2. Subheading: Inquiries**

**Description of Records:** Obsolete. File standard inquiries and responses under file code 6270 - Availability of Records - General Information Requests.

**3. Subheading: Landownership Adjustment Plans**

**Description of Records:** Land adjustment plans and related correspondence for National Forests, National Grasslands, and Land Utilization Project areas, and right-of-way procurement plans for current and anticipated needs for rights-of-way over non-Federal lands and interests in lands.

**Note 1:** Arrange by type of plan.

**Note 2:** Previous subheading "Plans."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which plan is completely revised or superseded by new plan. Destroy five years after cut-off.

**Disposition Authority:** Pending

**File Code - Heading: 5410 - Appraisals (Land)**

**1. Subheading: Land Appraisal - Case Files**

**Description of Records:** Case specific documentation of land appraisals or valuation-related consultation. Files may include request for valuation services; appraiser instructions; report; review report (if any); and other supporting documentation.

**Note 1:** PII - Keep files in secure environment. Paper files should be kept in locked drawers. Restrict access to both paper and electronic files.

**Note 2:** Establish case files as needed.

**Note 3:** Retain on site, do not forward to FRC or NARA.

**Note 4:** If hardcopy records are maintained, both hardcopy originals and hardcopy official file copies should have original signatures.

**Note 5:** Appraisal case files are to be maintained by the Regional Appraiser.

**Note 6:** Previous subheading "Appraisal - Case Files."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which case closed. Destroy five years after cut-off.

**Disposition Authority:** N1-95-10-8/2

**2. Subheading: Land Appraisal Program Guidance and Controls**

**Description of Records:** Including correspondence on principles, approaches to value, procedures, controls, and other information relating to valuation of real property.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy five years after cut-off.

**Disposition Authority:** N1-95-10-10/37

**File Code - Heading: 5420 - Purchases and Donations (Land)**

**1. Subheading: Land Purchase and Donation Case Files**

**Description of Records:** Land purchase and donation case files (including administrative sites). Documentation includes correspondence, purchase agreements, contracts, land surveys, appraisal reviews, grants, patents, deeds, deed of trust or mortgage, title

insurance policy, abstract of title, certificate of title, Torrens Certificate of title, condemnation documents (where applicable), appeals, other title evidence, and related documents. Arrange files alphabetically by case name.

**Note 1:** Screen for records necessary for permanent Title file code 5590, apply retention period to records not incorporated into file code 5590 title files.

**Note 2:** Retain records in office. Do not transfer to FRC or NARA.

**Note 3:** If paper records maintained, both hardcopy originals and hardcopy official file copies should have original signatures.

**Note 4:** Includes records previously retained under file codes:

- 5420 - Purchases and Donations - Donation Case Files.
- 5420 - Purchases and Donations -Purchases Case Files.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which title file is created and administrative/legal use ceases.

**Disposition Authority:** DAA-0095-2018-0023-0001

## 2. Subheading: Land Purchases and Donations General Program Administration

**Description of Records:** Land purchase and donation general program administration records; and correspondence, title evidence, and related documents for unconsummated land and purchase cases.

**Note 1:** DO NOT transfer unconsummated case files to FRC.

**Note 2:** Includes records previously retained under file codes:

- 5420 - Purchases and Donations – General.
- 5420 - Purchases and Donations - Purchases-Unconsummated Cases.
- 5420 - Purchases and Donations - Donations-Unconsummated Cases.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which administrative use ceases. Destroy five years after cut-off.

**Disposition Authority:** DAA-0095-2018-0023-0002

## File Code - Heading: 5430 - Exchanges (Land)

### 1. Subheading: Land Exchange Case Files

**Description of Records:** Land exchange case files containing correspondence, letters of negotiation, explanatory notes, exchange agreements, proposals, plans, or contracts,

appraisal reviews, appeals, objections and related decisions, land descriptions, field examinations, surveys, certificates of possession, statements of intent, EAs, statements of value and appraisal, statements of disposal, certificates of title or title insurance policy, certifications and proof of publications, and other related documents. Arrange files alphabetically case name.

**Note 1:** Screen for records necessary for permanent Title file code 5590, apply retention period to records not incorporated into file code 5590 title files.

**Note 2:** Retain records in office. Do not transfer to FRC or NARA.

**Note 3:** If paper records maintained, both hardcopy originals and hardcopy official file copies should have original signatures.

**Note 4:** Previous subheading "Exchanges - Case File."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which title file is created and administrative/legal use ceases. Destroy five years after cut-off.

**Disposition Authority:** N1-95-10-10/43

## 2. Subheading: Land Exchange General Program Administration

**Description of Records:** Land exchange general program administration records and documents incidental to unconsummated land exchange cases.

**Note 1:** Do not transfer closed unconsummated case records to FRC.

**Note 2:** Includes records previously retained under file codes:

- 5430 - Exchanges - Exchanges-Unconsummated Cases.
- 5430 - Exchanges – General.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which administrative/legal use ceases. Destroy five years after cut-off.

**Disposition Authority:** DAA-0095-2018-0024-0001

## File Code - Heading: 5440 - Partial Land Interests, Except Rights-of-Way

### 1. Subheading: Partial Land Interest General Program Administration

**Description of Records:** Partial land interest general program administration records and documents incidental to unconsummated acquisition of partial land interest.

**Note 1:** Do not transfer closed unconsummated case records to FRC.



**Note 2:** Includes records previously retained under file codes:

- 5440 - Partial Land Interests, Except Rights-of-Way - Partial Land Interests Unconsummated Cases.
- 5440 - Partial Land Interests, Except Rights-of-Way – General.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which administrative/legal use ceases. Destroy five years after cut-off.

**Disposition Authority:** DAA-0095-2018-0025-0001

## 2. Subheading: Partial Land Interests - Case Files

**Description of Records:** Partial Land Interest case files contain correspondence, evaluations, appraisal reviews, scenic or conservation easements, mineral deeds, documentation of NEPA compliance, EAs or statements, mortgages, deeds of trust and vendors, liens, leases, and related documents. Arrange files alphabetically by name of grantor.

**Note 1:** Screen for records necessary for permanent title file code 5590, apply retention period to records not incorporated into file code 5590 title files.

**Note 2:** Retain records in office. Do not transfer to FRC or NARA.

**Note 3:** If paper records maintained, both hardcopy originals and hardcopy official file copies should have original signatures.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which title file is created and administrative/legal use ceases. Destroy five years after cut-off.

**Disposition Authority:** N1-95-10-10/47

## File Code - Heading: 5450 - National Forest System Modification

### 1. Subheading: Boundary Modification Case Files

**Description of Records:** Consummated and unconsummated case files containing the establishment reports which give background rationale for establishing units which include the public's interest, resources involved, and the intent of management. Establishment documents such as boundary atlas maps, plats, and diagrams Secretarial Orders, Land Orders, Executive Orders, Presidential Proclamations, Acts of Congress which establish a national forest or grasslands; environmental impact statement; wilderness studies and related documents.

**Note 1:** Photographing Boundary Map Changes - When boundary changes of large color maps take place, 8 x 10 color positives or 8 x 10 black and white negatives may be made.

**Note 2:** Applicable Regional Offices are the office of record.

**Note 3:** Wildland studies previously filed under file code 5500 are now filed under file code 5450; Ownership Adjustments previously filed under file code 5500 are now filed under file code 5400-Plans.

**Note 4:** If paper records maintained, both hardcopy originals and hardcopy official file copies should have original signatures.

**Note 5:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 6:** If hardcopy records exist, send closed records to FRC storage at the end of the FY. Store hardcopy records at FRC until eligible for transfer to NARA.

**Disposition:** Permanent (see notes).

- Textual records: Cutoff at end of FY in which title file is created and administrative/legal use ceases. Transfer to NARA 15 years after cut-off.
- Photographs Documenting Boundary Map Changes: Close record when filming is complete. Offer the original map material to NARA five years after the filming is complete. All photographic sets and portions of photographic sets may be distributed to other field units and destroyed when no longer needed.

**Disposition Authority:** N1-95-10-9/14

## 2. Subheading: National Forest System Modification Program Administration

**Description of Records:** Includes general correspondence on land transfer or Interchange matters; also, correspondence on the establishment of National Forest, National Grasslands; modification of boundaries; and procedural aspects.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy five years after cut-off.

**Disposition Authority:** N1-95-10-9/15

## 3. Subheading: Land Transfers or Interchange Analyses - Case Files

**Description of Records:** Consummated and unconsummated case files which contain analyses of land transfer or interchange proposals; related correspondence; environmental analyses; related correspondence; environmental analyses, reservoir

projects; public domain and National Forest; copies of authorizing documents of transfers or interchanges.

**Note 1:** Photographing Boundary Map Changes - When boundary changes of large color maps take place, 8 x 10 color positives or 8 x 10 black and white negatives may be made.

**Note 2:** Applicable Regional Offices are the office of record.

**Note 3:** Some of the documents in the Lands Transfer or Interchange case file may become part of the permanent Title file which is maintained under file code 5590 - Land Status Title. Screen all file code 5450-Land Transfer case files for title evidence and file under file code 5590 - Land Status Title. Retain under this file code and subheading any land transfer documents that do not become part of the title file.

**Note 4:** If paper records maintained, both hardcopy originals and hardcopy official file copies should have original signatures.

**Note 5:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 6:** If hardcopy records exist, send closed records to FRC storage at the end of the FY. Store hardcopy records at FRC until eligible for transfer to NARA.

**Disposition:** Permanent (see notes).

- Textual records: Cutoff at end of FY in which title file is created and administrative/legal use ceases. Transfer to NARA 15 years after cut-off.
- Photographs Documenting Boundary Map Changes: Close record when filming is complete. Offer the original map material to NARA five years after the filming is complete.

**Disposition Authority:** N1-95-10-9/16

#### 4. **Subheading: Land Transfers or Interchange Cases**

**Description of Records:** Includes documentation on land transfer or Interchange matters associated with a specific case file.

**Note 1:** If paper records maintained, both hardcopy originals and hardcopy official file copies should have original signatures.

**Note 2:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 3:** If hardcopy records exist, send closed records to FRC storage at the end of the FY. Store hardcopy records at FRC until eligible for transfer to NARA.

**Disposition:** Permanent (see notes). Cutoff at end of FY in which case closed. Transfer to NARA 15 years after cut-off.

**Disposition Authority:** N1-95-10-7/2

## **File Code - Heading: 5460 - Rights-of-Way Acquisition**

### **1. Subheading: Construction and Use Agreements, and Supplements**

**Description of Records:** Case files pertaining to road right-of-way construction and use agreements with other landowners or land administering agencies for joint development and use of roads and road systems. Includes supplements to the agreement, correspondence, and related documents.

**Note 1:** Arrange case files alphabetically by name of cooperator.

**Note 2:** Regional Office maintains official record.

**Note 3:** Transfer hardcopy records to FRC storage three years after agreement terminated.

**Note 4:** If paper records maintained, both hardcopy originals and hardcopy official file copies should have original signatures.

**Note 5:** Retain a copy of agreements under file code 1580 - Grants and Agreements - Case Files (approved).

**Note 6:** GRS 1.2, item 020 allows for longer retention as needed for business use.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which agreement expires or terminates. Destroy 25 years after cut-off.

**Disposition Authority:** GRS 1.2/020 - (DAA-GRS-2013-0008-0001)

### **2. Subheading: Rights-of-Way Permanent Easement Case Files**

**Description of Records:** Permanent easements acquired over private or other lands not administered by Forest Service. Includes correspondence, appraisal reviews and options, if made, certification of cost of right-of-way and improvements, record of payment, and related documents. Arrange files by project name or number and grantor.

**Note 1:** Screen records for documents deemed appropriate for permanent title file as specified under file code 5590. Retention period for this file code applies to documents that do not become part of the title file.

**Note 2:** If paper records maintained, both hardcopy originals and hardcopy official file copies should have original signatures.

**Note 3:** Previous subheading "Easement Case Files."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which case file closes. Destroy five years after cut-off.

**Disposition Authority:** N1-95-10-10/49

3. **Subheading: Rights-of-Way Term Easements and Permits**

**Description of Records:** Term easements and permits acquired for Temporary roads over private or other lands not administered by Forest Service. Includes title approval, certification of cost, record of payment, and related documents. Arrange case files by project name or number and grantor.

**Note 1:** Regional and Supervisors' Offices maintain official records. Transfer to FRC is not authorized.

**Note 2:** Previous subheading "Temporary Rights of Way."

**Disposition:** Temporary (see notes). Cutoff when case file closes or when agreement expires or terminates. Destroy five years after cut-off.

**Disposition Authority:** N1-95-10-10, item 51

4. **Subheading: Rights-of-Way General Program Administration**

**Description of Records:** General program administration documentation concerning the rights-of-way acquisition program and unconsummated cases.

**Note 1:** Screen records for documents deemed appropriate for permanent title file as specified under file code 5590. Retention period for this file code applies to documents that do not become part of the title file.

**Note 2:** Do not transfer closed unconsummated case records to FRC.

**Note 3:** Includes records previously retained under file codes:

- 5460 - Rights-of-Way Acquisition – General.
- 5460 - Rights-of-Way Acquisition - Unconsummated Case Files.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which administrative/legal use ceases. Destroy five years after cut-off.

**Disposition Authority:** DAA-0095-2018-0026-0001

**File Code - Heading: 5470 - Reservations and Outstanding Rights**

**1. Subheading: Reservations and Outstanding Rights General Program Administration**

**Description of Records:** Includes general correspondence related to timber, residency, occupancy, easements, improvements, water, grazing, and other rights or reservations on acquired land.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 25 years after cut-off.

**Disposition Authority:** N1-95-10-10/53

**2. Subheading: Reservations and Outstanding Rights Requests, Applications, and Permits**

**Description of Records:** Requests, applications, and permits to exercise reserved or outstanding rights.

**Note 1:** Regional Office maintains official record.

**Note 2:** If paper records maintained, both hardcopy originals and hardcopy official file copies should have original signatures.

**Note 3:** Arrange case files alphabetically by name of owner of right.

**Note 4:** Previous subheading "Requests, Applications, and Permits."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which right expires or terminated. Destroy 25 years after cut-off.

**Disposition Authority:** N1-95-10-9/18

**File Code - Heading: 5480 - Condemnation**

**1. Subheading: Condemnation Program General Administration Records**

**Description of Records:** Includes general records concerning condemnation actions, not related to a specific case.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy five years after cut-off.

**Disposition Authority:** N1-95-10-10/54

2. **Subheading: Condemnation Project Case Files**

**Description of Records:** Includes correspondence, reports, and related documents associated with condemnation projects.

**Note 1:** Arrange case file alphabetically by case name.

**Note 2:** Screen all records for documents appropriate for permanent title file code 5590, retention period applies to documents that do not become part of the title file.

**Note 3:** If paper records maintained, both hardcopy originals and hardcopy official file copies should have original signatures.

**Note 4:** Previous subheading "Project Case Files."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which case closed. Destroy five years after cut-off.

**Disposition Authority:** N1-95-10-10/55

**File Code - Heading: 5500 - Landownership Title Management**

1. **Subheading: Landownership Title Management General Program Administration**

**Description of Records:** General records pertaining to the landownership title program too broad to be filed under a specific heading.

**Note 1:** Land Classification records, Boundary Modification records, Land Transfer and Interchanges should be filed under the 5450 file code series.

**Note 2:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy five years after cut-off.

**Disposition Authority:** N1-95-10-9/19

**File Code - Heading: 5510 - Title Claims and Encroachment**

1. **Subheading: Title Claims and Encroachment General Program Administration Records**

**Description of Records:** Correspondence concerning title claims and encroachments of lands under the jurisdiction.

**Note 1:** Screen all records for documents appropriate for permanent title file code 5590, apply file code 5510 retention period to records that do not become part of the title file.

**Note 2:** If paper records maintained, both hardcopy originals and hardcopy official file copies should have original signatures.

**Note 3:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy five years after cut-off.

**Disposition Authority:** N1-95-10-10/56

## 2. Subheading: Title Claims and Encroachment Case Files

**Description of Records:** Includes correspondence, land use permits, aerial photographs, plats, maps, EAs, permit applications, Small Tracts Act (STA) applications, general land office survey plats and notes, court documents, litigation reports, deeds, appraisal reviews, grants, certified letters, affidavits, patent applications, patents, land classification studies and maps, bills of sale, tax assessment records, court decisions or settlements, sale notices, notices of award, and related documents.

**Note 1:** Arrange files according to the specific subject and, alphabetically by name of claimant, purchaser, or grantee.

**Note 2:** Retain records in office. Transfer to FRC not authorized.

**Note 3:** Screen all records for documents appropriate for permanent retention under file code 5590 - Land Status Title. Apply file code 5510 - Title Claims and Encroachment retention period to records that do not become part of the title file.

**Note 4:** If paper records maintained, both hardcopy originals and hardcopy official file copies should have original signatures.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which title file created and legal need ceases. Destroy five years after cut-off.

**Disposition Authority:** N1-95-10-10/57

## File Code - Heading: 5520 - Encumbrances

### 1. Subheading: Encumbrances

**Description of Records:** Administration of property interests held by other encumbrances) on NFS lands that were granted and administered by prior owners or other agencies under several repealed authorities or other existing authorities that vested administration under another agency.

**Note 1:** If paper records maintained, both hardcopy originals and hardcopy official file copies should have original signatures.



**Note 2:** Title documents related to disposal or acquisition should become part of the permanent title case file (5590).

**Note 3:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which encumbrance terminated. Destroy five years after cut-off.

**Disposition Authority:** N1-95-10-8/3

**File Code - Heading: 5530 - Partial Interest**

**1. Subheading: Landownership Partial Interest**

**Description of Records:** Records include documentation regarding Forest Service landownership partial interests, including title and other realty information. Partial interests include situations where the Forest Service does not have all rights to the land. Example would be situation where the Forest Service may have surface rights but no subsurface (minerals) rights.

**Note 1:** If paper records maintained, both hardcopy originals and hardcopy official file copies should have original signatures.

**Note 2:** Previous subheading "Partial Interest."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which agency interest ends. Destroy 25 years after cut-off.

**Disposition Authority:** N1-95-10-8/4

**File Code - Heading: 5540 - Use Restrictions**

**1. Subheading: Land Use Restriction**

**Description of Records:** Records include documentation regarding Forest Service use restrictions associated with title and other realty records.

**Note 1:** If paper records maintained, both hardcopy originals and hardcopy official file copies should have original signatures.

**Note 2:** Previous subheading "Use Restriction."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which land use restriction ends. Destroy 25 years after cut-off.

**Disposition Authority:** N1-95-10-8/5

**File Code - Heading: 5550 - Native American Claims**

**1. Subheading: Native American Claims**

**Description of Records:** Records include documentation regarding Native American claims, including certain treaty rights and aboriginal titles, associated with title and other realty records.

**Note 1:** If paper records maintained, both hardcopy originals and hardcopy official file copies should have original signatures.

**Note 2:** Accounts and supporting documents pertaining to American Indians and Alaska Natives are not authorized for disposal. Such records must be retained indefinitely since they may be needed in litigation involving the Federal Government's role as trustee of property held by the Federal Government and managed for the benefit of American Indians. These records include those created under the Alaska Native claims Settlement Act of 1971 (Pub. L. 92-203, 85 Stat. 688).

**Note 3:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 4:** If hardcopy records exist, send closed records to FRC storage at the end of the FY. Store hardcopy records at FRC until eligible for transfer to NARA.

**Disposition:** Permanent (see notes). Cutoff at end of FY in which case closed. Transfer to NARA 15 years after cut-off.

**Disposition Authority:** N1-95-10-8/6

**File Code - Heading: 5570 - Sales, Grants, Special Acts**

**1. Subheading: Land Sales, Grants, and Special Acts General Program Administration**

**Description of Records:** Includes general documentation pertaining to the land sales, grants, and special acts program administration; including unconsummated case files.

**Note 1:** DO NOT transfer unconsummated case files to FRC.

**Note 2:** Includes records previously retained under file codes:

- 5570 - Sales, Grants, Special Acts – General.
- 5570 - Sales, Grants, Special Acts - Unconsummated Cases.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which administrative use ceases. Destroy five years after cut-off.

**Disposition Authority:** DAA-0095-2018-0027-0001

## 2. Subheading: Sales and Grants Cases

**Description of Records:** Includes correspondence, maps, EAs, deeds, appraisal reviews, grants, certified letters, affidavits, land classification studies and maps, bills of sale, tax assessment records, sale notices, notices of award, appeals, and related documents. Arrange files according to the specific subject and, alphabetically by case name.

**Note 1:** If paper records maintained, both hardcopy originals and hardcopy official file copies should have original signatures.

**Note 2:** Screen for records necessary for permit title file (5590), apply retention period to records not incorporated into 5590 title files.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which case filed closed. Destroy five years after cut-off.

**Disposition Authority:** N1-95-10-10/59

## File Code - Heading: 5580 - Reports and Records (Lands) - Previously "5580 - Reports and Records"

### 1. Subheading: Lands Reports and Records

**Description of Records:** Includes annual statistical reports covering National Forest areas, land exchanges, and land donations; rights-of-way reports; land acquisition program and accomplishment reports. Reports may be generated from Title Claims and Encroachment Management System (TCEMS), Landownership Adjustment Database System (LADS) or from other sources. Arrange alphabetically by type of report.

**Exclusion:** Schedule TCEMS, LADS, and similar databases separately. The structured data contained within these systems is not covered by cited retention authority.

**Note 1:** If paper records maintained, both hardcopy originals and hardcopy official file copies should have original signatures.

**Note 2:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 3:** If hardcopy records exist, send closed records to FRC storage at the end of the FY. Store hardcopy records at FRC until eligible for transfer to NARA.

**Note 4:** Previous subheading "Reports and Records."

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA 15 years after cut-off.

**Disposition Authority:** N1-95-10-9/20

**File Code - Heading: 5590 - Landownership Status**

**1. Subheading: Landownership Status General Program Administration**

**Description of Records:** Landownership status general program administration records concerning the status of lands not associated with a specific case file.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy five years after cut-off.

**Disposition Authority:** N1-95-10-10/61

**2. Subheading: Landownership Status Title**

**Description of Records:** Contains documents necessary for the protection of the United States title and interest in land. The title file includes:

- a. Title opinions, decisions, reports, and title insurance policies.
- b. Certifications or letters of acceptance.
- c. Deeds, patents, and other conveyance documents to and from the United States.
- d. Certificates of possession and of use and consent.
- e. Option contracts, offer to donate and statement of intent to exchange.
- f. Letters of case approval.
- g. Publication notices.
- h. Vouchers and tax notices.
- i. Statement of summary estimate of value and value notification to other Government agencies.
- j. Clearinghouse (A-95) letters.
- k. Deeds and other documents relative to outstanding rights; also,
- l. Appraisal review reports; and

- m. Any other documents deemed essential for protection of the United States title to land or interest in land including, but not limited to, maps, plats, drawings, photographs, letters, memorandums, and other legal documents.

**Note 1:** Arrange alphabetically by grantor.

**Note 2:** Regional Offices maintain permanent records, all other offices are to send records to appropriate Regional Officer.

**Note 3:** If paper records maintained, both hardcopy originals and hardcopy official file copies should have original signatures.

**Note 4:** Vital records.

**Note 5:** Title file consists of certain documents from consummated cases in file codes 2730, 5420, 5430, 5440, 5450, 5460, 5480, 5510, 5570, and other file designations containing title evidence. (FSM 5590)

**Note 6:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 7:** If hardcopy records exist, send closed records to FRC storage at the end of the FY. Store hardcopy records at FRC until eligible for transfer to NARA.

**Note 8:** The Forest Service may maintain a historic reference copy of the title file that may also contain a summary of actions after title file creation and a copy of any documents related to those actions.

**Note 9:** Previous subheading "Land Status Title."

**Disposition:** Permanent (see notes). Cutoff at end of FY in which case file closed or when title issued. Transfer to NARA 15 years after cut-off. Destroy records that do not become part of the consummated title file.

**Disposition Authority:** N1-95-10-9/21

## **File Code - Heading: 5700 - Aviation Management**

### **1. Subheading: General Aviation Management Program Administration**

**Description of Records:** Includes general records related to general aircraft, policy, and responsibilities, including records documenting oversight and continuing evaluation of the aviation program to accomplish National, regional, forest, and district level aviation objectives.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy ten years after cut-off.

**Disposition Authority:** DAA-0095-2018-0028-0001

## 2. Subheading: Inquiries

**Description of Records:** Obsolete. File standard inquiries and responses under file code 6270 - Availability of Records - General Information Requests.

### File Code - Heading: 5710 - Administration (Aviation)

#### 1. Subheading: Operational Support Records

**Description of Records:** Includes records pertaining to planning specialized aviation activities and operations, and so forth.

Records documenting logistical support to flying activities, such as furnishing supplies, equipment, administrative assistance, and other needed logistics services. Includes:

- a. Comments on regulations.
- b. Directives and other records regarding logistics.
- c. Management improvement reports.
- d. Cost reduction reports.
- e. Requests for substantive information regarding logistics.
- f. Aircraft inventories.

**Disposition:** Temporary. Cutoff at end of FY. Destroy six years after cut-off.

**Disposition Authority:** GRS 5.4/130 - (DAA-GRS-2016-0011-0016)

### File Code - Heading: 5720 - Aviation Safety Program

#### 1. Subheading: Aviation Accident and Incident Investigations

**Description of Records:** Includes records pertaining to aviation accident and incident investigations.

**Note 1:** As appropriate, retain significant, non-fire related records under file code 6730 - Accident Reporting and Investigation - Historically Significant Accident Investigations.

**Note 2:** As appropriate, enter incident in the e-Safety database.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which case file closed. Destroy three years after cut-off.

**Disposition Authority:** GRS 5.4/140 - (DAA-GRS-2016-0011-0017)

**File Code - Heading: 5730 - Aviation Management**

**1. Subheading: Flight Operations Records**

**Description of Records:** Records of day-to-day aircraft operations documenting flight requests, departures, takeoffs, destinations, and passengers; flight orders; flight plans; load manifests; dispatch releases; flight logs; and similar records. Also includes general correspondence and records related to general aircraft, policy, and responsibilities not covered elsewhere in this schedule.

**Disposition:** Temporary. Cutoff at end of FY. Destroy three years after cut-off.

**Disposition Authority:** GRS 5.4/120 - (DAA-GRS-2016-0011-0015)

**File Code - Heading: 5740 - Airworthiness**

**1. Subheading: Aircraft Inspection, Maintenance, and Modification**

**Description of Records:** Records document general maintenance and inspection of and modifications to aircraft, aircraft components, engines, propellers, instruments, and accessories regarding:

- a. Servicing, manufacturing, rebuilding, and testing equipment.
- b. Classifying material's condition status.
- c. Preventative maintenance.
- d. Aircraft or equipment configuration and material alteration.
- e. Logistics services, Includes records such as:
  - (1) Technical and non-technical correspondence.
  - (2) Maintenance manuals.
  - (3) Documentation of mechanical defects and evidence of repair.
  - (4) Annotated manuals or manuals different from those the manufacturer issued.
  - (5) Bulletins directing specific inspections and records of action.

- (6) Logbooks.
- (7) Diagnostic checkouts.
- (8) Spot check inspections.
- (9) Maintenance requests.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which aircraft/equipment is disposed of or removed from inventory.

**Disposition Authority:** GRS 5.4/100 - (DAA-GRS-2016-0011-0013)

## **File Code - Heading: 5750 - Flight Crew Standardization**

### **1. Subheading: Pilot and Flight Crew Records**

**Description of Records:** Records document compliance with Federal and Forest Service aviation policies and regulations for agency and contractor pilots and flight crews (also known as aviation personnel). Records include:

- a. Designation of pilot inspectors.
- b. Ground and flight evaluations of pilots and flight crew.
- c. Documentation of the inspection and approval of contract and rental agreement pilots.
- d. Ground and flight evaluations of new agency pilots and aircrew.
- e. Official grants of exemption.
- f. Upgrades to Pilot-in-Command (PIC), Aircraft Commander (AC), Instructor Pilot/Aircrew, and Evaluator Pilot/Aircrew.
- g. Qualifications for agency personnel, including initial agency pilot, PIC, Evaluator Pilot, Instructor Pilot, AC, Flight Engineer, Loadmaster, and special use Mission Aircrew designation.
- h. Qualifications for contractor operations in government-owned aircraft, including Evaluator Pilot, Instructor Pilot, AC, Co-Pilot, Flight Engineer, or Loadmaster.
- i. Review of Forest Service National Pilot Standards.

**Disposition:** Temporary. Cutoff at end of FY. Destroy six years after cut-off.

**Disposition Authority:** GRS 5.4/130 - (DAA-GRS-2016-0011-0016)



## 42.6 - 6000 Series File Codes

The following provides guidance for managing Forest Service unstructured records in electronic formats. Staffs maintaining records electronically must immediately begin use of the Electronic Records Retention Schedule and store records in official Forest Service designated repositories.

### File Code - Heading: 6100 - Personnel

#### 1. Subheading: Employee Management Administrative Records

**Description of Records:** Records (correspondence, reports, and similar records) on routine office program support, administration, and human resources operations not covered elsewhere in file codes 6100-6180, including:

- a. Reports, including annual reports to the Department of State concerning the number of official passports issued and related matters.
- b. Reports from subordinate units regarding statistics and other reporting measures.
- c. General correspondence with internal Forest Service offices and with Office of Personnel Management (OPM).
- d. General correspondence with travelers regarding official passport application procedures and documentation requirements.
- e. Statistics including list of official passport holders.
- f. Operating personnel office records relating to individual employees not maintained in OPFs and not provided for elsewhere in this schedule.
- g. Responses to applications which will not be kept; unsolicited out-of-agency applications for employment.
- h. Senior Executive Service records not covered elsewhere in the file code 6100-6180 series.
- i. Records relating to the general administration and operation of personnel functions (including recruitment), but excluding records specifically described elsewhere in this schedule and records maintained at agency staff planning levels.
- j. General correspondence and other records relating to classification and pay too general to fit in any category in the file code 6150 series.
- k. General records relating to employee allowances.

- l. General records regarding the Fair Labor Standards Act.
- m. Records relating to the general administration and operation of insurance and annuities, but excluding records specifically described elsewhere in the file code 6180 series.

**Note:** Includes records previously retained under the following file code categories:

- 6100 – Personnel – General.
- 6100 – Personnel – Personnel Operations Statistical Reports (6100-4).
- 6100 – Personnel – Statistical Summaries.
- 6120 – Programs, Standards, Actions, and Documents – General.
- 6130 – Employment and Status Changes – Applications – Unsolicited/Flagged for Destruction.
- 6130 – Employment and Status Changes – Non-OPF/Other Correspondence and Forms.
- 6130 – Employment and Status Changes – SES/General.
- 6130 – Employment and Status Changes – General.
- 6150 – Classification and Pay – General.
- 6150 – Classification and Pay – Wages/Allowances.
- 6150 – Classification and Pay – Wages/Fair Labor Standards Act.
- 6180 – Insurance and Annuities – General.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy three years after cut-off.

**Disposition Authority:** GRS 2.2/010 - (DAA-GRS-2017-0007-0001)

## 2. Subheading: Workforce and Succession Planning

**Description of Records:** Records pertaining to workforce planning and analysis, including succession planning, developed in support of executive-level and other agency planning initiatives. Records include:

- a. Planning and analysis models,
- b. Planning data,
- c. Briefing materials,
- d. Studies and surveys, and
- e. Lists of function and staff at key locations.

**Exclusion:** Records maintained by executives responsible for policy formulation or other high-level actions. These are retained under appropriate file code 1200 or 1220 subheading.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which superseded by new plan. Destroy three years after cut-off.

**Disposition Authority:** GRS 2.2/020 - (DAA-GRS-2017-0007-0002)

3. **Subheading: Inquiries**

**Description of Records:** Obsolete. File standard inquiries and responses under file code 6270 – Availability of Records – General Information Requests.

4. **Subheading: Institutional and Specialized Knowledge Records**

**Description of Records:** Records documenting capture of institutional and specialized knowledge. Includes status updates on current and pending assignments, contact information for sources, and other job-related information an office may choose to obtain from a departing employee.

**Exclusion:** Formal oral histories recorded with an employee before his/her departure are not covered by this item. These are retained under file code 1680 – History Program – Archival History and other/additional file code categories as appropriate.

**Disposition:** Temporary (see notes). Cutoff when no longer needed for business use. Destroy immediately after cut-off.

**Disposition Authority:** GRS 2.5/030 - (DAA-GRS-2014-0004-0004)

5. **Subheading: Supervisor's Personnel Files**

**Description of Records:** Records on positions, authorizations, pending actions, position descriptions, training records, individual development plans, telework agreements, award recommendations, and records on individual employees not duplicated or not appropriate for the OPF. These records are sometimes called Supervisors' working files, unofficial personnel files, and employee work folders or "Drop" files. May include employee emergency contact information which is also retained under file code 1590 - Disaster and Emergency Operations, and Homeland Security – Employee Emergency Contact Information.

**Exclusion 1:** Records that become part of a grievance file, an appeal or discrimination complaint file, a performance-based reduction-in-grade or removal action, or an adverse action. These records are retained under appropriate subheading in file code 6170 – Personnel Relations and Services.

**Exclusion 2:** Employee medical documents unless part of employee's initial request for reasonable accommodation. Following approval, the Forest Service's reasonable accommodation decision replaces medical documentation and becomes the records. Reasonable accommodation employee case files are covered under appropriate subheading in file code 6170 – Personnel Relations and Services.

**Note 1:** Records contain PII and other protected information. Restrict access.

**Note 2:** A copy of the employee's Individual Development Plan may be retained in this file.

**Note 3:** A copy of the employee's performance plans and ratings, summary performance appraisal records, including performance appraisals and job elements and standards upon which they are based may be retained in this file. The original of these records are to be retained under the appropriate subheading in file code 6140 – Employee Development, Performance, Awards.

**Note 4:** Includes records previously retained under file codes:

- 6100 – Personnel – OPF – Duplicate Documentation.
- 6100 – Personnel – Supervisor's Personnel Files.

**Disposition:** Temporary (see notes). Review annually and destroy superseded documents. Destroy remaining documents one year after employee separation or transfer.

**Disposition Authority:** GRS 2.2/080 - (DAA-GRS-2017-0007-0012)

## 6. Subheading: Official Passport Applications

**Description of Records:** Records related to official passports issued by the Department of State to Forest Service employees traveling abroad to carry out official duties on behalf of the U.S. Government. Records related to administering the application or renewal of official passports and visas, include:

- a. Copies of passport and visa applications.
- b. Passport and visa requests.
- c. Special invitation letters.
- d. Visa authorization numbers.
- e. Courier receipts.
- f. Copies of travel authorizations.

**Note:** Records contain PII and other protected information. Restrict access.

**Disposition:** Temporary (see notes). Cutoff upon employee separation or transfer. Destroy three years after cut-off.

**Disposition Authority:** GRS 2.2/090 - (DAA-GRS-2017-0007-0013)

7. **Subheading: Official Passport Registers**

**Description of Records:** Registers and lists of agency personnel who have official passports, Records are related to official passports issued by the Department of State to Forest Service employees traveling abroad to carry out official duties on behalf of the U.S. Government.

**Note:** Records contain PII and other protected information. Restrict access.

**Disposition:** Temporary (see notes). Destroy when records have been superseded or obsolete.

**Disposition Authority:** GRS 2.2/091 - (DAA-GRS-2017-0007-0014)

8. **Subheading: Official Passport for Transferred to Separated Forest Service Personnel**

**Description of Records:** Official passports of transferred or separate Forest Service personnel, Records are related to official passports issued by the Department of State to Forest Service employees traveling abroad to carry out official duties on behalf of the U.S. Government.

**Note:** Records contain PII and other protected information. Restrict access.

**Disposition:** Temporary (see notes). Transfer to new agency or return to the Department of State upon expiration or upon separation of employee.

**Disposition Authority:** GRS 2.2/92

9. **Subheading: Skill Set Records**

**Description of Records:** Records detailing name, contact, and other information for people with specific skill sets, such as foreign languages, notaries, and sign language; used to assign work-related duties to employees and volunteers.

**Exclusion:** Associated testing records. Those related to non-mission functions are retained under file code 6140 - Employee Development, Performance, Awards and those related to Forest Service mission functions are retained under the applicable program records retention schedule.

**Note:** Records contain PII and other protected information. Restrict access.

**Disposition:** Temporary (see notes). Cutoff when no longer needed for agency business use. Destroy immediately after cut-off.

**Disposition Authority:** GRS 2.2/120 - (DAA-GRS-2017-0007-0018)

#### 10. Subheading: Personnel Help Desk Records

**Description of Records:** Technical and administrative help desk operational records, Records of incoming requests (and responses) made by phone, email, web portal, and so forth. Trouble tickets and tracking logs. Records include:

- a. Quick guides and "Frequently Asked Questions."
- b. Evaluations and feedback about help desk services.
- c. Analysis and reports generated from customer management data.
- d. Customer/client feedback and satisfaction surveys, including survey instruments, data, background materials, and reports.

**Note:** Records contain PII and other protected information. Restrict access.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which issue resolved. Destroy one year after cut-off.

**Disposition Authority:** GRS 5.8/010 - (DAA-GRS-2017-0001-0001)

#### File Code - Heading: 6120 - Programs, Standards, Actions, and Documents

##### 1. Subheading: General

**Description of Records:** Obsolete. Retain records under file code 6100 – Personnel – Employee Management Administrative Records.

##### 2. Subheading: Personal Security and Access Clearance Records of People Issued Clearances

**Description of Records:** Case files of people issued clearances. Records about security clearances, and other clearances for access to Government facilities or to sensitive data, created to support initial favorable eligibility determinations, periodic reinvestigations, or to implement a continuous evaluation program. Records include:

- a. Questionnaires.
- b. Summaries of reports prepared by the investigating agency.
- c. Documentation of agency adjudication process and final determination.

**Exclusion:** Copies of investigative reports retained under file code 6120 – Programs, Standards, Actions, and Documents – Personnel Security Investigative Reports.

**Note 1:** Contains PII and other information protected by statute. Restrict Access.

**Note 2:** Previous subheading “Applicant Case Files.”

**Note 3:** Personnel security clearance case files created under OPM procedures and regulations and related indexes maintained by the personnel security office of the employing agency.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which employee or contractor relationship ends.

**Disposition Authority:** GRS 5.6/181 - (DAA-GRS-2017-0006-0025)

3. **Subheading: Personal Security and Access Clearance Records of People Not Issued Clearances**

**Description of Records:** Case files of people not issued clearances. Records about security clearances, and other clearances for access to Government facilities or to sensitive data, created to support initial favorable eligibility determinations, periodic reinvestigations, or to implement a continuous evaluation program. Records include:

- a. Questionnaires.
- b. Summaries of reports prepared by the investigating agency.
- c. Documentation of agency adjudication process and final determination.

**Exclusion:** Copies of investigative reports retained under file code 6120 – Programs, Standards, Actions, and Documents – Personnel Security Investigative Reports.

**Note:** Contains PII and other information protected by statute, restrict access.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which consideration of candidate ends. Destroy one year after cut-off.

**Disposition Authority:** GRS 5.6/180 - (DAA-GRS-2017-0006-0024)

4. **Subheading: Personnel Security Case File Index**

**Description of Records:** Lists or reports showing the current security clearance status of individuals.

**Note 1:** Personnel security clearance case files created under OPM procedures and regulations and related indexes maintained by the personnel security office of the employing agency.

**Note 2:** Records contain PII, and other information protected by statute, restrict access.

**Note 3:** Previous subheading "Indexes."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which record is superseded or becomes obsolete.

**Disposition Authority:** GRS 5.6/190 - (DAA-GRS-2017-0006-0026)

5. **Subheading: Personnel Security Investigative Reports**

**Description of Records:** Investigative reports and related documents created or used by Forest Service to support initial favorable eligibility determinations, fitness determinations, and periodic reinvestigations, or to implement a continuous evaluation program.

**Note 1:** Reports and records created by agency conducting investigations under delegated investigative authority are to be destroyed in accordance with delegated authority agreement or MOU (GRS 5.6, item 171).

**Note 2:** Records contain PII and other protected information. Restrict access.

**Note 3:** Previous subheading "Investigative Reports."

**Disposition:** Temporary (see notes). Destroy in accordance with investigating agency instructions.

**Disposition Authority:** GRS 5.6/170 - (DAA-GRS-2017-0006-0022)

6. **Subheading: Security Clearance Administrative Subject Files**

**Description of Records:** Correspondence, reports, and other records relating to the administration and cooperation of the personnel security program, not covered elsewhere in this schedule.

**Exclusion:** Records pertaining to general Security program administration are retained under file code 1590 – Disaster and Emergency Operations and Homeland Security.

**Note:** Records contain information protected by statute. Restrict access.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy three years after cut-off.



**Disposition Authority:** GRS 5.6/010 - (DAA-GRS-2017-0006-0001)

**File Code - Heading: 6130 - Employment and Status Changes**

**1. Subheading: Applications-Unsolicited – Flagged for Destruction**

**Description of Records:** Obsolete. Retain records under file code 6100 – Personnel – Employee Management Administrative Records.

**2. Subheading: Non-OPF - Other Correspondence and Forms**

**Description of Records:** Obsolete. Retain records under file code 6100 – Personnel – Employee Management Administrative Records.

**3. Subheading: Non-OPF – Correspondence and Forms**

**Description of Records:** Obsolete. Retain records under file code 6130 – Employment and Status Changes – Notifications of Personnel Actions.

**4. Subheading: SES – General**

**Description of Records:** Obsolete. Retain records under file code 6100 – Personnel – Employee Management Administrative Records.

**5. Subheading: General**

**Description of Records:** Obsolete. Retain records under file code 6100 – Personnel – Employee Management Administrative Records.

**6. Subheading: Alternative Worksites – Approved Requests**

**Description of Records:** Obsolete. Retain records under file code 6160 – Attendance, Leave, and Telework – Telework / Alternative Worksite Applications.

**7. Subheading: Alternative Worksites - Unapproved Requests**

**Description of Records:** Obsolete. Retain records under file code 6160 – Attendance, Leave, and Telework – Telework / Alternative Worksite Applications.

**8. Subheading: Alternative Worksites - Generated by Forest Service or Employee**

**Description of Records:** Obsolete. Retain records under file code 6160 – Attendance, Leave, and Telework – Telework/Alternative Workplace Program Files.

9. **Subheading: Certificate Files**

**Description of Records:** Obsolete. Retain records (as appropriate under one of the following:

- a. 6130 – Employment and Status Changes – Employment Case Files – One-Time Competitive and Senior executive Service (SES) Announcements/Selections.
- b. 6130 – Employment and Status Changes – Employment Case Files – Employment Case Files – Records of Standing Register Competitive Files for Multiple Positions Filled Over Time.

10. **Subheading: Employment Case Files – One-Time Competitive and Senior Executive Service Announcements/Selections**

**Description of Records:** Case files created when posting and filling competitive job vacancies. Also known as case examining, competitive examination, or merit case files. Records include:

- a. Request for lists of eligible candidates.
- b. Job announcement.
- c. Examination announcement.
- d. Job analysis, assessment criteria, and crediting plan.
- e. Basis for certification.
- f. Applications, resumes, supplemental forms, other attachments.
- g. List of eligible candidates or applicants screened, ranking or ratings assigned, and basis for certification.
- h. Certificates, registers, or lists of eligible candidates issued to selecting officials.
- i. Job-related test records.
- j. Mandatory applicant drug test records.
- k. Annotated certificates of eligible candidates returned by selecting officials.
- l. Job offers.
- m. Records of job offer being accepted or declined.
- n. Correspondence/documentation of announcement or recruiting operation.

**Note 1:** Records contain PII and other protected information. Restrict access.

**Note 2:** Includes records previously retained under file codes:

- 6130 – Employment and Status Changes – Employment Actions.
- 6170 - Personnel Relations and Services - Federal Workplace Drug Testing Program - Test Results – Positive – Applicants Not Accepted for Employment.

**Disposition:** Temporary (see notes). Cutoff at end of FY. after selection certificate is closed or final settlement of any associated litigation (whichever is later). Destroy two years after cut-off.

**Disposition Authority:** GRS 2.1/050 - (DAA-GRS-2017-0011-0002)

#### 11. Subheading: Employment Case Files – Records of Standing Register Competitive Files for Multiple Positions Filled over time

**Description of Records:** Case files created when posting and filling competitive job vacancies. Also known as case examining, competitive examination, or merit case files. Includes:

- a. Request for lists of eligible candidates.
- b. Job announcement.
- c. Examination announcement.
- d. Job analysis, assessment criteria, and crediting plan.
- e. Basis for certification.
- f. Applications, resumes, supplemental forms, other attachments.
- g. List of eligible candidates or applicants screened, ranking or ratings assigned, and basis for certification.
- h. Certificates, registers, or lists of eligible candidates issued to selecting officials.
- i. Job-related test records.
- j. Mandatory applicant drug test records.
- k. Annotated certificates of eligible candidates returned by selecting officials.
- l. Job offers.
- m. Records of job offer being accepted or declined.

- n. Correspondence/documentation of announcement or recruiting operation.

**Note 1:** Records contain PII and other protected information. Restrict access.

**Note 2:** Includes records previously retained under file codes:

- 6130 – Employment and Status Changes – Employment Actions.
- 6170 - Personnel Relations and Services - Federal Workplace Drug Testing Program - Test Results – Positive – Applicants Not Accepted for Employment.

**Disposition:** Temporary (see notes). Cutoff at end of FY. after termination of register. Destroy two years after cut-off.

**Disposition Authority:** GRS 2.1/051 - (DAA-GRS-2017-0011-0002)

## 12. Subheading: Job Application Packages

**Description of Records:** Application packages for competitive positions, in USAJobs or its successors, and other systems, whether electronic or analog. Records include:

- a. Application,
- b. Resume,
- c. Supplemental forms, and
- d. Other attachments.

**Note 1:** This item is only for copies of materials submitted to and maintained in systems (such as eRecruit or its successor) that receive job applications. Copies of these records used to fill job vacancies are retained under file codes:

- 6130 – Employment and Status Changes – Employment Case Files – One-Time Competitive and SES Announcements/Selections.
- 6130 – Employment and Status Changes – Employment Case Files – Employment Case Files – Records of Standing Register Competitive Files for Multiple Positions Filled Over Time.

**Note 2:** Records retained under this item are not maintained in IER.

**Note 3:** Records contain PII and other protected information. Restrict access.

**Disposition:** Temporary (see notes). Cutoff at end of FY. after date of submission. Destroy one year after cut-off.

**Disposition Authority:** GRS 2.1/060 - (DAA-GRS-2014-0002-0011)

### 13. Subheading: Requests for Non-Competitive Personnel Action

**Description of Records:** Forest Service copy of requests submitted to OPM for approval of non-competitive personal action on such matters as promotion, transfer, reinstatement, or change in status.

**Note:** Records contain PII and other protected information. Restrict access.

**Disposition:** Temporary (see notes). Cutoff at end of FY. after date of submission. Destroy one year after cut-off.

**Disposition Authority:** GRS 2.1/080 - (DAA-GRS-2014-0002-0013)

### 14. Subheading: Interview Records

**Description of Records:** Case files related to job vacancies, held by hiring official and interview panel members. Records include:

- a. Copies of records in the job vacancy case file.
- b. Notes of interviews with selected and non-selected candidates.
- c. Reference check documentation.

**Note:** Records contain PII and other protected information. Restrict access.

**Disposition:** Temporary (see notes). Cutoff at end of FY. after case is closed by hire or no-selection, expiration of right to appeal a non-selection, or final settlement of any associated litigation, whichever is later. Destroy two year after cut-off.

**Disposition Authority:** GRS 2.1/090 - (DAA-GRS-2014-0002-0008)

### 15. Subheading: Political Appointees (Schedule C)

**Description of Records:** Records regarding evaluation of individuals' suitability for non-career positions by non-competitive appointment under Schedule C (as defined in Title 5, Code of Federal Regulations, Part 213.3101--Positions other than those of a confidential or policy-determining character for which it is impracticable to examine, Part 213.3201--Positions other than those of a confidential or policy-determining character for which it is not practicable to hold a competitive examination, Part 213.3301--Positions of a confidential or policy-determining nature, and 213.3401--Positions other than those of a confidential or policy determining character for which the competitive service requirements make impracticable the adequate recruitment of sufficient numbers of students attending qualifying educational institutions or individuals who have recently completed qualifying educational programs-) (5 CFR 213.3101, 3201, 3301, and 3401). Records include:

- a. Applications for employment,
- b. Resumes,
- c. Individuals' background information,
- d. Ethics pledges and waivers,
- e. Security clearances,
- f. Correspondence, and
- g. Other documentation relating to the selection, clearance, and appointment of political appointees.

**Exclusion:** Records pertaining to ethics pledges and waivers are retained in appointee's OFP (GRS 2.1, item 101).

**Note:** Records contain PII and other protected information. Restrict access.

**Disposition:** Temporary (see notes). end of FY after case is closed by hire or non-selection, expiration of right to appeal a non-selection, or final settlement of any associated litigation, whichever is later. Destroy two years after cut-off.

**Disposition Authority:** GRS 2.1/100 - (DAA-GRS-2014-0002-0014)

#### 16. Subheading: Political Appointee Candidates Not Selected (Schedule C)

**Description of Records:** Records related to Schedule C non-appointees (individuals considered but not selected for Schedule C position).

**Note:** Records contain PII and other protected information. Restrict access.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which consideration of candidate ends. Destroy one year after cut-off.

**Disposition Authority:** GRS 2.1/102 - (DAA-GRS-2014-0002-0015)

#### 17. Subheading: Excepted Service Appointments for Individuals with Disabilities

**Description of Records:** Case files document appointment of individuals with intellectual disabilities, severe physical disabilities, or psychiatric disabilities as defined in 5 CFR 213.3102(u). Records relate to filling permanent or temporary job vacancies by non-competitive appointment under Schedules A, B, or D (as defined in 5 CFR 213.3101, 3201, 3301, 3401). Includes (as appropriate):

- a. Application, attachments, and supplemental forms.

- b. Documentation of eligibility for excepted service appointment.
- c. Proof of special qualifications.
- d. Resume or other proof of employment, education, or relevant experience.
- e. Proof of disability issued by a licensed medical professional.
- f. Certification of job readiness.
- g. Notice of appointment, terms, and acceptance.

**Note 1:** Records contain PII and other protected information. Restrict access.

**Note 2:** Appropriate records may be moved to OPF.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which candidate enters on duty, is no longer under consideration, or declines offer. Destroy five years after cut-off.

**Disposition Authority:** GRS 2.1/110 - (DAA-GRS-2014-0002-0018)

#### 18. Subheading: Excepted Service Appointments (Other)

**Description of Records:** Case files for excepted service appointments not retained under file code 6130 – Employment and Status Changes – Excepted Service Appointments for Individuals with Disabilities.

Records relate to filling permanent or temporary job vacancies by non-competitive appointment under Schedules A, B, or D (as defined in 5 CFR 213.3101, 3201, 3301, 3401). Includes (as appropriate):

- a. Application, attachments, and supplemental forms.
- b. Documentation of eligibility for excepted service appointment.
- c. Proof of special qualifications.
- d. Resume or other proof of employment, education, or relevant experience.
- e. Proof of disability issued by a licensed medical professional.
- f. Certification of job readiness.
- g. Notice of appointment, terms, and acceptance.

**Note 1:** Records contain PII and other protected information. Restrict access.

**Note 2:** Appropriate records may be moved to OPF.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which candidate enters on duty, is no longer under consideration, or declines offer.

**Disposition Authority:** GRS 2.1/111 - (DAA-GRS-2014-0002-0019)

#### 19. Subheading: Special Temporary Hiring Authority

**Description of Records:** Records created or received by the Forest Service that document administration of special hiring authority programs such as summer, student, intern, and other temporary hiring authorized by OPM.

**Disposition:** Temporary. Cutoff at end of FY. after hiring authority closes. Destroy two years after cut-off.

**Disposition Authority:** GRS 2.1/120 - (DAA-GRS-2014-0002-0016)

#### 20. Subheading: Individuals Hired under Special Temporary Hiring Authority

**Description of Records:** Records created or received by the Forest Service that document administration of special hiring authority programs such as summer, student, intern, and other temporary hiring authorized by OPM.

**Note 1:** Retain records for Administratively Determined (AD) hires under this item, pay records for AD hires are retained elsewhere for 56 years.

**Note 2:** Records contain PII and other protected information. Restrict access.

**Disposition:** Temporary (see notes). Cutoff at end of FY. when employee has been converted to a permanent position or leaves a program.

**Disposition Authority:** GRS 2.1/130 - (DAA-GRS-2014-0002-0017)

#### 21. Subheading: Pre-Appointment Background Investigations

**Description of Records:** Records documenting background investigation or vetting of prospective employees to determine eligibility for security clearance and sensitive positions. Includes forms such as those in the SF-85 form group, fingerprint charts, and related correspondence.

**Note 1:** Records contain PII and other protected information. Restrict access.

**Note 2:** Do not retain records under this authority, transfer to appropriate security office after prospective employee enters on duty, declines appointment, or is no longer a candidate.



**Disposition:** Temporary (see notes). Cutoff when employee enters on duty, declines appointment, or is no longer a candidate. Forward to appropriate security office after cut-off.

**Disposition Authority:** GRS 2.1/140

**22. Subheading: Pre-Appointment Records Appropriate for Official Personnel file – Employees**

**Description of Records:** Pre-appointment files for prospective employees who enter on duty, appropriate for inclusion in OPF. Records include designation of beneficiary, life insurance election, and health benefits registration.

**Note 1:** Records contain PII and other protected information. Restrict access.

**Note 2:** Do not retain records under this authority, transfer to appropriate Albuquerque Service Center (ASC) Human Resources Management (HRM) office to include in OPF after employee enters on duty.

**Disposition:** Temporary (see notes). Cutoff when employee enters on duty status. Forward to appropriate ASC HRM office.

**Disposition Authority:** GRS 2.1/141

**23. Subheading: Pre-Appointment Records Appropriate for Official Personnel File – Non-hires**

**Description of Records:** Pre-appointment files for prospective employees who do not enter on duty, appropriate for inclusion in OPF. Records include designation of beneficiary, life insurance election, and health benefits registration.

**Note:** Records contain PII and other protected information. Restrict access.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which prospective employee is no longer a candidate. Destroy one year after cut-off.

**Disposition Authority:** GRS 2.1/142 - (DAA-GRS-2014-0002-0009)

**24. Subheading: Pre-Appointment Records – Copies of Records included in Job Vacancy Case Files**

**Description of Records:** Pre-appointment files for prospective employees who do not enter on duty, appropriate for inclusion in OPF. Records include designation of beneficiary, life insurance election, and health benefits registration.

**Note:** Records contain PII and other protected information. Restrict access.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which employee enters on duty or is no longer a candidate. Destroy immediately cut-off.

**Disposition Authority:** GRS 2.1/143 - (DAA-GRS-2014-0002-00010)

## 25. Subheading: Delegation of Authority for Examination and Certification

**Description of Records:** Agreements and related records created under the authority of Title 5 United States Code, section 1104 by which OPM delegates authority to an agency to examine and certify applicants for employment.

**Disposition:** Temporary. Cutoff at end of FY in which agreement terminates. Destroy three years after cut-off.

**Disposition Authority:** GRS 2.1/150 - (DAA-GRS-2014-0002-0021)

## 26. Subheading: Delegated Authority Audits

**Description of Records:** Reports of delegated examining operations audit delivered to the audited agency.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which audit completed. Destroy three years after cut-off.

**Disposition Authority:** GRS 2.1/160 - (DAA-GRS-2014-0002-0022)

## 27. Subheading: Interagency Placement Program

**Description of Records:** Interagency Placement Program for displaced employees. Records include:

- a. Program related correspondence.
- b. Program implementation records.
- c. Reporting and tracking files sent to oversight agencies such as OPM, and to senior level management.
- d. Control files.
- e. Information collected about displaced employees.

**Note 1:** Records contain PII and other protected information. Restrict access.

**Note 2:** Records previously retained exclusively under file code 6130 - Employment and Status Changes – Interagency Placement Program.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which superseded. Destroy three years after cut-off.

**Disposition Authority:** GRS 2.3/070 - (DAA-GRS-2015-0007-0019)

## 28. Subheading: Interagency Placement Employee Applications

**Description of Records:** Displaced employee program application records. Records include:

- a. Applications,
- b. Registrations,
- c. Forms,
- d. Data, and
- e. Other related documentation.

**Note 1:** Records contain PII and other protected information. Restrict access.

**Note 2:** Records previously retained exclusively under file code 6130 - Employment and Status Changes – Interagency Placement Program.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which employee is no longer eligible for displaced employee programs. Destroy immediately after cut-off.

**Disposition Authority:** GRS 2.3/071 - (DAA-GRS-2015-0007-0020)

## 29. Subheading: Medical - Employee Medical Folder Long-Term Medical Records – Separated Employees

**Description of Records:** Long-term medical records as defined in Title 5, Code of Federal Regulations, Part 293—Personnel Records, Subpart E—Employee Medical File System Records (5 CFR Part 293, Subpart E).

**Note:** Records contain PII and other protected information. Restrict access.

**Disposition:** Temporary (see notes). Cutoff when employee separates from agency. Transfer to NPRC, St. Louis, MO, 30-days after separation. NPRC will destroy 75 years after birth date of employee; 60 years after date of the earliest document in the folder, if the date of birth cannot be ascertained; or 30 years after latest separation, whichever is later.

**Disposition Authority:** GRS 2.7/060 - (DAA-GRS-2017-0010-0009)

**30. Subheading: Medical - Employee Medical Folder Long-Term Medical Records – Transferred Employees**

**Description of Records:** Obsolete – do not use.

**31. Subheading: Medical – Employee Medical Folder Short-Term Medical Records – Temporary**

**Description of Records:** Medical - Employee Medical Folder (EMF) Temporary, or Short-Term Records as defined in the Federal Personnel Manual.

**Note:** Records contain PII and other protected information. Restrict access.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which employee separates or transfers. Destroy one year after cut-off.

**Disposition Authority:** GRS 2.7/061 - (DAA-GRS-2017-0010-0010)

**32. Subheading: Medical - Pre-Employee Medical Folder Employee Health Case Files**

**Description of Records:** Case Files include individual employee health case files created prior to establishment of the EMF system that have been retired to a NARA records storage facility.

**Note:** Records contain PII and other protected information. Restrict access.

**Disposition:** Temporary (see notes). Cutoff at date of retirement to NARA records storage facility. Destroy 60 years after cut-off.

**Disposition Authority:** GRS 2.7/062 - (DAA-GRS-2017-0010-0011)

**33. Subheading: Merit Promotions**

**Description of Records:** Obsolete

**Note:** Retain records (as appropriate under one of the following file codes:

- 6130 – Employment and Status Changes – Employment Case Files – One-Time Competitive and SES Announcements/Selections.
- 6130 – Employment and Status Changes – Employment Case Files – Employment Case Files – Records of Standing Register Competitive Files for Multiple Positions Filled Over Time.

**34. Subheading: Notifications of Personnel Actions**

**Description of Records:** Copies of Standard Form 50, documenting all individual personnel actions such as hiring, promotions, transfers, and separation. Includes

chronological files, fact sheets, general correspondence, and forms about pending personnel actions maintained by ASC HRM.

**Exclusion:** SF-50s filed in the OPF. These records are filed (as appropriate) in file codes:

- 6130 – Employment and Status Changes – Official Personal Folder (Long Term Records).
- 6130 – Employment and Status Changes – Official Personnel Folder (Short Term Records).

**Note 1:** Records contain PII and other protected information. Restrict access.

**Note 2:** Includes records previously retained under file codes:

- 6130 – Employment and Status Changes – Non-OPF Correspondence and Forms.
- 6130 – Employment and Status Changes – Non-OPF Pending Personnel Actions.
- 6130 – Employment and Status Changes – Non-OPF Retention Registers and Related Records – RIF Action Taken.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which business use ceases. Destroy immediately after cut-off.

**Disposition Authority:** GRS 2.2/050 - (DAA-GRS-2017-0007-0006)

### 35. Subheading: Official Personnel Folder (Long Term Records)

**Description of Records:** The Official Personnel Folder or its approved electronic equivalent (eOPF) documents an individual's employment history. Records of separated employees saved to the "Permanent" folder in the eOPF or filed on the right side of the hardcopy OPF.

**Exclusion:** OPFs for employees separated prior to December 31, 1973. It is the responsibility of OPM to schedule these records.

**Note 1:** Records are maintained in individual Official Personnel Folder under employee name.

**Note 2:** Includes copies of nondisclosure agreements retained in OPF, such as SF312 - Classified Information Nondisclosure Agreement, signed by personnel with access to information that is classified under standards put forth by Executive Orders governing security classification (GRS 4.2, item 120).

**Note 3:** Records covered by Privacy Act System of Records OPM/Govt-1 and contain PII. Restrict access.

**Disposition:** Temporary (see notes). Cutoff when employee separates from Federal government service. Destroy when survivor or retirement claims are adjudicated or when records are 129 years old, whichever is sooner.

**Disposition Authority:** GRS 2.2/040 - (DAA-GRS-2017-0007-0004)

**36. Subheading: Official Personnel Folder (Short Term Records)**

**Description of Records:** The Official Personnel Folder or its approved electronic equivalent documents an individual's employment history.

**Exclusion:** USCIS Form I-9. USCIS Form I-9 is maintained under file code 6130 Employment Eligibility Verification Records.

**Note 1:** Records are maintained in individual OPF under employee name.

**Note 2:** Includes copies of nondisclosure agreements retained in OPF, such as SF312 - Classified Information Nondisclosure Agreement, signed by personnel with access to information that is classified under standards put forth by Executive Orders governing security classification (GRS 4.2, item 120).

**Note 3:** Records covered by Privacy Act System of Records OPM/Govt-1 and contain PII. Restrict access.

**Disposition:** Temporary (see notes). Cutoff when superseded or obsolete, or upon separation or transfer of employee, whichever is earlier. Destroy immediately.

**Disposition Authority:** GRS 2.2/041 - (DAA-GRS-2017-0007-0005)

**37. Subheading: Reasonable Accommodation - Employee Case Files**

**Description of Records:** Obsolete

**Note:** File records under file codes 1760 – Equal Employment Opportunity – Reasonable Accommodation Employee Case File

**38. Subheading: Reasonable Accommodation - General**

**Description of Records:** Obsolete

**Note:** File records under file codes 1760 – Equal Employment Opportunity – Reasonable Accommodation

**39. Subheading: Reasonable Accommodation - Supplemental Files**

**Description of Records:** DISCONTINUED

**Note:** File records under file codes 1760 – Equal Employment Opportunity – Reasonable Accommodation Supplemental Files

**40. Subheading: Reasonable Accommodation - Tracking System**

**Description of Records:** DISCONTINUED

**Note:** File records under file code 1760 – Equal Employment Opportunity – Reasonable Accommodation Tracking System

**41. Subheading: Separation Program Management – Not Forest Service Specific.**

**Description of Records:** These records are not specific to an agency separation initiative and document the general work process to release career, temporary, and political appointment employees from employment status. Includes registers of separation or transfers such as SF-2807, SF-3103, or similar records; retention registers and related records; reports, correspondence, and control documents; and exit interview compilations identifying and tracking trends.

**Note 1:** Records may contain PII, and other information protected by FOIA and PA. Restrict access.

**Note 2:** Includes, but not limited to, records previously retained under file code 6180 – Insurance and Annuities – Retirement Files.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which no longer need for business use. Destroy immediately after cut-off.

**Disposition Authority:** GRS 2.5/010 – (DAA-GRS-2014-0004-0001)

**42. Subheading: Separation Program Management – Forest Service Specific Initiatives**

**Description of Records:** Separation program management records specific to Forest Service separation initiatives such as reduction-in-force, voluntary early retirement, voluntary separation, and similar programs. Includes registers of separation or transfers such as SF-2807, SF-3103, or similar records; retention registers and related records; reports, correspondence, and control documents; and exit interview compilations identifying and tracking trends.

**Note:** Records may contain PII, and other information protected by FOIA and PA. Restrict access.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which the program is closed. Destroy two years after cut-off.

**Disposition Authority:** GRS 2.5/011/ - (DAA-GRS-2014-0004-0002)

**43. Subheading: Senior Executive Service Candidates - Unassigned**

**Description of Records:** Obsolete

**44. Subheading: Employment Eligibility Verification Records**

**Description of Records:** Temporary, Individual Employee Records - Immigration and Naturalization Service Form I-9.

**Note 1:** Records contain PII and other protected information. Restrict access.

**Note 2:** Previous subheading "Employment Eligibility Verification Records."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which employee separates from service or transfers to another agency. Destroy three years after cut-off.

**Disposition Authority:** GRS 2.2/060 - (DAA-GRS-2017-0007-0007)

**File Code - Heading: 6140 - Employee Development, Performance, Awards**

**1. Subheading: Employee Incentive Awards**

**Description of Records:** Forest Service awards files, including recommendations, approved nominations, correspondence, and reports about Forest Service-sponsored cash and noncash awards (such as lump-sum cash awards). Also, includes correspondence about awards from other Federal agencies or non-Federal organizations and awards to former employees.

**Note 1:** Records contain PII and other protected information. Restrict access.

**Note 2:** Includes records previously retained under file codes:

- 6140 – Employee Development, Performance, Awards - Awards - Employee General Awards – Forest Service Sponsored.
- 6140 – Employee Development, Performance, Awards - Awards - Employee General Awards – Other Federal Agencies.
- 6140 – Employee Development, Performance, Awards - Awards - Employee Length of Service, Sick Leave Awards.
- 6140 – Employee Development, Performance, Awards - Awards - Employee Letters of Commendation.
- 6140 – Employee Development, Performance, Awards - Awards - Employee Lists of/or Indexes to Forest Service Award Nominations.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which award is approved or disapproved. Destroy two years after cut-off.



**Disposition Authority:** GRS 2.2, item 030 (DAA-GRS-2017-0007-0003)

2. **Subheading: Awards - Incentive Program Reports**

**Description of Records:** Obsolete

3. **Subheading: Employee Performance File System - Non-Senior Executive Service Employees – Appraisals of Unacceptable Performance**

**Description of Records:** Employee Performance File System (EPFS) records documenting unacceptable performance appraisals of non-senior executive service employees, where a notice of proposed demotion or removal was issued but not effected, and all related documents including employee performance ratings of record, performance plans on which ratings are based, supporting documentation for ratings, and any other performance-related material required by the Forest Service's performance appraisal system.

**Note 1:** Transfer original performance plans to HRM/Personnel Action Request (PAR) for scanning and uploading into employee's eOPF before eOPF is transferred to National Personnel Records Center (NPRC) or gaining agency.

**Note 2:** Records contain PII and other protected information. Restrict access.

**Disposition:** Temporary (see notes). Cutoff after the employee completes one year of acceptable performance from the date of the written advance notice of proposed removal or reduction in grade notice. Disposition instruction is mandatory, deviations are not allowed.

**Disposition Authority:** GRS 2.2/071 - (DAA-GRS-2017-0007-0009)

4. **Subheading: Employee Performance File System - Non-Senior Executive Service Employees – Appraisals of Acceptable Performance**

**Description of Records:** Employee Performance File System records documenting acceptable performance appraisals of non-senior executive service employees. Includes employee performance ratings of record, performance plans on which ratings are based, supporting documentation for ratings, and any other performance-related material required by the Forest Service's performance appraisal system.

**Exclusion:** Performance records superseded through an administrative, judicial, or quasi-judicial procedure. Retain these records under file code 6130 – Employee Development, Performance, Awards (EPFS) - Superseded Performance Records.

**Note 1:** Transfer original performance plans to HRM/PAR for scanning and uploading into employee's eOPF before eOPF is transferred to NPRC or gaining agency.

**Note 2:** If agency retrieves an OPF from NPRC, dispose of these documents after four years.

**Note 3:** Records contain PII and other protected information. Restrict access.

**Note 4:** Includes records previously retained under file codes:

- 6140 – Employee Development, Performance, Awards - EPFS - Non-SES Appointees – Former Employees – Latest Rating of Record.
- 6140 – Employee Development, Performance, Awards - EPFS - Non-SES Appointees – Former Employees – Other Performance Plans and Ratings.
- 6140 – Employee Development, Performance, Awards - EPFS - Non-SES Appointees – Former Employees – Other Summary Performance Appraisal Records.
- 6140 – Employee Development, Performance, Awards - EPFS - Non-SES Appointees – Supporting Documents.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which appraisal is signed. Destroy four years after cut-off.

**Disposition Authority:** GRS 2.2/070 - (DAA-GRS-2017-0007-0008)

5. **Subheading: Employee Performance File System – Records of Senior Executive Service Employees**

**Description of Records:** Employee Performance File System records documenting performance appraisals of senior executive service employees Title 5, United States Code, section 3132a (2). Includes records of performance ratings boards. Includes employee performance ratings of record, performance plans on which ratings are based, supporting documentation for ratings, and any other performance-related material required by the Forest Service's performance appraisal system.

**Exclusion:** Performance records superseded through an administrative, judicial, or quasi-judicial procedure. Retain these records under file code 6130 – Employee Development, Performance, Awards – EPFS - Superseded Performance Records.

**Note 1:** Transfer original performance plans to HRM/PAR for scanning and uploading into employee's eOPF before eOPF is transferred to NPRC or gaining agency.

**Note 2:** If agency retrieves an OPF from NPRC, dispose of these documents after four years.

**Note 3:** Records contain PII and other protected information. Restrict access.

**Note 4:** Includes records previously retained under file codes:

- 6140 – Employee Development, Performance, Awards - Performance Rating Board Cases.
- 6140 – Employee Development, Performance, Awards - SES Appointees - Other Performance Appraisals, Job Elements, and Standards.
- 6140 – Employee Development, Performance, Awards - SES Appointees – Other Ratings and Plans.
- 6140 – Employee Development, Performance, Awards - SES Appointees – Performance Records for Former SES Employees.
- 6140 – Employee Development, Performance, Awards - SES Appointees – Supporting Documents.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which appraisal is signed. Destroy four years after cut-off.

**Disposition Authority:** GRS 2.2/072 - (DAA-GRS-2017-0007-0010)

#### 6. Subheading: Employee Performance File System - Superseded Performance Records

**Description of Records:** Performance records superseded through an administrative, judicial, or quasi-judicial procedure. Includes superseded performance records of both non-senior executive service employees and senior executive service employees.

**Note 1:** Records contain PII and other protected information. Restrict access.

**Note 2:** Includes records previously retained under file codes:

- 6140 – Employee Development, Performance, Awards - SES Appointees – Superseded Performance Records.
- 6140 – Employee Development, Performance, Awards - EPFS - Non-SES Appointees – Superseded Performance Records.

**Disposition:** Temporary (see notes). Cutoff when superseded. This disposition instruction is mandatory; deviations are not allowed.

**Disposition Authority:** GRS 2.2/073 - (DAA-GRS-2017-0007-0011)

#### 7. Subheading: Ethics Training

**Description of Records:** Records include but are not limited to:

- a. Administration of new employee ethics orientations, annual, and other types of ethics training.
- b. Forest Service's annual written plans.
- c. Notices about training requirements and course offerings.

- d. Rosters of employees required to attend, and verification of training completed.
- e. Instructor guides, handbooks, handouts, and other materials.

**Note 1:** Records may contain PII, and other information protected by FOIA and PA. Restrict access.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy six years after cut-off.

**Disposition Authority:** GRS 2.6/020 - (DAA-GRS-2016-0014-0002)

8. **Subheading: Training – Forest Service Sponsored (Non-Mission Related)**

**Description of Records:** Records about planning, assessing, managing, and evaluating non-mission employee training programs:

- a. Plans, reports, and program evaluations.
- b. Organizational and occupational needs assessments.
- c. Employee skills assessments.
- d. Employee training statistics.
- e. Notices about training opportunities, schedules, or courses.
- f. Mandatory training tracking and reporting files.
- g. Logistics and coordination documents.
- h. Authorization, Agreement and Certification of training (SF-182) and similar records.
- i. Registration forms, employee attendance records.
- j. Syllabi, presentations, instructor guides, handbooks, and lesson plans.
- k. Reference and working files on course content.
- l. Other course materials, such as presentations and videos.
- m. Student, class, or instructor evaluations.

**Exclusion:**

- This item does not cover ethics-related training. Retain ethics training records under file code 6140 – Employee Development, Performance, Awards – Ethics Training.
- This item does not cover records of formally established schools that train agency employees in specialized program areas, such as law enforcement and national defense.

**Note 1:** Records may contain PII, and other information protected by FOIA and PA. Restrict access.

**Note 2:** Includes records previously retained under file codes:

- 6140 – Employee Development, Performance, Awards - Training – Forest Service Sponsored.
- 6140 – Employee Development, Performance, Awards - Training – Forest Service Sponsored - Background and Working Files.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy three years after cut-off.

**Disposition Authority:** GRS 2.6/010 - (DAA-GRS-2016-0014-0001)

9. **Subheading: Training - Individual Employee Training Records**

**Description of Records:** Records documenting training required by all or most Federal agencies, such as information system security and anti-harassment training, and training to develop job skills. Records may include:

- a. Completion certificates or verification documents for mandatory training required of all Federal employees or specific groups of employees (such as, Supervisors, contractors).
- b. Individual Development Plans.
- c. Mentoring or coaching agreements.

**Exclusion:** Academic transcripts, professional licenses, civil service exams, or documentation of mission-related training are not covered by this item.

**Note 1:** Records contain PII and other protected information. Restrict access.

**Note 2:** Previous subheading “Training – Employee Training.”

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy three years after cut-off.

**Disposition Authority:** GRS 2.6/030 - (DAA-GRS-2016-0014-0003)

**10. Subheading: Training – SES Candidate Development Program**

**Description of Records:** Records on Senior Executive Service Candidate Development Program (SESCDP) include documentation of program scope, policies, planning, budget, and curriculum planning.

**Note:** Records may contain PII, and other information protected by FOIA and PA. Restrict access.

**Disposition:** Temporary. Cutoff at end of FY. Destroy three years after cut-off.

**Disposition Authority:** GRS 2.6/040 - (DAA-GRS-2016-0014-0004)

**11. Subheading: Training – Senior Executive Service Candidate Development Program Case Records**

**Description of Records:** Senior Executive Service Candidate Development Program (SESCDP) case records on participants, including documentation of training, developmental assignments, mentor agreements and evaluations, and SES Development Plans.

**Note:** Records contain PII and other protected information. Restrict access.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy three years after cut-off.

**Disposition Authority:** GRS 2.6/041 - (DAA-GRS-2016-0014-0005)

**File Code - Heading: 6150 - Classification and Pay**

**1. Subheading: General**

**Description of Records:** Obsolete. Retain records under file code 6100 – Personnel – Employee Management Administrative Records.

**2. Subheading: Wages - Allowances**

**Description of Records:** Obsolete. Retain records under file code 6100 – Personnel – Employee Management Administrative Records.

3. **Subheading: Wages - Fair Labor Standards Act**

**Description of Records:** Obsolete. Retain records under file code 6100 – Personnel – Employee Management Administrative Records.

4. **Subheading: Appeals Files - Certificates of Classification**

**Description of Records:** Certificates of classification issued by OPM, stating final decision on a position classification appeal.

**Note:** Records may contain PII, and other information protected by FOIA and PA. Restrict access.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which affected position is abolished or superseded. Destroy two years after cut-off.

**Disposition Authority:** GRS 2.1/040 - (DAA-GRS-2014-0002-0005)

5. **Subheading: Appeals Files - Position Reviews and Classification Appeals**

**Description of Records:** Records created or received by the Forest Service when reviewing a position's classification in response to a classification appeal to the Forest Service's HRM office or directly to OPM, including records of desk audits.

**Note 1:** Records contain PII and other protected information. Restrict access.

**Note 2:** Previous subheading "Appeals Files – Classification Appeals."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy three years after cut-off.

**Disposition Authority:** GRS 2.1/030 - (DAA-GRS-2014-0002-0004)

6. **Subheading: Payroll Calculations, Paycheck Deposit Authorizations, Changes to Previously Issued Paychecks**

**Description of Records:** Records consist of supporting documentation for payroll calculations, paycheck deposits, and changes to previously issued paychecks; including:

- a. Additions to paychecks,
- b. Childcare subsidies,
- c. Internal Revenue Service Form W-9 (Request for Taxpayer Identification Number),
- d. Other additions,

- e. Deductions from paychecks,
- f. Insurance,
- g. Retirement accounts (such as Thrift Savings plans),
- h. Flexible spending accounts, such as medical savings and dependent care assistance,
- i. Union dues.,
- j. Combined Federal Campaign,
- k. Garnishments (IRS form 668A – Notice of Levy, and similar records),
- l. Treasury bond purchases,
- m. Other deductions,
- n. Authorizations for deposits into bank accounts, and
- o. Changes or corrections to previous transactions either at paying agency or payroll processor.

**Note 1:** Records contain PII and other protected information. Restrict access.

**Note 2:** Includes records previously retained under file codes:

- 6150 – Classification and Pay - CFC - Authorization for Individual Allotment.
- 6150 – Classification and Pay - CFC - Other Authorizations.
- 6150 – Classification and Pay - Thrift Savings Plan Election Forms.
- 6150 – Classification and Pay - Direct Deposit Sign-up Form.
- 6150 – Classification and Pay - Levy and Garnishments.
- 6150 – Classification and Pay - Payroll Change Files - GAO Audit Records.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which employee separates or retires. Destroy two years after cut-off.

**Disposition Authority:** GRS 2.4/010 - (DAA-GRS-2016-0015-0001)

## 7. Subheading: Forest Service Payroll Record

**Description of Records:** Aggregate records document payroll disbursed in each pay period include information on base pay, additions to and deductions from pay, and leave balances of all civilian employees within an agency or employing entity.



**Note 1:** Records contain PII and other protected information. Restrict access.

**Note 2:** Previous subheading "Pay – Individual Pay Record."

**Disposition:** Temporary (see notes). Cutoff at end of pay period. Destroy 56 years after cut-off.

**Disposition Authority:** GRS 2.4/040 - (DAA-GRS-2016-0015-0004)

#### 8. Subheading: AD Firefighter Payroll

**Description of Records:** Records include time and attendance as well as aggregate payroll records documenting payroll disbursed in each pay period for AD firefighters. Records may include Fire Time reports (OF-288 Emergency Fire Fighter Time Report or its equivalent) for AD (casual) fire fighters.

**Exclusion:** Excludes records of Forest Service employees working as firefighters, as such records are covered elsewhere in the Forest Service's records schedules.

**Note 1:** Records contain PII and other protected information. Restrict access.

**Note 2:** Records may be scanned and retained within the Forest Service's records management system. If not scanned, retain hardcopy and transfer to NPRC at end of FY. Records may be paper, digitized copy, or retained within NFC or Forest Service-authorized pay database.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 56 years after cut-off.

**Disposition Authority:** GRS 2.4/040 - (DAA-GRS-2016-0015-0004)

#### 9. Subheading: Pay - Noncurrent Payroll Files

**Description of Records:** Obsolete

#### 10. Subheading: Pay Comparability (Incentive Package Records)

**Description of Records:** Records created under implementation of the Federal Employees Pay Comparability Act including written narratives and computerized transaction registers documenting use of retention, relocation and recruitment bonuses, allowances, federal student loan repayment, and supervisory differentials, and case files consisting of requests for and approval of recruitment and relocation bonuses and retention allowances.

**Note:** Records may contain PII, and other information protected by FOIA and PA. Restrict access.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which approved, upon completion of service agreement, or allowance. Destroy three years after cut-off.

**Disposition Authority:** GRS 2.4/090 - (DAA-GRS-2016-0015-0011)

**11. Subheading: Payroll Change Files - All Other Copies**

**Description of Records:** Obsolete

**12. Subheading: Payroll System - Forest Service Fiscal Reports**

**Description of Records:** Reports providing fiscal information on agency payroll.

**Note:** Records may contain PII, and other information protected by FOIA and PA. Restrict access.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy three years after cut-off or after GAO audit, whichever comes sooner.

**Disposition Authority:** GRS 2.4/061 - (DAA-GRS-2016-0015-0007)

**13. Subheading: Payroll Program Administrative Correspondence, System Operation and Forest Service Workload Reports/Data**

**Description of Records:** Payroll program administrative correspondence between Forest Service and payroll processor, and system reports used for agency workload and/or personnel management purposes.

**Note 1:** Records contain PII and other protected information. Restrict access.

**Note 2:** Includes records previously retained under file codes:

- 6150 – Classification and Pay - Payroll System – Error Reports, Ticklers, System Operation Reports.
- 6150 – Classification and Pay - Payroll System - Reports and Data – Forest Service Workload.
- 6150 – Classification and Pay - Payroll Correspondence.
- 6150 – Classification and Pay – Insurance.
- 6150 – Classification and Pay - Insurance - Air Travelers.
- 6150 – Classification and Pay - Insurance – Life.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy two years after cut-off.

**Disposition Authority:** GRS 2.4/060 - (DAA-GRS-2016-0015-0006)

#### 14. Subheading: Classification Standards

**Description of Records:** Correspondence and other records relating to development of classification standards specific to the Forest Service, including notice of OPM approval or disapproval.

**Note:** Includes records previously retained under file codes:

- 6150 – Classification and Pay - Payroll System – Position Classification Standards – Development – Case File.
- 6150 – Classification and Pay - Position Classification Standards – Development – Review File.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which standard is superseded, canceled, or disapproved by OPM. Destroy two years after cut-off.

**Disposition Authority:** GRS 2.1/010 - (DAA-GRS-2014-0002-0001)

#### 15. Subheading: Position Descriptions

**Description of Records:** Records relating to developing, editing, classifying, and evaluating position descriptions, including information on title, series, grade, duties, and responsibilities.

**Exclusion:** Copies in employee OPF, Unofficial Personnel File, and Supervisor's Personnel File are retained according to disposition instructions for the associated file.

**Note 1:** Official record copy of position description is maintained by ASC HRM.

**Note 2:** Related records such as case file at position's program office and background material in ASC HRM file may be destroyed when position description is final (GRS 2.1/022 (DAA-GRS-2014-0002-0003)).

**Note 3:** Copies of position descriptions in employee OPF, UPF, and supervisor's personnel file should be destroyed in accordance with disposal instructions for associated file (GRS 2.1/21).

**Disposition:** Temporary (see notes). Cutoff at end of FY in which position is abolished or description is superseded. Destroy two years after cut-off.

**Disposition Authority:** GRS 2.1/020 - (DAA-GRS-2014-0002-0002)

#### 16. Subheading: Savings Bond Purchases - Authorization

**Description of Records:** Obsolete.

**17. Subheading: Savings Bond Purchases - Receipt and Transmittal**

**Description of Records:** Obsolete.

**18. Subheading: Savings Bond Purchases - Registration**

**Description of Records:** Obsolete.

**19. Subheading: Survey Files – Classification Survey Results**

**Description of Records:** Obsolete.

**20. Subheading: Survey Files – Inspection, Audit, and Survey**

**Description of Records:** Obsolete.

**21. Subheading: Wage and Tax Statements**

**Description of Records:** Forest Service copies of IRS form W-2 (Wage and Tax Statement), IRS form W-3 (Transmittal of Wage and Tax Statements), IRS forms in the 1099 series, and state equivalents.

**Note 1:** Records contain PII and other protected information. Restrict access.

**Note 2:** Includes records previously retained under file codes:

- 6150 – Classification and Pay - Payroll System – Taxes - Forest Service Copy of Employee Wages and Tax Statements.
- 6150 – Classification and Pay - Taxes - Forest Service Copy of Employer Reports of Withholdings.
- **Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy four years after cut-off.

**Disposition Authority:** GRS 2.4/050 - (DAA-GRS-2016-0015-0005)

**22. Subheading: Taxes - Employee Withholding Allowance Certificate**

**Description of Records:** Employee withholding allowance certificate such as Internal Revenue Service (IRS) Form W-4 and State equivalents.

**Note:** Records contain PII and other protected information. Restrict access.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy four years after cut-off.

**Disposition Authority:** GRS 2.4/020 - (DAA-GRS-2016-0015-0002)

### 23. Subheading: Wage Surveys

**Description of Records:** Records created while conducting periodic surveys of wages paid to non-Government workers in a specified wage area to support and modify the Federal Wage System. Includes survey data, background documents, correspondence and reports on area wages paid for each employee class; background papers establishing need, authorization, direction, and analysis of wage surveys; development and implementation of wage schedules; and request for an authorization of specific rates (excluding authorized wage schedules and wage survey recapitulation sheets).

**Note 1:** Records contain PII, restrict access.

**Note 2:** Previous subheading "Wages – Wage Surveys."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy after completing second succeeding survey in the specific wage area (retain records of the two most recently completed surveys).

**Disposition Authority:** GRS 2.4/080 - (DAA-GRS-2016-0015-0010)

### 24. Subheading: Wages - Waiver of Claims Files

**Description of Records:** Agencies may approve amounts not aggregating to more than \$500 or GAO may approve any amount.

**Note:** Records contain PII and other protected information. Restrict access.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy seven years after cut-off.

**Disposition Authority:** GRS 1.1/080 - (DAA-GRS-2017-0005-0001)

## File Code - Heading: 6160 - Attendance, Leave, and Telework

### 1. Subheading: Telework / Alternative Worksite Program Files

**Description of Records:** Records generated by the designated Telework Managing Officer (TMO), agency telework coordinators and other related staff. Includes:

- a. Correspondence,
- b. Notes,
- c. Policy implementation documents,
- d. Form development files,

- e. Planning records,
- f. Program evaluation documentation/data,
- g. Reports provided to senior management and oversight agencies such as OPM, and
- h. Other related records generated by the Forest Service or by participating employees.

**Note 1:** Records may contain PII, and other information protected by FOIA and PA. Restrict access.

**Note 2:** Previous subheading “Alternative Workplace (telework) Program Evaluations.”

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy three years after cut-off.

**Disposition Authority:** GRS 2.3/080 - (DAA-GRS-2015-0007-0021)

## 2. Subheading: Telework / Alternative Worksite Applications

**Description of Records:** Forms, requests, or applications to participate in telework/alternate worksite programs. Includes:

- a. Agreements between the agency and the employee.
- b. Records such as questionnaires relating to the safety of the worksite.
- c. Forms, checklists and similar records regarding the installation and use of equipment, hardware, and software.
- d. The use of secure, classified information or data subject to the Privacy Act, or the Forest Service’s PII policies.
- e. Includes unapproved requests.

**Note 1:** Records may contain PII, and other information protected by FOIA and PA. Restrict access.

**Note 2:** “End of Employee Participation” in the disposition instruction refers to if employee leaves telework entirely, is rejected, denied, or barred from telework, has significant changes in telework or agency position such that a new agreement is signed, or employee leaves Federal employment.

**Note 3:** Previous subheading “Alternative Workplace (telework) Requests and Agreements.”

**Disposition:** Temporary (see notes). Cutoff at end of FY in which employee's participation in program ends. Destroy one year after cut-off.

**Disposition Authority:** GRS 2.3/081 - (DAA-GRS-2015-0007-0022)

3. **Subheading: Donated Leave Program Individual Case Files**

**Description of Records:** Case files containing documenting leave donation and receipt, including recipient applications; agency approvals or denials; medical or physician certifications; and records of leave donations, supervisor approvals, leave transfers, payroll notifications, and terminations from the program.

**Note 1:** Records contain PII and other protected information. Restrict access.

**Note 2:** Previous subheading "Donated Leave Program."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which employee receiving leave is no longer participating in the program. Destroy one year after cut-off.

**Disposition Authority:** GRS 2.4/071 - (DAA-GRS-2016-0015-0009)

4. **Subheading: Donated Leave Program Administration**

**Description of Records:** Records pertain to management and administration of donated leave program, including:

- a. Records of leave bank management.
- b. Records of leave bank governing board award decisions.
- c. Publicity and program announcements.
- d. Statistical and narrative reports.
- e. Similar records not linked to individual employee participation.

**Exclusion:** Donated leave individual case files.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy three years after cut-off.

**Disposition Authority:** GRS 2.4/070 - (DAA-GRS-2016-0015-0008)

5. **Subheading: Leave Record - Creating Forest Service Copy**

**Description of Records:** Obsolete: Retain existing records under file code 6130 – Employment and Status Changes – Official Personnel Folder (Long Term Records).

## 6. Subheading: Time and Attendance Records

**Description of Records:** Sign-in/sign-out records, timecards, leave applications, and approvals of all types (annual, sick, family medical, military service, jury duty, leave donations, and so forth); overtime, compensatory, and credit time requests and approvals; premium pay authorizations; and other records documenting employees' presence at or absence from work.

**Note 1:** Records contain PII and other protected information. Restrict access.

**Note 2:** The Paycheck8 system (or its successor) contains the Forest Service time and attendance source, and input records is retained under this GRS item. The most recent year of paycheck data will be maintained on the computer system, the remaining two years of data will be maintained in archived status on electronic media. Records stored in an archived status must be made available in a timely manner to satisfy external and internal information requests.

**Note 3:** Use of electronic and digital signature authorized for Forest Service Payroll System Electronic Applications, including Paycheck8. Paycheck8 records with electronic or digital signatures will not be maintained in hardcopy.

**Note 4:** Includes records previously retained under file codes:

- 6150 – Classification and Pay – Leave Applications – Timecard Initialed.
- 6150 – Classification and Pay – Timecard - Initialed.
- 6150 – Classification and Pay – Timecard – Non-Initialed.
- 6150 – Classification and Pay – Leave Applications – Timecard Not Initialed.
- 6150 – Classification and Pay – Leave Restoration Case Files.
- 6150 – Classification and Pay – General.
- 6150 – Classification and Pay – Time and Attendance Source Records.
- 6150 – Classification and Pay – Time and Attendance Input Records.
- 6150 – Classification and Pay – Record of Employee Leave.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy three years after cut-off.

**Disposition Authority:** GRS 2.4/030 - (DAA-GRS-2016-0015-0003)

## 7. Subheading: Family Medical Leave Act Program Administrative Records

**Description of Records:** Records related to managing the program, including copies of policies and guidance describing employee benefits and employee use of paid and unpaid leave under the FMLA, statistics, reports, and other records not linked to individual employee participation.



**Disposition:** Temporary (see notes). Cutoff at end of FY in which superseded or obsolete. Destroy three years after cut-off.

**Disposition Authority:** GRS 2.4/140 - (DAA-GRS-2016-0015-0019)

## 8. Subheading: Family Medical Leave Act Individual Case Files

**Description of Records:** Includes:

- a. Employee eligibility to participate in program.
- b. Eligibility notice given to employee.
- c. Notices of employee rights and responsibilities, questions from employees about those rights and responsibilities, and responses to them.
- d. Medical certifications.
- e. Employee identification data.
- f. Records of pay basis, compensation terms, normal hours per pay period, additions to or deductions from wages, total compensation normally paid.
- g. Leave request, approval/non-approval.
- h. Leave records.
- i. Records of premium payments of employee benefits.
- j. Records of disputes between employers and eligible employees regarding designation of leave as Family Medical Leave Act (FMLA) leave.
- k. Periodic reports of employee status and intent to return to work.

**Note:** Records contain PII and other protected information. Restrict access.

**Disposition:** Temporary (see notes). Cutoff at conclusion of leave being taken. Destroy three years after cut-off.

**Disposition Authority:** GRS 2.4/141 - (DAA-GRS-2016-0015-0020)

## File Code - Heading: 6170 - Personnel Relations and Services

### 1. Subheading: Administrative Grievances

**Description of Records:** Administrative Grievances Title 5 Code of Federal Regulations, Part 771—Agency Administrative Grievance System; Records relating to grievances

raised by covered entities/individuals such as non-bargaining agency employees. Includes formal and informal administrative grievance processes. Includes:

- a. Grievance documents (copy of original grievance submission and supporting documentation/evidence).
- b. Statements of witnesses.
- c. Reports of interviews and hearings.
- d. Examiner's findings and recommendations.
- e. Copy of the original decision.
- f. Related correspondence and exhibits.

**Exclusion:** Equal Employment Opportunity complaints and negotiated grievances by bargaining unit employees.

**Note 1:** OPM has determined that agencies may decide how long, within the range of 4 to seven years, grievance, adverse action files, and performance-based action records need to be retained. To implement this authority, each agency must select one fixed retention period, between four and seven years, for the entire series of its closed cases. Agencies are not authorized to use different retention periods for individual cases. The Forest Service should publish the chosen retention in the Forest Service's records disposition manual, and any other issuance dealing with the disposition of these records.

**Note 2:** Records contain PII and other protected information. Restrict access.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which case closed. Destroy four years after cut-off.

**Disposition Authority:** GRS 2.3/060 - (DAA-GRS-2014-0007-0017)

## 2. Subheading: Adverse Action Files

**Description of Records:** Adverse Actions Title 5, Code of federal Regulation, Part 752—Adverse Actions (5 CFR 752): Case files and records related to adverse actions. Includes:

- a. Copy of the proposed adverse action,
- b. Supporting documents,
- c. Statements of witnesses,
- d. Employee's reply,

- e. Hearing notices,
- f. Reports,
- g. Decisions,
- h. Appeal records, and
- i. Supporting documentation of letters of reprimand.

**Exclusion:** Excludes letters of reprimand filed in the OPF.

**Note 1:** OPM has determined that agencies may decide how long, within the range of 4 to seven years, grievance, adverse action files, and performance-based action records need to be retained. To implement this authority, each agency must select one fixed retention period, between four and seven years, for the entire series of its closed cases. Agencies are not authorized to use different retention periods for individual cases. The agency should publish the chosen retention in the Forest Service's records disposition manual and any other issuances dealing with the disposition of these records.

**Note 2:** Records contain PII and other protected information. Restrict access.

**Note 3:** As appropriate, includes adverse action records previously retained under subheading file code 6170 – Personnel Relations and Services - Adverse Actions and Performance.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which case file closed. Destroy four years after cut-off.

**Disposition Authority:** GRS 2.3/061 - (DAA-GRS-2015-0007-0018)

### 3. Subheading: Performance-Based Action Files

**Description of Records:** Performance-Based Actions Title 5, Code of Federal Regulations, section 432—Performance Based Reduction in Grade and Removal Actions: Case files and records related to performance-based actions against employees. Records include:

- a. Performance appraisal,
- b. Performance improvement plan,
- c. Supporting documents,
- d. Copy of the proposed performance-based action,
- e. Employee's reply,

- f. Decision notices,
- g. Hearing notices, and
- h. Appeal records.

**Exclusion:** Excludes letters of reprimand filed in the OPF.

**Note 1:** OPM has determined that agencies may decide how long, within the range of 4 to seven years, grievance, adverse action files, and performance-based action records need to be retained. To implement this authority, each agency must select one fixed retention period, between four and seven years, for the entire series of its closed cases. Agencies are not authorized to use different retention periods for individual cases. The Forest Service should publish the chosen retention in the Forest Service's records disposition manual and any other issuances dealing with the disposition of these records.

**Note 2:** Records contain PII and other protected information. Restrict access.

**Note 3:** As appropriate, includes performance-based action records previously retained under subheading file code 6170 – Personnel Relations and Services - Adverse Actions and Performance.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which case closed. Destroy four years after cut-off.

**Disposition Authority:** GRS 2.3/062 - (DAA-GRS-2015-0007-0023)

4. **Subheading: Alternative Dispute Resolution) – General**

**Description of Records:** Obsolete. Retain records under file code 1710 - Civil Rights Program Management – Conflict Management and Prevention.

5. **Subheading: Alternative Dispute Resolution Proceedings**

**Description of Records:** Obsolete. Retain records (as appropriate) under one of the following file codes:

- a. 1710 - Civil Rights Program Management - ADR Case Files – Informal Process.
- b. 1710 - Civil Rights Program Management - ADR Case Files – Formal Process.

6. **Subheading: Conduct**

**Description of Records:** Includes correspondence, memoranda related to code of ethics and standards of ethics. Forms created to meet requirements of Ethics in Government

Act are retained by the Department of Agriculture, do not use this category to retain completed/submitted official forms.

**Disposition:** Temporary. Cutoff at end of FY. Destroy six years after cut-off.

**Disposition Authority:** GRS 2.8/010 - (DAA-GRS-2014-0005-0001)

7. **Subheading: Conflict of Interest and Outside Employment – Agreements for Employees Who Do Not File Financial Disclosure Report**

**Description of Records:** Obsolete. New records created under the Ethics in Government Act are retained by the Department of Agriculture. This item applies only to retention of agency legacy records.

**Note:** Records contain PII and other protected information. Restrict access.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which waiver or agreed-upon determination or action has been issued or undertaken or is no longer in effect. Destroy six years after cut-off.

**Disposition Authority:** GRS 2.8/100 - (DAA-GRS-2014-0005-0017)

8. **Subheading: Conflict of Interest and Outside Employment – Agreements for Employees Who File Financial Disclosure Report**

**Description of Records:** Obsolete. New records created under the Ethics in Government Act are retained by the Department of Agriculture. This item applies only to retention of agency legacy records only.

**Note:** Records contain PII and other protected information. Restrict access.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which employee's last related financial report is destroyed or when no longer needed for active investigation, whichever is later. Destroy six years after cut-off.

**Disposition Authority:** GRS 2.8/101 - (DAA-GRS-2014-0005-0018)

9. **Subheading: Federal Workplace Drug Testing Program**

**Description of Records:** Drug testing program records created under Executive Order 12564, issued September 15, 1986 and Public Law 100-71, Section 503 (101 Stat. 468), EXCLUDING consolidated statistical and narrative reports concerning the operation of agency programs, including annual reports to Congress (as required by Pub. L. 100-71, 503(f)). This authorization does not apply to oversight program records of the Department of Health and Human Services, the OPM, the Office of Management and Budget, the Office of National Drug Control Policy, and the Department of Justice.

**Note 1:** Disciplinary action case files pertaining to actions taken against employees for drug use, drug possession, failure to comply with drug testing procedures, and similar matters are covered by GRS 2.3/060, which authorizes destruction of records between 4 and seven years after the case is closed.

**Note 2:** Records may contain PII, and other information protected by statute. Restrict access.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy four years after cut-off.

**Disposition Authority:** GRS 1/30b

#### 10. Subheading: Employee Drug Test Plans, Procedures, and Scheduling Records

**Description of Records:** Drug testing program records pertaining to the development of procedures, such as the determination of texting incumbents in designated positions and selection of specific employees or applicants for testing. Includes: agency copies of plans and procedures, with related drafts, correspondence, and memoranda; lists of selectees; notification letters; and testing schedules.

**Exclusion 1:** Documents filed in record sets of formally issued documents, such as directives, procedure handbooks, and operating manuals.

**Exclusion 2:** Consolidated statistical and narrative reports concerning the operation of agency programs, including annual reports to Congress, as required by Public Law 100-71, 503(f) are retained elsewhere in this file plan under retention authority GRS 5.7.

**Exclusion 3:** Oversight program records of the Department of Health and Human Services, the OPM, the Office of Management and Budget, the Office of National Drug Control Policy, and the Department of Justice.

**Note 1:** Records contain PII, and other information protected by statute. Restrict access.

**Note 2:** Includes records previously retained under file codes:

- 6170 – Personnel Relations and Services - Federal Workplace Drug Testing Program - Drug Test Plans and Procedures.
- 6170 – Personnel Relations and Services - Federal Workplace Drug Testing Program – Selection & Scheduling.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy three years after cut-off.

**Disposition Authority:** Pending

**11. Subheading: Federal Workplace Drug Testing Program - Employee Acknowledgment of Notice**

**Description of Records:** Forms completed by employees whose positions are designated sensitive for drug testing purposes acknowledging that they have received notice that they may be tested.

**Exception:** Any records relevant to litigation or disciplinary actions should be disposed of no earlier than the related litigation or adverse action case file(s).

**Note:** Records contain PII, and other information protected by statute. Restrict access.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which employee separates from testing-designated position. Destroy immediately after cut-off.

**Disposition Authority:** GRS 2.7/110 - (DAA-GRS-2017-0010-0017)

**12. Subheading: Federal Workplace Drug Testing Program - Test Results - Negative**

**Description of Records:** Records documenting individual test results, including reports of testing, notifications of employees/applicants and employing offices, and documents relating to follow-up testing.

**Exception:** Any records relevant to litigation or disciplinary actions should be disposed of no earlier than the related litigation or adverse action case file(s).

**Note:** Records contain PII, and other information protected by statute. Restrict access.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy three years after cut-off.

**Disposition Authority:** GRS 2.7/131 - (DAA-GRS-2017-0010-0020)

**13. Subheading: Federal Workplace Drug Testing Program - Test Results – Positive - Employees**

**Description of Records:** Records documenting individual test results, including reports of testing, notifications of employees/applicants and employing offices, and documents relating to follow-up testing.

**Exception:** Any records relevant to litigation or disciplinary actions should be disposed of no earlier than the related litigation or adverse action case file(s).

**Note:** Records contain PII, and other information protected by statute. Restrict access.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which employee leaves agency. Destroy three years after cut-off.

**Disposition Authority:** GRS 2.7/130 - (DAA-GRS-2017-0010-0019)

**14. Subheading: Federal Workplace Drug Testing Program - Test Results – Positive – Applicants not accepted for employment**

**Description of Records:** Obsolete. Retain records (as appropriate) under file codes:

- a. 6130 – Employment and Status Changes – Employment Case files – One-Time Competitive and SES Announcements/Selections.
- b. 6130 – Employment and Status Changes – Employment Case Files – Records of Standing Register Competitive Files for Multiple Positions Filled Over Time.

**15. Subheading: Financial Disclosure - Senior Executive Service Employees**

**Description of Records:** Obsolete. Apply retention to legacy records only. Records include Financial Disclosure Report and related records. New records created under the Ethics in Government Act are retained by the Department of Agriculture.

**Exception:** Documents needed in an ongoing investigation will be retained until no longer needed in the investigation.

**Note:** Records contain PII, and other information protected by statute. Restrict access.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which records received or no longer needed for active investigation. Destroy six years after cut-off.

**Disposition Authority:** GRS 2.8/061 - (DAA-GRS-2014-0005-0008)

**16. Subheading: Labor Management Relations Arbitration Records**

**Description of Records:** Correspondence, forms, and background papers relating to labor arbitration cases, including settlement agreements, and documents in cases for which arbitration is invoked but do not proceed to arbitration.

**Exclusion:** NARA has stated that documents retained or maintained by Union are not official government records and are not subject to Federal records retention rules.

**Note 1:** Records pertaining to grievance cases that are settled through alternative dispute resolution should be retained under file code 1710 (Alternative Dispute Resolution cases).

**Note 2:** Records may contain PII, and other information protected by statute. Restrict access.

**Note 3:** Previous subheading “Labor Arbitration.”



**Disposition:** Temporary (see notes). Cutoff at end of FY in which final resolution of case is reached. Destroy five years after cut-off.

**Disposition Authority:** GRS 2.3/052 - (DAA-GRS-2015-0007-0015)

#### 17. Subheading: Labor Management Relations – Agreement Negotiation Records

**Description of Records:** Records relate to negotiations with labor unions. Records include:

- a. Negotiation agreements,
- b. Requests to bargain,
- c. Bargaining session records/notes,
- d. Correspondence,
- e. Memoranda,
- f. Reports,
- g. Forms, and
- h. Other records relating to the negotiated agreements and general relationship between management, employee unions, and other groups.

**Exclusion:** NARA has stated that documents retained or maintained by Union are not official government records and are not subject to Federal records retention rules.

**Note 1:** Government Forest Service Office negotiating agreement retains official file. Other offices retain copies as needed and destroy when business use ceases (GRS 2.3, item 051).

**Note 2:** Previous subheading “Labor Management Relations – General and Case Files.”

**Disposition:** Temporary (see notes). Cutoff at end of FY in which agreement expires. Destroy five years after cut-off.

**Disposition Authority:** GRS 2.3/050 - (DAA-GRS-2015-0007-0014)

#### 18. Subheading: Non-Occupational Health and Wellness Program Records

**Description of Records:** Records documenting the planning, management, reporting, correspondence with internal agency offices, statistical summaries, and routine operations undertaken by employee health service organizations involving non-occupational worksite health and wellness programs, such as nursing mothers,

Automated External Defibrillators (AEDs), alcohol and drug abuse programs, and tobacco cessation. Includes health risk appraisals, biometric testing, health coaching, disease management, behavioral management, preventive services, and fitness programs.

**Note 1:** Records may contain PII, and other information protected by statute. Restrict access.

**Note 2:** Previous subheading "Personnel Counseling – Alcohol and Drug Abuse Program."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy three years after cut-off.

**Disposition Authority:** GRS 2.7/080 - (DAA-GRS-2017-0010-0013)

**19. Subheading: Employee Assistance Program Counseling Records NOT Related to Performance or Conduct**

**Description of Records:** Records of individuals who have sought or been referred to counseling services provided through Employee Assistance Program (EAP) for reasons not related to performance or conduct. Records document the nature of an individual's problem and participation in a treatment or rehabilitation program. Records may include documentation of treatment by a private therapist or a therapist at a Federal, State, local government, or private institution. Includes: Privacy Act and signed written consent forms; psychosocial history and assessments; medical records; correspondence with the client; clinical and education interventions; records of attendance at treatment, kinds of treatment, and counseling programs; identity and contact information of treatment providers; name, address, and phone number of treatment facilities; notes and documentation of internal EAP counselors; insurance data; and intervention outcomes.

**Note 1:** Records may contain PII, and other information protected by statute. Restrict access.

**Note 2:** Previous subheading "Personnel Counseling."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which counseling is terminated. Destroy seven years after termination of counseling for adults or three years after a minor reaches the age of majority, or when the state-specific statute of limitations has expired for contract providers subject to state requirements.

**Disposition Authority:** GRS 2.7/091 - (DAA-GRS-2017-0010-0015)

**20. Subheading: Employee Assistance Program Counseling Records Related to Performance or Conduct**

**Description of Records:** Records of individuals who have sought or been referred to counseling services provided through EAP for performance or conduct reasons. Records include documentation of leave and attendance; performance; alleged inappropriate behavior or workplace violence; reason for referral; management interventions; illegal drug or alcohol use (including test results); and substance abuse assessment, treatment, aftercare, and monitoring records.

**Exclusion:** Records pertaining to adverse actions are retained elsewhere in this file plan under GRS 2.3/061 and 062.

**Note:** Records may contain PII, and other information protected by statute. Restrict access.

**Disposition:** Temporary (see notes). Cutoff when employee has med condition(s) specified by agreement or adverse action or performance-based case file has been initiated. Destroy immediately after cut-off.

**Disposition Authority:** GRS 2.7/090 - (DAA-GRS-2017-0010-0014)

**21. Subheading: Employee Drug Testing Specimen Records**

**Description of Records:** Records containing data identifying each specimen, recorded at each collection site in the order in which the specimen was collected. Includes records used to maintain control and accountability of specimens from the point of collection to final disposition, also known as chain-of-custody records.

**Note:** Records may contain PII, and other information protected by statute. Restrict access.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy three years after cut-off.

**Disposition Authority:** GRS 2.7/120 - (DAA-GRS-2017-0010-0018)

**File Code - Heading: 6180 - Insurance and Annuities**

**1. Subheading: General**

**Description of Records:** Obsolete. Retain records under file code 6100 – Personnel – Employee Management Administration Records.

## 2. Subheading: Employee Separation Case Files

**Description of Records:** Individual Employee separation case files. Records are not included in separating employee's OPF. Records document individual employees' transfer to another Federal agency or office or voluntary, involuntary, disability, early retirement, retirement, or death separation from career, temporary, and political appointment service; and legal and financial obligations of government to employee and employees to government. Records include:

- a. Records of counseling activities and outplacement services.
- b. Exit interview records (retain AD-3001 under file code 6230 – General).
- c. Exit clearances.
- d. Checklists of returned property.
- e. Certifications of removal/non-removal of government records.
- f. Records documenting notification of appropriate third parties (such as benefits providers, payroll, facility services, security, information technology) of impending separation.
- g. Records documenting terms and entitlements of separation (such as leave balance pay out or transfer of account, severance, pension, temporary continuation of coverage, annuity estimates, assistance).
- h. Records documenting employees' financial obligations to government (such as salary offset notices in effect at time of separation; student loan repayment; recruitment, Retention, and relocation incentives; and determinations of settlement).
- i. Copy of leave record retained for agency use.

**Exclusion:** Records required to be filed in employee's OPF are excluded from this item.

**Note 1:** Previous subheading: "Retirement assistance."

**Note 2:** Records may contain PII, and other information protected by statute. Restrict access.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which employee separates or transfers. Destroy one year after cut-off.

**Disposition Authority:** GRS 2.5/020 - (DAA-GRS-2014-0004-0003)

3. **Subheading: Health Benefits Under Spouse Equity**

**Description of Records:** Records consist of applications that are denied, may include denial letters, appeal letters, and court orders.

**Exclusion:** Successful applications, including those denied and successfully appealed are to be transferred to appropriate retirement system after enrollment is cancelled or termination, or annuity payment begins (GRS 2.4, item 110).

**Note 1:** Records may contain PII, and other information protected by statute. Restrict access.

**Note 2:** Includes records previously retained under file codes:

- 6180 – Insurance and Annuities - Health Benefits Denied, Appealed to OPM – Successful.
- 6180 – Insurance and Annuities - Health Benefits Denied, Appealed to OPM - Unsuccessful.
- 6180 – Insurance and Annuities - Health Benefits Request Under Spouse Equity – Denied – Not Appealed.

**Disposition:** Temporary (see notes). Cutoff at end of FY. after original denial, denial of appeal, or final court order, whichever is appropriate. Destroy one year after cut-off.

**Disposition Authority:** GRS 2.4/111 - (DAA-GRS-2016-0015-0014)

4. **Subheading: Health Unit Control Files**

**Description of Records:** Clinic scheduling records of clinic visits, both occupational and non-occupational. Records include:

- a. Patient's name, time of appointment, and type of work to be performed.
- b. Details for pending, confirmed, and upcoming appointments, including date, time, clinic, care team and reason for visit.
- c. Notifications about appointment updates.
- d. Patients visit and other scheduling-related statistics.

**Note 1:** Records contain PII, and other information protected by statute. Restrict access.

**Note 2:** Includes records previously retained under file codes:

- 6180 – Insurance and Annuities - Health Unit Control Files - Statistical Report - Non-Summarized.
- 6180 – Insurance and Annuities - Health Unit Control Files - Statistical Report – Summarized.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy six years after cut-off.

**Disposition Authority:** GRS 2.7/010 - (DAA-GRS-2017-0010-0001)

5. **Subheading: Individual Non-Occupational Health Record**

**Description of Records:** Forms, correspondence, and other records (including summary records), documenting an individual employee's medical history, physical condition, and visits to Government health facilities, for non-work-related purposes. Also referred to as "Patient Records" in Title 5, Code of Federal Regulations, Part 293 Subpart E.

**Exclusion:** Records covered by GRS 2.7, items 060, 061, and 062.

**Note:** Records contain PII, and other information protected by statute. Restrict access.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy ten years after cut-off.

**Disposition Authority:** GRS 2.7/070 - (DAA-GRS-2017-0010-0012)

6. **Subheading: Injury - Personal Injury Records forwarded to Department of Labor**

**Description of Records:** Forms, reports, correspondence, and related medical and investigatory records relating to on-the-job injuries, whether a claim for compensation was made.

**Exclusion:** Copies filed in the Employee Medical Folder.

**Note:** Records may contain PII, and other information protected by statute. Restrict access.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which compensation is terminated or deadline for filing a claim has passed. Destroy three years after cut-off.

**Disposition Authority:** GRS 2.4/100 - (DAA-GRS-2016-0015-0012)

7. **Subheading: Injury - Personal Injury Records NOT Forwarded to Department of Labor.**

**Description of Records:** Documentation of injuries NOT forwarded to DOL for inclusion in DOL master Office of Workers Compensation Program records.

**Exclusion:** Copies filed in the Employee Medical Folder.

**Note 1:** Records may contain PII, and other information protected by statute. Restrict access.

**Note 2:** Previous subheading "Injury – Personal Injuries."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which compensation is terminated or deadline for filing a claim has passed. Destroy 15 years after cut-off.

**Disposition Authority:** GRS 2.4/101 - (DAA-GRS-2016-0015-0013)

#### 8. Subheading: Injury/Illness - Occupational Injury and Disease Files

**Description of Records:** Records documenting the planning, management, reporting, and routine operations undertaken by occupational health and safety organizations. Records include:

- a. Miscellaneous reports, annual summaries or reports to Secretary of Labor.
- b. Correspondence with internal agency offices and Occupational Safety and Health Administration (OSHA).
- c. OSHA Forms 100, 101, 102, and 200, or equivalents) maintained as prescribed in Title 29, Code of Federal Regulations, Part 1960—Basic Program Elements for Federal Employee Occupational Safety and Health Programs and Related Matters and OSHA pamphlet 2014 to document all recordable occupational injuries and illnesses for each establishment.
- d. OSHA 300 Log.
- e. OSHA 301 Incident Report.
- f. OSHA 300A Summary or equivalent.

**Exclusion:** Workers' Compensation (personal injury compensation) records are covered under GRS 2.4/100 (6180 – Insurance and Annuities – Injury-Personal Injury Records Forwarded to DOL) and GRS 2.4/101 (file code 6180 – Insurance and Annuities – Injury-Personal Injury Records Not Forwarded to DOL).

**Note:** Records may contain PII, and other information protected by statute. Restrict access.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy six years after cut-off.

**Disposition Authority:** GRS 2.7/020 - (DAA-GRS-2017-0010-0002)

**9. Subheading: Insurance**

**Description of Records:** Obsolete. Retain records under file code 6150 – Classification and Pay - Payroll Program Administrative Correspondence, System Operation and Forest Service Workload Reports/Data.

**10. Subheading: Insurance - Air Travelers**

**Description of Records:** Obsolete. Retain records under file code 6150 – Classification and Pay - Payroll Program Administrative Correspondence, System Operation and Forest Service Workload Reports/Data.

**11. Subheading: Insurance - Life**

**Description of Records:** Obsolete. Retain records under file code 6150 – Classification and Pay - Payroll Program Administrative Correspondence, System Operation and Forest Service Workload Reports/Data.

**12. Subheading: Phased Retirement Administrative Records**

**Description of Records:** Records related to managing the program, include:

- a. Procedural guidance on program administration.
- b. Informational/marketing/publicizing materials.
- c. General correspondence.
- d. Reports to OPM.
- e. MOU and significant documentation of bargaining unit negotiations.
- f. Documentation of program structure and details as uniquely instituted by the Forest Service.

**Exclusion:** This item does not cover records held at the OPM office overseeing the phased retirement program for the entire Government.

**Disposition:** Temporary. Cutoff at end of FY in which records are revised or replaced. Destroy three years after cut-off.

**Disposition Authority:** GRS 2.5/050 - (DAA-GRS-2016-0007-0001)



### 13. Subheading: Phased Retirement Individual Case Files

**Description of Records:** Case files of individual employee participation in phased retirement, such as:

- a. Application for immediate retirement.
- b. Evidence of eligibility.
- c. Reviews/recommendations by supervisor and others.
- d. Notice of approval or disapproval.
- e. Retirement benefit estimates.
- f. Annuity calculations.
- g. Phased retirement agreement.
- h. Records documenting knowledge transfer activities.
- i. Confidentiality agreement with mentees.
- j. Action/project plans and logs.
- k. Correspondence.

**Exclusion:** This item does not cover records held at OPM concerning staff at other agencies.

**Note:** Records contain PII, and other information protected by statute. Restrict access.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which employee participation concludes or retires. Destroy one year after cut-off.

**Disposition Authority:** GRS 2.5/051 (DAA-GRS-2016-0007-0001)

### 14. Subheading: Retirement Files

**Description of Records:** Obsolete. Retain records as appropriate under file codes:

- a. 6130 – Employment and Status Changes – Separation Program Management – Forest Service Specific Initiatives or
- b. 6130 – Employment and Status Changes – Separation Program Management – Not Forest Service Specific.

**File Code - Heading: 6200 - Office Management**

**1. Subheading: Administrative Records Common to Most Offices**

**Description of Records:** Records accumulated by individual offices that relate to routine day-to-day administration and management of the office rather than the mission-specific activities for which the office exists. Records include:

- a. Staff locators, unofficial organizational charts, and office seating charts (see Exclusion 1, may contain information excluded under FOIA exemptions b7E and/or b7F, restrict access).
- b. Office-level administrative policies and procedures and files related to their development (see Note 1).
- c. Calendars or schedules of daily activities of non-high-level officials are defined in GRS 6.1; this item covers those positions not defined as high-level (may contain information excluded under FOIA exemption b6, restrict access).
- d. Informal requests and tracking of personnel training, travel, supplies, and equipment, excluding procurement and payment records and forms requesting training such as SF-182 (may contain information excluded under FOIA exemption b6, restrict access).
- e. Internal office activity and workload reports.
- f. Studies and analyses of office administrative functions and activities (may contain information excluded under FOIA exemption b6, restrict access).
- g. Non-mission related management reviews and surveys.
- h. Minutes of meetings related to administrative activities.

**Exclusion:** This item does not apply to recordkeeping copies of organizational charts, functional statements, and related records that document the mission-related organization, staffing, and procedures of the office.

**Note 1:** This item covers administrative policies and procedures at the office/unit level.

**Note 2:** Records may contain PII, and other information protected by statute. Restrict access.

**Note 3:** Includes records previously retained under file codes:

- 6200 – Office Management – General.

- 6230 – Records Creation, Maintenance, and Disposition – Records of Daily Activities of Federal Employees (GRS 5.1/010).

**Disposition:** Temporary (see notes). Cutoff when business use ceases. Destroy immediately after cut-off.

**Disposition Authority:** GRS 5.1/010 - (DAA-GRS-2016-0016-0001)

## 2. Subheading: Inquiries

**Description of Records:** Obsolete. File standard inquiries and responses under file code 6270 – Availability of Records – General Information Requests.

## 3. Subheading: Telephone Message Registers and Logs

**Description of Records:** Records of general day-to-day communication service administration and specific transmission tracking, including telephone message registers and logs.

**Exclusion:** Requisitions used to support payment vouchers (file code 6310 – Small Purchases – Purchase Orders).

**Note:** May contain information excluded under FOIA exemption b6, restrict access.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which superseded or obsolete. Destroy one year after cut-off.

**Disposition Authority:** GRS 5.5/020 - (DAA-GRS-2016-0012-0002)

## File Code - Heading: 6220 - Correspondence

### 1. Subheading: Correspondence Management

**Description of Records:** Correspondence of a routine nature, such as inquiries from members of Congress or constituents concerning general information about the Forest Service. Includes the following:

- a. USDA Controlled Correspondence: Correspondence assigned to the Forest Service by the Office of the Secretary of Agriculture.
- b. The Office of the Under Secretary for Natural Resources and the Environment (NRE) Controlled Correspondence: Responses to correspondence prepared at the request of NRE, and Forest Service Controlled Correspondence:
  - (1) Correspondence from a member of Congress addressed to the Chief of the Forest Service, to individual Forest Service staffs, or to the Congressional Liaison Officer.

(2) Reports listing status of controlled correspondence.

(3) General records regarding the creation, tracking, issuing, storage, and retrieval of correspondence.

**Note 1:** Consolidated category used to retain records previously retained under file code 6220 – Correspondence in the following categories:

- 6220 - Controlled Correspondence Reports.
- 6220 - General.
- 6220 - Routine Controlled Correspondence.

**Note 2:** May contain PII and other information protected by statute, such as Social Security numbers. Restrict access.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy five years after cut-off.

**Disposition Authority:** DAA-0095-2018-0032-0001

## 2. Subheading: Significant Controlled Correspondence

**Description of Records:** Correspondence of a substantive nature that pertains to significant policy issues and program functions, such as plans, objectives, or responsibilities. Includes the following:

- a. USDA Controlled Correspondence: Correspondence assigned to the Forest Service by the Office of the Secretary of Agriculture.
- b. NRE Controlled Correspondence: Responses to correspondence prepared at the request of NRE.
- c. Forest Service Controlled Correspondence: Correspondence from a member of Congress addressed to the Chief of the Forest Service, to individual Forest Service staffs, or to the Congressional Liaison Officer.

**Exceptions:** Washington Office is the Forest Service office of record for controlled correspondence signed by the Secretary of Agriculture or the Under Secretary for Natural Resources and the Environment.

**Note 1:** The office of record for controlled correspondence is that of the signing official.

**Note 2:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 3:** Records may contain personal information from constituents protected under FOIA exemption b6 and/or records protected under FOIA exemption b5, including emails with OGC (Attorney Client or Attorney Work Product. Restrict access.)

**Note 4:** If hardcopy records exist, send closed records to FRC storage at the end of the FY.

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA 15 years after cut-off.

**Disposition Authority:** N1-95-10-9/25

**File Code - Heading: 6230 - Records Management - Previously “6230 – Records Creation, Maintenance, and Disposition”**

**1. Subheading: Essential Records Program**

**Description of Records:** Includes records involved in planning, operating, and managing the agency’s vital or essential records program. Records include:

- a. Vital records inventories,
- b. Vital records cycling plans,
- c. Results of tests, surveys, or evaluations, and
- d. Reports of corrective action taken in response to agency vital records tests.

**Note 1:** The actual copies of vital records are non-record material and may be destroyed when reference use ceases or the documents are superseded.

**Note 2:** Essential records are necessary for COOP and are maintained according to each record’s original file code and records schedule.

**Note 3:** Records may contain protected information restricted from disclosure under FOIA exemptions b7E and b7F. Restrict access.

**Note 4:** Previously titled file code 6230 – Records Creation, Maintenance, and disposition – Vital Records.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which project, activity, or transaction is completed or superseded. Destroy three years after cut-off.

**Disposition Authority:** GRS 4.1/030 - (DAA-GRS-2013-0002-0008)

2. **Subheading: Essential Records - Copies**

**Description of Records:** Copies of agency records deemed essential to restore agency functions in case of emergency.

**Note 1:** Previously titled file code 6230 – Records Creation, Maintenance, and disposition – Vital Records-Copies.

**Note 2:** Records may contain protected information restricted from disclosure under FOIA exemptions b7E and b7F. Restrict access.

**Disposition:** Temporary (see notes). Destroy when superseded by the next cycle.

**Disposition Authority:** GRS 4.1/031 - (DAA-GRS-2013-0002-0015)

3. **Subheading: Legal Hold Cases**

**Description of Records:** Records include, but are not limited to, tracking logs and documentation, litigation hold memorandums and notifications, and other related documentation associated with litigation hold cases.

**Note 1:** May contain PII and other information protected by statute. Maintain in secure location, authorized access only.

**Note 2:** File litigation hold records not associated with a specific case under file code 6230 – Records Management – Records Management Program.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which litigation/legal hold is lifted. Destroy seven years after cut-off.

**Disposition Authority:** N1-95-10-8/7

4. **Subheading: Records Management Program**

**Description of Records:** Records related to policies, procedures, and management of agency business records from creation to eventual disposition. Includes records created and maintained while planning, managing, evaluating, administering, and performing the function of agency records management. Activities include:

- a. Providing oversight of entire records management program.
- b. Transferring, destroying, and retrieving records.
- c. Inventorying records and conducting records surveys.
- d. Scheduling records.

- e. Providing other records management services to customer units (such as records storage/reference assistance, and technical assistance with file plans and other records management questions).
- f. Conducting records “Clean Out” days.
- g. Conducting special projects. Records include:
  - (1) Forest Service records management program surveys or evaluations (such as the NARA Self-Assessment).
  - (2) Reports of surveys or evaluations.
  - (3) Reports of corrective action taken in response to agency program surveys or evaluations.
  - (4) Disposal authorizations (including internal forms FS-6200-39 and FS-6200-40 used to document authorization for individual records destruction or transfer to NARA), schedules, and reports.
  - (5) Records retention schedules such as SF-115 - Request for Records Disposition Authority or equivalent created via NARA’s ERA system.
  - (6) SF 135 - Records Transmittal and Receipt (and box lists) or equivalent created via NARA’s ARCIS system.
  - (7) TR); Legal Transfer Instrument; SF 258, Agreement to Transfer Records to NARA (and box lists) or equivalent created via NARA’s ERA system.
  - (8) Documentation of employee exit interviews recorded on form AD-3001 - Documentary Materials Removal/Non-Removal Certification and Non-Disclosure Agreement; and
  - (9) Documentation associated with Forest Service employee profiles on NARA’s ERA and ARCIS systems.

**Note 1:** Transfer documentation: Retain on site until no longer needed for business use. The Forest Service has determined that the data recorded on these documents is useful in establishing status of records subject to litigation hold. Ensure the file is labeled clearly and confidential information is protected.

**Note 2:** This schedule item covers copies of records schedules, transfer requests, legal transfer instruments, and similar forms maintained by agencies. This item does not pertain to copies maintained by NARA.

**Note 3:** Organize records by subject and/or case files, or by file code, subject matter and FY or CY (as appropriate for location/office maintaining the records).

**Note 4:** Use this category to retain records previously retained under the following file code 6230 categories:

- Disposition – Records Schedules.
- Disposition – Transfers to Federal Records Centers.
- Disposition – Transfers to National Archives (NARA).
- General.

**Note 5:** Some documents (such as box lists) may contain PII. Restrict access as appropriate.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which project, activity, or transaction is completed or records schedule is superseded, or in which no longer needed for Forest Service business. Destroy six years after cut-off.

**Disposition Authority:** GRS 4.1/020 - (DAA-GRS-2013-0002-0007)

5. **Subheading: Records of Daily Activities of Federal Employees**

**Description of Records:** Obsolete. Retain records under file code 6200 – Office Management – Administrative Records Common to Most Offices.

6. **Subheading: Records of Daily Activities of High-Level Officials**

**Description of Records:** Including, but not limited to, calendars, appointment books, schedules, logs, diaries, and other records which document meetings, appointments, telephone calls, trips, and other activities that are not recorded in correspondence, reports, or other official records.

**Exclusion:** Email account contents scheduled separately under GRS 6.1.

**Note 1:** High-level officials include: Chief, Associate Chief, Deputy Chiefs, Chief Financial Officer, Regional Foresters, Station Directors, State and Private Forestry – Northeastern Area Director, and International Institute of Tropical Forestry Director.

**Note 2:** Includes employee(s) assigned as acting when position is vacant, who serve until position is filled. Does not include temporary Acting's for encumbered positions.

**Note 3:** Consult with Records Officer or Unit Records Manager to determine whether official record is to be maintained electronically or hardcopy.



**Note 4:** High-level officials are routinely named in litigation and litigation hold memos. Retain all electronic data described above until both the Chief Information Officer (CIO) and Records officials authorize destruction.

**Note 5:** If NARA rejects submission, destroy records.

**Note 6:** May contain Personally Identifiable Information and other information restricted by statute, maintain in secure location, authorized access only.

**Note 7:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 8:** If hardcopy records exist, send closed records to FRC storage at the end of the FY.

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA 15 years after cut-off.

**Disposition Authority:** N1-95-10-7/3

## 7. Subheading: Permanent Records Tracking and Control

**Description of Records:** Records used to provide access to and control of permanent records. Records include:

- a. Indexes,
- b. Lists,
- c. Registers,
- d. Inventories, and
- e. Logs.

**Note 1:** Retain on site until records Retention schedule approved by NARA.

**Note 2:** This schedule excludes records containing abstracts of records content or other information that can be used as an information source apart from the related records.

**Note 3:** Records may contain PII and other protected information. Restrict access.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 40 years after cut-off.

**Disposition Authority:** DAA-0095-2018-0034-0001

## 8. Subheading: Temporary Records Tracking and Control

**Description of Records:** Records used to provide access to, and control of records authorized for destruction by the GRS or a NARA-approved records schedule (temporary records). Records include:

- a. Indexes,
- b. Lists,
- c. Registers,
- d. Inventories, and
- e. Logs.

**Exclusion:** This schedule excludes records containing abstracts of records content or other information that can be used as an information source apart from the related records.

**Note:** Records may contain PII and other protected information. Restrict access.

**Disposition:** Temporary (see notes). Cutoff when no longer needed. Destroy immediately after cut-off.

**Disposition Authority:** GRS 4.1/010 - (DAA-GRS-2013-0002-0016)

## 9. Subheading: Intermediary Records

**Description of Records:** Records of an intermediary nature, meaning that they are created or used in the process of creating a subsequent record. To qualify as an intermediary record, the record must also not be required to meet legal or fiscal obligations, or to initiate, sustain, evaluate, or provide evidence of decision-making. Records include:

- a. Non-substantive working files consisting of collected and created materials not coordinated or disseminated outside the unit of origin that do not contain information documenting significant policy development, action, or decision making. These working papers do not result directly in a final product or an approved finished report. Included are such materials as rough notes and calculations and preliminary drafts produced solely for proof reading or internal discussion, reference, or consultation, and associated transmittals, notes, reference, and background materials.

- b. Audio and video recordings of meetings that have been fully transcribed or that were created explicitly for the purpose of creating detailed meeting minutes (once the minutes are created).
- c. Dictation recordings.
- d. Input or source records, which agencies create in the routine process of creating, maintaining, updating, or using electronic information systems, and which have no value beyond the input or output transactions. Includes hardcopy input source documents where all information on the document is incorporated in an electronic system (see Exclusion 1 and Note 1 regarding) and electronic input source records such as transaction files or intermediate input/output files.
- e. Ad hoc reports, including queries on electronic systems, whether used for one-time reference or to create a subsequent report.
- f. Data files output from electronic systems, created for the purpose of information sharing or reference (see Exclusion 2).

**Exclusion 1:** This item does not allow destruction of original hardcopy still pictures, graphic materials or posters, aerial film, maps, plans, charts, sound recordings, motion picture film, or video recordings once they are digitized. Agencies must follow agency-specific schedules for these records. If the records are unscheduled, the Forest Service must submit a records retention schedule for such records.

**Exclusion 2:** This item does not include the following data output files (agencies must follow agency-specific schedules for these records, except for the final bullet, which is covered by another GRS schedule):

- Files created only for public access purposes.
- Summarized information from unscheduled electronic records or inaccessible permanent records.
- Data extracts produced by a process that results in the content of the file being significantly different from the source records. In other words, the process effectively creates a new database file significantly different from the original.
- Data extracts containing PII. Such records require additional tracking and fall under GRS 4.2/130 (DAA-GRS-2013-0007-0012).

**Note:** Forest Service must submit notification to NARA per Title 36, Code of Federal Regulations, Part 1225.24(a)(1)—When Can An Agency Apply Previously Approved Schedules to Electronic Records, prior to destroying hardcopy input records previously scheduled as permanent. Forest Service must schedule the electronic version of unscheduled hardcopy input records prior to destroying the input record.

**Disposition:** Temporary (see notes). Destroy upon verification of successful creation of the final document or file, or when no longer needed for business use, whichever is later.

**Disposition Authority:** GRS 5.2/020 - (DAA-GRS-2017-0003-0002)

**File Code - Heading: 6250 - Mail Management**

**1. Subheading: General Mail Services Administrative and Operational Records**

**Description of Records:** Records of internal mail room services administration and operation. Records include:

- a. Agreements and related background data and other records regarding mail that the agency retains for administrative (not fiscal) use.
- b. Records documenting acquiring, installing, changing, removing, and servicing mail equipment.
- c. Statistical reports on mail and package shipment volume and costs.
- d. Related correspondence.

**Exclusion:** Agreements used to support payment vouchers. Retain such records, as appropriate, under file code 6310 – Small Purchases – Purchase Orders.

**Note:** Previous subheading “General.”

**Disposition:** Temporary (see notes). Cutoff at end of FY in which agreement expires. Destroy three years after cut-off.

**Disposition Authority:** GRS 5.5/010 - (DAA-GRS-2016-0012-0001)

**2. Subheading: Mail Mishandling and Postal Abuse**

**Description of Records:** Records of postal irregularities, including irregularities in handling mail, postal irregularities reports (such as lost or shortage of postage stamps or money orders), or loss or destruction of mail.

**Note:** Records include confidential information, restrict access.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which investigation ends. Destroy three years after cut-off.

**Disposition Authority:** GRS 5.6/050 - (DAA-GRS-2017-0006-0006)

3. **Subheading: Metered Mail**

**Description of Records:** Official metered mail reports and all related papers.

**Disposition:** Temporary. Cutoff at end of FY. Destroy six years after cut-off.

**Disposition Authority:** GRS 5.5/030 - (DAA-GRS-2016-0012-0002)

4. **Subheading: Mail and Delivery Service Control Files**

**Description of Records:** Records include general day-to-day communication service administration and specific transmission tracking. Records include:

- a. Records that track shipment, routing, registration, certification, declared value, insurance, and receipt of incoming and outgoing mail, including overnight, express, special delivery, and specially tracked packages.
- b. Messenger and courier service logs, assignment records and instructions, dispatch records, delivery receipts, route schedules, and related records documenting messenger and courier service activity.
- c. Reports of loss, rifling, delayed or late delivery, wrong delivery, or other improper mail treatment.
- d. Records that document requisitioning and receiving stamps and postage meter balances.
- e. Documentation and tracking to intended destination of valuables (for example, checks, cash, stamps, money orders, and so forth) the Forest Service receives by mail or private delivery messenger.
- f. Mailing and contact list a mailroom or similar office manages.

**Exclusion:**

- Requisitions used to support payment vouchers –6310 – Small Purchases – Purchase Orders.
- Mailing lists for public distribution of material.

**Note:** Includes records previously retained under file codes:

- 6250 – Mail Management – Mail Receipts.
- 6250 – Mail Management – Mail Volume Reports.
- 6250 – Mail Management – Messenger Service Files.
- 6250 – Mail Management – Post Office and Private Mail Company Records Monetary Mail.

- 6250 – Mail Management – Reports.
- 6250 – Mail Management – Routing Guides; and
- 6250 – Mail Management – Stamps.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which superseded or obsolete. Destroy one year after cut-off.

**Disposition Authority:** GRS 5.5/020 - (DAA-GRS-2016-0012-0002)

**File Code - Heading: 6270 - Availability of Records**

**1. Subheading: Erroneous Release Records (Filed with record-keeping copy)**

**Description of Records:** Records pertaining to the inadvertent release of privileged information to unauthorized parties, containing information the disclosure of which would constitute an unwarranted invasion of personal privacy. Records include:

- a. Requests for information,
- b. Copies of replies,
- c. All related supporting documents, and
- d. Includes record-keeping copy of the released records interfiled with records of the erroneous release.

**Exclusion:** Excluding data retained in FOIAXpress or similar system.

**Note 1:** Records may contain PII and other protected information. Restrict access.

**Note 2:** Previous subheading “Erroneous Release Records (Including Released Records).”

**Disposition:** Follow the disposition instructions approved for the released record copy or destroy six years after the erroneous release, whichever is later.

**Disposition Authority:** GRS 4.2/060 - (DAA-GRS-2015-0002-0001)

**2. Subheading: Erroneous Release Records (Filed separately from record-keeping copy)**

**Description of Records:** Records pertaining to the inadvertent release of privileged information to unauthorized parties, containing information the disclosure of which would constitute an unwarranted invasion of personal privacy. Records include:

- a. Requests for information,
- b. Copies of replies,

- c. All related supporting documents, and
- d. Files do not include the original record-keeping copy of the released records.

**Exclusion:** Excluding data retained in FOIAXpress or similar system.

**Note 1:** Records may contain PII and other protected information. Restrict access.

**Note 2:** Previous subheading "Erroneous Release Records (Without Released Records)."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which release occurred. Destroy six years after cut-off.

**Disposition Authority:** GRS 4.2/061 - (DAA-GRS-2015-0002-0002)

### 3. Subheading: FOIA and Privacy Act Control Files

**Description of Records:** Records documenting accounting for and control of access to records regarding FOIA and PA requests. Records include documentation of control points and accountability for information relating to FOIA and PA access requests, including:

- a. Forms, registers, ledgers, logs, and tracking systems documenting requester identity and contact information, request date, and nature or purpose of request.
- b. Inventories of controlled records.
- c. Forms accompanying documents to ensure continuing control, showing names of people handling the documents, intra-office routine, and comparable data.
- d. Agent and researcher files.

**Note 1:** Records may contain PII and other protected information. Restrict access.

**Note 2:** Includes records previously retained under file codes:

- 6270 – Availability of Records - FOIA Control Files.
- 6270 – Availability of Records - Privacy Act Control Files.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which last entry made, final action by agency taken, or final adjudication by courts occurs (as applicable).

**Disposition Authority:** GRS 4.2/040 - (DAA-GRS-2016-0002-0004)

4. **Subheading: FOIA and Privacy Act Access and Disclosure Files**

**Description of Records:** Case files created in response to requests for information under the FOIA and PA, Mandatory Declassification Review (MDR) process, and similar access programs, and completed by:

- a. Granting the request in full.
- b. Granting the request in part.
- c. Denying the request for any reason including:
  - (1) Inability to fulfill request because records do not exist.
  - (2) Inability to fulfill request because request inadequately describes records.
  - (3) Inability to fulfill request because search or reproduction fees are not paid.
  - (4) Final adjudication on appeal to any of the above original settlements.
- d. Final agency action in response to court remand on appeal. Includes:
  - (1) Requests (either first-party or third-party).
  - (2) Replies.
  - (3) Copies of requested records.
  - (4) Administrative appeals.
  - (5) Related supporting documents (such as sanitizing instructions).
  - (6) Records may be further organized according to subject, such as:
    - (a) Access Granted.
    - (b) Appeals.
    - (c) Denials.

**Exclusion 1:** Record copies of requested records are not covered by this item. Such records remain covered by the original records retention authority.

**Exclusion 2:** Retain lawsuit case files under file code 1570.



**Note 1:** Agencies may wish to retain redacted copies of requested records for business use after the rest of the associated request case file is destroyed.

**Note 2:** Includes records previously retained under file codes:

- 6270 – Availability of Records - FOIA Control Files.
- 6270 – Availability of Records - Privacy Act Control Files.

**Note 3:** Schedule excludes data retained in FOIAXpress or similar USDA/Forest Service sanctioned FOIA database system.

**Note 4:** Records may contain PII and other protected information. Restrict access.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy six years after final agency action or three years after final adjudication by the courts, whichever is later.

**Disposition Authority:** GRS 4.2/020 - (DAA-GRS-2016-0002-0001)

## 5. Subheading: FOIA and PA Administrative Records

**Description of Records:** FOIA and PA administrative records on managing information access activities. Records include:

- a. Correspondence related to routine implementation of the FOIA and PA.
- b. Associated subject files.
- c. Feeder and statistical reports.

**Exclusion 1:** Excludes data retained in FOIAXpress or similar Forest Service sanctioned FOIA database system.

**Exclusion 2:** This item does not cover records documenting policies and procedures accumulated in offices having agency-wide responsibilities for FOIA and PA. These records must be scheduled by the agency on an agency-specific schedule.

**Note:** Includes records previously retained under file codes:

- 6270 – Availability of Records – FOIA General.
- 6270 – Availability of Records - Privacy Act – General.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy three years after cut-off.

**Disposition Authority:** GRS 4.2/001 - (DAA-GRS-2016-0013-0003)

6. **Subheading: FOIA and Privacy Act Reports**

**Description of Records:** Internal and external reports. Includes annual reports provided to external agencies (such as, USDA, OMB, Congress, and Department of Justice) and internal recurring reports and one-time information requirements relating to the Forest Service implementation of the Freedom of Information Act and Privacy Act (including the PA Report on New Systems).

**Note:** Consolidates records previously retained under the following 6270 subheadings:

- FOIA External Reports.
- FOIA Internal Reports.
- Privacy Act Reports.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy two years after cut-off.

**Disposition Authority:** GRS 4.2/070 - (DAA-GRS-0007-0006)

7. **Subheading: General Information Requests**

**Description of Records:** Requests 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.

**Note 1:** This item used to consolidate all “Inquiry” categories found throughout the Forest Service file plan into this single records schedule item.

**Note 2:** May contain PII and other information protected by FOIA exemption b6. Restrict access.

**Disposition:** Temporary (see notes). Cutoff immediately. Destroy 90 days after cut-off.

**Disposition Authority:** GRS 4.2/010 - (DAA-GRS-2013-0007-0001)

8. **Subheading: Privacy Act Accounting of Disclosure**

**Description of Records:** Files maintained under the provisions of Title 5, United States Code, Part 552a—Privacy Act of 1974, Subpart C--Records for an accurate accounting of the date, nature, and purpose of each disclosure of a record to any person or to another agency, including forms for showing the subject individual's name, requester's name and address, purpose and date of disclosure, and proof of subject individual's consent when applicable.

**Note:** May contain information exempt from disclosure. Restrict access.

**Disposition:** Temporary (see notes). Destroy in accordance with the approved disposition instructions for the related subject individual's records or five years after the disclosure for which the accountability was made, whichever is later.

**Disposition Authority:** GRS 4.2/050 - (NC1-64-77-1, item 27)

#### 9. Subheading: Privacy Act Amendment Requests

**Description of Records:** Files relating to an individual's request to amend a record pertaining to that individual under 5 U.S.C. Section 552a (d) (2), to the individual's request for review of an agency's refusal to amend a record under 5 U.S.C. Section 552a (d) (3), and to any civil action or appeal brought by the individual against the refusing agency under 5 U.S.C. Section 552a (g). Records include:

- a. Requests to amend and to review refusal to amend.
- b. Copies of agency's replies.
- c. Statement of disagreement.
- d. Forest Service justification for refusal to amend a record.
- e. Appeals.
- f. Related materials.

**Note 1:** Schedule excludes data retained in FOIAXpress or similar Forest Service sanctioned FOIA database system.

**Note 2:** Contains information exempt from disclosure. Restrict access.

**Disposition:** Temporary (see notes). Destroy when the records for which amendment was requested or four years after close of case (final determination by agency or final adjudication, whichever applies), whichever is later.

**Disposition Authority:** GRS 4.2/090 - (DAA-GRS-2013-0007-0007)

#### 10. Subheading: Privacy Act Computer Matching Program Notices and Agreements

**Description of Records:** Forest Service copy of notices of intent to share data in systems of records with other Federal, state, or local government agencies via computer matching programs, and related records documenting publication of notice in the Federal Register per the Title 5, United States Code, Part 552a-- Privacy Act of 1974 (5 U.S.C. 552a), Subpart E(12), as amended. Also, agreements between agencies, commonly referred to as Computer Matching Agreements, prepared in accordance with OMB Final Guidance. Includes documentation of Data Integrity Board (DIB) review and

approval of matching programs and agreements, and significant background material documenting formulation of notices and agreements.

**Disposition:** Temporary. Destroy upon supersession by a revised notice or agreement, or two years after a matching program ceases operation.

**Disposition Authority:** GRS 4.2/170 - (DAA-GRS-2016-0003-0005)

#### 11. Subheading: Privacy Act System of Records Notices

**Description of Records:** Forest Service copy of notices about the existence and character of systems of records, documenting publication in the Federal Register when the Forest Service establishes or revises the system, per the 5 U.S.C. 552a(e)(4) and 5 U.S.C. 552a(e)(11), as amended. Also, significant material documenting SORN formulation, other than the Privacy Impact Assessment records (section 6680 – Security of Information, Information Systems, and Information Technology – Privacy Impact Assessment).

**Disposition:** Temporary. Cutoff at end of FY in which superseded by a revised SORN or when system ceases operation.

**Disposition Authority:** GRS 4.2/150 - (DAA-GRS-2016-0003-0002)

#### 12. Subheading: Virtual Public Access Library Records

**Description of Records:** Records published by an agency online to fulfill the requirement in 5 U.S.C. 552 (a) (2) (A) through 5 U.S.C. 552(a) (2) (D) and 5 U.S.C. 552(g) (1) through 5 U.S.C. 552(g) (3) that agencies must make those records available for public inspection and copying. Records include:

- a. Final concurring and dissenting opinions and orders issued by agencies when adjudicating cases.
- b. Statements of policy and interpretations the Forest Service adopts but does not publish in the Federal Register.
- c. Administrative staff manuals and instructions to staff that affect a member of the public.
- d. Copies of records requested under the FOIA which, because of the nature of their subject matter, the Forest Service determines are, or are likely to become, the subject of subsequent requests for substantially the same records or which have been requested three or more times.
- e. Indexes of agency major information systems.

- f. Descriptions of agency major information and record locator systems
- g. Handbooks for various types and categories of Forest Service public information.

**Note 1:** This item refers only to copies the Forest Service publishes online for public reference. The Forest Service record copy of such material is retained separately under appropriate records retention schedules.

**Note 2:** Not media neutral. Applies to electronic records only.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which records are no longer needed for business purposes. Destroy immediately after cut-off.

**Disposition Authority:** GRS 4.2/180 - (DAA-GRS-0008-0001)

### 13. Subheading: Forest Service FOIA/PA Policy

**Description of Records:** Records document policies and procedures created by the Forest Service National FOIA/PA office, including but not limited to policies, standard operating procedures, best practices, and FOIA templates.

**Note:** If hardcopy records exist, send closed records to FRC storage at the end of the FY.

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA 15 years after cut-off.

**Disposition Authority:** Pending

## File Code - Heading: 6300 - Procurement Management

### 1. Subheading: Data Submitted to FPDS

**Description of Records:** Data submitted to the Federal Procurement Data System (FPDS). Records consist of Forest Service's copy of electronic data file maintained by FY, containing unclassified records of procurement information the Forest Service transfers to the FPDS.

**Note 1:** Not media neutral. Applies to electronic records only.

**Note 2:** May contain records covered by a Privacy Act System of Records, and/or containing PII or information protected by statute (including FOIA exemptions), and/or may contain "Essential" (vital) records. Keep in secure location and restrict access.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy six years after cut-off.

**Disposition Authority:** GRS 1.1/013 - (DAA-GRS-2016-0001-0002)

2. **Subheading: Inquiries**

**Description of Records:** Obsolete. File standard inquiries and responses under file code 6270 – Availability of Records – General Information Requests.

3. **Subheading: Procurement Program Management Records**

**Description of Records:** Includes general correspondence and decisions pertaining to:

- a. Procurement policy.
- b. Interpretation of procurement practices established for organizational levels of Forest Service.
- c. GAO/OGC opinions.
- d. Information on pertinent laws, regulations, and translations previously filed under file codes 6310 and 6320.
- e. Reports and procedures for establishment of goals for Small Business Administration(SBA) 8(a) Contracts, Women-Owned Businesses, and Minority Businesses.
- f. Reports submitted to USDA, GSA, and Congress.

**Note 1:** Establish case files as needed.

**Note 2:** Includes records previously retained under file codes:

- 6300 – Procurement Management – GAO/OGC Opinion.
- 6300 – Procurement Management – General.
- 6300 – Procurement Management – Procurement Preference Programs.
- 6300 – Procurement Management – Reports.
- 6300 – Procurement.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy ten years after cut-off.

**Disposition Authority:** DAA-0095-2018-0037-0001

**File Code - Heading: 6310 - Small Purchases**

1. **Subheading: Purchase Orders**

**Description of Records:** Records include:

- a. Requisitions, purchase order, purchase card transaction documentation, lease, and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection, and payment.
- b. Transactions dated on or after July 3, 1995 (the effective date of the Federal Acquisition Regulations (FAR) rule defining “Simplified Acquisition Threshold”) at or below the simplified acquisition threshold and all construction contracts at or below \$2,000.
- c. Procurement or purchase organization copy (obligation copy), and related papers.
- d. Other copies of records described above used by component elements of a procurement office for administrative purposes.
- e. Tax exemption certificates and related papers.

**Exclusion 1:** Retain electronic data submitted to the FPDS under file code 6300 – Procurement Management - Data Submitted to FPDS.

**Exclusion 2:** Retain authorization for procurements via purchase card, over the micro-purchase threshold amount, under file code 6320 – Contracting - Bids, Proposals, Contracts, and Warrants.

**Note 1:** Follow established procedures to ensure records are protected from theft, loss, and unauthorized access, safeguarding records until they are authorized for disposition. Report any lost procurement files to immediate supervisor and assigned records personnel Title 36, Code of Federal Regulations, Part 1230—Unlawful or Accidental Removal, Defacing, Alteration, or Destruction of Records. Promptly report all suspected security incidents to the Forest Service Computer Incident Response Team and/or a supervisor or other appropriate management official(s) (FSM 6683.04f).

**Note 2:** May contain records covered by a Privacy Act System of Records, and/or containing PII or information protected by statute (including FOIA exemptions), and/or may contain “Essential” (vital) records. Keep in secure location and restrict access.

**Note 3:** Includes records previously retained under file codes:

- 6310 – Small Purchases – Purchase Orders.
- 6310 – Small Purchases – Tax Exemption Certificates.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which final payment was received. Destroy six years after cut-off.

**Disposition Authority:** GRS 1.1/010 - (DAA-GRS-2013-0003-0001)

## 2. Subheading: Small Purchases Program Administration

**Description of Records:** Correspondence files of operating procurement units concerning internal operation and administration matters not covered elsewhere in this schedule. Records include administrative material regarding purchasing, requisitioning, and related items such as policies, procedures, negotiations, special and directed sources of supply, foreign purchases, taxes, inspection and acceptance, transportation, use of forms, pertinent laws and regulations, translations.

**Exclusion 1:** Records pertaining to actual small purchases are retained under file code 6310 – Small Purchases – Purchase Orders.

**Exclusion 2:** Retain authorization for procurements via purchase card, over the micro-purchase threshold amount, under file code 6320 – Contracting - Bids, Proposals, Contracts, and Warrants.

**Note 1:** May contain records covered by a Privacy Act System of Records, and/or containing PII or information protected by statute (including FOIA exemptions), and/or may contain “Essential” (vital) records. Keep in secure location and restrict access.

**Note 2:** Contains applicable records previously retained under file code 6310 – Small Purchases - Purchasing.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy three years after cut-off.

**Disposition Authority:** GRS 1.1/001 - (DAA-GRS-2016-0013-0001)

## 3. Subheading: Credit Card Holder Administration

**Description of Records:** Also includes records pertaining to active cardholders, including training certification, appointment documentation, official correspondence between procurement official and cardholder, warning notices, copies of review findings, and other information the Local Agency Program Coordinator (LAPC) deems appropriate.

**Exclusion 1:** Records pertaining to actual small purchases are retained under file code 6310 – Small Purchases – Purchase Orders.

**Exclusion 2:** Retain authorization for procurements via purchase card, over the micro-purchase threshold amount, under file code 6320 – Contracting - Bids, Proposals, Contracts, and Warrants.

**Note 1:** May contain records covered by a Privacy Act System of Records, and/or containing PII or information protected by statute (including FOIA exemptions), and/or may contain “Essential” (vital) records. Keep in secure location and restrict access.



**Note 2:** Contains applicable records previously retained under file code 6310 – Small Purchases - Purchasing.

**Disposition:** Temporary (see notes). Cutoff when individual's purchase card is deactivated. Destroy three years after cut-off.

**Disposition Authority:** GRS 1.1/001 - (DAA-GRS-2016-0013-0001)

#### 4. Subheading: Credit Card Abuse

**Description of Records:** Records of irregularities and/or abuse of Government charge or purchase cards. Includes semi-annual reports on Government charge card violations.

**Note:** May contain records covered by a Privacy Act System of Records, and/or containing PII or information protected by statute (including FOIA exemptions). Keep in secure location and restrict access.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which investigation ends. Destroy three years after cut-off.

**Disposition Authority:** GRS 5.6/050 - (DAA-GRS-2017-0006-0006)

### File Code - Heading: 6320 - Contracting

#### 1. Subheading: Bids, Proposals, Contracts, and Warrants

**Description of Records:** Records include bids, proposals, contracts, requisitions, purchase orders, lease, and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment for transactions dated on or after July 3, 1995 (the effective date of the Federal Acquisition Regulations (FAR) rule defining "Simplified Acquisition Threshold") that exceed the simplified acquisition threshold and all construction contracts exceeding \$2,000. Records include:

- a. Procurement or purchase organization copy (obligation copy), and related papers.
- b. Other copies of records described above used by component elements of a procurement office for administrative purposes.
- c. Documentation associated with contracting officers warranted authority.
- d. Formal solicitations of offers to provide products or services (for example, Invitations for Bids, Requests for Proposals, and Requests for Quotations) canceled or prior to award of a contract. The files include pre-solicitation documentation on the requirement, any offers that were opened prior to the

cancellation, documentation on any Government action up to the time of cancellation, and evidence of the cancellation.

- e. Unopened bids.
- f. Solicited and Unsolicited Bids and Proposals Files - Successful bids and Proposals.
- g. Solicited and Unsolicited Bids and Proposals records relating to small purchases as defined in the Federal Acquisition Regulations Title 48, Code of Federal Regulations, Part 13—Simplified Acquisition Procedures.

**Exclusion:** Retain electronic data submitted to the FPDS under file code 6300 – Procurement Management - Data Submitted to FPDS.

**Note 1:** Create case files as appropriate.

**Note 2:** Bids and proposals neither solicited nor accepted, on which no further agency action is needed are to be destroyed when no longer required for business use (GRS 1.1, item 012).

**Note 3:** May contain records covered by a Privacy Act System of Records, and/or containing PII or information protected by statute (including FOIA exemptions), and/or may contain “Essential” (vital) records. Keep in secure location and restrict access.

**Note 4:** Includes records previously retained under file codes:

- 6320 – Contracting – Bids, Proposals, and Contracts.
- 6320 – Contracting – Solicited and Unsolicited Bids and Proposals – Canceled.
- 6320 – Contracting – Solicited and Unsolicited Bids and Proposals – Canceled. – Unopened Bids
- 6320 – Contracting – Solicited and Unsolicited Bids and Proposals – Small Purchase.
- 6320 – Contracting – Solicited and Unsolicited Bids and Proposals – Successful.
- 6320 – Contracting – Contracting Officer Warrants.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which final payment, cancellation or when warrant terminated. Destroy six years after cut-off.

**Disposition Authority:** GRS 1.1/10 – (DAA-GRS-2013-0003-0001)

## 2. Subheading: Financial Management and Reporting Administration

**Description of Records:** Records related to managing financial activities and reporting. Records include correspondence, subject files, feeder reports, and workload management and assignment records.

**Note:** Previous subheading “General.”

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy three years after cut-off.

**Disposition Authority:** GRS 1.1/001 - (DAA-GRS-2016-0013-0001)

### 3. Subheading: Contract Appeals

**Description of Records:** Contract appeals case files arising under the Contract Dispute Act. Records include:

- a. Notice of appeal,
- b. Acknowledgment of notice,
- c. Correspondence,
- d. Copies of Contracts, plans, specifications, exhibits, change orders, and amendments,
- e. Hearing transcripts,
- f. Documents received from concerned parties,
- g. Final decisions, and
- h. Other related papers.

**Note:** May contain records covered by a Privacy Act System of Records, and/or containing PII or information protected by statute (including FOIA exemptions), and/or may contain “Essential” (vital) records. Keep in secure location and restrict access.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which final resolution is reached. Destroy one years after cut-off.

**Disposition Authority:** GRS 1.1/060 - (DAA-GRS-2016-0001-0003)

### 4. Subheading: Vendor/Bidder Info – Other Lists

**Description of Records:** Obsolete. These records are maintained by GSA and available to Forest Service on Sam.gov.

**File Code - Heading: 6330 - Specifications, Standards, and Qualified Products Lists**

**1. Subheading: General (Specifications, Standards and Qualified Products Lists)**

**Description of Records:** Includes general correspondence and other records regarding specifications, standards, and qualified products lists not covered elsewhere.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy three years after cut-off.

**Disposition Authority:** GRS 1.1/001 - (DAA-GRS-2016-0013-0001)

**File Code - Heading: 6340 - Shipments**

**2. Subheading: General (Shipments)**

**Description of Records:** Original vouchers and support documents covering commercial freight transportation charges of settled fiscal accounts, including registers and other control documents, but EXCLUDING those covered by file code 6350 – Transportation of Things.

**Exclusion:** Record copies of all freight documents used to support payments become components of the accountable officers' accounts.

**Note:** Updated sub-heading.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which transaction is completed. Destroy six years after cut-off.

**Disposition Authority:** GRS 1.1/10 - (DAA-GRS-2013-0003-0001)

**File Code - Heading: 6350 - Transportation of Things**

**1. Subheading: General (Transportation of Things)**

**Description of Records:** Routine administrative records including correspondence, forms, and related records pertaining to commercial and noncommercial agency freight functions not covered elsewhere in file code 6350. Documentation includes accountability records regarding the issue or receipt of accountable documents.

**Exclusion:** Record copies of all freight documents used to support payments become components of the accountable officers' accounts.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy three years after cut-off.

**Disposition Authority:** GRS 1.1/001 - (DAA-GRS-2016-0013-0001)

## 2. Subheading: Bills of Lading, Unsettled Accounts

**Description of Records:** Financial transaction records related to transportation of things. Many records are maintained by accountable officers. Records include:

- a. Issuing office copies of Government or commercial domestic and international bills of lading (Standard Form (SF) 1113A) and supporting documents.
- b. Records covering payment for commercial freight transportation charges for services for which:
  - (1) Notice of overcharge has been or is expected to be issued, or if a rail freight overpayment is involved,
  - (2) Deduction or collection action has been taken,
  - (3) The voucher contains inbound transit shipment(s),
  - (4) Parent voucher has print of paid supplemental bill associated,
  - (5) The voucher has become involved in litigation, or
  - (6) Any other condition arises, such as detection of overcharge, that prevents the settling of the account.

**Exclusion:** Record copies of all documents used to support payments become components of the accountable officers' accounts.

**Note 1:** Create case files as appropriate.

**Note 2:** Includes records previously retained under file codes:

- 6350 – Transportation of Things - Government Bills of Lading – Domestic.
- 6350 – Transportation of Things - Government Bills of Lading –International.
- 6350 – Transportation of Things - Unsettled Accounts.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which the final payment is made, cancellation, or resolution. Destroy six years after cut-off.

**Disposition Authority:** GRS 1.1/10 - (DAA-GRS-2013-0003-0001)

3. **Subheading: Records of Lost, Destroyed, or Damaged Shipments**

**Description of Records:** 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.

**Disposition:** Temporary. Cutoff at end of FY. Destroy six years after cut-off.

**Disposition Authority:** GRS 5.5/40 - (DAA-GRS-2016-0012-0004)

**File Code - Heading: 6360 - Printing**

1. **Subheading: General**

**Description of Records:** Obsolete, retain records under file code 1630 – Publishing and Related Activities – Publishing Control and Administrative Files.

**File Code - Heading: 6400 - Property Management**

1. **Subheading: Asset Management General Records**

**Description of Records:** Includes general correspondence and other records related to Asset Management too broad to file under a specific heading.

**Note:** Previous subheading “General.”

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy five years after cut-off.

**Disposition Authority:** N1-95-10-10/68

2. **Subheading: Inquiries**

**Description of Records:** Obsolete. File standard inquiries and responses under file code 6270 – Availability of Records – General Information Requests.

**File Code - Heading: 6410 - Personal Property Management**

1. **Subheading: Personal Property Administrative and Operational Records**

**Description of Records:** Records relating to administering and operating equipment, stocks, and supplies. Records include:

- a. Statistical and narrative reports.
- b. Studies.

- c. Inventories of property, equipment, furnishings, stock, and supplies.
- d. Reports of survey regarding lost, damaged, missing, or destroyed property.
- e. Requisitions for supplies and equipment.
- f. Records tracking supply and procurement requirements.
- g. Related correspondence.

**Note:** Includes records previously retained under file codes:

- 6410 – Personal Property Management – General.
- 6410 – Personal Property Management – Records and Inventory.
- 6410 – Personal Property Management – Registers.
- 6410 – Personal Property Management - Registers for Items of Tangible and Other Value.
- 6410 – Personal Property Management – Reports.

**Disposition:** Temporary (see notes). Cutoff at end of FY. or after disposition of asset.  
Destroy three years after cut-off.

**Disposition Authority:** GRS 5.4/010 - (DAA-GRS-2016-0011-0001)

## 2. Subheading: Excess Personal Property

**Description of Records:** Includes correspondence and forms relating to the declaration of personal property as excess or surplus to Forest Service requirements and disposal by sale, donation, or destruction. Includes excess property inventories and lists, lists and other records identifying approved receives of excess property, donation receipts, destruction certificates, and related correspondence.

**Note:** Includes records previously retained under file codes:

- 6410 – Personal Property Management – Excess Personal Property.
- 6410 – Personal Property Management – Transfer in and/or Receipt.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which property is excessed.  
Destroy three years after cut-off.

**Disposition Authority:** GRS 5.4/40 - (DAA-2016-0011-0004)

## 3. Subheading: Surplus Personal Property

**Description of Records:** Case files of transactions pertaining to disposal of excess or surplus personal property by sale, donation, or destruction. Records include:

- a. Case files on transactions of more than \$5,000 but less than \$25,000, or if identified in FMRs as requiring special handling (firearms, weapons, aircraft, and so forth) on sales of surplus (to the Federal government) personal property, comprising invitations, bids, acceptances, lists of materials, evidence of sales, and related correspondence.
- b. Case files on transactions of more than \$25,000 on sales of surplus (to the Federal government) personal property, comprising invitations, bids, acceptances, lists of materials, evidence of sales, and related correspondence.

**Note:** Includes records previously retained under file codes:

- 6410 – Personal Property Management - Surplus Personal Property - \$5,000 - \$24,999.
- 6410 – Personal Property Management – Surplus Personal Property –\$25,000 or Greater.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which final payment made. Destroy three years after cut-off.

**Disposition Authority:** GRS 5.4/040 - (DAA-GRS-2016-0011-0004)

#### 4. Subheading: Property Pass Records

**Description of Records:** Records authorizing removal of Government and privately owned property or materials off premises owned or leased by the Federal Government. Also includes hand receipts when used by staff to physically remove property.

**Disposition:** Temporary. Cutoff after expiration or revocation. Destroy 3 months after cut-off.

**Disposition Authority:** GRS .5.6/040 - (DAA-GRS-2017-0006-0005)

### File Code - Heading: 6420 - Stores and Cupboard Stock Management

#### 1. Subheading: Stores and Cupboard Stock Management Program

**Description of Records:** Records related to managing financial activities and reporting. Records include correspondence, subject reports, feeder reports, and workload management and assignment records.

**Note:** Previous subheading “General.”

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy three years after cut-off.



**Disposition Authority:** GRS 1.1/001 - (DAA-GRS-2016-0013-0001)

## 2. Subheading: Stock Materials Accounting and Invoices

**Description of Records:** Records providing accountability for receipt and custody of materials and showing accumulated cost data, including the direct and indirect costs of production, administration, and performance of program functions of the agency.

Records include:

- a. Invoices or equivalent papers used for expendable or durable materials accounting purposes.
- b. Working files used in accumulating stores accounting data.
- c. Stores accounting returns and reports.
- d. Materials accounting data are normally reviewed and consolidated by means of records and returns submitted to agency headquarters. There the information is used for procurement planning, budget, utilization projections, and other management purposes. The records do not include documentation reflecting the physical movements of material to and from storage points, although such information may be involved in posting.

**Note:** Includes records previously retained under file codes:

- 6420 – Stores and Cupboard Stock Management – Materials Accounting.
- 6420 – Stores and Cupboard Stock Management – Materials Accounting Background.
- 6420 – Stores and Cupboard Stock Management – Materials Invoice.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy three years after cut-off.

**Disposition Authority:** GRS 1.1/040 - (DAA-GRS-2013-0003-0012)

## File Code - Heading: 6430 - Fleet Equipment Management

### 1. Subheading: Acquisitions, Identification, and Classification

**Description of Records:** Obsolete – file records under file code 7130 – Fleet Equipment Management - Fleet Administrative and Operational Records.

### 2. Subheading: Annual Motor Vehicle and Equipment Reports

**Description of Records:** Obsolete – file records under file code 7130 – Fleet Equipment Management - Fleet Administrative and Operational Records.

3. **Subheading: Disposal of Fleet Equipment**

**Description of Records:** Obsolete – file records under file code 7130 – Fleet Equipment Management - Disposal of Fleet Equipment.

4. **Subheading: Fleet Assignment and Utilization**

**Description of Records:** Obsolete – file records under file code 7130 – Fleet Equipment Management - Fleet Administrative and Operational Records.

5. **Subheading: General**

**Description of Records:** Obsolete – file records under file code 7130 – Fleet Equipment Management - Fleet Administrative and Operational Records.

6. **Subheading: Use and Storage**

**Description of Records:** Obsolete – file records under file code 7130 – Fleet Equipment Management - Fleet Administrative and Operational Records.

**File Code - Heading: 6440 - Real Property Management**

1. **Subheading: Leases**

**Description of Records:** Includes determinations, findings, market surveys, solicitation, award and administration of acquisition of lease hold interest in real property under Forest Service leasing authority. File disputes and appeal material by case folder. Records include transactions of \$25,000 or less, and reports of transactions of \$25,000 or more.

**Note 1:** Records may contain information protected by statute. Restrict access.

**Note 2:** Includes records previously retained under file codes:

- 6440 – Property Management – Leases<\$25,000.
- 6440 – Property Management – Leases>\$25,000.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which final payment is received. Destroy six years after cut-off.

**Disposition Authority:** GRS 1.1/10 - (DAA-GRS-2013-0003-0001)

2. **Subheading: Property, Plant, and Equipment Accounting**

**Description of Records:** Records necessary for documenting the existence, acquisition, ownership, cost, valuation, depreciation, and classification of fixed assets such as real property, capitalized personal property, internal use software, equipment, and other

assets and liabilities reported on an agency's annual financial statements (agency net worth or financial position), and non-capitalized but monitored PP&E, such as:

- a. Purchase orders and contracts.
- b. Invoices.
- c. Appraisals.
- d. Costing and pricing data.
- e. Transactional schedules.
- f. Titles.
- g. Transfer, acceptance, and inspection records.
- h. Asset retirement, excess and disposal records.
- i. Plant account cards and ledgers pertaining to structures.
- j. Correspondence and work papers.
- k. Reports: Includes recurring and non-recurring reports such as Annual Report of Real Property Leased to the U.S., report of space used by building, rental housing survey. Accounting, bookkeeping, Federal Real Property Program (FRPP) management reports submitted to USDA and GSA, and other records may be maintained in accordance with regulations or procedures prescribed by GAO or Treasury.
- l. Rental Rates: Includes reports, printouts, correspondence, and contract information regarding the establishment of rental rates (excluding quarters/housing rental rates).
- m. Space Management: Includes correspondence and records pertaining to space and maintenance matters, including:
  - (1) Allocation.
  - (2) Utilization.
  - (3) Building plan files, surveys, and other records utilized in agency space planning, assignment, and adjustment.
  - (4) Forest Service reports to GSA.
  - (5) Directory service files; and

- (6) Identification credentials and related papers (including cards, badges, parking permits, photographs, agency permits to operate motor vehicles, passes, and other identification credentials).

**Note 1:** See Real Property Disposition for Disposition of records necessary and convenient for the use of real property transferred to another Federal agency or old, donated, or traded to a non-Federal entity.

**Note 2:** GRS 1.1/030 allows agencies to retain records as long as needed for business use. The Forest Service has set the retention period at ten years.

**Note 3:** Includes records previously retained under file codes:

- 6440 – Property Management – Excess Real Property.
- 6440 – Property Management – General.
- 6440 – Property Management – Rental Rates.
- 6440 – Property Management – Reports.
- 6440 – Property Management – Space Management.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy ten years after cut-off.

**Disposition Authority:** GRS 1.1/030 - (DAA-GRS-2013-0003-0004)

### 3. Subheading: Real Property Disposition

**Description of Records:** Includes reports, Disposition position instructions and correspondence related to real property, as well as records related to the sale, donation, or trade of real property.

**Note 1:** Close record when asset is disposed of or removed from the Forest Service's financial statement.

**Note 2:** GRS 1.1/030 allows agencies to retain records as long as needed for business use. The Forest Service has set the retention period at ten years.

**Note 3:** Records (such as abstract or certificate of title) necessary or convenient for the use of real property sold, donated, or traded to non-federal ownership or transferred to Federal ownership shall be conveyed to the new custodian upon completion of sale, trade, donation, or transfer proceedings.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which asset is disposed of or removed from Forest Service's financial statement. Destroy ten years after cut-off.

**Disposition Authority:** GRS 1.1/030 - (DAA-GRS-2013-0003-0004)

4. **Subheading: Quarters and Facilities Management Administrative and Operational Records**

**Description of Records:** Records relating to administering and operating a quarters-management program. Records include:

- a. Statistical and narrative reports,
- b. Studies,
- c. Requests for space using Standard Form 81 or equivalent (if used),
- d. Space assignments and directories,
- e. Related correspondence, and
- f. Quarters inventories.

**Exclusion:** Records of supply and property procurement (covered by GRS 1.1/010 elsewhere in the Forest Service file plan).

**Note 1:** Records may contain PII, and other information protected by statute. Restrict access.

**Note 2:** Includes records previously retained under file codes:

- 6440 – Property Management – Quarters Inventory and Rate Setting.
- 6440 – Property Management – Quarters Management.
- 6440 – Property Management – Quarters/Housing Management Reports.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy three years after cut-off.

**Disposition Authority:** Pending

5. **Subheading: Real Property Acquisition**

**Description of Records:** Includes records (excluding abstractor or certificate of title) documenting the acquisition of real property by purchase, condemnation, donation, exchange, and so forth, for property acquired after December 31, 1920.

**Exclusion 1:** Records relating to property acquired prior to January 1, 1921.

**Exclusion 2:** Retain reports of Excess Real Property (Standard Form 118) and associated real property case files under file code 6440 – Real Property Management - Real Property Disposition.

**Disposition:** Temporary (see notes). Transfer records to new owner after unconditional sale or Government release of conditions, restrictions, mortgages, or other liens.

**Disposition Authority:** GRS 5.4/020 - (DAA-GRS-2016-0011-0002)

6. **Subheading: Quarters and Facility Structure and Long-Term Maintenance**

**Description of Records:** Records documenting inspection, maintenance, service, and repair activities relating to buildings, grounds, federally owned and operated housing, equipment, and personal property. Records include:

- a. Repair and maintenance work orders, requisitions, and related papers.
- b. Maintenance and inspection logs and reports.
- c. Job orders, service call records, action sheets, and repair logs.
- d. Work, shop, or job schedules.

**Note 1:** Units that contract out facility management may wish to retain records for duration of contract to document contract performance.

**Note 2:** Records documenting expenditure of appropriated or non-appropriated funds are retained elsewhere in the Forest Service file plan under GRS 1.1, item 10.

**Note 3:** Includes records previously retained under file codes:

- 6440 – Property Management – Quarters/Housing Maintenance and Repair - Work Orders.
- 6440 – Property Management – Quarters/Housing Maintenance and Repair.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy three years after cut-off.

**Disposition Authority:** GRS 5.4/070 - (DAA-GRS-2016-0011-0008)

7. **Subheading: Quarters and Facilities Management Custodial and Minor Repair Work**

**Description of Records:** Records documenting completion of custodial and minor repair work relating to buildings, grounds, federally owned and operated housing, equipment, and personal property. Records include:

- a. Repair and maintenance work orders, requisitions, and related papers.
- b. Maintenance and inspection logs and reports.
- c. Job orders, service call records, action sheets, and repair logs.

- d. Work, shop, or job schedules.

**Note 1:** Units that contract out facility management may wish to retain records for duration of contract to document contract performance.

**Note 2:** Records documenting expenditure of appropriated or non-appropriated funds are retained elsewhere in the Forest Service file plan under GRS 1.1, item 10.

**Note 3:** Includes records previously retained under file codes:

- 6440 – Property Management – Quarters/Housing Maintenance and Repair - Work Orders.
- 6440 – Property Management – Quarters/Housing Maintenance and Repair.

**Disposition:** Temporary (see notes). Cuff at end of month. Destroy 90 days after cut-off.

**Disposition Authority:** GRS 5.4/071 - (DAA-GRS-2016-0011-0009)

## 8. Subheading: Quarters Inventory Rental and Lease Records

**Description of Records:** Housing assignment agreements, tenant rent payment documents, termination notices, and other related documents regarding Federal owned and operated housing facilities. Includes reports, printouts, correspondence, and contract information regarding the establishment of quarters/housing rental rates.

**Note 1:** Records may contain PII, and other information protected by statute. Restrict access.

**Note 2:** Includes records previously retained under file codes:

- 6440 – Property Management – Quarters/Housing Applications – All Others.
- 6440 – Property Management – Quarters/Housing Applications – Rejected.
- 6440 – Property Management – Quarters/Housing Assignment and Vacancy Card Files – Individual Tenant Cards.
- 6440 – Property Management – Quarters/Housing Assignment and Vacancy Card Files – Individual Unit Cards.
- 6440 – Property Management – Quarters/Housing Rental Agreements.
- 6440 – Property Management – Rental Rates (Quarters and Housing).

**Disposition:** Temporary (see notes). Cutoff at end of FY in which tenant departure, termination, or conclusion of litigation happens. Destroy three years after cut-off.

**Disposition Authority:** GRS 5.4/080 - (DAA-GRS-2016-0011-0010)

**File Code - Heading: 6450 - Management Accountability and Survey Boards**

**1. Subheading: Findings of Financial Liability**

**Description of Records:** Includes records of determinations, findings, recommendations for fiscal liability, and appeals of findings of pecuniary/fiscal liability.

**Note 1:** Records may contain PII, and other information protected by statute. Restrict access.

**Note 2:** Includes records previously retained under file codes:

- 6450 – Management Accountability and Survey Boards - Findings of Financial Liability – Appeals.
- 6450 – Management Accountability and Survey Boards – Survey Boards or Officers – Findings.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which case is closed. Destroy six years after cut-off.

**Disposition Authority:** N1-95-10-8/9 and N1-95-10-8/13

**2. Subheading: Survey Board Administrative Records**

**Description of Records:** Includes records of a general nature pertaining to survey officers, survey boards, and policy. Includes chronological logs of survey board report findings and associated disposition. Also includes pertinent information not covered elsewhere in this schedule.

**Note:** Includes records previously retained under file codes:

- 6450 – Management Accountability and Survey Boards – Fiscal Liability Recommendations – Lists.
- 6450 – Management Accountability and Survey Boards – General.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy six years after cut-off.

**Disposition Authority:** N1-95-10-8/10 and N1-95-10-8/11

**3. Subheading: Survey Boards or Officers - Assignments**

**Description of Records:** Documentation of assignments and criteria for assignment to boards of survey or as survey officer for operational purposes established by agency authority (not established by Public Law or Executive Order) for facilitative or operational purposes, related to the agency's mission, composed wholly officers or employees of the Federal government, and not subject to the Federal Advisory



Committee Act, for example, committees tasked with reviewing policy, studying reorganizations, recommending new actions or developing multi-year plans. Records include any files created and/or maintained by the committee including agenda, minutes, final reports, and related records documenting accomplishments of official boards and committees.

**Note 1:** As per GRS 26-1b, this item was scheduled via SF-115 (disposition of Federal Records) submitted to NARA. NARA has determined that no records of permanent value are associated with this item.

**Note 2:** See file code 1350 – Committee Management.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which administrative use ends. Destroy seven years after cut-off.

**Disposition Authority:** N1-95-10-8/12

**File Code - Heading: 6460 - Waste Prevention, Recycling, and Acquisition**

**1. Subheading: Recycling and Waste Prevention Administration**

**Description of Records:** Records include:

- a. Documentation of efforts to increase waste prevention, recycling and the acquisition of recycled content and environmentally preferable products and services in support of Forest Service programs and practices.
- b. Reports from units that are consolidated and provided to the Washington Office, USDA, GSA, and OMB.
- c. Lists of Green Purchasing Options, including bio, GSA Advantage, and EPA listed options.

**Note:** Includes records previously retained under file codes:

- 6460 – Waste Prevention, Recycling, and Acquisition – General.
- 6460 – Waste Prevention, Recycling, and Acquisition – Recycling Reports.
- 6460 – Waste Prevention, Recycling, and Acquisition – Green Purchasing Information.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy five years after cut-off.

**Disposition Authority:** DAA-0095-2018-0041-0002

2. **Subheading: Green Team Activities**

**Description of Records:** Records include files created and/or maintained on team assignments, membership, and activities. Committees established by agency for facilitative or operational purposes unrelated to the Forest Service's mission, composed wholly of officers or employees of the Federal government, and not subject to the Federal Advisory Committee Act.

**Disposition:** Temporary. Cutoff at end of FY in which no longer needed for administrative purposes. Destroy immediately after cut-off.

**Disposition Authority:** GRS 5.1/030 - (DAA-GRS-2016-0016-0003)

3. **Subheading: Pollution Protection (P2) and Recycling Activities**

**Description of Records:** Records include documentation of:

- a. Local and national pollution prevention campaigns, including hazardous material reduction.
- b. Local and national recycling campaign efforts.
- c. Local and national "Reduce, Reuse, Recycling" (3R) and similar activities and campaigns.

**Note:** Includes records previously retained under file code:

- 6460 – Waste Prevention, Recycling, and Acquisition - Pollution Prevention (P2) Activities.
- 6460 – Waste Prevention, Recycling, and Acquisition – Recycling Campaigns.
- 6460 – Waste Prevention, Recycling, and Acquisition – Reduce, Reuse, Recycle – 3Rs Activities.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which no longer needed for administrative purposes. Destroy five years after cut-off.

**Disposition Authority:** DAA-0095-2018-0041-0002

**File Code - Heading: 6470 - Commuter Choices Subsidy Benefits Program**

1. **Subheading: Commuter Subsidy Program Management**

**Description of Records:** Administrative records related to managing the transportation subsidy program, including:

- a. Determining subsidy amount available to employees.

- b. Publicity and program announcements.
- c. Records of program-wide benefit delivery and receipt.
- d. Statistical and narrative reports.
- e. Similar records not linked to individual employee participation.

**Exclusion:** Do not use to retain records pertaining to individual employee participation.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy three years after cut-off.

**Disposition Authority:** GRS 2.4/130 - (DAA-GRS-2016-0015-0017)

## 2. Subheading: Commuter Subsidy Program Individual Case Files

**Description of Records:** Includes transportation subsidy case files of individual employee participation in the following programs:

- a. Rideshare Incentive Program for Carpools,
- b. Parking Benefits Program,
- c. Commuter Highway Vehicle Program Vanpools,
- d. Commuter Bicycle Reimbursement Program,
- e. Annual Passes in Limited Locations. Records include:
  - (1) Applications and supporting document,
  - (2) Eligibility verification,
  - (3) Notice of approval or denial of participation in program,
  - (4) Participant training documentation,
  - (5) Periodic estimates of transit expenses,
  - (6) Record of individual benefit delivery and receipt,
  - (7) De-enrollment documents, and
  - (8) Settlement of outstanding debts by employee or Government when employee leaves program.

**Note 1:** Records may contain PII, and other information protected by statute. Restrict access.

**Note 2:** Includes records previously retained under file codes:

- 6470 – Commuter Choices Subsidy Benefits Programs – Annual Passes in Limited Locations.
- 6470 – Commuter Choices Subsidy Benefits Programs – Commuter Bicycle Reimbursement Program.
- 6470 – Commuter Choices Subsidy Benefits Programs – Commuter Highway Vehicle Program for Vanpools.
- 6470 – Commuter Choices Subsidy Benefits Programs – Parking Benefits Program.
- 6470 – Commuter Choices Subsidy Benefits Programs – Rideshare Incentive Program for Carpools.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which employee participation concludes. Destroy two years after cut-off.

**Disposition Authority:** DAA-GRS-2016-0015-0018

**File Code - Heading: 6480 - Asset Management Inspection**

**1. Subheading: Asset Management Inspection Administration**

**Description of Records:** Correspondence and records regarding internal control and inspection assistance for asset management functions.

**Note 1:** A-76, competitive sourcing, and outsourcing falls under file code 1310 – Methods of Doing Business – Performance of Commercial Activities.

**Note 2:** Previous subheading “General.”

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy ten years after cut-off.

**Disposition Authority:** GRS 1.1/030 – (DAA-GRS-2013-0003-0004)

**File Code - Heading: 6500 - Finance and Accounting**

**1. Subheading: Batch Control and Transmittal**

**Description of Records:** Records consist of forms associated with Forest Service financial batch control and transmittal activities. As of 10/1/2017, the following forms are retained under this records schedule item:

- a. **FS-6500-160:** This form tracks the number of records to be sent from one location to another and certifies the specific number of documents sent.
- b. **Form FS-6500-161:** This form certifies the number of records sent or transmitted and received at National Computer Center at Kansas City (NCC\_KC).
- c. **FS-6500-214:** This form is used by Forest Service employees and contractors to apply for access to Forest Service databases. Completed FS-6500-214 is an essential record and contains PII and other information protected by information protected by statute. Restrict access.

**Note:** Includes records previously retained under file codes:

- 6500 – Finance and Accounting – Batch Control Records.
- 6500 – Finance and Accounting – Batch Transmittal Record File.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy ten years after cut-off.

**Disposition Authority:** DAA-0095-2018-0044-0001

## 2. Subheading: General Finance and Accounting Program Administrative Records

**Description of Records:** Correspondence and records regarding adherence to OMB, GAO, Treasury, USDA, and Forest Service guidelines and principles for financial management accounting and reporting, fund management, and related internal controls not covered elsewhere in this schedule. Includes records related to in-service meetings and conferences, such as costs, meeting approval, action plans, agenda, and attendance. Includes records of investigations for losses which trigger an accountable officer's liability.

**Note:** Includes records previously retained under file codes:

- 6500 – Finance and Accounting – General.
- 6500 – Finance and Accounting – Irregularities.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy ten years after cut-off.

**Disposition Authority:** GRS 1.1/001 – (DAA-GRS-2016-0013-0001)

## 3. Subheading: Membership Certificates

**Description of Records:** Membership certificates.

**Note:** Retain in office.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which superseded or obsolete. Destroy ten years after cut-off.

**Disposition Authority:** N1-95-10-10/88

4. **Subheading: Reports – Edit/Update Transactions**

**Description of Records:** Outputs consisting of listings of edit/update transactions on a given date for timber sale agreements, contracts and permits.

**Exclusion:** This item does not pertain to listings or logs of edits/updates retained within relational database systems.

**Disposition:** Temporary. Cutoff at end of FY in which agreement, contract, or permit ends. Destroy ten years after cut-off.

**Disposition Authority:** N1-95-10-10/91

5. **Subheading: Finance and Accounting Help Desk Records**

**Description of Records:** Technical and administrative financial help desk operational records, including:

- Records of incoming requests (and responses) made by phone, email, web portal, and so forth.
- Trouble tickets and tracking logs.
- Quick guides and “Frequently Asked Questions.”
- Evaluations and feedback about help desk services.
- Analysis and reports generated from customer management data.
- Customer/client feedback and satisfaction surveys, including survey instruments, data, background materials, and reports.

**Disposition:** Temporary. Cutoff at end of FY in which issue resolved. Destroy one year after cut-off.

**Disposition Authority:** GRS 5.8/010 – (DAA-GRS-2017-0001-0001)

**File Code - Heading: 6510 - Appropriations and Funds**

1. **Subheading: Appropriation and Funds General Administrative Records**

**Description of Records:** General correspondence and records regarding symbol numbers, availability, and use, not otherwise covered in this schedule.

**Note:** Previous subheading “General.”

**Disposition:** Temporary (see notes). Cutoff at end of FY in which agreement, contract, or permit ends. Destroy five years after cut-off.

**Disposition Authority:** N1-95-10-10/92

**File Code - Heading: 6520 - Financial Management**

**1. Subheading: Manpower Allocations and Financial Plans**

**Description of Records:** General correspondence and Allotment records showing status of obligations and allotments under each authorized appropriation. Includes budget estimates, work plans, summaries of financial information, reports summarizing budget information and other records outlining plans for disbursing appropriations. Only records relating to how ceiling allocations are used. File other material such as transfer-of-station under file code 6120 and other fiscal related functions under file code 6130.

**Note:** Includes records previously retained under file codes:

- 6520 – Financial Management – Financial Plans.
- 6520 – Financial Management – Manpower Allocations.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy six years after cut-off.

**Disposition Authority:** GRS 1.1/10 - (DAA-GRS-2013-0003-0001)

**2. Subheading: Financial Management Program Administration**

**Description of Records:** Correspondence or subject files maintained by operating units responsible for expenditure accounting, pertaining to their internal operations and administration.

**Note:** Previous subheading “General.”

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy three years after cut-off.

**Disposition Authority:** GRS 1.1/001 - (cite DAA-GRS-2016-0013-0001)

**File Code - Heading: 6530 - Billings and Collections**

**1. Subheading: Collection Officer and Accountable Officer Records**

**Description of Records:** Records include collection and accountable officers’ accounts maintained in the agency for site audit by GAO auditors, consisting of statements of transactions, statements of accountability, collection schedules, collection vouchers, disbursement schedules, disbursement vouchers, and all other schedules and vouchers or documents used as schedules or vouchers, exclusive of commercial passenger

transportation and freight records and payroll records, EXCLUDING accounts and supporting documents pertaining to American Indians (see Note 1). Includes site audit records retained for GAO audits and equivalent agency forms that document the basic financial transaction here described.

If an agency is operating under an integrated accounting system approved by GAO, certain required documents supporting vouchers and/or schedules are included in the site audit records. These records document only the basic financial transaction, money received, and money paid out or deposited while operating the Forest Service. All copies except the certified payment or collection copy; usually the original or ribbon copy, and all additional or supporting documentation not involved in an integrated system are covered by succeeding items in this schedule.

**Note 1:** Segregate all records pertaining to American Indians and Alaska Natives. Accounts and supporting documents pertaining to American Indians and Alaska Natives are not authorized for disposal. Such records must be retained indefinitely since they may be needed in litigation involving the Federal Government's role as trustee of property held by the Federal Government and managed for the benefit of American Indians. These records include those created under the Alaska Native Claims Settlement Act of 1971 (Pub.L. 92-203, 85 Stat. 688). When transferring these records to a Federal Records Center for storage, include the FRC freeze code "IND" on the Transfer Request.

**Note 2:** Includes records previously retained under file codes:

- 6530 – Billings and Collections – Billings and/or Receipts.
- 6530 – Billings and Collections – Collection Officers.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which final payment or cancellation occurs. Destroy six years after cut-off.

**Disposition Authority:** GRS 1.1/10 - (DAA-GRS-2013-0003-0001)

## 2. Subheading: Billings and/or Receipts – Copies

**Description of Records:** Memorandum or extra copies of accountable officers' returns including statements of transactions and accountability, all supporting vouchers, schedules, and related documents not covered elsewhere in this schedule, EXCLUDING freight records covered by General Records Schedule 1.1 and payroll records covered by General Records Schedule 2.4.

**Note 1:** Accounts and supporting documents pertaining to American Indians and Alaska Natives are not authorized for disposal. Such records must be retained indefinitely since they may be needed in litigation involving the Federal Government's role as trustee of property held by the Federal Government and managed for the benefit of American



Indians. These records include those created under the Alaska Native claims Settlement Act of 1971 (Pub. L. 92-203, 85 Stat. 688).

**Note 2:** Includes records previously retained under file codes:

- 6530 – Billings and Collections – Billings and/or Receipts – Copies.
- 6530 – Billings and Collections – Collection Officers – Copies.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which business use ceases. Destroy one year after cut-off.

**Disposition Authority:** GRS 1.1/11 - (DAA-GRS-2013-0003-0002)

3. **Subheading: Billings and Collections General Program Administration**

**Description of Records:** Records related to managing billings and collections program. Records include correspondence, subject files, feeder reports, and workload management and assignment records.

**Note:** Previous subheading “General.”

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy three years after cut-off.

**Disposition Authority:** GRS 1.1/001 - (DAA-GRS-2013-00013-0001)

**File Code - Heading: 6540 - Payments**

1. **Subheading: Vouchers and GAO Audit Records**

**Description of Records:** Includes SF 1081, SF 1097, time slips, expense accounts adjustments, contracts; and related records of Certifying and Disbursing Officers. Records also include accounts maintained in the Forest Service for site audit by GAO auditors, consisting of statements of transactions (including cancelled checks), statements of accountability, collection schedules, collection vouchers, disbursement schedules, disbursement vouchers, and all other schedules and vouchers or documents used as schedules or vouchers. If an agency is operating under an integrated accounting system approved by GAO, certain required documents supporting vouchers and/or schedules are included in the site audit records. These records document only the basic financial transaction, money received, and money paid out or deposited while operating the Forest Service.

**Exclusion 1:** Commercial passenger transportation and freight records and payroll records (excluding accounts and supporting documents pertaining to American Indians).

**Exclusion 2:** All copies except the certified payment or collection copy; usually the original or ribbon copy, and all additional or supporting documentation not involved in an integrated system are covered by file code 6540 – Payments – Copies.

**Note 1:** Segregate all records pertaining to American Indians and Alaska Natives. Accounts and supporting documents pertaining to American Indians and Alaska Natives are not authorized for disposal. Such records must be retained indefinitely since they may be needed in litigation involving the Federal Government's role as trustee of property held by the Federal Government and managed for the benefit of American Indians. These records include those created under the Alaska Native Claims Settlement Act of 1971 (Pub. L. 92-203, 85 Stat. 688). When transferring records to a Federal Records Center for storage, include the FRC freeze code IND on the SF-135.

**Note 2:** Records may contain PII, and other information protected by statute. Restrict access.

**Note 3:** Includes records previously retained under file codes:

- 6540 – Payments – Checks
- 6540 – Payments - GAO
- 6540 – Payments – Vouchers and Related Documents

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy six years after cut-off.

**Disposition Authority:** GRS 1.1/10 - (DAA-GRS-2013-0003-0001)

## 2. Subheading: Imprest Fund Cashier Designations

**Description of Records:** Records include the following completed and signed forms (or their successors):

- a. FS-6500-248 – Request for Imprest Fund Cashier Designation.
- b. SF-211 – Request for change or Establishment of Imprest Fund.
- c. Treasury Fiscal Service FMS Form 2958 – Delegation of Authority.
- d. These forms and all supporting documentation are maintained by the Forest Service for site audit by GAO.

**Note:** Segregate all records pertaining to American Indians and Alaska Natives. Accounts and supporting documents pertaining to American Indians and Alaska Natives are not authorized for disposal. Such records must be retained indefinitely since they may be needed in litigation involving the Federal Government's role as trustee of property held by the Federal Government and managed for the benefit of American Indians. These records include those created under the Alaska Native Claims Settlement

Act of 1971 (Pub. L. 92-203, 85 Stat. 688). When transferring records to a Federal Records Center for storage, include the FRC freeze code IND on the SF-135.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which authorization is cancelled or superseded. Destroy six years after cut-off.

**Disposition Authority:** GRS 1.1/10 - (DAA-GRS-2013-0003-0001)

### 3. Subheading: General Payment Administration Records

**Description of Records:** Records, including correspondence, regarding accountable officers' returns and related records, including records under the cognizance of the General Accounting Office. There are several types of "Accountable Officers," such as:

- a. The Collection Officer, who receives monies owed to the Federal Government and ensures that it is credited to the proper account.
- b. The Disbursing Officer who is responsible for providing documentation to GAO, since he/she accomplishes the actual payment of public monies to proper Federal creditors; and
- c. The Certifying Officer, whose signature on a summary attest to the authenticity of vouchers listed on the schedule.

**Note 1:** Accounts and supporting documents pertaining to American Indians and Alaska Natives are not authorized for disposal. Such records must be retained indefinitely since they may be needed in litigation involving the Federal Government's role as trustee of property held by the Federal Government and managed for the benefit of American Indians. These records include those created under the Alaska Native claims Settlement Act of 1971 (Pub. L. 92-203, 85 Stat. 688).

**Note 2:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy five years after cut-off.

**Disposition Authority:** GRS 1.1/001 - (DAA-GRS-2016-0013-0001)

### 4. Subheading: Passenger Transportation

**Description of Records:** Records include:

- a. Obligation copies of commercial passenger transportation vouchers.
- b. Original vouchers and support documents covering passenger transportation charges of settled fiscal accounts, including registers and other control documents.

- c. Records pertaining to unused tickets, including redemption forms, such as SF 1170.
- d. Vouchers, Requests, Authorizations: Including issuing office copies of commercial passenger transportation vouchers and transportation requests, travel authorizations, and supporting documents.
- e. Payment for passenger transportation charges for services for which:
  - (1) Notice of overcharge has been or is expected to be issued, or if a rail freight overpayment is involved,
  - (2) Deduction or collection action has been taken,
  - (3) Voucher contains inbound transit shipment(s),
  - (4) Parent voucher has print of paid supplemental bill associated,
  - (5) Voucher has become involved in litigation, or
  - (6) Any other condition arises, such as detection of overcharge, which prevents the settling of the account, requiring the voucher to be retained beyond the established retention period.

**Note 1:** Transportation records (freight and passenger – forward copies of voucher-schedules, together with basic supporting documents, covering payments to carrier for transportation services, each month (after the statement of transactions has been accomplished to: General Services Administration, FZA Chester A. Arthur Building, Washington, DC 20406

**Note 2:** Travel authorizations, vouchers, and related documents must be maintained in the USDA electronic travel system.

**Note 3:** File supporting documentation associated with employee transfer of station under file code 6540 – Payments – Transfer of Station. The record copy of the travel voucher is retained in the USDA electronic travel system.

**Note 4:** Includes records previously retained under file codes:

- 6540 – Payments – Passenger Transportation – Obligations.
- 6540 – Payments - Passenger Transportation – Payments.
- 6540 – Payments – Passenger Transportation – Settled Accounts.
- 6540 – Payments – Passenger Transportation – Unused Tickets.
- 6540 – Payments – Passenger Transportation – Vouchers, Requests, Authorizations.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which case file closed, final payment made, or transaction is completed. Destroy six years after cut-off.

**Disposition Authority:** GRS 1.1/10 - (DAA-GRS-2013-0003-0001)

## 5. Subheading: Transfer of Station

**Description of Records:** Records include documentation associated with individual employee transfer of station. Records include statements of transactions, statements of accountability, collection schedules, collection vouchers, disbursement schedules, disbursement vouchers, and all other schedules and vouchers or documents used as schedules or vouchers associated with an individual employee's transfer of station.

**Note 1:** Create individual employee case files.

**Note 2:** Retain documentation associated with employee Temporary, duty travel not associated with transfer of station (including travel authorizations and vouchers) under file code 6540-Payments- Passenger Transportation.

**Note 3:** Official record copy of travel voucher associated with transfer of station is retained in the USDA electronic travel system). Copy may be maintained in transfer of station file (as applicable).

**Note 4:** Records contain PII, and other information protected by statute. Restrict access.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which final payment or cancellation occurs. Destroy six years after cut-off.

**Disposition Authority:** GRS 1.1/10 - (DAA-GRS-2013-0003-0001)

## 6. Subheading: Uniform Allowance

**Description of Records:** Purchase orders, correspondences and related papers pertaining to award, administration, receipt, and payments associated with the Forest Service Uniform program. Include procurement or purchase organization copies (and related papers) relating to Forest Service Uniform Allowance transactions at or below the simplified acquisition threshold.

**Note 1:** Includes all existing records regarding the Forest Service Uniform Program previously retained under file code 6150-3-4 and/or filed under 6150-Classification, Pay, Uniforms – General (FSH 6209.11).

**Note 2:** Records may contain PII, and other information protected by statute. Restrict access.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which final payment made. Destroy six years after cut-off.

**Disposition Authority:** GRS 1.1/010 - (DAA-GRS-2013-0003-0001)

## 7. Subheading: Payment Copies

**Description of Records:** Extra copies of financial records retained under other 6540 file code items. Includes records previously retained under file codes:

- a. 6540 – Payments – Check – Copies.
- b. 6540 – Payments - GAO – Copies.
- c. 6540 – Payments – Imprest Fund Cashier Designations – Copies.
- d. 6540 – Payments – Vouchers and related Documents – Copies.

**Note:** Records may contain PII, and other information protected by statute. Restrict access.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which administrative use ceases. Destroy one year after cut-off.

**Disposition Authority:** GRS 1.1/011 - (DAA-GRS-2013-0003-0002)

## File Code - Heading: 6550 - Accounting

### 1. Subheading: Air Tanker Cost Analysis

**Description of Records:** Includes working papers and cost analysis of flying planes and keeping them up to date.

**Note:** NARA concurs records are exempt from GRS Retention schedule.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which contract terminated. Destroy ten years after cut-off.

**Disposition Authority:** N1-95-10-10/93

### 2. Subheading: Financial Analysis for Non-Successful Timber Sale/Special Use Bidders

**Description of Records:** Case files and related reports for timber sale bidders, permittees, and regular contractors who were not awarded the sale or permit. Financial analyses and related work papers for approved bidders are filed with the case file for Timber Sale Contracts, Special Use Permits and Contracts.

**Note 1:** NARA concurs records are exempt from GRS retention schedule.

**Note 2:** Records may contain information protected by statute. Restrict access.

**Note 3:** Previous subheading "Financial Analysis for Non-Successful Bidders."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which case file is closed.  
Destroy ten years after cut-off.

**Disposition Authority:** N1-95-10-10/94

3. **Subheading: Timber Operator Survey**

**Description of Records:** Includes working papers and cost analysis reports.

**Note 1:** This information is current while timber operator remains in sample.

**Note 2:** Records may contain PII, and other information protected by statute. Restrict access.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which mill is sold or transferred or data no longer approved in appraisal schedule. Destroy ten years after cut-off.

**Disposition Authority:** N1-95-10-10/101

4. **Subheading: Timber Sale and Associate Road Development Cost Analysis**

**Description of Records:** Records include timber operator costs analysis working papers and backup records to the General Ledger Account pertaining to road development costs for timber.

**Note:** Includes records previously retained under file codes:

- 6550 – Accounting – Special.
- 6550 – Accounting – Timber Cost Analysis.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy ten years after cut-off.

**Disposition Authority:** DAA-0095-2018-0046-0001

5. **Subheading: Budget Execution Records**

**Description of Records:** Budget execution records created for the purpose of implementing and tracking an appropriation. Records include:

- a. Allotment advice, revisions, and ceiling limitations,

- b. Apportionments and reapportionments,
- c. Obligations under each authorized appropriation,
- d. Rescissions and deferrals,
- e. Operating budgets,
- f. Outlay plans,
- g. Fund utilization records,
- h. Fund reviews,
- i. Workforce authorization and distribution,
- j. Continuing resolution guidance,
- k. Calculations, and
- l. Impact statements.

**Note:** Previous subheading "Appropriation Allotments."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy six years after cut-off.

**Disposition Authority:** GRS 1.3/020 - (DAA-GRS-2015-0006-0002)

## 6. Subheading: Budget Administration Records

**Description of Records:** Records include:

- a. Correspondence and other general records regarding accounting, revenue, obligations, costs, and financial analysis.
- b. General accounts ledgers showing debit and credit entries and reflecting expenditures in summary.
- c. Documentation showing status of obligations and allotments under authorized appropriation, including monthly and quarterly fund control reports for regions and units.
- d. Obligation source documents; and
- e. Records pertaining to inflows of resources of revenue.



**Note:** Includes records previously retained under file codes:

- 6550 – Accounting – General Ledger.
- 6550 – Accounting – General.
- 6550 – Accounting – Obligations.
- 6550 – Accounting – Revenue.

**Disposition:** Temporary (see notes). Cutoff aft FY. Destroy three years after cut-off.

**Disposition Authority:** GRS 1.3/050 - (DAA-GRS-2015-0006-0007)

## 7. Subheading: Annual Budget Reports

**Description of Records:** Includes Statement of Obligations Year-End Reports, National Appropriation (Fund) Control Year-End Report, Report of Budget Execution Year-End Report, and other reports related to final year-end financial status of Forest Service programs.

**Note:** Previous subheading “Reports.”

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy five years after cut-off.

**Disposition Authority:** GRS 1.3/030 – (DAA-GRS-2015-0006-0003)

## 8. Subheading: Periodic Financial Status and Budget Reports

**Description of Records:** Records used as posting and control media, subsidiary to the general and allotment ledgers, and not covered elsewhere in this schedule. Records include monthly and quarterly:

- a. Financial status reports such as financial statements and project manager’s statements.
- b. Reports on the status of appropriation accounts and apportionment.

**Note:** Includes records previously retained under file codes:

- 6550 – Accounting – Budget Reports.
- 6550 – Accounting – Financial Status Reports.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy six years after cut-off.

**Disposition Authority:** GRS 1.3/031 – (DAA-GRS-2015-0006-0004)

**File Code - Heading: 6560 - Bonding Administration**

**1. Subheading: Bond and Surety Records**

**Description of Records:** Bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection, and payment (other than real property and tax exemption records); includes procurement or purchase organization copy, and related papers for transactions that:

- a. Are at or below exceed the simplified acquisition threshold and all construction contracts at or below \$2,000.
- b. Exceed the simplified acquisition threshold and all construction contracts exceeding \$2,000.

**Exclusion:** Retain copy of bond and surety electronic data submitted to the FPDS under file code 6560 – Bonding Administration – Bond and Surety Records – FPDS.

**Note 1:** Records may contain information protected by statute. Restrict access.

**Note 2:** Includes records previously retained under file codes:

- 6560 – Bonding Administration – Bond and Surety Records – At or Below Simplified Acquisition Threshold.
- 6560 – Bonding Administration – Bond and Surety Records – Exceeding Simplified Acquisition Threshold.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which final payment received. Destroy six years after cut-off.

**Disposition Authority:** GRS 1.1/10 – (DAA-GRS-2013-0003-0001)

**2. Subheading: Bond and Surety Records – Federal Procurement Data System**

**Description of Records:** Bond and Surety data submitted to the FPDS. Electronic data file maintained by FY, containing unclassified records of all procurements, other than small purchases, and consisting of information required under Title 48, Code of Federal Regulations, Part4.601—Contract Action for transfer to the FPDS.

**Disposition:** Temporary. Cutoff at end of FY. Destroy six years after cut-off.

**Disposition Authority:** GRS 1.1/13 – (DAA-GRS-2016-0001-0002)

### 3. Subheading: Bond and Surety Copies

**Description of Records:** Includes obligation and other copies of correspondence and related papers pertaining to award, administration, receipt, inspection, and payment (other than real property and tax exemption records).

**Note 1:** Records may contain information protected by statute. Restrict access.

**Note 2:** Includes records previously retained under file codes:

- 6560 – Bonding Administration – Bond and Surety Records – Obligation Copy.
- 6560 – Bonding Administration – Bond and Surety Records – Other Copies.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which administrative use ceases. Destroy one year after cut-off.

**Disposition Authority:** GRS 1.1/11 – (DAA-GRS-2013-0003-0002)

## File Code - Heading: 6570 - Claims

### 1. Subheading: Claims by or against the United States

**Description of Records:** Records of monetary or property claims by the United States subject to the Federal Claims Standards, completed or closed by:

- a. Payment in full.
- b. Compromise agreement.
- c. Termination of collection action.
- d. Determination that money or property is not owed to the United States.
- e. Approval or denial of claim waiver for erroneous payment of pay, travel, or relocation expenses to a civilian Federal employee.
- f. Lifting of court order.
- g. Also, records of monetary claims against the United States, completed or closed by:
  - (1) Disallowance in full.
  - (2) Allowance in full or in part with final payment awarded.
  - (3) Settlement, compromise, or withdrawal.

(4) Lifting of court order.

**Note 1:** Records may contain information protected by statute. Restrict access.

**Note 2:** Includes records previously retained under file codes:

- 6570 – Claims – Claims against the United States.
- 6570 – Claims – Claims for the United States.
- 6570 – Claims – Claims Not Owed.
- 6570 – Claims – Claims Subject to Litigation.
- 6570 – Claims – Collection Action NOT Terminated.
- 6570 – Claims – Collection Action Terminated.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which final action taken.  
Destroy seven years after cut-off.

**Disposition Authority:** GRS 1.1/080 – (DAA-GRS-2017-0005-0001)

**File Code - Heading: 6580 - Working Capital Fund**

**1. Subheading: Working Capital Fund Program Administration**

**Description of Records:** Records include general correspondence, budget reports, and rate computation worksheets.

**Disposition:** Temporary. Cutoff at end of FY. Destroy five years after cut-off.

**Disposition Authority:** N1-95-10-9/32

**File Code - Heading: 6590 - Property, Plant, and Equipment**

**1. Subheading: Property, Plant, and Equipment Program Administration**

**Description of Records:** Correspondence and general files of units responsible for property, plant, and equipment accounting operations.

**Note:** Previous subheading “General.”

**Disposition:** Temporary (see notes). Cutoff at end of FY in which records no longer needed for administrative use. Destroy two years after cut-off.

**Disposition Authority:** GRS 1.1/0001 - (DAA-GRS-2016-0013-0001)

**File Code - Heading: 6600 - Systems Management**

**1. Subheading: National and Departmental Standards**

**Description of Records:** Includes general correspondence, budget reports, plans, reviews, approvals, and rate computation worksheets. Correspondence with other agencies and the Department about the Federal Processing Standards (FIPS), American National Standards Institute (ANSI), International Standards Organization, Departmental Information Processing Standards (DIPS), or other standards programs.

**Note:** Includes records previously retained under file codes:

- 6600 – Systems Management – General.
- 6600 – Systems Management – National and Departmental Standards.
- 6600 – Systems Management – Systems Coordinating Council.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy five years after cut-off.

**Disposition Authority:** DAA-0095-2018-0048-0001

**2. Subheading: Information Technology (IT) Program Planning Records**

**Description of Records:** Records relating to the development of agency Information Technology (IT) programs. Included are records that document agency-wide IT goals; specify milestones to be achieved; identify performance measures for the agency's IT portfolio; or summarize the underlying principles and approach by which the agency will plan for and manage its IT resources. Records may include strategic and tactical plans documenting the implementation and maintenance of IT systems in support of the agency mission and may include records supporting formally issued plans, such as records of concurrence, comments, clearances, justifications, and other issuance records. Also includes A-11 reports documenting the budget process and general correspondence relating to systems coordination, long- and short-range plans and budget estimates.

**Note:** Includes records previously retained under file codes:

- 6600 – Systems Management – Coordination and Plans.
- 6600 – Systems Management – Tapes – A-11 Reports.
- 6600 – Systems Management – ADP Plans.
- 6600 – Systems Management – Application Systems.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy seven years after cut-off.

**Disposition Authority:** GRS 6.3/010 - (DAA-GRS-2017-0009-0001)

3. **Subheading: Backup – Incremental System**

**Description of Records:** Incremental system backups and library tape records - Backup files maintained for potential system restoration in the event of a system failure or other unintentional loss of data.

**Note:** Records may contain information protected by statute. Restrict access.

**Disposition:** Temporary (see notes). Destroy when superseded by a full backup, or when no longer needed for system restoration, whichever is later.

**Disposition Authority:** GRS 3.2/040 - (DAA-GRS-2013-0006-0005)

4. **Subheading: Backup - Full System**

**Description of Records:** Full system backups and library tape records - Backup files maintained for potential system restoration in the event of a system failure or other unintentional loss of data.

**Note:** Records may contain information protected by statute. Restrict access.

**Disposition:** Temporary (see notes). Destroy when superseded by a full backup, or when no longer needed for system restoration in the event of a system failure or other unintentional loss of data.

**Disposition Authority:** GRS 3.2/41 - (DAA-GRS-2013-0006-0006)

5. **Subheading: Backup – Master Files and Databases – Permanent Records**

**Description of Records:** Electronic copy, considered by the agency to be a federal record, of the master copy of an electronic record or file and retained in case the master file or database is damaged or inadvertently erased.

**Note:** Records may contain information protected by statute. Restrict access.

**Disposition:** Temporary (see notes). File identical to permanent records scheduled for transfer to National Archives: Destroy immediately after the identical records have been captured in a subsequent backup file or at any time after the transfer request has been signed by NARA.

**Disposition Authority:** GRS 3.2/50 - (DAA-GRS-2013-0006-0007)

6. **Subheading: Backup – Master Files and Databases – Temporary Records**

**Description of Records:** Electronic copy, considered by the agency to be a federal record, of the master copy of an electronic record or file and retained in case the master file or database is damaged or inadvertently erased.

**Note:** Records may contain information protected by statute. Restrict access.

**Disposition:** Temporary (see notes). File identical to temporary records authorized for destruction by a NARA approved records schedule: Destroy immediately after the identical records have been deleted or replaced by a subsequent backup file.

**Disposition Authority:** GRS 3.2/51 - (DAA-GRS-2013-0006-0008)

## 7. Subheading: Systems Facilities

**Description of Records:** Includes correspondence relating to ADP and telecommunications security facilities, including physical factors; that is, access control, power, fire, and the actual facilities; that is, computer hardware, software, telecommunication lines, and other equipment.

**Note:** Records may contain information protected by statute. Restrict access.

**Disposition:** Temporary (see notes). Cutoff when no longer needed for administrative use. Destroy three years after cut-off.

**Disposition Authority:** GRS 3.1/020 - (DAA-GRS-2013-0005-0004)

## 8. Subheading: Chief Information Officer Help Desk Records

**Description of Records:** Technical and administrative help desk operational records, including:

- a. Records of incoming requests (and responses) made by phone, email, web portal, and so forth.
- b. Trouble tickets and tracking logs.
- c. Quick guides and "Frequently Asked Questions."
- d. Evaluations and feedback about help desk services
- e. Analysis and reports generated from customer management data.
- f. Customer/client feedback and satisfaction surveys, including survey instruments, data, background materials, and reports.

**Note:** Records may contain information protected by statute. Restrict access.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which issue resolved. Destroy one year after cut-off.

**Disposition Authority:** GRS 5.8/010 - (DAA-GRS-2017-0001-0001)

9. **Subheading: Standards Program Management**

**Description of Records:** Obsolete – Records to be retained under 6610 – Computer Technology – Information Technology Oversight and Compliance.

10. **Subheading: Data Base Systems**

**Description of Records:** Obsolete. Retain records under file code 6680 – Security of Information - Configuration Management and Information System Documentation.

**File Code - Heading: 6610 - Computer Technology Management**

1. **Subheading: Commercial and Institutional Services**

**Description of Records:** General correspondence, agreements, and related records pertaining to financial management records of grants and cooperative agreements pertaining to computer technology management commercial and institutional services.

**Note 1:** Records may contain information protected by statute. Restrict access.

**Note 2:** Includes records previously retained under file codes:

- 6610 – Computer Technology Management – Commercial Services.
- 6610 – Computer Technology Management – Institutional Services.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which no longer needed for administrative use. Destroy six years after cut-off.

**Disposition Authority:** GRS 1.1/010 - (DAA-GRS-2013-0003-0001)

2. **Subheading: Information Technology Operations and Maintenance**

**Description of Records:** Information Technology Operations and Maintenance records relate to the activities associated with the operations and maintenance of the basic systems and services used to supply the agency and its staff with access to computers and data telecommunications. Includes the activities associated with IT equipment, IT systems, and storage media, IT system performance testing, asset, and configuration management, change management, and maintenance on network infrastructure. Records include:

- a. Files identifying IT facilities and sites.
- b. Files concerning implementation of IT facility and site management.
- c. Equipment support services provided to specific sites:

(1) Reviews.



- (2) site visit reports.
- (3) trouble reports.
- (4) equipment service histories.
- (5) reports of follow-up actions.
- (6) related correspondence.
- (7) Inventories of IT assets, network circuits, and building or circuitry diagrams.
- (8) Equipment control systems such as databases of barcodes affixed to IT physical assets and tracking of (approved) personally owned devices.
- (9) Requests for service.
- (10) work orders.
- (11) Service histories.
- (12) Workload schedules.
- (13) Run reports.
- (14) Schedules of maintenance and support activities.
- (15) Problem reports and related decision documents relating to the software infrastructure of the network or system.
- (16) Reports on operations.
- (17) measures of benchmarks.
- (18) performance indicators.
- (19) critical success factors.
- (20) error and exception reporting.
- (21) self-assessments.
- (22) performance monitoring.
- (23) management reports.
- (24) Website administration.

(25) Frames.

(26) Templates.

(27) style sheets.

(28) site maps.

(29) codes that determine site architecture.

(30) change requests.

(31) site posting logs.

(32) clearance records.

(33) requests for correction of incorrect links or content posted.

(34) requests for removal of duplicate information.

(35) user logs.

(36) search engine logs.

(37) audit logs.

d. Records to allocate charges and track payment for software and services.

e. Includes general correspondence relating to the administration of ADP and data communications equipment, software, and services acquisition.

**Exclusion:** Records needed to support contracts should be in procurement files.

**Note 1:** If any maintenance activities have a major impact on a system or lead to a significant change, those records should be maintained as part of the Configuration and Change Management Records.

**Note 2:** Includes records previously retained under file codes:

- 6610 – Computer Technology Management – Selection and Acquisition.
- 6610 – Computer Technology Management – Technical Authorization.
- 6610 – Computer Technology Management – Workload Forecasting.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which agreement, control measures, project, activity, or transaction is obsolete, completed, terminated, or superseded. Destroy three years after cut-off.

**Disposition Authority:** GRS 3.1/20 - (DAA-GRS-2013-0005-0004)

### 3. Subheading: Technology Management Administration

**Description of Records:** Records on day-to-day, routine information technology management. Records include:

- a. Correspondence,
- b. Subject files, including briefings, reports, presentations, and studies that do not relate to high-level decision-making.
- c. Data calls, and
- d. Operational and managerial guidance to organizational segments of the agency.

**Exclusion:** This item does not apply to the records of the Chief Information Officer. Contact the Forest Service Records Office for guidance.

**Note:** Includes records previously retained under file codes:

- 6610 – Computer Technology Management – General.
- 6610 – Computer Technology Management – Management and Administration.
- 6610 – Computer Technology Management – Computer Technology Standards.
- 6610 – Computer Technology Management – Studies – General.
- 6610 – Computer Technology Management – Study Reports – Final Report.
- 6610 – Computer Technology Management – Study Reports – Supporting Documentation.
- 6610 – Computer Technology Management – Support Services for Washington Office.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy five years after cut-off.

**Disposition Authority:** GRS 3.1/001 - (DAA-GRS-2016-0013-0002)

### 4. Subheading: USDA, Sharing Programs and Technical Services

**Description of Records:** General correspondence, agreements, computer printouts coordination, cooperative agreements, meetings, user relations, problems, microfiche related to the cost and workload reporting for Departmental Computer Centers. Includes Federal Government sharing programs and GSA Sharing Coordination--Form 2068. Includes records on availability and use of equipment, services, and other products other than by lease or purchase and reports required by GSA, OMB, and USDA. May include required case folders for NITC, Beltsville, or St. Louis.

**Note:** Includes records previously retained under file codes:

- 6610 – Computer Technology Management – Sharing Programs.
- 6610 – Computer Technology Management – Technical Services.
- 6610 – Computer Technology Management – USDA Services.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which no longer needed for administrative use. Destroy ten years after cut-off.

**Disposition Authority:** GRS 1.2/020 - (DAA-GRS-2013-0008-0001)

## 5. Subheading: Information Technology Oversight and Compliance

**Description of Records:** Information Technology (IT) Oversight and Compliance records relate to compliance with IT policies, directives, and plans. Records are typically found in offices with agency-wide or bureau-wide responsibility for managing IT operations.

Records include:

- a. Recurring and special reports,
- b. Responses to findings and recommendations,
- c. Reports of follow-up activities,
- d. Statistical performance data,
- e. Metrics,
- f. Inventory of web activity,
- g. Web use statistics,
- h. Comments/feedback from web site or application users,
- i. Internal and external reporting for compliance requirements relating to the Privacy Act, and electronic and Information technology accessibility under Section 508 of the Rehabilitation Act,
- j. System availability reports,
- k. Target IT architecture reports,
- l. Systems development lifecycle handbooks,
- m. Computer network assessments and follow-up documentation,
- n. Vulnerability assessment reports,

- o. Assessment and authorization of equipment.
- p. Independent Verification and Validation (IV&V) reports.
- q. Contractor evaluation reports.
- r. Quality assurance reviews and reports.
- s. Market analyses and performance surveys.
- t. Benefit-cost analyses.
- u. Make vs. buy analysis.
- v. Reports on implementation of plans.
- w. Compliance reviews.
- x. Data measuring or estimating impact and compliance.

**Note 1:** Copies of security plans are retained under Information Security Records. There may be copies interfiled within this series.

**Note 2:** Records may contain information protected by statute. Restrict access.

**Note 3:** Includes records previously retained under file codes:

- 6600 – Computer Technology Management – Standards Program Management.
- 6610 – Computer Technology Management – Planning.
- 6610 – Computer Technology Management – Reports – General.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which the project, activity, or transaction is completed. Destroy five years after cut-off.

**Disposition Authority:** GRS 3.1/040 - (DAA-GRS-2013-0005-0010)

## 6. Subheading: Infrastructure Project Records

**Description of Records:** Information Technology infrastructure, systems, and services project records document the basic systems and services used to supply the agency and its staff with access to computers and data telecommunications. Includes requirements for and implementation of functions such as:

- a. Maintaining network servers, desktop computers, and other hardware,

- b. Installing and upgrading network operating systems and shared applications, and
- c. Providing data telecommunications; and infrastructure development and maintenance such as acceptance/authorization of infrastructure components, analysis of component options, feasibility, costs and benefits, and work associated with implementation, modification, and troubleshooting.

**Note 1:** Records may contain information protected by statute. Restrict access.

**Note 2:** Includes records previously retained under file codes:

- 6610 – Computer Technology Management – Computer Management Plans.
- 6610 – Computer Technology Management – Facilities Technology.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which the project, activity, or transaction is completed.

**Disposition Authority:** GRS 3.1/010 - (DAA-GRS-2013-0005-0006)

## 7. Subheading: Information Technology Program Planning Records

**Description of Records:** Records relating to the development of Forest Service IT programs. Included are records that document agency-wide IT goals; specify milestones to be achieved; identify performance measures for the Forest Service's IT portfolio; or summarize the underlying principles and approach by which the Forest Service will plan for and manage its IT resources. Records may include strategic and tactical plans documenting the implementation and maintenance of IT systems in support of the Forest Service mission and may include records supporting formally issued plans, such as records of concurrence, comments, clearances, justifications, and other issuance records.

**Note:** Records may contain information protected by statute. Restrict access.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy seven years after cut-off.

**Disposition Authority:** GRS 6.3/010 - (DAA-GRS-2017-0009-0001)

## 8. Subheading: Training and Information Services

**Description of Records:** Obsolete due to GRS 2.6/010, retain records under file code 6140 – Employee Development, Performance, Awards - Training–Forest Service Sponsored

**File Code - Heading: 6620 - Computer Software Management**

**1. Subheading: Application Configuration and Change Records**

**Description of Records:** Records created and retained for system management, configuration and change management, and planning. Records include:

- a. Data and detailed reports on implementation of systems, applications, and modifications.
- b. Application sizing, resource, and demand management records.
- c. Documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting implementation of changes.
- d. Documentation of software distribution (including Commercial off the Shelf (COTS) software license management files) and release or version management.

**Note 1:** If any maintenance activities have a major impact on a system or lead to a significant change, those records should be maintained under this record item.

**Note 2:** Per NARA practice, documentation for permanent electronic records should be transferred with related records using the disposition authority for the records rather than the disposition authority assigned to this item.

**Note 3:** The Forest Service may retain a copy of documentation related to permanent electronic records. This copy may be destroyed at any time after the transfer request has been approved by NARA.

**Note 4:** Previous subheading "Application Migration Determinations."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which system is superseded by a new iteration, or is terminated, defunded, or no longer needed for agency/IT administrative purposes. Destroy five years after cut-off.

**Disposition Authority:** GRS 3.1/030 - (DAA-GRS-2013-0005-0005)

**2. Subheading: System Development Records**

**Description of Records:** Records relate to the development of information technology (IT) systems and software applications through their initial stages up until hand-off to production which includes planning, requirements analysis, design, verification and testing, procurement, and installation. Records include case files containing documentation of planning, decision making, designing, programming, testing, evaluation, and problem solving. Includes records such as:

- a. Project plans,
- b. Feasibility studies,
- c. Cost analysis,
- d. Requirements documents,
- e. Compliance documents including,
- f. Privacy Threshold Analyses,
- g. Privacy Impact Assessments,
- h. Security Plan,
- i. Information Protection Plan,
- j. Change control records,
- k. Project schedule,
- l. Plan of action and Milestones (POA&M),
- m. Configuration Management Plan,
- n. Resource Management Plan,
- o. Risk Assessment/Mitigation Plan,
- p. Security Plan,
- q. Disaster Recovery Plan,
- r. Test/Acceptance Plan,
- s. Quality Control Plan,
- t. Deployment Guide,
- u. User Guide, and
- v. Training Guide.

**Exclusion:** This item does not apply to system data or content.

**Note 1:** Retain technical documentation (for example, data dictionaries, file specifications, code books, records layouts, and so forth) related to the detailed, as-built



design or maintenance of an electronic system containing permanent records under file code 6620 – Computer Software Management – Documentation for Preservation of Permanent eRecords.

**Note 2:** Records may contain information protected by statute. Restrict access.

**Note 3:** Includes records previously retained under file codes:

- 6620 – Computer Software Management – Computer Applications Standards.
- 6620 – Computer Software Management – Correspondence – Review and Evaluation Process.
- 6620 – Computer Software Management – General.
- 6620 – Computer Software Management – Planning.
- 6620 – Computer Software Management – Project Case Folders.
- 6620 – Computer Software Management – Reviews and Evaluation.
- 6620 – Computer Software Management – Systems Support and Training.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which project terminated or completed. Destroy five years after cut-off.

**Disposition Authority:** GRS 3.1/011 - (DAA-GRS-2013-0005-0007)

### 3. Subheading: Special Purpose Computer Programs and Applications

**Description of Records:** Computer software programs or applications that are developed by the Forest Service or under its direction solely to use or maintain a master file or database authorized for disposal in a GRS item or a NARA-approved records schedule.

**Exclusion 1:** This item does not include software or applications necessary to use or maintain any unscheduled master file or database or any master file or database scheduled for transfer to NARA.

**Exclusion 2:** This item does not cover COTS programs or applications, unless the Forest Service has modified such programs or applications considerably to perform a mission-related function.

**Note:** Computer software needs to be kept as long as needed to ensure access to, and use of, the electronic records in the system through the authorized retention period to comply with Title 36, Code of Federal Regulations, Part 1236.10—What Records Management Controls Must the Agencies Establish for Records in Electronic Information Systems, Part 1236.12—What Other Records Management and Preservation Considerations Must be Incorporated into the Design, Development, and Implementation of Electronic Information Systems, Part 1236.14—What Must Agencies

Do to Protect Records Against Technological Obsolescence, and Part 1236.20—What are Appropriate Recordkeeping Systems for Electronic Records.

**Disposition:** Temporary (see notes). Cutoff when related master file or database has been deleted. Destroy immediately after cut-off.

**Disposition Authority:** GRS 3.1/012 - (DAA-GRS-2013-0005-0008)

**File Code - Heading: 6630 - Data Management**

**1. Subheading: Data Base Management, Coordination, Operations and Support**

**Description of Records:** Correspondence relating to data base development, management and operation standards, review and approval of Service-wide data standards, specification, design, review, multi-unit inputs and establishment of data bases, training plans, programs, and evaluations. Documentation relating to broad policy issues data management plans, workload forecasting, software and hardware support for data base design, operations, and operating guides for using national and chief and Staff database systems. Includes reviews and evaluations of existing and proposed data base management software. Case folder by project number and name. Includes only projects which have gone to feasibility study point or beyond.

**Exclusion:** This item does not apply to system data or content.

**Note 1:** For certain technical documentation (such as data dictionaries, file specifications, code books, record layouts, and so forth) related to the detailed, as-built design or maintenance of an electronic system containing permanent records, see GRS 3.1/050.

**Note 2:** Includes records previously retained under file codes:

- 6630 – Data Management – Data Base Coordination.
- 6630 – Data Management – Data Base Design.
- 6630 – Data Management - Data Base Operations and Support.
- 6630 – Data Management – Data Base Project Cases.
- 6630 – Data Management – Data Management Standards.
- 6630 – Data Management – General.
- 6630 – Data Management – Planning.
- 6630 – Data Management – Technology.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which project terminated or completed. Destroy five years after cut-off.

**Disposition Authority:** GRS 3.1/011 – (DAA-GRS-2013-0005-0007)

## 2. Subheading: Training

**Description of Records:** GRS 27-6 is obsolete. As appropriate, retain records under file codes:

- a. 6140 – Employee Development, Performance, Awards - Training–Forest Service Sponsored.
- b. 6140 – Employee Development, Performance, Awards – Training-Individual Employee Training Records.

## File Code - Heading: 6640 - Telecommunications

### 1. Subheading: Administrative and Operational Records

**Description of Records:** Records of radio/telecommunication services administration and operation. Records include:

- a. Agreements and related background data and other records regarding telecommunication and radio services that the Forest Service retains for administrative (not fiscal) use.
- b. Records that document acquiring, installing, changing, removing, and servicing telecommunication and radio service equipment. Includes records related to the procurement process such as general correspondence; awards; waivers, unsatisfactory equipment reports; contract orders from non-Forest Service organizations; and so forth.
- c. Telephone and mobile device use records with details on call origin/destination, date, time, duration, downloads, messaging, cost, and other data.
- d. Records documenting allocation, distribution, and use of telephone calling cards.
- e. Related correspondence.
- f. Records pertaining to radio system and frequency management, and radio tests and evaluations.

**Exclusion:** Agreements used to support payment vouchers. Retain such records, as appropriate, under file codes:

- 6310 – Small Purchases – Purchase Orders.
- 6610 – Computer Technology – Communication Services.
- 6610 – Computer Technology – Institutional Services.

**Note 1:** Create case or subject files as needed.

**Note 2:** Records may contain information protected by statute. Restrict access.

**Note 3:** Includes records previously retained under file codes:

- 6640 – Data Management – Data Communications.
- 6640 – Data Management – General.
- 6640 – Data Management – Plans.
- 6640 – Data Management – Radio Communications.
- 6640 – Data Management – Radio Frequency Management.
- 6640 – Data Management – Radio Procurement.
- 6640 – Data Management – Radio System File.
- 6640 – Data Management – Radio Tests and Evaluations.
- 6640 – Data Management – Data Base Coordination.
- 6640 – Data Management – Technical Approvals – Data Communications.
- 6640 – Data Management – Technical Approvals – Telephones.
- 6640 – Data Management – Telephone Communications.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which administrative use ceases (for example, end of agreement, end of FY, and so forth). Destroy three years after cut-off.

**Disposition Authority:** GRS 5.5/010 - (DAA-GRS-2016-0012-0001)

## 2. Subheading: Telephone Calling Card Abuse

**Description of Records:** Records of telephone calling card improper use or abuse.

**Note:** Records include confidential information, restrict access.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which investigation ends. Destroy three years after cut-off.

**Disposition Authority:** GRS 5.6/050 - (DAA-GRS-2017-0006-0006)

## File Code - Heading: 6680 - Security of Information, Information Systems, and Information Technology

### 1. Subheading: Information System Inventory

**Description of Records:** Records include inventory of agency information systems, as well as reports associated with development and monitoring of systems.

**Note 1:** This records retention schedule applies to textual (unstructured) records not retained in a USDA, CIO repository (such as CSAM).

**Note 2:** Records may contain information protected by statute. Restrict access.

**Disposition:** Temporary (see notes). Cutoff upon completion of the next inventory. Destroy three years after cut-off.

**Disposition Authority:** GRS 3.1/020 - (DAA-GRS-2013-0005-0004)

## 2. Subheading: Configuration Management and Information System Documentation

**Description of Records:** Records include:

- a. Configuration management records associated with information systems reported under the Federal Information Security Management Act (FISM) inventory requirements. Includes documentation of baseline configuration and configuration change control.
- b. General records regarding security of information, information systems, and information technology, including mission-related briefings, reports, presentations, studies, and correspondence not covered elsewhere in 6680.
- c. Documentation of information systems describing:
- d. Secure configuration, installation, and operation of the information system; effective use and maintenance of security features/functions.
- e. User-accessible security features/functions and use.
- f. Methods for secure user interaction with information system.
- g. User responsibilities for maintaining security of information and system; and
- h. Tracking of changes to the information system's documentation such as SSP, Risk Assessment, Security Control Assessment Reports, PTA, PIA-SORN, Contingency Plan, Configuration Management Plan, and POA&M under configuration management.
- i. Also includes vendor/manufacturer documentation that describes:
- j. Functional properties of the security controls used within the system; and
- k. High-level design of the information system in terms of subsystems and implementation details of security controls used within the system.
- l. Additionally, records may include documentation of unsuccessful attempts to obtain information.

**Note 1:** Documentation for permanent electronic records should be transferred with related records using the Disposition authority for the related electronic records.

**Note 2:** Combines records previously retained under the following file code 6680 - Security of Information, Information Systems, and Information Technology subheadings:

- Configuration Management.
- General.
- Information System Documentation.

**Note 3:** Records may contain information protected by statute. Restrict access.

**Note 4:** Includes records previously retained under file codes:

- 6600 – Systems Management – Database Systems.
- 6600 – Systems Management – security and Privacy Program Management.
- 6680 – Security of Information, Information Systems, and Information Technology – Configuration Management.
- 6680 – Security of Information, Information Systems, and Information Technology – General.
- 6680 – Security of Information, Information Systems, and Information Technology – Information System Technology.

**Disposition:** Temporary (see notes). Cutoff when system is superseded, terminated, defunded, or no longer needed for agency/IT administrative purposes. Destroy five years after cut-off.

**Disposition Authority:** GRS 3.1/030 - (DAA-GRS-2013-0005-0005)

### 3. Subheading: IT Accreditation and Authorization

**Description of Records:** Records documenting agency compliance with Federal Information Risk Management (IRM) laws and regulations, including systems and reports created to support compliance with the mandates of OMB, GAO, and other Federal IRM and IT oversight agencies. Records include:

- Forest Service IT Security Plans:** Plans will be reviewed, updated, and approved annually. Plans will address the purpose, scope, roles, responsibilities, management commitment, coordination among organizational entities, and compliance with agency policy.
- Critical Infrastructure Plans:** Records regarding information security issues addressed in the development, documentation, and updating of the critical infrastructure and key resource protection plan.
- Information Security Program Plans:** Records include overview of the requirements for the security program, description of program management controls, and enterprise common controls in place or planned for meeting

requirements. Also includes records regarding Senior Information Security Officer, information security resources, action plans, and information security performance measure reports.

- d. **Policy:** Records associated with development and adoption of policy regarding security of information, information systems, and information technology.
- e. **Risk Management Strategy:** Records regarding the comprehensive strategy to manage risk to Forest Service operations and assets, individuals, other organizations, and the Nation associated with the operation and use of information systems. Includes documentation of implementation and management of records management strategies across the Forest Service.
- f. **Annual legal and regulatory compliance reporting records:** Reports prepared by Forest Service CIO, Inspector General, or Senior Forest Service Official for Privacy. Includes reports prepared in compliance with Federal laws and regulations, such as the E-Government Act Public Law 107-347 (Pub. L. 107-347), Title III (FISM Act), and Title V (Confidential Information Protection and Statistical Efficiency Act), as codified in Title 44, United States Code, section 101 (44 U.S.C. 101).

**Note 1:** This records retention schedule applies to textual (unstructured) records not retained in a USDA, CIO official records repository (such as CSAM – Cyber Security Assessment and Management).

**Note 2:** Includes records previously retained in file code 6688 under the following subheadings:

- Reports – Regulatory Compliance (Annual).
- Individual System Security Plans and Authorizations.
- Information Security Program Plans.
- Forest Service IT Security Plan.
- Critical Infrastructure Plan.
- Policy.
- Risk Management Strategy.

**Note 3:** Records may contain information protected by statute. Restrict access.

**Note 4:** Includes records previously retained under file codes:

- 6680 – Security of Information, Information Systems, and Information Technology – IT Accreditation and Authorization.
- 6680 – Security of Information, Information Systems, and Information Technology – Reports – Regulatory Compliance (Annual)

- 6680 – Security of Information, Information Systems, and Information Technology – Individual System Security Plans and Authorizations.
- 6680 – Security of Information, Information Systems, and Information Technology – Information Security Program Plans.
- 6680 – Security of Information, Information Systems, and Information Technology – Forest Service IT Security Plan.
- 6680 – Security of Information, Information Systems, and Information Technology – Critical Infrastructure Plan.
- 6680 – Security of Information, Information Systems, and Information Technology – Policy.
- 6680 – Security of Information, Information Systems, and Information Technology – Risk Management Strategy.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy five years after cut-off.

**Disposition Authority:** GRS 4.2/080 - (DAA-GRS-2013-0007-0022)

#### 4. Subheading: Enterprise Architecture

**Description of Records:** Records include the actual Enterprise Architecture and Enterprise Architecture Repository (EAR), as well as records associated with development and maintenance of the Enterprise Architecture and the EAR. Includes documentation of considerations of information security and resulting analysis and risks to Forest Service operations, assets, individuals, other organizations, and the Nation, and documentation associated with alignment of the Forest Service enterprise architecture with the Federal Enterprise Architecture.

**Note 1:** This records retention schedule applies to textual (unstructured) records not retained in a USDA, CIO repository (such as CSAM).

**Note 2:** Records may contain information protected by statute. Restrict access.

**Disposition:** Temporary (see notes). Cutoff when superseded by a new iteration of the enterprise or information architecture. Destroy seven years after cut-off.

**Disposition Authority:** GRS 6.3/020 - (DAA-GRS-2017-0009-0002)

#### 5. Subheading: Mission/Business Process Definition

**Description of Records:** Records include documentation of mission/business processes associated with information security and risks to Forest Service operations, assets, individuals, other organizations, and the Nation. Additionally, includes records documenting information protection needs including revisions to business processes to achieve protection.



**Note:** This records retention schedule applies to textual (unstructured) records not retained in a USDA, CIO repository (such as CSAM).

**Disposition:** Temporary (see notes). Cutoff at end of FY in which the project, activity, or transaction has completed or been superseded. Destroy five years after cut-off.

**Disposition Authority:** GRS 3.1/040 - (DAA-GRS-2013-0005-0010)

## 6. Subheading: Systems and Data Security Records

**Description of Records:** These are records related to maintaining the security of information technology systems and data. Records outline official procedures for securing and maintaining IT infrastructure and relate to the specific systems for which they were written. This series also includes analysis of security policies, processes, and guidelines, as well as system risk management and vulnerability analyses. Records include:

- a. System Security Plans,
- b. Disaster Recovery Plans,
- c. Continuity of Operations Plans,
- d. Published computer technical manuals and guides,
- e. Examples and references used to produce guidelines covering security issues related to specific systems and equipment,
- f. Records on disaster exercises and resulting evaluations,
- g. Network vulnerability assessments,
- h. Risk surveys,
- i. Service test plans,
- j. Test files and data,
- k. Records regarding system administrator access to application configurations,
- l. Assignment of repository administrators,
- m. Documentation associated with storage and control of software code contents,
- n. System technical documentation regarding system software repository, and

- o. Documentation of actions taken to harden operating systems to the maximum extent and configurations to prevent circumvention of information technology security controls.

**Note 1:** This records retention schedule applies to textual (unstructured) records not retained in a USDA, CIO repository (such as CSAM).

**Note 2:** Includes records previously retained in file code 6688 under the following subheadings:

- Access Restrictions for Change.
- Information System Connections/Interconnections.
- Plan of Action - Security Deficiencies.
- Protection of Personally Identifiable Information.
- Security Assessment and Authorization.
- Security Authorization Process.
- Security Impact Analysis.

**Note 3:** Records contain information protected by statute. Restrict access.

**Note 4:** Includes records previously retained under file codes:

- 6680 – Security of Information, Information Systems, and Information Technology – Access Restrictions for Change.
- 6680 – Security of Information, Information Systems, and Information Technology – Information System Connections / Interconnections.
- 6680 – Security of Information, Information Systems, and Information Technology – Plan of Action - Security Deficiencies.
- 6680 – Security of Information, Information Systems, and Information Technology – Protection of Personally Identifiable Information.
- 6680 – Security of Information, Information Systems, and Information Technology – Security Assessment and Authorization.
- 6680 – Security of Information, Information Systems, and Information Technology - Security Authorization Process.
- 6680 – Security of Information, Information Systems, and Information Technology – Security Impact Analysis.

**Disposition:** Temporary (see notes). Cutoff after system is superseded by a new iteration or when no longer needed for agency/IT administrative purposes to ensure a continuity of security controls throughout the life of the system. Destroy one year after cut-off.

**Disposition Authority:** GRS 3.2/010 - (DAA-GRS-2013-0006-0001)

7. **Subheading: Personally Identifiable Information Extract Logs**

**Description of Records:** Records include logs that track the use of PII extracts by authorized users, containing some or all the following:

- a. Date and time of extract.
- b. Name and component of information system from which data is extracted.
- c. User extracting data.
- d. Data elements involved.
- e. Business purpose for which the data will be used.
- f. Length of time extracted information will be used.
- g. Also includes, if appropriate, justification and supervisory authorization for retaining extract longer than 90 days.

**Note:** Records may contain information protected by statute. Restrict access.

**Disposition:** Temporary (see notes). Destroy when business use ceases.

**Disposition Authority:** GRS 4.2/140 - (DAA-GRS-013-0007-0013)

8. **Subheading: PKI Administration**

**Description of Records:** Public Key Infrastructure (PKI) unique administrative records that establish or support authentication by tying the user to a valid electronic credential or other administrative non-PKI records that are retained to attest to the reliability of the PKI transaction process. Included are:

- a. **Policies and procedures planning records** - Related to defining and establishing PKI systems. Records relate to such activities as determining that a PKI should be established; creating project implementation plans; creating the Certificate Policy (CP), Certification Practice Statement (CPS), and other key operating documents; developing procedures in accordance with the CP and CPS; conducting risk analyses; developing records management policies (including migration strategies); and selecting the entity that will serve as Registration Authority (RA).
- b. **Stand-up configuration and validation records** - Related to installing and validating both the Certification Authority (CA) and RA, obtaining final approval or rejection from the agency's oversight or authorizing body, creating, and generating a CA signature key, testing security procedures for the CA and RA,

validating certification revocation procedures, and establishing back-up and storage for the PKI system.

- c. **Operation records** - Related to the certification application; certificate issuance and key generation (including key pair generation and private key loading and storage of private keys and components of private keys); certificate acceptance, validation, revocation, suspension, replacement, and renewal; creating and maintaining an event log; and installing and validating software updates.
- d. **Audit and monitor records**- Relate to conducting periodic internal and external reviews of auditable events specified in the Federal Bridge Certification Authority X.509 Certificate Policy and other Entity CA policies, monitoring compliance with security requirements specified in the CPS and other operating procedures, investigating internal fraud or misconduct, and conducting internal and external audits of software and systems security. Termination, consolidation, or reorganization records relate to terminating, consolidating, or reorganizing a PKI; notifying subscribers of decisions, transferring inactive keys and revocation certificate lists to storage repositories, transferring consenting subscribers' and certificates and related materials to a new Certificate Authority, destroying sensitive records involving privacy (in accordance with an authorized records schedule), and shutting down and disposing of RA hardware and CA.

**Note 1:** Select PKI administrative records serve as transaction records that must be retained as part of the trust documentation set with transaction-specific records. Agencies must determine which PKI administrative records are embedded with transaction-specific records as transaction records. These administrative records may vary from transaction-to-transaction.

**Note 2:** This records retention schedule applies to textual (unstructured) records not retained in a USDA, CIO repository (such as CSAM).

**Note 3:** Records may contain information protected by statute. Restrict access.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 20.5 years after cut-off.

**Disposition Authority:** GRS 3.2/060 - (N1-GRS-07-3, item 13a1) and item 061 (N1-GRS-07-3/13a2)

## 9. Subheading: PKI Transactions

**Description of Records:** Public Key Infrastructure transaction-specific records that are generated for each transaction using PKI digital signature technology. Records are embedded or referenced within the transaction stream and may be appended to the transaction content or information record. Along with PKI administrative and other administrative records, transaction-specific records are part of the PKI trust

documentation set that establish or support the trustworthiness of a transaction. They may vary from transaction-to-transaction and agency-to-agency. When retained to support the authentication of an electronic transaction content record (information record), PKI digital signature transaction records are program records.

**Note 1:** Extreme care must be taken when applying this records retention schedule. Destruction of transaction-specific and administrative records embedded in the transaction stream prior to the authorized retention of the information record that they access/protect will render the PKI incapable of performing what it is designed to do (protect and provide access to the information record). Due to the relative newness of PKI technology, both from an implementation and a litigation perspective, it is recommended that programs identify all PKI transaction records (including PKI select administrative records embedded in the transaction stream and transaction-specific records) to be retained as part of the trust documentation for the records the PKI is designed to protect and or access and link the retention of the transaction records with that of the information record it protects/accesses. Transaction records must be retained as trust documentation set records together with the content/information record.

**Note 2:** This record retention schedule applies to textual (unstructured) records not retained in a USDA, CIO repository (such as CSAM).

**Note 3:** Records contain information protected by statute. Restrict access.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 20.5 years after cut-off.

**Disposition Authority:** GRS 3.2/062 - (N1-GRS-07-3/13b)

#### 10. Subheading: Computer Security Incident Handling and Reporting

**Description of Records:** A computer incident within the Federal Government as defined by National Institute of Standards and Technology Special Publication 800-61, Computer Security Incident Handling Guide, Revision (August 2012), is a violation or imminent threat of violation of computer security policies, acceptable use policies, or standard computer security practices. This item covers records relating to attempted or actual system security breaches, including break-ins ("Hacks," Including Virus Attacks), improper staff usage, failure of security provisions or procedures, and potentially compromised information assets. It also includes agency reporting of such incidents both internally and externally. Records include:

- a. Reporting forms,
- b. Reporting tools,
- c. Narrative reports, and

- d. Background documentation.

**Note 1:** Includes records previously retained under file code:

- 6680 - Security of Information, Information Systems, and Information Technology - Reports—Computer Security Incident.
- 6680 - Security of Information, Information Systems, and Information Technology - Security Management Controls.

**Note 2:** Records contain information protected by statute. Restrict access.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which all necessary follow-up actions have been completed. Destroy three years after cut-off.

**Disposition Authority:** GRS 3.2/020 - (DAA-GRS-2013-0006-0002)

#### 11. Subheading: Privacy Impact Assessment

**Description of Records:** Records of PIA documenting whether certain privacy and data security laws, regulations, and agency policies are required; how the agency collects, uses, shares, and maintains PII; and incorporation of privacy protections into records systems as required by the E-Government Act of 2002 (Pub. L. 107-347, section 208), the Privacy Act of 1974 (5 U.S.C. 552a), and other applicable privacy laws, regulations, and agency policies. Includes significant background material detailing formulation of final products documentation.

**Disposition:** Temporary. Cutoff when superseding PIA is published, after system ceases operation, or (if PIA concerns a website) after website is no longer available to the public, as appropriate. Destroy three years after cut-off.

**Disposition Authority:** GRS 4.2/161 - (DAA-GRS-2016-0003-0004)

#### 12. Subheading: Privacy Threshold Analyses/Initial Privacy Assessments

**Description of Records:** PTAs and Initial Privacy Assessments (IPAs) records documenting whether an agency should conduct a PIA.

**Disposition:** Temporary. Cutoff when associated PIA is published or determination made that PIA is unnecessary.

**Disposition Authority:** GRS 4.2/160 - (DAA-GRS-2016-0003-0003)

#### 13. Subheading: Reports – Regulatory Compliance (Other)

**Description of Records:** All other legal and regulatory compliance reporting records prepared for Senior Forest Service Official for Privacy by individual system owners.

Includes reports prepared in compliance with Federal laws and regulations, such as the E-Government Act (Pub. L. 107-347), Title III (FISM Act), and Title V (Confidential Information Protection and Statistical Efficiency Act), as codified in 44 U.S.C Section 101.

**Disposition:** Temporary. Cutoff at end of FY. Destroy five years after cut-off.

**Disposition Authority:** GRS 4.2/081 - (DAA-GRS-2013-0007-0023)

#### 14. Subheading: System Access Records – No Special Access Accountability

**Description of Records:** These records are created as part of the user identification and authorization process to gain access to systems. Records are used to monitor inappropriate system access by users. User identification records generated according to preset requirements, typically system generated. A system may, for example, prompt users for new passwords every 90 days for all users. Records include:

- a. User profiles,
- b. Log-in files,
- c. Password files,
- d. Audit trail files and extracts,
- e. System usage files, and
- f. Cost-back files used to assess charges for system use.

**Exclusion:** Excludes records relating to electronic signatures

**Note 1:** Does not include monitoring for agency mission activities such as law enforcement.

**Note 2:** This records retention schedule applies to textual (unstructured) records not retained in a USDA, CIO repository (such as CSAM).

**Note 3:** Records may contain information protected by statute. Restrict access.

**Disposition:** Temporary (see notes). Destroy when business use ceases.

**Disposition Authority:** GRS 3.2/030 - (DAA-GRS-2013-0006-0003)

#### 15. Subheading: System Access Records – Special Access Accountability

**Description of Records:** These records are created as part of the user identification and authorization process to gain access to systems. Records are used to monitor

inappropriate system access by users. User identification records associated with systems which are highly sensitive and potentially vulnerable. Records include:

- a. User profiles,
- b. Log-in files,
- c. Password files,
- d. Audit trail files and extracts,
- e. System usage files, and
- f. Cost-back files used to assess charges for system use.

**Exclusion 1:** Excludes records relating to electronic signatures.

**Exclusion 2:** Does not include monitoring for agency mission activities such as law enforcement.

**Note 1:** This records retention schedule applies to textual (unstructured) records not retained in a USDA, CIO repository (such as CSAM).

**Note 2:** Records may contain information protected by statute. Restrict access.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which password is altered or user account is terminated. Destroy six years after cut-off.

**Disposition Authority:** GRS 3.2/031 - (DAA-GRS-2013-0006-0004)

**File Code - Heading: 6700 - Safety and Occupational Health**

**1. Subheading: Safety and Occupational Health Program Management, Promotions, and Reporting**

**Description of Records:** Includes records regarding program management, program promotions, reporting and accomplishments, and related matters.

**Exclusion:** Retain training materials under file code 6700 – Safety and Occupational Health – Occupational Health and Safety Training Records.

**Note:** Includes records previously retained under file code 6700 – Safety and Occupational Health – General.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy five years after cut-off.

**Disposition Authority:** DAA-0095-2018-0050-0001



## 2. Subheading: Occupational Health and Safety Training Records

**Description of Records:** 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.

**Exclusion 1:** Records appropriate for long-term retention in an OPF, such as academic transcripts and professional licenses. Retain such records under file code 6130 – Employment and Status Changes – Official Personnel Folder Long Term Records (GRS 2.2/040).

**Exclusion 2:** Training records related to job-specific activities or that may impact individual occupational health. Retain, as appropriate, under file code 6130 - Employment and Status Changes - Medical - EMF Long-Term Medical Records – Separated Employees and file code 6130 - Employment and Status Changes - Medical – EMF Temporary, or Short-Term Records (GRS 2.7/060 and 061).

**Note:** Includes records previously retained under file code 6700 – Safety and Occupational Health – General.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which training occurs or certification superseded, as appropriate. Destroy five years after cut-off.

**Disposition Authority:** GRS 2.7/030 - (DAA-GRS-2017-0010-0003)

## File Code - Heading: 6710 - Safety and Health Program Administration

### 1. Subheading: Safety and Health Programs

**Description of Records:** Includes records and correspondence regarding eSafety (or its successor), Program Evaluations, and the National Safety and Health Council. Also includes records associated with prevention of violence in the workplace.

**Exclusion:** The eSafety database system/application repository (or its successor) scheduled separately.

**Note:** Includes records previously retained under file codes:

- 6710 – Safety and Health Program Administration – General.
- 6710 – Safety and Health Program Administration – Violence in the Workplace Prevention.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy five years after cut-off.

**Disposition Authority:** DAA-0095-2018-0051-0001

**File Code - Heading: 6720 - Occupational Health**

**1. Subheading: Occupational Safety and Health Administration -Regulated Substance Monitoring and Exposure Records**

**Description of Records:** Records pertain to workplace environmental, OSHA-regulated substance monitoring and exposure. Specifically, the records pertain to area/general occupational exposure and select carcinogen exposure from hazardous chemical use in laboratories. Includes the Chemical Hygiene Plan. Records may include documentation associated with:

- a. Blood borne pathogens,
- b. Respiratory and environmental protection,
- c. Radiation protection,
- d. Employee occupational exposures,
- e. Surveillance (including medical surveillance),
- f. Assessments,
- g. Medical records,
- h. Test results, and
- i. Workplace remedial actions.

**Exclusion:** Employee-specific occupational exposure records appropriate for individual occupational medical case files are retained under file code 6130 - Employment and Status Changes - Medical - EMF Long-Term Medical Records – Separated Employees (GRS 2.7, item 060).

**Note 1:** Previous subheading “General.”

**Note 2:** Retain copy of relevant records as part of individual employee medical records under appropriate file code 6130 subheading.

**Note 3:** Retention established by OSHA Title 29, Code of Federal Regulations, Part 1910.1020—Access to Employee Exposure and Medical Records (d)(1)(ii) (29 CFR 1910.1020(d)(1)(ii)).

**Note 4:** Records may contain information protected by statute. Restrict access.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which monitoring is conducted. Destroy 30 years after cut-off.

**Disposition Authority:** GRS 2.7/040 - (DAA-GRS-2017-0010-0004)

2. **Subheading: Occupational Health Noise Monitoring and Exposure Records**

**Description of Records:** Records pertain occupational noise monitoring and exposure. Records may include documentation associated with:

- a. Hearing conservation,
- b. Employee occupational exposures,
- c. Surveillance (including medical surveillance),
- d. Assessments,
- e. Medical records,
- f. Test results, and
- g. Workplace remedial actions.

**Note 1:** Retain copy of relevant records as part of individual employee medical records under appropriate 6130 subheading.

**Note 2:** Retention established by OSHA Title 29, Code of Federal Regulations, Part 1910.95—Occupational Noise Exposure (m)(3)(i) (29 CFR 1910.95(m)(3)(i)).

**Note 3:** Records may contain information protected by statute. Restrict access.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which monitoring is conducted. Destroy two years after cut-off.

**Disposition Authority:** GRS 2.7/041 - (DAA-GRS-2017-0010-0005)

3. **Subheading: Occupational Health Lead (Pb), Coke Oven Emissions, Di bromochloropropane (DBCP), Acrylonitrile, and Inorganic Arsenic Monitoring and Exposure Records**

**Description of Records:** Workplace environmental monitoring and exposure records for Lead (Pb), Coke Oven emissions, Di bromochloropropane, Acrylonitrile, and Inorganic Arsenic monitoring and exposure records. Records may include documentation associated with:

- a. Employee occupational exposures,
- b. Surveillance (including medical surveillance),

- c. Assessments,
- d. Medical records,
- e. Test results, and
- f. Workplace remedial actions.

**Note 1:** Retain copy of relevant records as part of individual employee medical records under appropriate 6130 subheading.

**Note 2:** Legal Citation: Title 29, Code of Federal Regulations, Part 1910.1045—Acrylonitrile, Appendix A (vi)(C).

**Note 3:** Records may contain information protected by statute. Restrict access.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which monitoring is conducted. Destroy 40 years after cut-off.

**Disposition Authority:** GRS 2.7/042 - (DAA-GRS-2017-0010-0006)

#### 4. Subheading: Occupational Health Monitoring and Exposure Background Data

**Description of Records:** Records, such as consensus standards or other regulatory/non-regulatory documents, associated with related data. Background data to environmental (workplace) monitoring or measuring, such as laboratory reports and worksheets.

**Note 1:** The background data need only be retained for one year if the sampling results, the collection methodology (sampling plan), a description of the analytical and mathematical methods used, and a summary of other background data relevant to interpretation of the results obtained, are retained for at least 30 years. Retain such records under file code 6720 – Occupational Health Program - Occupational Health Substance Monitoring and Exposure Records (GRS 2.7/040).

**Note 2:** Legal Citation: 29 CFR Part 1910.1020 (d) (1) (ii) (A).

**Note 3:** Records may contain information protected by statute. Restrict access.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which monitoring is conducted. Destroy 40 years after cut-off.

**Disposition Authority:** GRS 2.7/043 - (DAA-GRS-2017-0010-0007)

#### 5. Subheading: Occupational Health Safety Data Sheets

**Description of Records:** Includes records pertaining to the identity of a chemical substance or agent.

**Exclusion:** Copies placed in individual occupational medical case files to document substances or agents to which employees are exposed should be retained under file code 6130 - Employment and Status Changes - Medical - EMF Long-Term Medical Records – Separated Employees (GRS 2.7/060).

**Note:** Based on OSHA requirements in 29 CFR 1910.1020 (d) (1) (ii) (B), safety data sheets may be discarded if some record of the identity (chemical name if known) of the substance or agent, where it was used, and when it was used is retained for at least 30 years. Retain such records under file code 6720 – Occupational Health Program - Occupational Health Substance Monitoring and Exposure Records (GRS 2.7/040).

**Disposition:** Temporary (see notes). Cutoff at end of FY in which business use ceases. Destroy immediately after cut-off.

**Disposition Authority:** GRS 2.7/050 - (DAA-GRS-2017-0010-0008)

## **File Code - Heading: 6730 - Accident Reporting and Investigation**

### **1. Subheading: Safety and Health Accident Investigation Records**

**Description of Records:** Records document accidents occurring on, in, or at Government-owned or -leased facilities, vehicles (land, water, and air), and property used by federal agencies. Case files include:

- a. Investigator's notes,
- b. Accident brief,
- c. Analysis,
- d. Description of the investigation, and related correspondence,
- e. Statements of witnesses,
- f. Warning notices,
- g. Records regarding arrests commitments, and traffic violations,
- h. Accident and incident reports, and
- i. Appendix material.

**Exclusion 1:** Records relating to aircraft used by the Forest Service, including leased aircraft as the FAA and NTSB cover these records under agency-specific schedules.

**Exclusion 2:** Workers' compensation (personnel injury compensation) records.

**Exclusion 3:** Records maintained by fleet management about vehicle and vessel accidents.

**Exclusion 4:** Records retained in the Forest Service's Safety and Health database (eSafety or its successor).

**Exclusion 5:** Law enforcement records.

**Exclusion 6:** Records pertaining to security incidents are retained under file code 1590 - Disaster and Emergency Operations, and Homeland Security – Security Incident Records.

**Exclusion 7:** Retain records related to employee occupational exposures under file code 6730 – Accident Reporting and Investigation - Occupational Health Program Administrative Records Including Documentation of Occupational Exposures and as part of individual employee medical records under appropriate 6130 subheading.

**Note 1:** Files may contain PII, and other information protected by statute, store in secure area, control access.

**Note 2:** As appropriate, retain copy of investigation report with Forest Service-owned or –leased vehicle records.

**Note 3:** Previous subheading “Accident Investigations.”

**Disposition:** Temporary (see notes). Cutoff at end of FY in which case closed. Destroy three years after cut-off.

**Disposition Authority:** GRS 5.6/100 - (DAA-GRS-2017-0006-0013)

## 2. Subheading: Accident Reporting and Investigation Program Administrative Records

**Description of Records:** Correspondence and records related to accident reporting and investigations, operating guides for using National, Chief, and Staff database systems.

**Note 1:** Files may contain PII, store in secure area, control access.

**Note 2:** Previous subheading “General.”

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy five years after cut-off.

**Disposition Authority:** N1-95-10-10/147

## 3. Subheading: Historically Significant Accident Investigations

**Description of Records:** Records include case records, investigator's notes, accident brief, analysis, appendix material, description of the investigation, and related

correspondence associated with investigations of Forest Service accidents deemed historically significant to the Forest Service or the Federal government.

**Note 1:** Files may contain PII, store in secure area, control access.

**Note 2:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 3:** NARA has determined that no exception to GRS 5.4/140 is required. Records of significant accident investigations are not covered by the GRS.

**Note 4:** Records may contain information protected by statute. Restrict access.

**Disposition:** Permanent (see notes). Cutoff at end of FY in which case closed. Transfer to NARA 15 years after cut-off.

**Disposition Authority:** N1-95-10-7/4

#### **File Code - Heading: 6740 - Radiation Safety**

##### **1. Subheading: Radiation Protection**

**Description of Records:** Records and correspondence regarding employee radiation protection program.

**Exclusion:** File any records pertaining to Personal Protective Equipment and Clothing under 6710.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy five years after cut-off.

**Disposition Authority:** DAA-0095-2018-0053-0001

#### **File Code - Heading: 6760 - Employee Health and Work/Life Programs**

##### **1. Subheading: Employee Health and Work/Life Administration**

**Description of Records:** Records pertain to childcare and elder/adult dependent care

**Exclusion 1:** File code 6760 - Blasting and Explosives has been discontinued, previously filed under file code 6760, with three to five-year retention period. Maintain all Blasting and Explosives safety records under 6700.

**Exclusion 2:** File telework records under 6160.

**Note 1:** Files may contain PII, store in secure area, control access.

**Note 2:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy five years after cut-off.

**Disposition Authority:** N1-95-10-8/26

**File Code - Heading: 6800 - Information Management**

**1. Subheading: IT Program Planning Records**

**Description of Records:** Records relating to the development of agency IT programs. Included are records that document Forest Service-wide IT goals; specify milestones to be achieved; identify performance measures for the Forest Service's IT portfolio; or summarize the underlying principles and approach by which the Forest Service will plan for and manage its IT resources. Records may include strategic and tactical plans documenting the implementation and maintenance of IT systems in support of the Forest Service mission and may include records supporting formally issued plans, such as records of concurrence, comments, clearances, justifications, and other issuance records.

Records include, but not limited to:

- a. Correspondence and general records associated with information management.
- b. Planning documents.
- c. Inventory and performance data.
- d. Designs, diagrams, and other business system artifacts.
- e. National Information Requirements proposals.
- f. The final report of the Information Resource Management Plans, special studies, and other reports leading to information planning and policy making.

**Exclusion:** This item does not apply to the data content or design of individual IT systems.

**Note 1:** Records may contain information protected by statute. Restrict access.

**Note 2:** Includes records previously retained under file codes:

- 6800 – Information Management – General.
- 6810 – Information Management Standards – General.
- 6810 – Information Management Standards – Plans and Studies.



**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy seven years after cut-off.

**Disposition Authority:** GRS 6.3/010 - (DAA-GRS-2017-0009-0001)

**File Code - Heading: 6820 - Section 508 Compliance**

**1. Subheading: Section 508 Oversight and Compliance**

**Description of Records:** Information Technology Oversight and Compliance records relating to compliance with Section 508 IT policies, directives, and plans. Records include documentation relating to electronic and Information technology accessibility under Section 508 of the Rehabilitation Act.

**Note 1:** Create project files as needed.

**Note 2:** Includes records previously retained under file codes:

- 6820 – Section 508 Compliance – General.
- 6820 – Section 508 Compliance – Oversight and Compliance.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which project, activity, or transaction is completed or superseded. Destroy five years after cut-off.

**Disposition Authority:** GRS 3.1/040 - (DAA-GRS-2013-0005-010)

**File Code - Heading: 6900 - Emergency Medical Services**

**1. Subheading: Emergency Medical Services**

**Description of Records:** The Forest Service has partnered with the National Park Service (NPS) Public Law 113-76 to use their Emergency Medical Service (EMS) Program's established policies, procedures, and program support functions to establish and implement a Forest Service EMS Program to provide emergency medical care for employees, volunteers, partners, cooperators, and on occasion, members of the public on Forest Service-managed lands.

The NPS has a well-established EMS framework with a clearly identified scope of practice, protocols, medical direction, and credentialing process. The Forest Service is adopting most of the NPS EMS Program and policy document, Reference Manual 51 (RM-51), with some deviations. Specifically, the Forest Service is not adopting NPS EMS Program and policy direction relating to the routine provision of scheduled, regular, or on-call assistance to the public. The Forest Service will not deviate from the NPS EMS Field Manual 51 (FM-51), which identifies the approved clinical care protocols.

**Disposition:** Permanent. Cutoff at end of FY. Transfer to NARA 15 years after cut-off.

**Disposition Authority:** DAA-GRS-2017-0010-0002

**File Code - Heading: 6920 - Emergency Medical Service Needs Assessment**

**1. Subheading: Needs Assessment and Emergency Medical Services Plan**

**Description of Records:** Records related to the Needs Assessment process used to assist managers in the development and ongoing evaluation of an R/S/LEI EMS Program. A needs assessment must be completed every three years or more frequently as necessary. The needs assessment and emergency medical services plan will include:

- a. Automated External Defibrillators.
- b. Supplies and Equipment.
- c. Prescription Medications and Controlled Substances.
- d. Hepatitis B vaccinations per the Bloodborne Pathogens Program.
- e. Military Supply Consideration.

**Disposition:** Temporary. Cutoff at end of FY. Destroy six years after cut-off.

**Disposition Authority:** Pending NARA approval

**File Code - Heading: 6930 - Medical Oversight**

**1. Subheading: Medical Oversight and Training**

**Description of Records:** Records related to the protocols and procedures identified in the NPS RM-51, Chapter 20: National Park Service Emergency Medical Services Field Manual.

**Disposition:** Temporary. Cutoff at end of FY. Destroy six years after cut-off.

**Disposition Authority:** Pending NARA approval

**File Code - Heading: 6940 - Legalities and Ethics**

**1. Subheading: Legalities and Ethics**

**Description of Records:** Records related to the procedures for proper documentation and reporting, complying with OSHA and other Federal regulations, assuring the rights of patients who come under the care of employees of the Forest Service.

**Disposition:** Temporary. Cutoff at end of FY. Destroy seven years after cut-off.

**Disposition Authority:** Pending NARA approval

**File Code - Heading: 6950 - Public Information and Education**

**1. Subheading: Public Information and Education**

**Description of Records:** Records related to the Forest Service providing information to the public and new media, consistent with applicable laws, USDA policy, and Forest Service guidelines. The Forest Service shall:

- a. Ensure regulatory and policy compliance with respect to information release.
- b. Establish appropriate guidelines concerning relations with representatives of the media.
- c. Promote education of EMS related subjects.
- d. Ensure that methods of obtaining follow-up patient information are established as part of a Continuing Quality Improvement Program.

**Disposition:** Temporary. Cutoff at end of FY. Destroy seven years after cut-off.

**Disposition Authority:** Pending NARA approval

**File Code - Heading: 6960 - Agency and Non-Agency Assistance**

**1. Subheading: Agency and Non-Agency Assistance**

**Description of Records:** Records related to the Forest Service providing EMS transportation of patients. This includes transportation and treatment of employees, partners and cooperators, and members of the public lost or injured on NFS lands and deliver to the appropriate response agency personnel.

**Disposition:** Temporary. Cutoff at end of FY. Destroy six years after cut-off.

**Disposition Authority:** Pending NARA approval

## 42.7 - 7000 Series File Codes

The following provides guidance for managing Forest Service unstructured records in electronic formats. Staffs maintaining records electronically must immediately begin use of the Electronic Records Retention Schedule and store records in official Forest Service designated repositories.

### File Code - Heading: 7100 - Engineering Operations

#### 1. Subheading: Engineering Operations Administration Records

**Description of Records:** General records associated with engineering management activities, including records pertaining to cooperators, not covered elsewhere in this schedule.

**Note 1:** File case folders by cooperator name.

**Note 2:** Includes records previously retained under file codes:

- 7100 – Engineering Operations – Cooperation.
- 7100 – Engineering Operations – General.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which administrative use ceases. Destroy five years after cut-off.

**Disposition Authority:** DAA-0095-2018-0068-0001

#### 2. Subheading: Inquiries

**Description of Records:** Obsolete. File standard inquiries and responses under file code 6270 – Availability of Records – General Information Requests.

### File Code - Heading: 7110 - Engineering Management

#### 1. Subheading: Engineering Certificates

**Description of Records:** Examination results and supporting documentation associated with engineering management certification.

**Note 1:** Records covered by Privacy Act System of Records USDA/FS-04 – Certification of Engineering Personnel.

**Note 2:** Previous subheading: “Certification Program.”

**Disposition:** Temporary (see notes). Cutoff at end of FY in which certification revoked or case file closed. Destroy five years after cut-off.

**Disposition Authority:** N1-95-10-10/150

2. **Subheading: Engineering Management Administrative Records**

**Description of Records:** Records associated with engineering management not covered elsewhere in this schedule, including general documentation pertaining to Engineering Certification Program not pertaining to individual certifications.

**Note:** Previous subheading: "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy five years after cut-off.

**Disposition Authority:** N1-95-10-10/153

3. **Subheading: Engineering Publications**

**Description of Records:** Correspondence, case files and information retrieval documentation.

**Exclusion:** Retain record copy of actual publication under file code 1630 – Publishing and Related Activities – Publications.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which publication issued. Destroy five years after cut-off.

**Disposition Authority:** N1-95-10-10/152

4. **Subheading: Engineering Preconstruction and Construction Test Data**

**Description of Records:** Test data and related correspondence.

**Note:** Includes records previously retained under file codes:

- 7110 – Engineering Management – Construction.
- 7110 – Engineering Management – Preconstruction.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which administrative and legal use ceases. Destroy five years after cut-off.

**Disposition Authority:** DAA-0095-2018-0070-0001

**File Code - Heading: 7120 - Equipment Development**

1. **Subheading: Equipment Development Program, Projects, Facilities and Reports**

**Description of Records:** Includes progress reports and final reports on projects developed and tested by Equipment Development Centers. Includes general correspondence relating to equipment development, test, trial and standardizations,

programs, projects, buildings, laboratory, and facilities. Records about program activities including budget matters and specific project assigned for development and testing.

**Note:** Includes records previously retained under file codes:

- 7120 – Engineering Development – Facilities.
- 7120 – Engineering Development – Projects.
- 7120 – Engineering Development – Reports.
- 7120 – Engineering Development – General.
- 7120 – Engineering Development – Program.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which administrative use ceases. Destroy 20 years after cut-off.

**Disposition Authority:** DAA-0095-2018-0099-0001

## **File Code - Heading: 7130 - Fleet Equipment Management**

### **1. Subheading: Fleet Administrative and Operational Records**

**Description of Records:** General records, including correspondence and miscellaneous records associated with acquisition and operation of fleet equipment (land vehicles and water vessels) not covered elsewhere in this schedule. Includes fleet operating records, including tear sheets, relating to gas and oil consumption, dispatching, and scheduling. Includes records regarding garaging location (as required in USDA mandated property accounting management system).

**Note:** Includes records previously retained under file codes:

- 6430 – Fleet Equipment Management – Acquisitions, Identification, and Classification.
- 6430 – Fleet Equipment Management – Annual Motor Vehicle and Equipment Reports.
- 6430 – Fleet Equipment Management – Fleet Assignment and Utilization.
- 6430 – Fleet Equipment Management – Use and Storage.
- 7130 – Fleet Equipment Management – Fleet Assignment and Utilization.
- 7130 – Fleet Equipment Management – Annual Motor Vehicle and Equipment Reports.
- 7130 – Fleet Equipment Management – Fleet Equipment Acquisition, Identification, and Classification.
- 7130 – Fleet Equipment Management – General.
- 7130 – Fleet Equipment Management – HRP Fleet Equipment.
- 7130 – Fleet Equipment Management – Interagency Motor Vehicle Pools and Systems.
- 7130 – Fleet Equipment Management – Use and Storage.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy three years after cut-off.

**Disposition Authority:** GRS 5.4/010 - (DAA-GRS-2016-0011-0001)

## 2. Subheading: Vehicle and Equipment Ownership Records and Operation Manuals

**Description of Records:** Vehicle and equipment identification, registration, and warranty records. Also, manuals and similar documentation, whether produced locally or by the manufacturer.

**Disposition:** Temporary. Cutoff when vehicle or item transferred to new owner or excessed. Transfer records with vehicle or item to new owner or dispose of when it is excessed, as appropriate.

**Disposition Authority:** GRS 5.4/030 - (DAA-GRS-2016-0011-0003)

## 3. Subheading: Disposal of Fleet Equipment

**Description of Records:** Includes SF-120/122/123 Report of Excess Personal Property/Transfer of Excess Personal Property, Exchange/Sale or Trade-In information related to the disposal/replacement of land and water vehicles or specific piece of equipment.

**Exclusion 1:** Retain general records not associated with a specific vehicle or piece of equipment under file code 7130 – Fleet Equipment Management - Fleet Administrative and Operational Records.

**Exclusion 2:** Records documenting financial management of surplus property disposal by sale.

**Note:** Includes records previously retained under file codes:

- 6430 – Fleet Equipment Management – Disposal of Fleet Equipment.
- 7130 – Fleet Equipment Management – Disposal of Fleet Equipment.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which equipment/vehicle leaves agency custody/ownership. Destroy three years after cut-off.

**Disposition Authority:** GRS 5.4/40 - (DAA-GRS-2016-0011-0004)

## 4. Subheading: Inspection, Maintenance, and Repair

**Description of Records:** Records documenting inspection, maintenance, service, and repair activities relating to land vehicles and watercraft. Includes work orders, service

and repair requisitions, and logs descriptions of provided service and repair, and related papers.

**Note:** Transfer of extant records to new owner at sale or donation is authorized.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which vehicle or equipment leaves agency custody/ownership. Destroy three years after cut-off.

**Disposition Authority:** GRS 5.4/090 - (DAA-GRS-2016-0011-0004)

## 5. Subheading: Operator Records

**Description of Records:** Records pertaining to government issued cards authorizing individuals to operate Government-owned motor vehicles and equipment, including tests, certification, use authorization, safe driving/use awards, and related records.

**Note 1:** May contain PII, store in secured environment. Lock files. Restrict access.

**Note 2:** Includes records previously retained under file codes:

- 7130 – Fleet Equipment Management – Operator Cards.
- 7130 – Fleet Equipment Management Qualification, Testing, and Training of Drivers, Operators, and Mechanics.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which employee separates or authorization to operate Government-owned vehicle is revoked. Destroy three years after cut-off.

**Disposition Authority:** GRS 5.4/110 – (DAA-GRS-2016-0011-0014)

## 6. Subheading: Vehicle and Vessel Accident and Incident Records

**Description of Records:** Records pertaining to fleet vehicle and vessel accidents (land, water, and air) that vehicle management offices maintain. Records may include copies of reporting forms and investigative reports (not originals).

**Exclusion 1:** Workers' compensation (personnel injury compensation) records.

**Exclusion 2:** Original formal accident and incident investigation records are retained under file code 6730 – Accident Reporting and Investigation – Accident Investigations.

**Note 1:** Supervisor's Office maintains official record, do not send to FRC.

**Note 2:** All accidents are to be recorded in the Safety and Health Information Portal System (SHIPS), accessed via Dashboard.

**Note 3:** The SHIPS database system/application repository scheduled separately.



**Disposition:** Temporary (see notes). Cutoff at end of FY in which case closed. Destroy three years after cut-off.

**Disposition Authority:** GRS 5.4/140 – (DAA-GRS-2016-0011-0017)

**File Code - Heading: 7140 - Geospatial**

**1. Subheading: Aerial Photography – Color Analog Film**

**Description of Records:** Color analog aerial photography film of domestic national forests and grasslands created for the Forest Service.

**Note 1:** Records covered by this item are created and maintained on analog film.

**Note 2:** Retention period begins at time of creation.

**Note 3:** Records created before 1/1/2005: Transfer to NARA no later than ten years after the effective date of revised schedule (1/1/2018). Delay is solely for the purpose of digitizing the analog film. After ten years has elapsed the film must be transferred to NARA, regardless of whether digitization has been completed. Records created after 1/1/2006: Transfer to NARA when 15 years old.

**Note 4:** Obtain concurrence from USDA OGC in Washington, DC prior to transferring pre-2000 imagery and supporting documentation to NARA. Requests for concurrence shall include itemized index of records to be transferred to NARA. PERMANENT (see note); DAA-0095-2016-0001-0002 Aerial Photography – Color Analog Film Color analog aerial photography film of domestic national forests and grasslands created for the Forest Service.

**Disposition:** Permanent (see notes). Transfer to NARA when 15 years old.

**Disposition Authority:** DAA-0095-2016-0001-0002

**2. Subheading: Aerial Photography – Digital Imagery Not in Analog Format**

**Description of Records:** Records consist of original aerial photography images of national forests and grasslands created using electronic imaging technology, retained wholly within electronic environment or on electronic media, and not reproduced on film (analog) negatives.

**Note 1:** Retention period begins at time of creation. Transfer to NARA 15 years after creation.

**Note 2:** Records are retained within Forest Service's electronic data system or retained by Agency's designated agent (such as Farm Services Administration) until eligible for transfer to National Archives.

**Note 3:** Obtain concurrence from USDA OGC in Washington, DC prior to transferring pre-2000 imagery and supporting documentation to NARA. Requests for concurrence shall include itemized index of records to be transferred to NARA.

**Disposition:** Permanent (see notes). Transfer to NARA 15 years after creation.

**Disposition Authority:** DAA-0095-2016-0001-0003

3. **Subheading: Aerial Photography – Digital Imagery also in Analog Format**

**Description of Records:** Aerial photography imagery created from analog film using electronic imaging technology and retained within an electronic environment or on electronic media.

**Note 1:** Retention period begins at time of creation.

**Note 2:** Retain within Forest Service for reference purposes.

**Note 3:** Dispose of when no longer needed for Forest Service business.

**Note 4:** Obtain concurrence from USDA OGC in Washington, DC prior to transferring to off-site storage or disposing of pre-2000 imagery. Requests for concurrence shall include itemized index of records to be transferred or destroyed (including copies). Temporary (see note); DAA-0095-2016-0001-0004 Aerial Photography – Digital Imagery also in Analog Format Aerial photography imagery created from analog film using electronic imaging technology and retained within an electronic environment or on electronic media.

**Disposition:** Temporary (see notes). Destroy when no longer needed for agency business.

**Disposition Authority:** DAA-0095-2016-0001-0004

4. **Subheading: Aerial Photography – Film Reports**

**Description of Records:** Files consisting of information regarding the film, such as county, mileage, year flown, roll number, calibration information, and so forth.

**Note 1:** Retention begins at point of creation.

**Note 2:** Transfer to NARA 15 years after creation.

**Note 3:** Obtain concurrence from USDA OGC in Washington, DC prior to transferring pre-2000 imagery and supporting documentation to NARA. Requests for concurrence shall include itemized index of records to be transferred to NARA.

**Disposition:** Permanent (see notes). Transfer to NARA 15 years after creation.

**Disposition Authority:** DAA-0095-2016-0001-0006

5. **Subheading: Aerial Photography – Legacy Black and White Analog Aerial Photography Negative Film**

**Description of Records:** Black and white analog legacy aerial photography negative film of domestic national forests and grasslands created for the Forest Service.

**Note 1:** This item specifically covers analog film retained in hardcopy created before 2013.

**Note 2:** Retention period begins at time of creation.

**Note 3:** Transfer to NARA no later than ten years after the effective date of revised schedule (1/1/2018). Delay is solely for the purpose of digitizing the analog film. After ten years has elapsed the film must be transferred to NARA, regardless if digitization has been completed.

**Note 4:** Includes records previously retained under file code 7140 – Geospatial – Aerial Photography – Negatives and Indexes.

**Note 5:** Obtain concurrence from USDA, OGC in Washington, DC prior to transferring pre-2000 imagery and supporting documentation to NARA. Requests for concurrence shall include itemized index of records to be transferred to NARA.

**Disposition:** Permanent (see notes). Transfer to NARA ten years after the film elapsed.

**Disposition Authority:** DAA-0095-2016-0001-0001

6. **Subheading: Aerial Photography – Negative/Imagery Indices**

**Description of Records:** Records consist of indices of aerial images of domestic national forests and grasslands managed by the Forest Service.

**Note 1:** Transfer a copy of the index to NARA when corresponding film negatives or digital images are transferred.

**Note 2:** Records accompany transfers to NARA with film negatives or digital images described under items 1, 2, and 3 of this schedule.

**Note 3:** Transfers to NARA will begin no later than five years after the date this records schedule is approved. Date span will be based on transfers of items scheduled under DAA-0095-2016-0001-0001, DAA-0095-2016-0001-0002, and DAA-0095-2016-0001-0003.

**Note 4:** Includes records previously retained under file code 7140 – Geospatial – Aerial Photography – Negatives and Indexes.

**Note 5:** Obtain concurrence from USDA OGC in Washington, DC prior to transferring pre-2000 imagery and supporting documentation to NARA. Requests for concurrence shall include itemized index of records to be transferred to NARA.

**Disposition:** Permanent (see notes). Transfer to NARA five years after cutoff.

**Disposition Authority:** DAA-0095-2016-0001-0005

## 7. Subheading: Cartographic Base Products

**Description of Records:** Records include the final version of large-scale topographic maps, intermediate scale, and small-scale maps, along with related production materials such as project checklists noting data used to create or update maps.

**Exclusion 1:** Non-obsolete forms of printing production materials (for example, line and halftone negatives, screened paper prints, and offset lithographic plates), line copies of graphs and charts, map negatives, as well as cartographic records prepared during intermediate stages of publication that may be found in older project files are retained per file code 1650 – Media Relations – Public Affairs Production Files.

**Exclusion 2:** Geographic Information System data files used in production are maintained in the corporate geodatabase and scheduled separately.

**Exclusion 3:** Map negatives and Mylar copies are retained under file code 7140 – Geospatial – Geospatial Projects.

**Note 1:** One copy of each commercially printed hardcopy map is sent to NARA via automatic distribution at the time of publication. Send copy to: National Archives and Records Administration, Special Media Records Division, Cartographic Branch, 8601 Adelphi Road, College Park, MD 20740-6001.

**Note 2:** Electronic version of all maps created (such as PDF version) shall be transferred to National Archives and Records Administration, Special Media Records Division, Cartographic Branch, 8601 Adelphi Road, College Park, MD 20740-6001.

**Disposition:** Permanent (see notes). Cutoff at end of FY in which the map is produced. Transfer to NARA at end of FY.

**Disposition Authority:** N1-95-88-2

## 8. Subheading: Other Cartographic Products

**Description of Records:** Special custom map products (such as thematic maps and aerial fire-retardant avoidance maps) created by Forest Service for specific business needs. Records include maps, working papers, and documents.

**Exclusion 1:** Non-obsolete forms of printing production materials (for example, line and halftone negatives, screened paper prints, and offset lithographic plates), line copies of graphs and charts, as well as cartographic records prepared during intermediate stages of publication that may be found in older project files are retained per file code 1650 – Media Relations – Public Affairs Production Files.

**Exclusion 2:** Geographic Information System data scheduled separately.

**Exclusion 3:** Map negatives and Mylar copies are retained under file code 7140 – Geospatial – Geospatial Projects.

**Note 1:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 2:** If hardcopy records exist, send closed records to FRC storage at end of the FY.

**Note 3:** Copies of maps produced may also be retained as part of specific project files (such as an EIS or Forest Plan Revision).

**Disposition:** Permanent (see notes). Cutoff at end of FY in which the map is produced. Transfer to NARA 15 years after cut-off.

**Disposition Authority:** N1-95-10-7

## 9. Subheading: Visitor Information Maps

**Description of Records:** Records include the final version of intermediate scale visitor map along with related production materials such as project checklists noting data used to create or update maps.

**Exclusion 1:** Non-obsolete forms of printing production materials (for example, line and halftone negatives, screened paper prints, and offset lithographic plates), line copies of graphs and charts, as well as cartographic records prepared during intermediate stages of publication that may be found in older project files are retained per file code 1650 – Media Relations – Public Affairs Production Files.

**Exclusion 2:** Geographic Information System data files used in production are maintained in the corporate geodatabase and scheduled separately.

**Exclusion 3:** Map negatives and Mylar copies are retained under file code 7140 – Geospatial – Geospatial Projects.

**Note 1:** One copy of each hardcopy map is sent to NARA via automatic distribution at the time of publication. Send copy to: National Archives and Records Administration, Special Media Records Division, Cartographic Branch, 8601 Adelphi Road, College Park, MD 20740-6001.

**Note 2:** Electronic version of all maps created (such as PDF version) shall be transferred to NARA and Records Administration, Special Media Records Division, Cartographic Branch, 8501 Adelphi Road, College Park, MD 20740-6001.

**Disposition:** Permanent (see notes). Cutoff at end of FY in which the map is produced. Transfer to NARA at end of FY.

**Disposition Authority:** N1-95-88-2

#### 10. Subheading: Remote Sensing and Photogrammetry Data Products and Imagery

**Description of Records:** Records may include hard copy photograph prints (described elsewhere in the 7140 file code series) and/or digital image files delivered on external hard drives to Forest Services offices including the Forest Service Geospatial Technology and Applications Center, Salt Lake City, UT.

**Exclusion:** Remote sensing raw data used to produce final image products is designated for temporary retention and retained under file code 7140 – Geospatial – Geospatial Projects.

**Note 1:** See also, aerial photography records schedules found elsewhere in 7140.

**Note 2:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 3:** If hardcopy records exist, send closed records to FRC storage at end of the FY.

**Note 4:** Previous subheading “Remote Sensing Data Products/Imagery.”

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA five years after cut-off.

**Disposition Authority:**

## 11. Subheading: Geospatial Program Administrative Records

**Description of Records:** General program administration records pertaining to geospatial activities not covered by an existing NARA approved records schedule.

Records include:

- a. Aerial Photography communications between the project managers and field technicians, contracting officers, vendors, regional remote sensing coordinators, regional geospatial program managers, the Farm Service Agency Aerial Photography Field Office in Salt Lake City, UT, and the Geospatial Technology and Applications Center in Salt Lake City, Utah.
- b. Cartographic Base Products: correspondence and other documentation related to cartographic base program activities.
- c. Geospatial project development: documentation related to geospatial development projects not covered elsewhere.
- d. General Geospatial program administration records.
- e. Geographic Information System Coordination: Records relating to efforts of coordination, both internal and external, to optimize benefits from and meet simultaneously, needs that are specific to geographic information systems.
- f. OMB Circular A-16 – Federal Geographic Data Committee: Records include the Agency's annual spatial data report to OMB and other responses to OMB data calls.
- g. Project Support: Records include documentation including maps, digital imagery, and related working papers.
- h. Remote Sensing: Records generally consist of email between the project managers and field technicians, contracting officers, vendors, regional remote sensing coordinators, regional geospatial program managers the Farm Service Agency Aerial Photography Field Office in Salt Lake City, Utah, and the Geospatial Services and Applications Center in Salt Lake City, Utah.
- i. Reports: Records include documentation pertaining to Geospatial Program information reports: GTAC Annual Report, reports to NFS, Secretary of Agriculture, and so forth.
- j. Remote Sensing Policy and Testimony: Copies of Congressional testimony and correspondence.
- k. Mission-related training materials produced by the Forest Service.

- I. Visitor Information Maps: Records include correspondence and other documents related to visitor information map program activities.

**Note:** Includes records previously retained under:

- 7140 – Geospatial – Aerial Photography – General.
- 7140 – Geospatial – Development – General Correspondence.
- 7140 – Geospatial – General.
- 7140 – Geospatial – OMB Circular A-16 – Federal Geographic Data Committee.
- 7140 – Geospatial – Project Support – General.
- 7140 – Geospatial – Remote Sensing – General.
- 7140 – Geospatial – Reports.
- 7140 – Geospatial – Remote Sensing Policy and Testimony.
- 7140 - Geospatial – Visitor Information Maps – General.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy six years after cut-off.

**Disposition Authority:** N1-95-10-10

## 12. Subheading: Coordination

**Description of Records:** Records include documentation relating to coordination efforts, both internal and external, to optimize benefits from and meet simultaneously the needs that are specific to geospatial programs such as those carried out through the Forest Service partnership with other USDA agencies and the U.S. Geological Survey.

**Disposition:** Temporary. Cutoff at end of FY in which coordination effort ends and records are no longer needed for administrative purposes.

**Disposition Authority:** N1-95-10-10/167

## 13. Subheading: Geographic Names

**Description of Records:** Records include case files, correspondence from internal and external sources and other working papers related to geographic name cases.

**Note:** Official Geographic Names data is stored in the Geographic Names Information System (GNIS) maintained by the U.S. Geologic Survey.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which records no longer needed for administrative use.

**Disposition Authority:** N1-95-10-10/171



#### 14. Subheading: Remote Sensing Programs and User Assistance

**Description of Records:**

Records consist of: Communication between the subject matter experts at the regional offices and/or the Geospatial Technology and Applications Center and field technicians, regional remote sensing coordinators, and regional geospatial program managers.

Program coordination between Forest Service, USDA, and others.

**Note:** Includes records previously retained under file codes:

- 7140 – Geospatial – Remote Sensing Coordination.
- 7140 – Geospatial – Remote Sensing – User Assistance.
- 7140 – Geospatial – Remote Sensing Programs.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which the records are no longer needed for administrative use. Destroy six years after cut-off.

**Disposition Authority:** N1-95-10-10

#### 15. Subheading: Geospatial Projects

**Description of Records:** Case folders by projects, working papers and other data for the following activities:

- a. Aerial photography used in preparing maps for special projects.
- b. Project Development: imagery and GIS data pertaining to special development projects being carried out by the Geospatial Technology and Applications Center (GTAC).
- c. Geographic Information System Projects: Documentation of data standards development, data analysis support, field data collection methods and standards. Includes negatives used in hardcopy printing process are considered as part of the intermediate process of print production (such records are designated for temporary retention per GRS 6.4/030).
- d. Remote Sensing Project Materials/Non-Imagery: Information retained by project managers at GTAC, regional offices, and/or ranger district or Forest Supervisor's office, including raw data collected that may be used to create final images. The case file will contain all notes and correspondence relating to the remote sensing project.
- e. Special Projects: Case folders by projects, working papers and other data used in preparing maps for special projects.

**Exclusion 1:** Aerial photographs associated with research activities are retained under file code 4110 – Timber Research Management Programs. Do not retain aerial photographs under file code 1640 – Audiovisual.

**Exclusion 2:** Non-obsolete forms of printing production materials (for example, line and halftone negatives, screened paper prints, and offset lithographic plates), line copies of graphs and charts, as well as cartographic records prepared during intermediate stages of publication that may be found in older project files are retained per file code 1650 – Media Relations – Public Affairs Production Files.

**Note 1:** Organize case folders by projects.

**Note 2:** Includes records previously retained under file codes:

- 7140 – Geospatial – Aerial Photography – Projects.
- 7140 – Geospatial – Development Projects.
- 7140 – Geospatial – Geographic Information System (GIS) Projects.
- 7140 – Geospatial – Remote Sensing Project Materials/Non-Imagery.
- 7140 – Geospatial – Special Projects.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which project is completed. Destroy six years after cut-off.

**Disposition Authority:** N1-95-10-10

#### 16. Subheading: Training - Cartographic

**Description of Records:** Obsolete.

- a. Retain employee training completion records under file code 6140 – Employee Development, Performance, Awards – Training-Individual Employee Training Records.
- b. Retain non-Mission related training materials under file code 6140 – Employee Development, Performance, Awards - Training–Forest Service Sponsored.
- c. Retain Mission-related training materials under file code 7140 – Geospatial – Geospatial Program Administrative Records.

#### 17. Subheading: Training – Geographic Information System

**Description of Records:** Obsolete.

- a. Retain employee training completion records under file code 6140 – Employee Development, Performance, Awards – Training-Individual Employee Training Records.

- b. Retain non-Mission related training materials under file code 6140 – Employee Development, Performance, Awards - Training–Forest Service Sponsored.
- c. Retain Mission-related training materials under file code 7140 – Geospatial – Geospatial Program Administrative Records.

## 18. Subheading: Training - Remote Sensing

**Description of Records:** Obsolete.

- a. Retain employee training completion records under file code 6140 – Employee Development, Performance, Awards – Training-Individual Employee Training Records.
- b. Retain non-Mission related training materials under file code 6140 – Employee Development, Performance, Awards - Training–Forest Service Sponsored.
- c. Retain Mission-related training materials under file code 7140 – Geospatial – Geospatial Program Administrative Records.

## File Code - Heading: 7150 - Surveying

### 1. Subheading: Survey Program General Administrative Records

**Description of Records:** Records pertaining to the Forest Service survey program, including:

- a. **General Records:** Correspondence and other documentation, regarding location, marking, and posting of lines.
- b. **Remonumentation:** Organize by type, such as Forest Service, BLM, private, and other.
- c. **Reports:** Records include individual survey reports for each land survey documenting how the land survey as completed and pertinent facts and information supporting the survey plat; as well as annual reports on survey activities and associated supporting documentation.

**Note 1:** Regions should work with each State to determine the legal status of digital electronic survey records. Where digital electronic survey records are acceptable as legal evidence and/or original data are on file with a State or local Government unit, the records should be maintained in accordance with the appropriate local, state, and federal provisions governing official survey records. The official agency record copy must be maintained in medium specified by this handbook.

**Note 2:** A copy of the survey report may be retained under this item. All original survey records, reports and survey plats are permanent records and shall not be destroyed but must be properly retained and archived according to federal records standards found in section 7150 – Surveying – Surveys.

**Note 3:** Includes records previously retained under file codes:

- 7150 – Surveying – General.
- 7150 – Surveying – Remonumentation.
- 7150 – Surveying – Reports.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which records no longer needed for administrative or legal purposes. Destroy ten years after cut-off.

**Disposition Authority:** DAA-0095-2018-0101-0001

## 2. Subheading: Land Surveys

**Description of Records:** Project folders by Forest, file by type of survey (for example, Forest Service, BLM, private, and other). Records include original survey records, reports, and plats, as well as maps, source documents for maps and survey markers, and historical notes about the condition of the land at the time of the survey.

**Note 1:** Regions should work with each State to determine the legal status of digital electronic survey records. Where digital electronic survey records are acceptable as legal evidence and/or original data are on file with a State or local Government unit, the records should be maintained in accordance with the appropriate local, state, and federal provisions governing official survey records. The official agency record copy must be maintained in medium specified by this handbook.

**Note 2:** A copy of the survey report may be retained under file code 7150 – Surveying – Survey Program General Administrative Records.

**Note 3:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 4:** If hardcopy records exist, send closed records to FRC storage at end of the FY.

**Disposition:** Permanent (see notes). Cutoff at end of FY in which survey is completed and duly recorded in local governing unit's official records (county records where applicable) according to state and local guidelines. In most instances this should occur shortly after the survey is completed. Transfer to NARA 15 years after cut-off.

**Disposition Authority:** N1-95-10-7/8

**File Code - Heading: 7160 - Signs and Posters**

**1. Subheading: Sign and Poster Program Administration Records**

**Description of Records:** Records include correspondence and other documentation pertaining to all Forest Service signs and posters (cardboard, metal, wood, plastic) whether on roads, trails, airports, portals, recreational area, use, or for informational, educational, or regulatory purposes. Also includes records pertaining to:

- a. **Sign and Poster Guidelines:** Including one copy of each version of the Sign and Poster Guidelines for the Forest Service (EM 7100-15), which contains additional requirements for signs and traffic control devices used on NFS lands.
- b. **Sign Installation, Inspection, and Maintenance:** All records relating to sign installation, inspection, and maintenance activities.
- c. **Sign Planning:** The development and maintenance of the Sign and Poster Guidelines for the Forest Service (EM 7100-15); as well as any sign plan developed at any scale. Sign plans done in conjunction with road or site construction, or reconstruction should be retained with the specific construction or reconstruction documents.

**Exclusion:** File records pertaining to procurement under the appropriate 6300 file code item.

**Note:** Includes records previously retained under file codes:

- 7160 – Signs and Posters – General.
- 7160 – Signs and Posters – Sign and Poster Guidelines.
- 7160 – Signs and Posters – Sign Installation, Inspection, and Maintenance.
- 7160 – Signs and Posters – Sign Planning.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which records are no longer needed for administrative or legal purposes. Destroy ten years after cut-off.

**Disposition Authority:** DAA-0095-2018-0102-0001

**2. Subheading: Sign Inventory**

**Description of Records:** Documentation and reports, including correspondence, associated with the sign inventory database system/application and repository.

**Note:** Sign inventory database system/application and repository will be scheduled separately with other electronic systems/applications and repositories.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which when database system/application and repository discontinued, and records no longer needed for administrative or legal purposes. Destroy ten years after cut-off.

**Disposition Authority:** N1-95-10-10/185

**File Code - Heading: 7170 - Materials Engineering**

**1. Subheading: Materials Engineering Construction and Design Projects**

**Description of Records:** Records pertain to geotechnical and materials engineering construction and design projects.

**Note 1:** Create case folders by project.

**Note 2:** Retention period begins when project completed.

**Note 3:** Includes records previously retained under file codes:

- 7170 – Materials Engineering – Construction.
- 7170 – Materials Engineering – Design.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy ten years after cut-off.

**Disposition Authority:** DAA-0095-2018-0103-0001

**2. Subheading: Materials Engineering Program Administration**

**Description of Records:** Records, including correspondence, related to geotechnical and materials engineering not covered elsewhere in this schedule.

**Note:** Previous subheading “General.”

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy ten years after cut-off.

**Disposition Authority:** N1-95-10-10/186

**File Code - Heading: 7180 - Internal Energy Conservation**

**1. Subheading: Internal Energy Conservation Program**

**Description of Records:** Records, including correspondence, relating to practices within the Forest Service geared toward meeting the National need for attaining greater energy sufficiency.

**Note:** Previous subheading “General.”

**Disposition:** Temporary (see notes). Cutoff at end of FY in which records no longer needed for administrative or legal purposes. Destroy ten years after cut-off.

**Disposition Authority:** N1-95-10-9/55

**File Code - Heading: 7300 - Buildings and Other Structures**

**1. Subheading: Buildings and Other Structures Program Administration**

**Description of Records:** Includes correspondence and other documentation regarding buildings and other structures, not covered elsewhere in this schedule.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy three years after cut-off.

**Disposition Authority:** N1-95-10-10/187

**File Code - Heading: 7310 - Buildings and Related Facilities**

**1. Subheading: Buildings and Related Facilities General Operational Support and Reports**

**Description of Records:** Records documenting operational support of facility design, engineering, and construction projects. Records include project requests and approvals; meeting agendas, minutes, and similar records; budget and cost working files; task, punch, and action item lists; work logs; progress reports and presentation materials; related correspondence and notes. Includes reports pertaining to buildings and related facilities. Reports include, but are not limited to planned consolidations, inspections (including maintenance and safety), historic preservation, assessment, inventories, and program of work narratives.

**Exclusion:** Do not use to retain building maintenance records.

**Note 1:** The General Records Schedule authorizes retention of five years or longer if needed for Forest Service purposes. Forest Service has determined records should be retained for ten years.

**Note 2:** Includes records previously retained under file codes:

- 7310 – Buildings and Related Facilities – General.
- 7310 – Buildings and Related Facilities – Reports.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which administrative use ceases. Destroy ten years after cut-off.

**Disposition Authority:** GRS 5.4/060 - (DAA-GRS-2016-0011-0007)

2. **Subheading: Buildings and Related Facilities Projects - Final**

**Description of Records:** Final and as-built drawings, plans, and designs; and all other records pertaining to facility design, engineering, and construction.

**Exclusion:** Retain project case files for significant buildings and related facilities under file code 7310 – Buildings and Related Facilities – Buildings and Related Facilities Significant Projects.

**Note 1:** Regional Offices maintain official record of regional and forest facilities.

**Note 2:** Maintain case folders by project.

**Note 3:** Retain significant project case files under file code 7310 – Buildings and Related Facilities – Significant Projects. Dispose of all other records when superseded, or transfer to new owners, or destroy when structure is removed from Federal inventory, as appropriate.

**Note 4:** Includes records previously retained under file code 7310 – Buildings and Related Facilities – Projects.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which facility is no longer used by Forest Service. Retain significant project case files under file code 7310 – Buildings and Related Facilities – Significant Projects. Dispose of all other records when superseded, or transfer to new owners, or destroy when structure is removed from Federal inventory, as appropriate.

**Disposition Authority:** GRS 5.4/051 - (DAA-GRS-2016-0011-0006)

3. **Subheading: Buildings and Related Facilities Projects - Preliminary**

**Description of Records:** Draft, preliminary, intermediate, working, and contract negotiation drawings.

**Note 1:** Maintain case folders by project.

**Note 2:** Includes records previously retained under file code 7310 – Buildings and Related Facilities – Projects.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which superseded, or project terminates. Destroy immediately after cut-off.

**Disposition Authority:** GRS 5.4/050 - (DAA-GRS-2016-0011-0005)



4. **Subheading: Buildings and Related Facilities Significant Projects**

**Description of Records:** Project case files for significant engineering projects, including standard or typical designs, long lasting or important structures (such as visitors' centers), innovative or prototypical designs and those designed by noteworthy individuals, that have been selected for recognition or preservation by other organizations (such as the National Register of Historic Places or the Historic American Engineering Record) or that Forest Service staff determine have national or regional architectural, cultural or engineering significant. Included are project specifications, drawings (including plans and elevations) and other records that document the development and implementation of the project.

**Note 1:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 2:** If hardcopy records exist, send closed records to FRC storage at end of the FY.

**Disposition:** Permanent (see notes). Cutoff at end of FY in which project ends. Transfer to NARA seven years after cut-off.

**Disposition Authority:** N1-95-94-3

5. **Subheading: Facility Long-Term Maintenance**

**Description of Records:** Records document long-term maintenance and repair activities relating to structures located on National Forest lands. Documentation includes:

- a. Repair and maintenance work orders, requisitions, and related papers.
- b. Maintenance and inspection logs and reports.
- c. Job orders, service call records, action sheets, and repair logs.
- d. Work, shop, or job schedules.

**Exclusion 1:** Records pertaining to Forest transportation structure maintenance are retained under file code 7730 – Road Systems Operations and Maintenance.

**Exclusion 2:** Records pertaining to Forest Service owned and/or operated quarters are retained under file code 6440 – Real Property Management.

**Exclusion 3:** Records pertaining to Forest Service owned and/or operated Job Corps Centers are retained under file code 1850 - Job Corps Civilian Conservation Corps.

**Exclusion 4:** Records pertaining to expenditure of appropriated or non-appropriated funds.

**Note:** GRS 5.4/070 authorizes longer retention if necessary for Forest Service business and NARA has approved Forest Service request for longer retention period.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 20 years after cut-off.

**Disposition Authority:** GRS 5.4/070 - (DAA-GRS-2016-0011-0008)

6. **Subheading: Structure Minor Maintenance**

**Description of Records:** Records document completion of custodial and minor repair work.

**Exclusion 1:** Records pertaining to Forest transportation structure maintenance are retained under file code 7730 – Road systems Operations and Maintenance.

**Exclusion 2:** Records pertaining to Forest Service owned and/or operated quarters are retained under file code 6440 – Real Property Management.

**Exclusion 3:** Records pertaining to Forest Service owned and/or operated Job Corps Centers are retained under file code 1850 - Job Corps Civilian Conservation Corps.

**Disposition:** Temporary (see notes). Cutoff at immediately upon completion of work. Destroy 90 days after cut-off.

**Disposition Authority:** GRS 5.4/071 - (DAA-GRS-2016-0011-0009)

**File Code - Heading: 7320 - Passenger Ropeways: Tramways, Funiculars, Ski Lifts, Conveyors, and Tows**

1. **Subheading: Passenger Ropeways: Tramways, Funiculars, Ski Lifts, Conveyors, and Tows General Administrative Records**

**Description of Records:** Includes correspondence and other records regarding tramways, ski lifts, and tows not covered elsewhere in this schedule.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which records are no longer needed for administrative or legal purposes. Destroy ten years after cut-off.

**Disposition Authority:** N1-95-10-10/189

2. **Subheading: Passenger Ropeways: Tramways, Funiculars, Ski Lifts, Conveyors, and Tows Projects**

**Description of Records:** Records include case files regarding the planning/project monitoring, development, operation, and maintenance of tramways, ski lifts, and ski tows on lands management by the Forest Service.

**Note 1:** Regional Offices maintain official record of regional and forest facilities.

**Note 2:** Maintain case folders by projects.

**Note 3:** Previous subheading "Projects."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which facility no longer used by Forest Service. Destroy ten years after cut-off.

**Disposition Authority:** N1-95-10-9/58

**File Code - Heading: 7330 - Aerial Adventure Course**

1. **Subheading: Aerial Adventure Course Program Administration**

**Description of Records:** Includes documentation associated with monitoring (including audits) of aerial adventure courses authorized by a special use authorization. Records include documentation of actions taken to address concerns relating to public health, safety, and the environment. Create case files for permits. Include documentation of permit holder's compliance with applicable safety standards and technical requirements in the special use authorization for planning, location, design, manufacture, installation, maintenance, operation, modification, and auditing.

**Note:** Create case files as needed.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which special use permit expires or is otherwise discontinued. Destroy ten years after cut-off.

**Disposition Authority:** DAA-0095-2018-0104-0001

**File Code - Heading: 7400 - Public Health and Pollution Control Facilities**

1. **Subheading: Public Health and Pollution Control Facilities General Activities Not Associated with Policies or Facilities**

**Description of Records:** Records, including correspondence, regarding general activities (including Mission-related training) associated with public health and pollution control, not involving policy or a specific report of facility.

**Note 1:** Washington Office maintains official record.

**Note 2:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 3:** If hardcopy records exist, send closed records to FRC storage at end of the FY.

**Note 4:** Previous subheading "General."

**Disposition:** Permanent (see notes). Cutoff at end of FY. Transfer to NARA 15 years after cut-off.

**Disposition Authority:** N1-95-10-9/59

## 2. Subheading: Public Health and Pollution Control Facilities Reports

**Description of Records:** Reports of activities associated with public health and pollution control.

**Note 1:** Close file at end of FY and apply retention period.

**Note 2:** Previous subheading "Reports."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy ten years after cut-off.

**Disposition Authority:** N1-95-10-9/60

## 3. Subheading: Training

**Description of Records:** Obsolete.

- a. Retain employee training completion records under file code 6140 – Employee Development, Performance, Awards – Training-Individual Employee Training Records.
- b. Retain non-Mission related training materials under file code 6140 – Employee Development, Performance, Awards - Training–Forest Service Sponsored.
- c. Retain Mission-related training materials under file code 7410 – Public Health and Pollution Control Facilities - Public Health and Pollution Control Facilities General Activities Not Associated with Policies or Facilities.

**File Code - Heading: 7410 - Administration (Public Health and Pollution Control Facilities) - Previously "Administration"**

**1. Subheading: Public Health and Pollution Control Facility Program General Administrative Records**

**Description of Records:** Records, including general correspondence, associated with administration of public health and pollution control facilities not covered elsewhere in this schedule.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy ten years after cut-off.

**Disposition Authority:**

**2. Subheading: Pollution Abatement and Sewage, Solid Waste, and Water Supply Systems**

**Description of Records:** Records pertain to activities not covered elsewhere regarding administration of pollution abatement activities on Forest Service lands; as well as sewage, solid waste, and water supply systems managed by or on National Forest lands.

**Note:** Includes records previously retained under file codes:

- 7410 – Administration – Pollution Abatement.
- 7410 – Administration – Sewage.
- 7410 – Administration – Solid Waste.
- 7410 – Administration – Water Supply.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which records no longer needed for administrative or legal purposes. Destroy ten years after cut-off.

**Disposition Authority:** DAA-0095-2018-0105-0001

**File Code - Heading: 7420 - Drinking Water**

**1. Subheading: Drinking Water General Program Administration**

**Description of Records:** Records, including correspondence, regarding drinking water systems managed by or located on National Forest lands, and not covered elsewhere in this schedule.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy ten years after cut-off.

**Disposition Authority:** Pending

2. **Subheading: Drinking Water Projects**

**Description of Records:** Records include engineering reports, final as-built drawings, and specifications, permits, environmental analysis, correspondence with local/State/Federal agencies, sanitary/condition surveys, and public/regulatory agency notification.

**Note 1:** Forest/Grasslands maintain official record of forest/grassland facilities.

**Note 2:** Organize case folders by project.

**Note 3:** Previous subheading "Projects."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which facility is no longer in use by Forest Service. Destroy ten years after cut-off.

**Disposition Authority:** N1-95-10-9/65

**File Code - Heading: 7430 - Wastewater**

1. **Subheading: Wastewater General Program Administration**

**Description of Records:** Records, including correspondence, regarding wastewater storage and treatment, not covered elsewhere in this schedule.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy ten years after cut-off.

**Disposition Authority:** N1-95-10-10/192

**File Code - Heading: 7440 - Effluents**

1. **Subheading: Effluent Program Administration**

**Description of Records:** Records include engineering reports, final as-built drawings, and specifications, permits, environmental analysis, condition surveys, and correspondence with local, State, and Federal agencies.

**Note 1:** Create case files as needed.

**Note 2:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which records no longer needed for administrative or legal purposes. Destroy ten years after cut-off.

**Disposition Authority:** N1-95-10-9/67

**File Code - Heading: 7450 - Air Quality Stationary Sources**

**1. Subheading: Air Quality Stationary Sources Program**

**Description of Records:** Records, including correspondence and other documentation, regarding air quality stationary sources, not covered elsewhere in this schedule.

**Note 1:** Create case files as needed.

**Note 2:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which records no longer needed for administrative or legal purposes. Destroy ten years after cut-off.

**Disposition Authority:** N1-95-10-9/68

**File Code - Heading: 7460 - Solid Waste Systems**

**1. Subheading: Solid Waste Systems General Program Administration**

**Description of Records:** Records, including correspondence and other documentation regarding solid waste systems, not covered elsewhere in this schedule.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy ten years after cut-off.

**Disposition Authority:** N1-95-10-10/193

**2. Subheading: Solid Waste Systems Collection, Disposal, and Storage**

**Description of Records:** Records include reports and other records regarding collection activities associated with solid waste system and disposal waste system projects, and storage activities associated with solid waste system projects.

**Note 1:** Regional Offices maintain official record of regional and forest facilities.

**Note 2:** Organize case folders by project.

**Note 3:** Includes records previously retained under file codes:

- 7460 – Solid Waste Systems – Collection.
- 7460 – Solid Waste Systems – Disposal.
- 7460 – Solid Waste Systems – Storage.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which facility is no longer in use by Forest Service. Destroy ten years after cut-off.

**Disposition Authority:** DAA-0095-2018-0106-0001

**File Code - Heading: 7470 - Toxic Material**

**1. Subheading: Toxic Material**

**Description of Records:** Obsolete – Do Not Use. Retain records under file code 2160 – Hazardous Materials Management.

**File Code - Heading: 7480 - Vector Control**

**1. Subheading: Vector Control**

**Description of Records:** Obsolete – Do Not Use

**File Code - Heading: 7490 - Food Service**

**1. Subheading: Food Service Program General Program Administration**

**Description of Records:** Includes general correspondence related to the operation of food service facilities, coordination between States or other Federal agencies, State and local health agencies, and Regional Offices of the Forest Service.

**Note 1:** Excludes correspondence concerning a specific site. File reports, inspection results, and other site-specific correspondence in file code 7490-Food Service Project Case Files.

**Note 2:** Previous subheading “General.”

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy ten years after cut-off.

**Disposition Authority:** N1-95-10-10/194

**2. Subheading: Food Service Project Case Files**

**Description of Records:** Includes correspondence and related reports concerning management reviews, approval of project criteria and design drawings, construction specifications, recommendations of needed corrective actions, inspection, and supervision of construction, and insurance of compliance with State or county requirements for safe food service facilities.

**Note 1:** Regional Offices maintain official record of regional and forest facilities.

**Note 2:** Create case files as needed.



**Note 3:** Previous subheading "Project Case Files."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which facility is no longer in use by Forest Service. Destroy ten years after cut-off.

**Disposition Authority:** N1-95-10-9/72

**File Code - Heading: 7500 - Water Storage and Transmission**

**1. Subheading: Water Storage and Transmission General Program Administration**

**Description of Records:** General correspondence and other records (including Mission-related training materials) regarding water storage and transmission not covered elsewhere in this schedule.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy three years after cut-off.

**Disposition Authority:** N1-95-10-10/195

**2. Subheading: Training**

**Description of Records:** Obsolete.

- a. Retain employee training completion records under file code 6140 – Employee Development, Performance, Awards – Training-Individual Employee Training Records.
- b. Retain non-Mission related training materials under file code 6140 – Employee Development, Performance, Awards - Training–Forest Service Sponsored.
- c. Retain Mission-related training materials under file code 7500 – Water Storage and Transmission – Water Storage and Transmission General Program Administration.

**File Code - Heading: 7510 - Water Storage and Transmission Project - Previously "Project Administration"**

**1. Subheading: All Other Water Control Projects**

**Description of Records:** Includes all structures other than dams and channels relating to the storage, control, or transmission of water. Include all substantive materials such as surveys, certificates of compliance, reports, designs, plans, specifications, inventories, or other data relating to building and/or maintenance of a structure.

**Note 1:** Maintain case folders by structure.

**Note 2:** Regional Offices maintains official record.

**Note 3:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 4:** Restrict access to records pertaining to high-hazard dams.

**Note 5:** If hardcopy records exist, send closed records to FRC storage at end of the FY.

**Note 6:** Previous subheading "All Other Control Projects."

**Disposition:** Permanent (see notes). Cutoff at end of FY in which the facility no longer in use by Forest Service.

**Disposition Authority:** N1-95-10-9/73

## 2. **Subheading: Water Storage, Control, and Transmission Channel Projects**

**Description of Records:** Includes all substantive material such as initial designs, plans, specifications, surveys certificates of compliance, inventories, reports, or other data relating to building and/or maintenance of a specific facility. Case folders by structure.

**Note 1:** Maintain case folders by structure.

**Note 2:** Regional Offices maintains official record.

**Note 3:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 4:** Restrict access to records pertaining to high-hazard dams.

**Note 5:** If hardcopy records exist, send closed records to FRC storage at end of the FY.

**Note 6:** Previous subheading "Channel Projects."

**Disposition:** Permanent (see notes). Cutoff at end of FY in which the facility no longer in use by Forest Service. Transfer to NARA 15 years after cut-off.

**Disposition Authority:** N1-95-10-9/74

3. **Subheading: Water Storage, Control, and Transmission Dam Projects**

**Description of Records:** Includes all substantive materials such as initial designs, plans, specifications, displays of drainage area, hydrologic data, surveys, certificates of compliance, reports, inventories, or other data relating to building and/or maintenance of a specific facility. Case folders by structure.

**Note 1:** Maintain case folders by structure.

**Note 2:** Regional Offices maintains official record.

**Note 3:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 4:** Restrict access to records pertaining to high-hazard dams.

**Note 5:** If hardcopy records exist, send closed records to FRC storage at end of the FY.

**Note 6:** Previous subheading "Dam Projects."

**Disposition:** Permanent (see notes). Cutoff at end of FY in which the facility no longer in use by Forest Service. Transfer to NARA 15 years after cut-off.

**Disposition Authority:** N1-95-10-9/75

4. **Subheading: Water Storage, Control, and Transmission General Administration Records**

**Description of Records:** Records relate to project classification system and project administrative review, approval and supervision, inventory, operation, maintenance, inspection of water storage, transmission structures.

**Note 1:** File site specific information under the appropriate permanent file code 7510 files.

**Note 2:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which administrative use ceases. Destroy three years after cut-off.

**Disposition Authority:** N1-95-10-10/196

5. **Subheading: Survey and Inspection of Privately Owned Water Storage and Transmission Facilities – Security Levels I – 4**

**Description of Records:** Reports of surveys and inspections of privately owned facilities (designated Facility Security Levels I through IV) assigned security cognizance by Government agencies and related documents.

**Note 1:** Forest Supervisor's Office maintains official record.

**Note 2:** Includes records previously retained under file code 7510 – Project Administration – Survey and Inspection of Privately Owned Facilities.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which security assessment updated. Destroy three years after cut-off.

**Disposition Authority:** GRS 5.6/081 - (DAA-GRS-2017-0006-0011)

6. **Subheading: Survey and Inspection of Privately Owned Water Storage and Transmission Facilities – Security Level 5**

**Description of Records:** Reports of surveys and inspections of privately owned facilities (designated Facility Security Level V) assigned security cognizance by Government agencies and related documents.

**Note 1:** Forest Supervisor's Office maintains official record.

**Note 2:** Includes records previously retained under file code 7510 – Project Administration – Survey and Inspection of Privately Owned Facilities.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which security assessment updated or security status terminated. Destroy five years after cut-off.

**Disposition Authority:** GRS 5.6/080 - (DAA-GRS-2017-0006-0010)

**File Code - Heading: 7520 - Dam Planning, Investigation, and Design**

1. **Subheading: Dam Planning, Investigation, and Design General Administration Records**

**Description of Records:** Includes records regarding the sequence of planning, site investigation and standards, and design work. File site-specific designs, investigations, plans, or reports under appropriate file code 7510 subheading.

**Note 1:** Forest Supervisor's Office maintains official record.

**Note 2:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 3:** Restrict access to records pertaining to high-hazard dams.

**Note 4:** If hardcopy records exist, send closed records to FRC storage at end of the FY.

**Note 5:** Previous subheading "General."

**Disposition:** Permanent (see notes). Cutoff at end of FY in which the records no longer needed for administrative or legal purposes. Transfer to NARA 15 years after cut-off.

**Disposition Authority:** N1-95-10-9/76

**File Code - Heading: 7530 - Water Storage and Transmission Construction - Previously "Construction"**

**1. Subheading: General Water Storage and Transmission Construction Program Administration**

**Description of Records:** Information relating to construction, inspection, and management for Forest Service and special-use projects, and certification.

**Exclusion:** Records, including correspondence, associated with a specific site/project are to be filed in the project or case file under 7510.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy three years after cut-off.

**Disposition Authority:** N1-95-10-10/197

**File Code - Heading: 7540 - Design Standards and Criteria for Channels and Other Water Control Structures**

**1. Subheading: Design Standards and Criteria for Channels and Other Water Control Structures**

**Description of Records:** Records, including correspondence, regarding design standards and criteria for channels and other water control structures not covered elsewhere in this schedule.

**Note 1:** The Records Officer authorization via a NARA approved transfer form (for example, ERA TR) required prior to transferring permanent records to custody and ownership of NARA.

**Note 2:** If hardcopy records exist, send closed records to FRC storage at end of the FY.

**Note 3:** Previous subheading "General."

**Disposition:** Permanent (see notes). Cutoff at end of FY in which the records no longer needed for administrative or legal purposes. Transfer to NARA 15 years after cut-off.

**Disposition Authority:** N1-95-10-9/77

**File Code - Heading: 7570 - Dam Management System**

**1. Subheading: Dam Inspections**

**Description of Records:** Records associated with dam inspections.

**Note 1:** Create case files as needed.

**Note 2:** Previous subheading "Inspections."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which dam is decommissioned. Destroy ten years after cut-off.

**Disposition Authority:** N1-95-10-9/78

**2. Subheading: Dam Management System Administration, Inventory, Operation and Maintenance Records**

**Description of Records:** Records, including correspondence, regarding dam management systems; dam inventory and related records; and dam operation and maintenance not covered elsewhere in this schedule.

**Note 1:** Establish case files as needed. Records, including correspondence, associated with a site/project are to be filed in a project or case file.

**Note 2:** Includes records previously retained under:

- 7570 – Dam-Management System – General.
- 7570 – Dam-Management System – Inventory.
- 7570 – Dam-Management System – Operation and Maintenance.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which records no longer needed for administrative or legal purposes. Destroy ten years after cut-off.

**Disposition Authority:** DAA-0095-2018-0107-0001

**File Code - Heading: 7600 - Electrical Engineering**

**1. Subheading: Electrical Engineering**

**Description of Records:** Obsolete – use for routing purposes only.

**File Code - Heading: 7610 - Electrical Systems**

**1. Subheading: Electrical System Projects**

**Description of Records:** Correspondence and records regarding electrical systems, electrical system projects, and related records not covered elsewhere in this schedule.

**Note 1:** Create case files as needed.

**Note 2:** Previous heading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which records no longer needed for administrative or legal purposes. Destroy ten years after cut-off.

**Disposition Authority:** N1-95-10-10/199

**File Code - Heading: 7620 - Electrical Transmission - Previously "Electrical Transmission (Reserved)"**

**1. Subheading: Electrical Transmission Projects**

**Description of Records:** Correspondence and records regarding electrical transmission, electrical transmission projects, and related records not covered elsewhere in this schedule.

**Note 1:** Create case files as needed.

**Note 2:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which records no longer needed for administrative or legal purposes. Destroy ten years after cut-off.

**Disposition Authority:** N1-95-10-10/200

**File Code - Heading: 7630 - Electrical Distribution - Previously "Electrical Distribution (Reserved)"**

**1. Subheading: Electrical Distribution Projects**

**Description of Records:** Records, including correspondence, regarding electrical distribution, associated projects, and related records not covered elsewhere in this schedule.

**Note 1:** Create case files as needed.

**Note 2:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which records no longer needed for administrative or legal purposes. Destroy ten years after cut-off.

**Disposition Authority:** N1-95-10-10/201

**File Code - Heading: 7640 - Electrical Service**

**1. Subheading: Electrical Service Projects**

**Description of Records:** Records, including correspondence, regarding electrical service, associated projects, and related records not covered elsewhere in this schedule.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which life of the facility ends. Destroy ten years after cut-off.

**Disposition Authority:** N1-95-10-10/202

**File Code - Heading: 7650 - Premises Wiring System**

**1. Subheading: Premises Electrical Wiring System Projects**

**Description of Records:** Records, including correspondence, regarding premises electrical wiring systems, associated projects, and related records not covered elsewhere in this schedule.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which life of the facility ends. Destroy ten years after cut-off.

**Disposition Authority:** N1-95-10-10/203

**File Code - Heading: 7660 - Electrical Utilization Equipment**

**1. Subheading: Electrical Utilization Equipment**

**Description of Records:** Records, including correspondence, not covered elsewhere in this schedule, regarding electrical utilization equipment, and associated projects.

**Note:** Previous subheading "General."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which life of the facility ends. Destroy ten years after cut-off.

**Disposition Authority:** N1-95-10-10/204



**File Code - Heading: 7700 - Travel Management**

**1. Subheading: Travel Management Program Administration and Reports**

**Description of Records:** Records, including reports and supporting documentation analyzing risk factors pertaining to a proposed designation of a road for motorized mixed use signed by a qualified engineer and presented to the responsible official. The report may identify alternatives, as well as risks associated with those alternatives, for mitigation of factors contributing to the probability and severity of crashes. Also includes records not covered elsewhere in the records schedule for 7700 series.

**Note 1:** Create case files as needed.

**Note 2:** Includes records previously retained under:

- 7700 – Travel Management – General.
- 7700 – Travel Management – Records.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy ten years after cut-off.

**Disposition Authority:** DAA-0095-2018-0108-0001

**File Code - Heading: 7710 - Travel Planning**

**1. Subheading: Travel Planning Analysis**

**Description of Records:** Records include:

- a. Case studies pertaining to area or project planning prior to or not related to the development of a project; and
- b. Forest Development transportation plans and documents related to a larger than project scale Travel Analysis.

**Note 1:** Create case files as needed.

**Note 2:** Includes records previously retained under file codes:

- 7710 – Travel Planning – Project Scale Travel Analysis.
- 7710 – Travel Planning – Larger than Project Scale Travel Analysis.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which the currently approved plan is discontinued, or records no longer needed for administrative use. Destroy ten years after cut-off.

**Disposition Authority:** DAA-0095-2018-0109-0001

**2. Subheading: Travel Planning Cooperative Agreements / Memorandums of Understanding**

**Description of Records:** Obsolete. Retain records under file code 1580 - Grants, Cooperative Agreements, and Other Agreements - Approved Grants and Agreements Case Files.

**3. Subheading: Travel Planning General Administrative Records**

**Description of Records:** Records, including correspondence, pertaining to:

- a. General records not associated with a specific project or case file, pertaining to roads, trails, highways, airfields, other facilities, and traffic-control systems.
- b. Planning for air, water, and other alternative transportation systems.

**Note:** Includes records previously retained under file codes:

- 7710 – Travel Planning – General.
- 7710 – Travel Planning – Intermodal Transportation Planning.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy ten years after cut-off.

**Disposition Authority:** DAA-0095-2018-0109-0002

**4. Subheading: Travel Planning Transportation Inventory**

**Description of Records:** Documentation associated with the Travel Inventory electronic database application repository. Include this item when scheduling the structured data residing in the database. Maintain all records residing outside the database under this item.

**Disposition:** Temporary. Cutoff at end of FY.

**Disposition Authority:** N1-95-88-2

**File Code - Heading: 7720 - Transportation System Development - Previously “Development”**

**1. Subheading: General Transportation System Development Program Administration**

**Description of Records:** Records not covered by other records retention schedules pertaining to transportation development, transportation program management, road construction, and road preconstruction.

**Note:** Includes records previously retained under file codes:

- 7720 – Development – General.
- 7720 – Development – General Forest Highway.
- 7720 – Development – General Road Construction.
- 7720 – Development – General Road Preconstruction.
- 7720 – Development – Roads.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy ten years after cut-off.

**Disposition Authority:** DAA-0095-2018-0110-0001

2. **Subheading: General Administrative Records for Transportation System Structures, Intermodal Transportation, and Specifications Programs**

**Description of Records:** Records pertaining to general transportation system development program, including:

- a. General Structures.
- b. Intermodal Transportation development of air, water, and other alternative transportation systems (trails, water, airfields, and so forth).
- c. Specifications, including documentation related to development of standard specifications, including National and Regional supplemental specifications.

**Exclusion 1:** Documents associated with a specific site, project, or special project specification should be kept with the project record and are not retained under this records schedule item.

**Exclusion 2:** Actual specifications are retained in an electronic database that is scheduled separately from this item.

**Note:** Includes records previously retained under file codes:

- 7720 – Development – General Structures Development.
- 7720 – Development – Intermodal Transportation Development.
- 7720 – Development – Specifications.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which records no longer needed for administrative or legal purposes. Destroy ten years after cut-off.

**Disposition Authority:** DAA-0095-2018-0110-0002

3. **Subheading: Road and Highway Construction and Preconstruction Projects**

**Description of Records:** Records documenting Forest highway and road (construction and preconstruction) projects and activities.

**Note 1:** Create case folders by project.

**Note 2:** Includes records previously retained under file codes:

- 7720 – Development - Forest Highway Projects.
- 7720 – Development – Road Construction Projects.
- 7720 – Development – Road Preconstruction Projects.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which project ends. Destroy ten years after cut-off.

**Disposition Authority:** DAA-0095-2018-0110-0003

**File Code - Heading: 7730 - Road System Operations and Maintenance**

1. **Subheading: Land Vehicle Crash Records**

**Description of Records:** Records documenting land vehicle accidents and incidents occurring on Government-owned or –leased roads. Records include accident and incident reports associated with road system operations and maintenance.

**Exclusion 1:** Workers' compensation (personnel injury compensation, such records are covered elsewhere in the Forest Service records system.

**Exclusion 2:** Records the vehicle management offices maintain about vehicle accidents. Retain such records under file code 7130 – Fleet Equipment Management – Vehicle and Vessel Accident and Incident Records.

**Note 1:** Supervisor's Office maintains official record, do not send to FRC.

**Note 2:** All accidents are to be recorded in the Safety and Health Information Portal System (SHIPS), accessed via Dashboard.

**Note 3:** The SHIPS database system/application repository scheduled separately.

**Note 4:** Previous subheading "Crash Records."

**Disposition:** Temporary (see notes). Cutoff at end of FY in which case closed. Destroy three years after cut-off.

**Disposition Authority:** GRS 5.6/100 - (DAA-GRS-2017-0006-0013)

2. **Subheading: General Administrative Records for Road System Operations and Maintenance Programs**

**Description of Records:** Documentation includes all records related to road system operations and maintenance not covered elsewhere, including records pertaining to traffic counts.

**Note 1:** Create subject files as needed.

**Note 2:** Includes records previously retained under file codes:

- 7730 – Road System Operations and Maintenance – General.
- 7730 – Road System Operations and Maintenance – Traffic counts.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 20 years after cut-off.

**Disposition Authority:** DAA-0095-2018-0111-0001

3. **Subheading: Road System Operations and Maintenance Activities, Expenditures, Plans, and Studies**

**Description of Records:** Road system operations and maintenance records pertaining to:

- a. Engineering motorized mixed-use studies and traffic engineering studies for sign warrants.
- b. COOP Work and CWFS Expenditures, including documentation relating to road maintenance plans.
- c. Annual road maintenance plans
- d. Operation and maintenance activities associated with intermodal transportation routes including trail maintenance, water facility maintenance, airfield maintenance, and airfield maintenance.
- e. Condition inspection reports.
- f. General Emergency Relief for Federal Owned Roads program administered by the Federal Highway Administration that provides funding for repair and reconstruction of federally owned roads and trails damaged or destroyed by natural disasters over a wide area or by catastrophic failures from external causes.
- g. Road design records necessary to advise operation and maintenance decisions.
- h. Development of Road Management Objectives.

**Note 1:** As appropriate, create case files and organize by activities, project, road, study, and so forth.

**Note 2:** Includes records previously retained under file codes:

- 7730 – Road System Operations and Maintenance – Engineering Studies.
- 7730 – Road System Operations and Maintenance – Intermodal Transportation Operations and Maintenance.
- 7730 – Road System Operations and Maintenance – Road Maintenance – COOP Work and CWFS Expenditures.
- 7730 – Road System Operations and Maintenance – Maintenance Records.
- 7730 – Road Systems Operation and records – Road Maintenance Plans – Annual.
- 7730 – Road System Operations and Maintenance – General ERFO Event Specific Records.
- 7730 – Road System Operations and Maintenance – Design Records.
- 7730 – Road System Operations and Maintenance – Road Management Objectives.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which project, study, or activity (collection of funds, planning period, and so forth) ends, plan is superseded, or road decommissioned. Destroy 20 years after cut-off.

**Disposition Authority:** DAA-0095-2018-0111-0002

#### 4. **Subheading: Forest Transportation Structure Long-Term Maintenance**

**Description of Records:** Records document long-term maintenance and repair activities relating to Forest Transportation structures located on National Forest lands. Documentation includes:

- a. Repair and maintenance work orders, requisitions, and related papers.
- b. Maintenance and inspection logs and reports.
- c. Job orders, service call records, action sheets, and repair logs.
- d. Work, shop, or job schedules.

**Exclusion:** Records pertaining to expenditure of appropriated or non-appropriated.

**Note 1:** General Records Schedule 5.4/070 authorizes longer retention if necessary for Forest Service business and NARA has approved Forest Service request for longer retention period.

**Note 2:** Includes records previously retained under file code 7730 – Road System Operations and Maintenance – Structure Maintenance.

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy 20 years after cut-off.

**Disposition Authority:** GRS 5.4/070 - (DAA-GRS-2016-0011-0008)

5. **Subheading: Forest Transportation Structure Minor Maintenance**

**Description of Records:** Records document completion of custodial and minor repair work.

**Note:** Includes records previously retained under file code 7730 – Road System Operations and Maintenance – Structure Maintenance.

**Disposition:** Temporary (see notes). Cutoff immediately upon completion of work. Destroy 90 days after cut-off.

**Disposition Authority:** GRS 5.4/071 - (DAA-GRS-2016-0011-0009)

6. **Subheading: Road, Trail, and Other Intermodal Facility Permits, Closures, and Use Agreements**

**Description of Records:** Including road permits, agreements, closures, enforcement procedures, and so forth, for roads, trails, and other facilities.

**Note 1:** File a copy of road/trail closure orders under file code 5330 Law Violations – Closure Orders.

**Note 2:** Previous subheading “Permits and Agreements.”

**Disposition:** Temporary (see notes). Cutoff at end of FY in which records no longer needed for administrative or legal purposes. Destroy 20 years after cut-off.

**Disposition Authority:** N1-95-10-10/221

**File Code - Heading: 7740 - Federal Lands Highway Program**

1. **Subheading: Federal Lands Highway Program Administration**

**Description of Records:** Records, including correspondence, not covered elsewhere in this schedule, related to the Federal Lands Highway program.

**Note:** Previous subheading “General.”

**Disposition:** Temporary (see notes). Cutoff at end of FY. Destroy ten years after cut-off.

**Disposition Authority:** N1-95-10-8, item 32

## 42.8 - 8000 Series File Codes

The following provides guidance for managing Forest Service unstructured records in electronic formats. Staffs maintaining records electronically must immediately begin use of the Electronic Records Retention Schedule and store records in official Forest Service designated repositories.

### File Code - Heading: 8100 - Anti-Harassment

#### 1. Subheading: Anti-Harassment Program Records

**Description of Records:** Records related to harassment outside of the EEO process based on race, color, religion, sex (including pregnancy and gender identity), genetic information, sexual orientation, national origin, age (40 or older), disability (mental or physical), marital status, political affiliation, status as a parent, retaliation, or any other reason. Records include program administration, correspondence, program implementation records, reports and responses to oversight agencies and senior level management.

**Exclusion:** This item does not apply to government-wide program oversight records created and/or received by OPM and EEOC.

**Note 1:** Records may contain PII, or information protected by FOIA, PA, or other statute, restrict access.

**Note 2:** Records previously retained under file code 1760 – Equal Opportunity.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which records are superseded or obsolete.

**Disposition Authority:** GRS 2.3/050 - (DAA-GRS-2018-0002-0005)

#### 2. Subheading: Anti-Harassment Complaint Case Files

**Description of Records:** Records of complaints regarding unwelcome workplace conduct, filed in accordance with agency policies and procedures. Records include:

- a. Complaint, correspondence, notes, forms, and supporting material.
- b. Records of investigation, statements of witnesses.
- c. Determination as to whether harassment occurred.
- d. Documentation of preventive or corrective measures.

**Exclusion:** Anti-harassment records that relate to actions such as EEO complaints, alternative dispute resolution processes, various grievance processes (including Union grievance procedures), and reporting to the Office of Inspector General, are excluded



from this series and should instead be included with the related case file retained elsewhere in the 1760 file code series.

**Note 1:** If a harassment complaint is settled via the EEO, ADR, or grievance process, its records are scheduled under the item specific to that process.

**Note 2:** Records previously filed under file code 1760 – Equal Employment Opportunity.

**Disposition:** Temporary (see notes). Cutoff at end of FY in which case closes. Destroy 7 years after cut-off.

**Disposition Authority:** GRS 2.3/050 – (DAA-GRS-2018-0002-0005)

## **43 - Authorizations for Electronic Retention of Official Agency Records**

### **43.01 - Authority**

Agency authority for the retention of official Agency records in an electronic environment is found in FSM 6230.1.

### **43.02 - Policy**

Agency policy for the retention of official Agency records in an electronic information system is found in FSM 6230.3.

### **43.05 - Definitions**

**Unstructured data.** Data that are not in fixed locations. The term generally refers to free-form text such as in word processing documents, PDF files, e-mail messages, blogs, Web pages and social sites. Within the Forest Service spreadsheets, PowerPoint presentations, and photographs are included in this category.

### **43.1 - Records Management Controls**

Recordkeeping functionality may be built into an electronic information system or records can be transferred to an electronic recordkeeping repository that meets Federal requirements in FSM 6230.1. The following functionalities are necessary for electronic recordkeeping: ability to declare, capture, and organize records, maintain records security, manage access and retrieval, preserve, and execute disposition.

### **43.2 - Unstructured Records**

As electronic unstructured records are authorized within the Forest Service, the Agency shall maintain electronic versions of unstructured records according to Title 36, Code of Federal Regulations, Part 1236—Regulations for Managing Electronic Records in the Federal Government, FSM 6230, and FSH 6209.11 for the entire record lifecycle. Per existing law and policy, transfers of permanent records to NARA will be in accordance with the applicable NARA standards in place at the time of transfer.

#### **43.2a - Unit and Program Authorizations**

All Forest Service offices are to retain official unstructured closed records in electronic format in the Agency's official system of record in accordance with the record keeping guidelines issued in FSH 6209.11. Active unstructured, electronic records may continue to exist in other repositories until they are closed.

### **43.2b - Correspondence Management System**

All agency correspondence must be stored in the official Agency NARA-approved System of Record (SOR) for electronic records management (Pinyon or its successor).

Active, unstructured controlled correspondence records must be processed through the Forest Service official controlled correspondence management system. The Interim Correspondence and Content Tracker (ICCT) is the Forest Service official controlled correspondence management system until further direction is established. The documents within the ICCT are stored in the agency NARA approved SOR. The final signed copy of controlled correspondence must be stored in the agency NARA approved SOR and retained as an official electronic record in accordance with 36 CFR §1236, FSM 6230, and FSH 6209.11.

Active, unstructured uncontrolled (general) correspondence records must be processed through the Mercury system. Mercury is the official Agency general correspondence system until further direction is established. The Mercury system is not the NARA-approved electronic records management system. The initiator of the correspondence is responsible for ensuring the final signed copy of all uncontrolled (general) correspondence and all accompanying materials that make up a correspondence record is transferred from Mercury to Pinyon and retained as an official electronic record in accordance with 36 CFR 1236, FSM 6230, and FSH 6209.11.

All correspondence received in hard copy and signed in hardcopy must be scanned and uploaded in Pinyon using Optical Character Recognition software to ensure the scanned electronic document can be read by assistive technology.