



UNITED STATES  
DEPARTMENT OF THE INTERIOR  
BUREAU OF LAND MANAGEMENT

MANUAL TRANSMITTAL SHEET

Release  
1-1686  
Date  
10/22/03

Subject 1220 - Records and Information Management

1. Explanation of Materials Transmitted: This manual section has been developed to establish and maintain a records program to ensure efficient, prompt, and orderly reduction in the quantity of records and to provide for the proper maintenance of records designated as permanent by the National Archives and Records Administration (NARA). NARA regulations 36 CFR 1228 prescribe the requirements for developing and maintaining records disposition schedule approved by NARA. Scheduling records is the process of developing a document that provides mandatory instructions for what to do with records (and non-record materials) no longer needed for current government business. Records schedules provide for the selective retention of records of continuing or permanent value and the destruction of records of temporary value. Schedules should describe all agency records and prescribe a cutoff date for each record series, after which a particular disposition action must be taken.

2. Reports Required: None

3. Material Superseded: The Manual pages superseded by this release are listed under "REMOVE" below. No other directives are superseded.

4. Filing Instructions: File as directed below:

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1220 (Rel. 1-1660)  
App. 2, Page 1-15

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Mike Howell  
Acting Assistant Director  
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UNITED STATES  
DEPARTMENT OF THE INTERIOR  
BUREAU OF LAND MANAGEMENT

MANUAL TRANSMITTAL SHEET

Release
1-1645
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Subject

1220 - RECORDS AND INFORMATION MANAGEMENT

1. Explanation of Material Transmitted: The title of this manual section has been changed from Paperwork Management to Records and Information Management. It has been rewritten to include information from Manual Sections 1220 - Paperwork Management, 1270-1 - Electronic Records Management, 1271 - Records Management System, and 1272 - Records Disposition. The information in this manual section has been reorganized following the life cycle of a record: creation, maintenance and use, and disposition. Appendix 2 is still under revision and will be sent under a separate release.
2. Reports Required: None
3. Material Superseded: The Manual pages superseded by this release are listed under "REMOVE" below. IM No. 93-355 is also superseded.
4. Filing Instructions: File as directed below.

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Entire 1220  
(Rel. 1-917 and 1-1593)

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## 1220 - RECORDS AND INFORMATION MANAGEMENT

.01 Purpose. This manual section establishes policy and guidance for managing BLM records and information throughout its life cycle, regardless of media. The life cycle of records consists of three phases: creation, maintenance and use, and disposition.

.02 Objectives. Information created by BLM is a valuable resource. Specific objectives of this manual section are to provide policy and guidelines on managing BLM records and information to include:

A. Ensuring that the creation or collection of information is necessary for the proper performance of BLM's mission.

B. Ensuring records are created and preserved that document the BLM's business activities and decisions.

C. Maximizing and facilitating the retrieval and usefulness of BLM information.

D. Ensuring that the BLM's official record copy can be identified, regardless of media.

E. Ensuring timely and systematic removal of noncurrent records from BLM facilities to reduce storage expenses and reduce the burden responding to the Freedom of Information Act (FOIA) requests.

F. Achieving cost reductions in office space, equipment, and supplies.

G. Ensuring security and access requirements are identified and incorporated into all records systems.

H. Ensuring recordkeeping requirements are documented in policy.

.03 Authority.

A. Paperwork Reduction Act of 1980 (44 U.S.C. Chapters 29 and 35) requires that the responsibility for all records management functions, including electronic recordkeeping, be consolidated with other information resources management functions in a single agency official.

B. Federal Records Act of 1950 (44 U.S.C. 2901, 2904, 3102, 3301, and 3314) requires the head of each agency to establish and maintain a records management program for: the economical and efficient management of the records of the agency, to ensure the prompt disposition of temporary records no longer needed, and the continued preservation of records designated as having permanent historical value, including policy and decision documents. This protects the legal interests of the Government and the public.

C. Office of Management and Budget (OMB) Circular A-130, Management of Federal Information Resources provides information management policy, including policies relating to information dissemination, records management, and cooperation with State and local governments.

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D. Act of April 25, 1812 (2 Stat. L., 717). The General Land Office (GLO) was established by Congress in 1812 to administer the public domain lands for the issuance of land warrants and grants; scheduling land sales; collecting monies from land sold; and maintenance of all land records and related data.

E. National Archives and Records Administration (NARA) Regulations (36 CFR, Chapter 12, Subchapter B). NARA regulations require records life cycle management for the creation, maintenance, use, and disposition of all federal agencies' information. Included in this guidance are requirements for developing and obtaining approval for legal disposition of agency records.

F. Computer Security Act of 1987 (P.L. 100-235) provides for Governmentwide computer security and provides for the training in security matters of persons who are involved in the management, operation, and use of federal computer systems. It requires federal agencies to protect sensitive information and information vital to government operations from unauthorized access.

G. Federal Rules of Evidence (Title 28, U.S.C. Appendix-Rules of Evidence) serves as the primary guide for evidence submitted to a Federal Court.

H. Federal Rules of Civil Procedures (Title 28, U.S. C. Appendix - Rules of Civil Procedure).

I. Privacy Act of 1974 (5 U.S.C. 552a) pertains to records maintained about individuals and requires federal agencies to prevent the misuse of personal data in a system of records retrieved by an individual's name or other personal identifier and ensures a person's right to know the purpose and use of information assembled regarding him/her.

J. Electronic Communications Privacy Act of 1986 (P.S. 99-508) establishes penalties for the intentional interception of electronically transmitted information and the authorities and responsibilities of the Federal Government for access to electronically transmitted information.

K. The Freedom of Information Act (FOIA) of 1966, as amended, 5 U.S.C. 552 provides for the disclosure of government information to members of the public while protecting the confidentiality of sensitive, personal, commercial, and governmental (proprietary/confidential) information.

L. General Services Administration (GSA) Regulations (41 CFR 201-45) prescribes and promulgates standards, procedures, and techniques for managing federal records in order to facilitate and support agency operations.

M. Departmental Manual (380 DM 1) provides guidance on responsibilities for managing records created and maintained by the Department and incorporates recent NARA regulatory guidance.

N. Departmental Manual (381 DM 12) Information Collection Budget Handbook.

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O. Departmental Manual (384 DM 1) establishes the records disposition program in the Department, prescribes policy, and assigns responsibility for developing and maintaining an effective and efficient records disposition program.

P. 18 U.S.C. 2071 and 36 CFR 1228, Concealment, Removal, Disposal or Mutilation, generally of federal documents, is a federal crime and can result in prosecution.

Q. Electronic Recordkeeping by General Services Administration (GSA).

R. NARA Publications and Other Reference Guides Published by NARA. See Appendix 1 for a listing.

.04 Responsibility.

A. Director and Deputy Director are responsible for the overall life cycle management of all information and records made or received by the Bureau of Land Management (BLM). This responsibility is delegated to the Chief, Division of Information Resources Management.

B. Assistant Directors, within their assigned program areas, ensure that all information and records within their jurisdiction are managed in accordance with life cycle management requirements.

C. State Directors, Service Center Director, and National Interagency Fire Center Director are responsible for implementation of the overall life cycle management policy of records and information within their State/Center in accordance with the requirements established in this manual section. This includes approving the Official Agency Records Designation Documentation for State/Center electronic records.

D. Chief, Division of Information Resources Management (IRM) is responsible for the overall IRM program, which includes providing bureauwide policy and direction for the collection, creation, maintenance, use, security, access, dissemination and disposition of information. He/she coordinates records management and information dissemination goals, objectives, and activities through the Bureau Records Officer which he/she oversees.

E. Bureau Records Officer, who also serves as the Freedom of Information Act (FOIA) Officer, the Privacy Act Officer, and Information Collection Budget (ICB) Officer, has oversight responsibility for developing an overall Bureauwide Records Management program. This program addresses the policies and procedures for managing information and records created and received by BLM throughout their life cycles. Specific responsibilities include:

1. Developing Bureauwide policy on records and information life cycle management.

2. Overseeing the development of Bureauwide training in records and information management.

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3. Approving and obtaining NARA approval for BLM retention and disposition requirements of all BLM records.

4. Working with other IRM functions to ensure that the records requirements are effectively integrated into the information systems development process.

5. Providing oversight of the Records Management program through the IRM review process.

6. Reviewing Official Agency Records Designation Documentation for Bureauwide records.

7. Ensuring appropriate Records Management policy and guidance is developed, documented, and disseminated throughout BLM.

8. Approving the transfer of the custody of records to agencies other than the NARA or the FRC.

9. Obtaining NARA approval for the emergency destruction of Bureauwide records, Bureauwide extension of records retention requirements, and Bureauwide submission of unscheduled records to the FRC.

10. Reviewing proposed information collections from the public for submission to OMB for approval.

F. Chief, Directives and Information Services Branch is responsible for assigning and updating subject codes, and distributing the Subject Code Index (Appendix 3).

G. Washington Office (WO) Managers are responsible for the following activities in accordance with the requirements of this manual section:

1. Developing Bureauwide, including WO, recordkeeping requirements in accordance with this manual section for all records within their program responsibility and incorporating these in their program directives.

2. Ensuring all records within their program responsibility in the WO are identified on office records inventories and the General Record Schedules (GRS) or BLM Records Schedules.

3. Ensuring all records within their program responsibility have an approved records disposition authority from NARA.

4. Periodically reviewing the GRS and BLM records schedules and program directives to ensure:

a. Records retention and disposition requirements impacting their programs are appropriate.

b. Information and requirements related to creation, maintenance, use, and disposition of the record is appropriate.

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5. Recommending disposition requirements for newly identified records or changes in requirements for existing records within their program responsibility.

6. Ensuring all records within their jurisdiction are disposed of in accordance with an approved BLM Records Schedule.

7. Obtaining OMB approval through the Bureau Records Officer for information collections from the public.

H. Field Office Managers and Specialists are responsible for the following activities in accordance with the requirements of this manual section:

1. Supplementing Bureauwide recordkeeping requirements and establishing recordkeeping requirements for records within their program responsibility and incorporating these into their program directives.

2. Ensuring all records within their program area are identified on office records inventories and the GRS or BLM Records Schedules.

3. Requesting disposition authority for unscheduled records and requesting a change in disposition authority for scheduled records as needed.

4. Periodically reviewing BLM records schedules and program directives to ensure:

a. Records retention and disposition requirements impacting their programs are appropriate.

b. Information related to creation, maintenance, use, and disposition of the record is identified as specified in this manual section.

5. Reviewing and approving all recommended disposition requirements for newly identified records or changes in requirements for existing records within their program responsibility.

6. Ensuring all records within their program responsibility are disposed of in accordance with BLM Records Schedules.

I. Records Administrators have oversight responsibility for developing an overall Statewide/Center/Washington Office Records Management program that addresses the policies and procedures for managing information and records within their jurisdiction. This includes following the requirements in this manual to:

1. Develop Statewide/Center/Washington Office policy and provide guidance for managing the life cycle of records and information.

2. Oversee the development of Statewide/Center/Washington Office training in managing the life cycle of records and information.

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3. Consult with State/Center/Washington Office program managers to identify program recordkeeping requirements.
4. Coordinate the designation of official agency electronic records.
5. Work with State/Center/Washington Office program managers in the development of records systems.

J. Records Managers are responsible for ensuring appropriate life cycle management of records within their jurisdiction. Directives should be reviewed to ensure recordkeeping requirements are documented. Records should be filed and maintained, regardless of media, in the most efficient, economical, and effective system in accordance with user needs. Responsibilities for managing records within their jurisdiction include:

1. Establishing documented filing guidelines for receiving, creating, maintaining, accessing, retrieving, and using the records.
2. Identifying, marking, and filing records using appropriate file codes.
3. Separating records from nonrecords.
4. Ensuring proprietary, sensitive, confidential, and Privacy Act information is identified, noted and secured to prevent unauthorized disclosure.
5. Ensuring all records can be easily accessed and retrieved by authorized users.
6. Developing a system for ensuring manual records retrieved from filing systems are returned.
7. Developing a system to detect unauthorized alterations of records.
8. Ensuring records and records systems are identified in the local records inventory and are scheduled and disposed of as prescribed in this manual.
9. Developing a disaster recovery and contingency plan.

K. District and Resource Area Managers are responsible for the following activities in accordance with the requirements of this manual section for records within their jurisdiction:

1. Ensuring that Statewide recordkeeping requirements are supplemented to ensure appropriate records life cycle management.
2. Ensuring review and approval of all recommended disposition requirements for newly identified records or changes in requirements for existing records within their offices.

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3. Ensuring all records within their office areas are disposed of in accordance with the GRS/BLM Records Schedules.

L. Records Custodians are responsible for maintaining records within their physical and legal custody in accordance with the life cycle management requirements established in program directives and this manual section.

M. BLM Employees and Contractors are responsible for ensuring the appropriate life cycle management of all records they create, receive, maintain, use, disseminate, and dispose of in accordance with the requirements established in program directives and this manual section.

.05 References. See Appendix 1 for non-BLM developed references.

BLM Manual Sections:

- A. 1203, Delegations of Authority
- B. 1221, Directives; H-1221-1, Writing and Formatting Directives; and H-1221-2, Accessing the Automated Directives Digest Bulletin
- C. 1222, Reports Management
- D. 1223, Forms Management
- E. 1261, Automation, Information Resources Management, Modernization (AIM), and Life Cycle Management; H-1261-1, AIM Project Structure; and H-1261-2, AIM Project Initiation
- F. 1264, Automated Information Systems Security Program; and H-1264-1, Automated Information Systems Security
- G. 1270, Records Administration; and H-1270-1, Electronic Records Administration
- H. 1270-2, Cost Recovery; and H-1270-2, Cost Recovery
- I. 1273, Vital Records; and H-1273-1, Disaster Recovery Plan for Paper and Film Records
- J. 1278, External Access to BLM Information
- K. 1279, Library Management
- L. 1283, Data Administration
- M. 1541, Correspondence Management

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**.06 Policy.** All offices are required to create and preserve records containing adequate and proper documentation of the organization, function, policies, decisions, procedures, and essential transactions of BLM. They must have the capability to protect the legal and financial rights of BLM and of persons directly affected by BLM activities (44 U.S.C. 3101). All records created and received shall be maintained in an economic, efficient, reliable, retrievable form, protected from unauthorized disclosure, preserved and disposed of only in compliance with BLM program directives and approved records schedules.

**.07 File and Records Maintenance.** Documentation and record requirements are referenced throughout this manual section. Records disposition program activities are described and authorized for disposal by General Records Schedule 16. Data bases that document records disposition are described and authorized for disposal by General Records Schedule 23. Disposition records shall be maintained in a centralized location to ensure easy search and retrieval by employees. These documents include the records inventory, records schedules, records access categories, records disposition, and record loans. General records management files such as correspondence, reports, authorizations and other records that relate to the management of BLM records are disposed of using General Records Schedule 16/7. These records are currently destroyed when 6 years old or when superseded, obsolete, or no longer needed for reference.

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**.1 Records Management Program.** The head of each federal agency shall establish and maintain an active, continuing program for the economical and efficient management of the records of the agency (44 U.S.C. 3102). Records Management means the planning, controlling, directing, organizing, training, promoting, and other managerial activities involved with respect to records creation, records maintenance and use, and records disposition in order to achieve adequate and proper documentation of the policies and transactions of the Federal Government and effective and economical management of agency operations. As defined by the National Archives and Records Administration (NARA) in 36 CFR 1220.14, adequate and proper documentation is

"...a record of the conduct of Government business that is complete and accurate to the extent required to document the organization, functions, policies, decisions, procedures, and essential transactions of the agency and that is designed to furnish the information necessary to protect the legal and financial rights of the Government and of persons directly affected by the agency's activities."

Records Management requires the systematic application of records and information life cycle management as described in this manual.

**.11 Definitions.** It is important to distinguish among records terms because of the different legal and administrative Records Management requirements associated with each.

A. Records. As defined by 44 U.S.C. 3301, a record includes

"all books, papers, maps, photographs, machine readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data in them."

Within the BLM, records can include draft material, official agency records as defined in .11B of this manual section, agency records under the FOIA as defined in .11C of this manual section, or information as defined in .11E of this manual section. Definitions of terms within the above definition of a record are provided below in accordance with 36 CFR 1220.14:

1. Documentary materials refer to all media containing recorded information, regardless of the nature of the media or the methods or circumstances of recording. These include all records created and received or maintained for the BLM by contractors.

2. Physical form or characteristics means that the information may be recorded on any medium and the method of recording may be manual, mechanical, photographic, electronic, or any combination of these and other technologies.

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3. Made means the act of creating and recording information by agency personnel in the course of their official duties, regardless of the methods or media involved. The act of recording is generally indicated by circulating the information to others or by placing it in files (including electronic files) that are accessible to others.

4. Received means the acceptance or collection of documentary materials by agency personnel in the course of their official duties regardless of their origin and regardless of how transmitted.

5. Preserved means the filing, storing, or other methods of systematically maintaining documentary materials by the organization. The term also refers to activities associated with ensuring recorded information can be read or accessed for the length of time required by approved disposition authorities.

6. Appropriate for preservation means those documentary materials which in the judgment of the organization should be filed, stored, or otherwise systematically maintained because of the evidence of the organization's activities or the information they contain. The term also refers to activities associated with the care and maintenance of permanent records.

7. Informational value means the usefulness of records in documenting the persons, places, things, or matters dealt with by an agency, in contrast to documenting the agency's organization, functions, and activities. This is one of the items considered by NARA in appraising records for permanent retention.

B. Official Agency Records. Historically, records received and made by the BLM have been manual records. Traditionally, the manual medium has been designated for BLM's official record copy. With the advent of electronic records systems, designating the documentary material as the official agency record becomes more complicated. Since electronic records are more susceptible to undetected alterations, they should not be used in the decisionmaking process until an Official Agency Record Designation Document (OARDD) has been completed in accordance with BLM Handbook H-1270-1, Electronic Records Administration. This document will enhance confidence in BLM decisions by substantiating the trustworthiness and integrity of the electronic records.

C. Agency Records under FOIA. As prescribed in 5 U.S.C. 552, the Freedom of Information Act (FOIA), all information created or received, within the custody of the BLM, to include nonrecord material, is subject to public disclosure in response to a FOIA request.

1. Records Search. Documented recordkeeping requirements are especially important for ensuring Privacy Act information, proprietary, confidential, and sensitive information, and mandatory exemptions under the FOIA are filed separately from releasable information to reduce costs and time used in searching for information.

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2. Reviewing Records. A precedent may be established when information is released to members of the public in response to a FOIA request. Equal access should be provided to all requestors unless sound ground exists for discretionary disclosure. All information requested under the FOIA must be reviewed for releasable information. Information cannot be withheld automatically simply because it is known to be predecisional or draft. A direct harm to the BLM must be demonstrated before discretionary exemptions can be applied to deny release of BLM records. Refer to BLM Manual Section 1278, External Access to BLM Information.

D. Records Series. Information, regardless of media, arranged according to a filing system or kept together because they relate to a particular subject of function, result from the same activity, or document a specific kind of transaction are referred to as records series. These are appraised by the NARA for applying BLM's recommended records retention and disposition requirements. Once scheduled and approved by the NARA, they are incorporated into the BLM Records Schedule. Records series do not necessarily constitute a record system. As a unit, such as records maintained in an electronic records application, a records series could constitute a records system. The increasing use of electronic records systems to maintain records will result in the creation of new records series. (Refer to .11G of this manual section.)

E. Information. As defined in OMB Circular A-130, information is

"...any communication or representation of knowledge such as facts, data, or opinions in any medium or form, including textual, numerical, graphic, cartographic, narrative, or audiovisual forms."

Within the BLM the definition of information includes record and nonrecord material.

F. Information Dissemination Product (IDP) as defined in OMB Circular A-130 is

"...any book, paper, map, machine-readable material, audiovisual production, or other documentary material, regardless of physical form or characteristic, disseminated by an agency to the public."

BLM may specifically designate information at any level as an IDP when it is of interest to the public. Refer to .36 of this manual section for additional guidance on creating and managing IDP's. Refer to BLM Manual Section 1278, External Access to BLM Information, for information on disseminating IDP's.

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G. Information or Records System. The terms information system and records system are interchangeable. These systems represent the organized collection, processing, transmission, and dissemination of information in accordance with defined procedures, whether automated or manual. An electronic record system may contain input or source documents, records on electronic media, and output records, along with related documentation and any indexes. Conversion from a manual to an electronic records system may constitute the establishment of a new records series which will require appraisal by the NARA.

H. Nonrecords are defined by the Federal Records Act, 44 U.S.C. 3301 as

"...library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and of processed documents..."

When copies of nonrecords are made part of a BLM file for reference purposes, they are subject to subpoena and disclosure under the FOIA. Following are examples of nonrecord material:

1. Information copies are nonrecord copies sent to individuals or offices interested in, but not acting on, a matter.
2. Tickler, follow up, or suspense copies are files arranged chronologically to remind officials of actions to be completed by a specific date.
3. Duplicate copies are counterparts produced by the same impression as the original. This includes photography, mechanical or electronic re-recording, chemical reproduction, or other equivalent techniques which accurately reproduce the original. Handwritten or typed copies are not considered duplicates.
4. Catalogs, trade journals, and other publications that are received from other Government agencies, commercial firms, or private institutions that require no action and are not part of a case on which action is taken.
5. Physical exhibits, artifacts, and other material objects lacking evidential value.

I. Personal Papers. In contrast to both records and nonrecord materials, personal papers are not Government-owned. The maintenance of personal papers in agency space and equipment requires agency approval. Such personal papers must be clearly designated as such and maintained separately from BLM records. Personal papers are documentary materials belonging to an individual that are not used to conduct agency business. Once personal papers are used to conduct agency business, they may become Bureau records.

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.12 Records Life Cycle Management. According to the life cycle concept, records do through three basic stages: creation (or receipt); maintenance and use (preservation, dissemination, access, retrieval, and analysis); and disposition (destruction, donation, or permanent preservation). BLM Program Managers must coordinate their programs and recordkeeping requirements to meet the life cycle management requirements of the Federal Records Act and the Paperwork Reduction Act. This means establishing continuous and systematic control over the creation, maintenance and use, and disposition of BLM records in accordance with statutory and regulatory requirements, and BLM directives.

A. Creation. The first phase of the records management life cycle begins when a need for information is identified. The need may result from new legislative, regulatory, or administrative requirements. The creation may also begin when the organization plans to change existing recordkeeping procedures. This would include plans to automate manual recordkeeping systems. Creation of a record in the BLM would also include receiving information via the postal service, a courier service, an Email service, importing of an external electronic record, FAX, electronic forums via electronic network system, and so forth. It is during the records creation stage that records must be reviewed for retention value, maintenance and use requirements and scheduled for a disposition authority from the NARA. Refer to .2 of this manual section for additional information on records creation.

1. Formal and Informal Correspondence includes incoming and outgoing letters, memoranda, notes, messages, reports, minutes from meetings, forms, studies, evaluations, position papers, briefing materials, organizational charts, decision documents and other similar text or graphic materials that document the BLM and its activities. These may be filed in a variety of records systems depending upon the purpose for creating the information. The disposition of these categories of records shall adhere to the disposition requirements of the record series in which it is filed.

2. Policy Statements and Decision Documents include internal BLM permanent and temporary directives, regulations, Environmental Impact Statements, issue papers, project decisions, Official Agency Record Designation Documents, records about records, reports, public affairs documents, and so on.

3. Cartographic Materials include maps, plats, aerial photographs, engineering drawings, and architectural drawings relating to the Department and/or its activities. Refer to NARA Publication, Managing Cartographic, Aerial Photographic, Architectural, and Engineering Records, 1989; BLM Manual Sections 9160 and 9161; and NARA Guide to Cartographic Records in the National Archives, 1971.

4. Electronic Records Applications include data files, computer system documentation, life cycle management documentation, input and output regardless of media. Software developed by the BLM is government owned and may be subject to disclosure under the FOIA. To be considered the official agency records, a completed Official Agency Record Designation Document (OARDD) must be approved as prescribed in BLM Handbook H-1270-1, Electronic Records Administration.

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5. Audio-visual Materials include still and motion pictures, sound and video recordings, slides, and presentations that document the organization, activities, decisions, and historical events of the BLM. Refer to NARA Publication, Managing Audiovisual Records, 1990.

6. Case-Related Information is usually filed in Serialized Case Files such as patent applications, contracts, official personnel files, FOIA case files, EEO case files, and so forth.

7. Serialized Sets of Publications, Brochures, Pamphlets, or Posters and Books are created by the BLM that document the BLM and its activities.

8. Work-related Materials include information such as preliminary drafts, predecisional information created or acquired during the deliberative process, rough notes, Email, diaries, journals, calendars, schedules, and other similar materials. Work-related materials are considered records if they:

a. Are circulated or made available to employees, other than the originator, for official purposes such as approval, comment, action, recommendation, follow-up, or to communicate with staff about BLM business; and

b. Contain unique information such as substantive annotations or comments that add to a proper understanding of the BLM's formulation and execution of basic policies, decisions, actions, or responsibilities.

9. Finding Aids relate to and facilitate retrieval of information such as the BLM's Historical Index (HI) or the BLM's Directives Digest Bulletin (DDB).

B. Maintenance and Use. The second phase of the life cycle involves the organization, storage, access, retrieval, and dissemination of BLM records. Effective and efficient maintenance will result in easy access by authorized users, minimum search time, easy retrieval, security of proprietary, confidential, sensitive, and Privacy Act information and appropriate preservation. Refer to .3 of this manual section for additional information on records maintenance and use.

1. Records Inventory. All offices shall maintain a complete and accurate records inventory identifying all record and nonrecord material. This inventory should reduce costs associated with searching for records and identify records available for public disclosure. The BLM records transferred to a Federal Records Center (FRC) and deleted from the on-site BLM inventory are still considered the legal custody of the BLM. BLM records stored at the FRC require a search in response to FOIA and other requests from members of the public. Employees responding to requests from the public should also maintain a copy of a current records inventory identifying records disposition. Refer to .3 of this manual section for policy on conducting and maintaining records inventories.

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C. Disposition. Disposition is an integral part of records management and is the third and final stage of the life cycle of records. Disposition means the actions taken regarding records when they are no longer needed for current Government business. BLM records shall not be destroyed or otherwise disposed of except in accordance with procedures described in this manual section (44 U.S.C. 3314). Program Managers are responsible for identifying records series within which their records belong and ensuring that all records have a current approved records disposition schedule that will meet the needs of the BLM and the public. Refer to .4 of this manual section for policy and guidance on disposing of records.

1. BLM Records Disposition Schedules. A BLM Records Disposition Schedule approved by the NARA provides the only legal authority for retaining and disposing of BLM records. Information from an up-to-date BLM Records Disposition Schedule can be added to the inventory as evidence of disposition approvals. The BLM is not required to make records available responsive to internal or external records requests if they have been destroyed or transferred to the NARA in accordance with an approved records disposition schedule. Records are appraised by the NARA as either temporary records eligible for destruction or donation after a specific period of time or permanent for continued preservation by NARA. The appraisal of BLM records will be dependent upon the purpose for creating the record, its value to the BLM and the public, and preservation requirements. Refer to .4 of this manual section for records disposition requirements.

a. Temporary Records are destroyed, or in rare instances donated, after a fixed period of time. The time may range from a few months to many years. Records generally common to most federal agencies are temporary records as described by the NARA in the General Records Schedule (GRS). The GRS describes retention and disposition requirements for temporary records common to most agencies. The GRS records and records unique to the BLM will be described with appropriate retention and disposition requirements in the BLM's comprehensive records disposition schedule. The BLM's records and information needs may or may not concur with the GRS.

b. Permanent Records are records determined by the Archivist of the United States to be sufficiently valuable for historical or other purposes warranting continued preservation by the Federal Government. Relatively few federal records are permanent although the exact percentage differs from agency to agency.

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.13 BLM Integrated Records Management/Subject Codes. BLM's integrated records management system is a group of sub-systems. It is designed to provide a "link" for all records of the same subject area. This integrated records management system begins when Congress passes a Public Law which gives some responsibility to the Secretary of the Interior. The Secretary then drafts regulations explaining how the Department of the Interior (DOI) will enforce that law. The regulations are reviewed by the Office of the Solicitor and concerned public groups. When the regulations are signed by the Secretary, they are printed in the Federal Register. Once they are published, they are in effect and binding. Annually, the Federal Registers are consolidated in a publication called the Code of Federal Regulations (CFR). Title 43 of the CFR (43 CFR) is Public Lands: Interior. Therefore, most of the regulations BLM uses to accomplish its mission are in Title 43. Chapter I of 43 CFR contains regulations for the Department. Chapter II are regulations for BLM. While preparing the Federal Register notice, BLM either assigns an existing subject code from the CFR or a new subject code. A subject code is assigned to every subject for which BLM has interest or responsibility. Appendix 3 of this manual section is the Subject Code Index. Once assigned, this subject code is used to link records relating to a specific topic. Below are some of the records that are linked by these subject codes:

A. BLM Manual. BLM issues permanent policy and program direction in the Bureau manual. Each manual section is identified with a subject code which, generally, links it with the same subject in the CFR. Manual sections and manual supplements are the first half of the Bureau's permanent directives system. See BLM Manual Section 1221, Directives, and BLM Handbook, H-1221-1, Writing and Formatting Directives.

B. Manual Supplement. Supplements to the BLM Manual may be issued by the State/Center Directors or District/Area Managers when they wish to add policy or procedures. Each manual supplement is identified with a subject code which links the BLM Manual and the CFR.

C. BLM Handbook. BLM issues detailed instructions necessary to carry out policy and direction described in the corresponding manual section. These handbooks are also identified with a subject code linking the BLM Manual and the CFR. Handbooks are the second half of the Bureau's permanent directives system. See BLM Manual Section 1221, Directives, and BLM Handbook, H-1221-1, Writing and Formatting Directives.

D. Instruction Memorandums. When new policy or procedural instructions must reach employees quickly or an interpretation of existing regulations, policies, or instructions is necessary, BLM offices may issue instruction memorandums (IMs), which should be incorporated in the corresponding BLM manual section. Each IM contains a subject code which links the BLM manual section and handbook, where applicable. IMs are the first half of the Bureau's temporary directives system. See BLM Manual Section 1221, Directives, and BLM Handbook, H-1221-1, Writing and Formatting Directives.

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E. Information Bulletins (IBs) are used to disseminate information to BLM employees, transmit publications, call attention to existing policy, request review of draft documents, etc. Material in IBs do not affect the corresponding BLM manual section or handbook. Each IB contains a subject code which links the BLM manual section and handbook, where applicable. Information Bulletins are the second half of the Bureau's temporary directives system. See BLM Manual Section 1221, Directives, and BLM Handbook, H-1221-1, Writing and Formatting Directives.

F. Directive Digest Bulletin (DDB). The Directives Digest Bulletin (also known as the Directives Index) is a listing of all directives and forms issued for a certain period of time. Because IMs, IBs, manual sections, handbooks, and forms follow the same subject code system, the DDB may be used to search for all applicable policy, procedures and forms issued for a particular subject area. See BLM Handbook H-1221-2, Accessing the Automated Directives Digest Bulletin.

G. Bureau Forms. In order to link Bureau forms to other BLM records of the same subject area, the subject code is included as part of the Bureau form number. Local forms (State, District, Resource Area) use this same numbering system. See BLM Manual Section 1223, Forms Management.

H. General Correspondence. The Bureau's general correspondence is also prepared using the subject code system. See BLM Manual Section 1541, Correspondence Management.

I. Reports. The Bureau's recurring reports are each given a control number which contains the subject code number. See BLM Manual Section 1222, Reports Management.

J. Library Indexing. Documents maintained in Bureau "libraries" are frequently indexed using the subject code system. See BLM Manual Section 1279, Library Management.

K. Photo Indexing. Photos, when indexed, are numbered sequentially using the subject code system.

L. Delegations of Authority. The Bureau's delegations of authority are indexed by subject code. See BLM Manual Section 1203, Delegations of Authority.

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.14 New or Obsolete Subject Codes and Associated Recordkeeping. The Directives and Information Services Branch is responsible for coordinating new subject codes, revising subject codes, canceling obsolete subject codes, updating the Subject Code Index (Appendix 3), and for maintaining associated records. Subject codes 1600-9000 are linked to Title 43 of the CFR. Subject codes 1000-1500 are not linked to 43 CFR because they are regulated by other agencies.

A. New or Revised Subject Codes. When requesting a new or revised subject code, the requester must submit the following information to the IRM Services Group:

1. A description of the new or revised program requirement.
2. The purpose of the new or revised program requirement.
3. Any link to 43 CFR or other regulation.
4. Recommended subject code and justification.

The Directives and Information Services Branch is responsible for coordinating the assignment of a new number or revising the subject code and providing feedback to the requester and the field offices.

B. Canceling Obsolete Subject Codes. When requesting cancellation of a subject code, the requester must submit the following information to the Directives and Information Services Branch:

1. The subject code to be canceled.
2. The reason for canceling the subject code.
3. Any existing instruction memos, information bulletins, BLM manuals, or handbooks for this subject code.

The Directives and Information Services Branch is responsible for coordinating cancellation of the subject code (and providing feedback to the requester and the field offices. The Directives and Information Services Branch will provide guidance to the requester on cancellation of existing directives).

The Branch will maintain all creation, revision and cancellation records to provide an audit trail. The records will be filed and retained as permanent organizational history files.

.15 Recordkeeping Requirements are statements in laws, regulations, or agency directives providing general and specific guidance on particular records to be created and maintained by an agency. Recordkeeping requirements state what information must be created or received to provide adequate documentation of BLM business, who should have access, and retention and disposition requirements. Recordkeeping requirements documented in BLM directives will serve as the legal foundation for ensuring trustworthiness and integrity of the BLM's records. The recordkeeping requirements should be reviewed in conjunction with changes in business requirements, information collections, public requests for information, and reporting requirements. Procedures for completing the Official Agency Records Designation Document (OARDD) for electronic records can be found in BLM Handbook H-1270-1, Electronic Records Administration.

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.2 Records Creation. The BLM must be able to justify the creation or collection of information based upon its statutory functions to ensure that information is only created for the proper performance of its mission (44 U.S.C. 3504(c)(2)). The information created must also have practical utility as defined in the Paperwork Reduction Act (44 U.S.C. 3502(16)) which includes such qualities of information as accuracy, adequacy, and reliability. The burdens imposed should not exceed the benefits to be derived from the information. Moreover, if the same benefit can be obtained by alternative means that impose a lesser burden, the alternative should be adopted. Managers should seek existing internal and external information sources before requiring the creation of a new record, record system, or report.

.21 Creation Considerations. Accomplishment of the BLM mission will necessitate the creation and use of some records on a regular basis regardless of a statutory or regulatory requirement, simply because they are needed for agency decisionmaking. The purpose and authority for making or receiving a record will influence decisions related to the entire life cycle of the record. The reason for creating the record or system must be identified in appropriate records and information system life cycle management documentation. Records could be created, received, or modified for the following reasons:

A. Development of Directives. Most statutes and regulations stipulate recordkeeping requirements and may also mandate specific life cycle management requirements such as format, media, use and disposition requirements. When new or modified statutes, regulations, and oversight agency directives are issued, they must be supplemented in the BLM program directives to ensure compliance throughout the BLM. These program directives must also prescribe any new recordkeeping or reporting requirements to ensure compliance with a statutory or regulatory requirement. It will also ensure compliance with the Federal Records Act to maintain adequate documentation.

B. Modify or Convert an Existing Record System. This occurs frequently with the development of finding aids such as indexes or converting a manual record system to an electronic record system. Maximum use and benefits of the new system by the BLM, by members of the public and other agencies are accrued. The BLM should use electronic records systems where such systems could maximize the usefulness of information, reduce burden on the public, increase efficiency of BLM programs, reduce costs to the BLM and the public, and/or provide better service to the public. Electronic data collection shall be managed in accordance with BLM Manual Section 1283, Data Administration and BLM Handbook H-1270-1, Electronic Records Administration. Conditions favorable to electronic data collection include:

1. The data collections seek a large volume of data and/or reaches a large proportion of users.
2. The data collection recurs frequently.
3. The structure, format, and/or definition of the data does not change significantly over several years.

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4. The office collecting the data routinely converts information to electronic format.

5. A substantial number of the affected public are known to have ready access to the necessary information technology and to maintain the information in electronic form.

6. Conversion to electronic reporting, if mandatory, will not impose substantial costs to other adverse effects on the public, especially State and local governments and small business entities.

C. Enhanced Historical Value of Electronic Records. Information contained in an electronic record system may be designated by NARA as being more valuable than a manual system it replaces or supplements. Frequently, manual records may not be designated for permanent historical retention because potential research information may be too time consuming to obtain manually. Electronic records, however, provide greater opportunities for research due to its capability to be manipulated and shared widely with other users. In the event that an electronic system is used to replace a manual system, the retention period of the existing system may be reduced from permanent or long term retention to temporary or shorter term retention. In any case, the need to continue creating an existing system must be evaluated in relation to the proposed system.

D. Information Collection (IC). An information collection from the public requires following policy and guidelines prescribed in 381 DM, Information Collection Handbook. It must be reviewed by the Bureau Records Officer and approved by the Office of Management and Budget (OMB) before it can be used. These collections follow a review process to ensure that the IC package is complete and in conformance with OMB standards. They are also analyzed to identify the establishment of a new record or change to an existing record system. If it is a new requirement, then it will probably result in the creation of a new record. The Washington Office Program Manager should consult with the Bureau Records Officer before establishing information collections.

E. Reporting Requirements. Most BLM reports are mandated by law, regulation or oversight agency directive. These reports constitute a record generally belonging to an existing records series. However, many reports may constitute a unique record such as the Public Land Statistics in the form of a publication. Managers having jurisdiction for the report must consider the value of the information to determine how long it should be retained by BLM and whether a summary report may reduce the retention of the records from which the data was collected to produce the report. This analysis should dictate the maintenance and preservation requirements of the report. Program Managers shall conduct an information needs analysis and review the reporting requirements against existing information systems and the reports inventory prior to establishing a new report (refer to BLM Manual Section 1222, Reports Management).

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F. Data Sharing and Exchange. The BLM should seek opportunities for sharing and exchanging data with other entities. This is a natural step in the process of conducting a user requirements analysis. A complete analysis can prevent the development of a new recordkeeping system which may already be available for use by other agencies. Information received from other entities will constitute a BLM record which must be identified and scheduled with the NARA if it is used for agency decisionmaking. The BLM may need the record system or the data for a longer period of time than the original creators. Therefore, the BLM would need to initiate procedures to ensure that an agreement is maintained and that the data is scheduled with the NARA to demonstrate uses and requirements for the information.

.22 Information Needs Analysis. Following the guidelines of BLM AIM Project Management, BLM Manual Section 1263, a user requirements analysis supported with a Statement of Need should be conducted prior to creating a new records system or disposing of an existing system. Consistent coordination throughout the life cycle of the information system will prevent duplication of effort; provide standards for ensuring validity and reliability of information made and received in BLM; identify internal and external access requirements; identify retention and disposition requirements for ensuring protection of the BLM's and public's legal rights and interests; and identify existing sources of information.

A. Information Management Planning. Records creators and system developers shall plan in an integrated manner with record users for managing information throughout its life cycle.

1. Consider at each stage of the information life cycle, the effects of decisions and actions on other stages of the life cycle, particularly those concerning information dissemination.
2. Consider the effects of their actions on members of the public and ensure consultation with the public as appropriate.
3. Consider the effects of their actions on State and local governments and ensure consultation with those governments as appropriate.
4. Seek to satisfy new information needs through intra-agency or intra-governmental sharing of information, or through commercial sources, where appropriate, before creating or collecting new information.
5. Integrate planning for information systems with plans for resource allocation and use, including budgeting, acquisition, and use of information technology.
6. Develop guidance and training in managing information.
7. Protect information commensurate with the risk and magnitude of harm that could result from the loss, misuse, or unauthorized access to or modification of such information.

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8. Use BLM data element dictionary standards and Federal Information Process Standards (FIPS) where appropriate or required (see BLM Manual Section 1283, Data Administration).

9. Consider the effects of actions on the privacy rights of individuals, and ensure that appropriate legal and technical safeguards are implemented.

10. Record, preserve, and make accessible sufficient information to ensure the management and accountability of agency programs, and to protect the legal and financial rights of BLM.

11. Incorporate records management and archival functions into the design, development, and implementation of information systems.

12. Provide for public access to records where required or appropriate.

B. Electronic Data Collection. BLM will use electronic collection techniques where such techniques reduce burden on the public, increase efficiency of BLM programs, reduce costs to BLM and the public, and/or provide better service to the public. Records creators should consider technology and anticipate potential changes in information requirements which could lead to conversion from a manual system of records to an electronic record system. An Official Agency Record Designation Document (OARDD) in accordance with BLM Handbook H-1270-1, Electronic Records Administration, is required for all electronic record systems to ensure: trustworthiness of the records system and integrity of the information; appropriate life cycle management of the existing and new records systems; and maximum use and benefits of the new system by BLM, by members of the public, and by other agencies. When a record is modified or converted, the retention period may change. This will depend upon the value of the new system. Frequently, an electronic record system may have more value than the existing manual system because the data is of greater use due to its capability to be manipulated. The retention and disposition requirements of the existing system must be evaluated in relation to the proposed system. (Refer to .4 of this manual section for additional information on records disposition.)

C. Data Standards. During creation, the creator must ensure that established standards for recording and filing the information are documented and issued in a BLM directive. (See BLM Manual Section 1283, Data Administration, for policy and guidance on data standards.) These standards should be used regardless of the media or format in which the information is being recorded.

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.23 Designating Record Status of Information. All employees receiving and creating information are responsible for ensuring the appropriate designation of records status. Determining whether a particular document is a record does not depend on whether it is an original or a copy or on what media or in what format it resides. More and more employees are creating and receiving information electronically. The rapid pace in technology development increasingly creates a more appealing method for streamlining operations and for accessing and transmitting information. Members of the public are making more requests for Government information. Agencies are collaborating on data sharing and exchange agreements and creating direct access to electronic records.

A. Creation. If the information is created or received by a BLM employee on BLM time, with BLM materials, and at BLM expense, then the information is a BLM record.

B. Content. If the information contains only information about the employee's personal matters, and not substantive information about BLM business, then it is unlikely to be a BLM record.

C. Purpose. If the information is required by statute or regulation or new program requirements and/or it is created to facilitate BLM business, it is a record. If it was created solely for the employee's personal convenience, it is a nonrecord but still subject to disclosure under the FOIA.

D. Distribution. If the information will be distributed to other employees for an official purpose, it is a BLM record.

E. Use. Materials brought into the BLM office for reference use do not become BLM records merely because they relate to official matters or influence the employee's work. However, if the employee relies on such materials to conduct BLM business or if other employees use them for BLM purposes, then the materials are considered BLM records.

F. Maintenance. If the information was placed in BLM files, and not kept in the employee's possession, it is likely to be considered a BLM record.

G. Disposition. If a NARA-approved records schedule governs the information's disposition, the information is a record.

H. Control. If the BLM attempted to exercise "institutional control" over the information through applicable maintenance or disposition directives or by requiring the information to be created in the first place, it is a BLM record.

I. Segregation. If substantive BLM information in a file can be segregated from any personal information, it should be extracted and placed in BLM files.

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.24 Appraising Record Value. The value of the information to the BLM, other entities and the NARA should determine the ultimate disposition of the record. Federal agency record values fall into the following three categories: administrative, fiscal, and legal as described below. (See .4 of this manual section for information on disposition of records.)

A. Administrative Value. Records have administrative value when they are necessary to conduct the agency's current business. The duration of this value may be long or short. Some records, such as program directives, have long-term administrative value. Others, such as messenger service files, have short-term administrative value.

B. Fiscal Value. Records have fiscal value when they document the agency's financial transactions and obligations. They include budget records, which show how expenditures were planned; voucher or expenditure records, which indicate the purposes for which funds were spent; and accounting records, which classify and summarize agency expenditures. The OMB, the General Accounting Office, the Treasury Department, and the General Services Administration prescribe the form and content of many fiscal records.

C. Legal Value. Records have legal value when they contain information that may be used to support rights based on the provisions of statute or regulation. These provisions may be general, such as the statute of limitations on claims, or specific, such as those providing benefits to retirees. Some legal values relate to records the law requires the Government to create and maintain in the course of its operations. Others are intended to protect the rights of individuals and organizations.

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.3 Maintenance and Use includes storage, preservation, retrieval, and use of information by the BLM, other government agencies, educational institutes, and members of the public. Use of BLM information should be developed in collaboration with internal users and potential users outside the BLM to include other government agencies, educational institutes, and members of the public. OMB Circular A-130, Management of Federal Information Resources, encourages federal agencies to use new technologies to maximize the usefulness of government information. Availability of government information in diverse media, including electronic formats, permits the BLM, other agencies, and the public greater flexibility in using the information. Standards for securing and preserving information can be found in NARA regulations and guidelines, Federal Information Processing Standards (FIPS), and vendor products.

.31 Access and Retrieval. Managers shall ensure that recordkeeping systems for information within their jurisdiction provide a method for all authorized users of the system to retrieve a desired record. Access requirements should be based upon the most economical and efficient method from which to search and retrieve information. Managers must follow external access requirements prescribed in BLM Manual Section 1278, External Access to BLM Information, and OMB Circular A-130, Management of Federal Information Resources. OMB Circular A-130 encourages federal agencies to use new technologies to make government information available to the public in a timely and equitable manner.

A. Subject Codes/Indexing. Records shall be indexed in a manner which allows the ready retrieval of their informational contents and which promotes the application of authorized disposal requirements. Subject codes shall be assigned and annotated on all records (refer to Appendix 3, Subject Code Index). All 43 CFR titles and subject codes have been listed in this index, including those that are "reserved." In cases where a BLM Manual Section exists, the manual title is listed. An asterisk (\*) following the title indicates no BLM Manual Section exists. Other records classifications used to retrieve the information shall be assigned and annotated consistent with user needs. Other key elements useful in indexing records include: serial case file numbers, patent numbers, originating office codes, addressees, purchase order numbers, and contract numbers. The complexity of the indexing system should be a function of the volume of records, diversity of the records, how long the records must be retained, and how familiar the persons retrieving the records are with the records. The type of index used will also depend on the characteristics of the particular records, the user requirements, the number of users, and its extent of use in BLM.

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1. Assigning File Classification Code(s). All records that need to be retained either electronically or in hard copy shall be assigned a filing code applicable to the appropriate recordkeeping system and record series. Most BLM records are filed in established recordkeeping systems such as contract files, serialized case files, personnel files, general subject files, and Bureauwide or local electronic filing structures. Assignment of the appropriate file classification code(s) is based upon the type and value of information, its purpose and use, and the ultimate disposition of the file in which it is placed. For example, a subject code may be assigned to records filed in a general subject file. Whereas, if the record also relates to a serialized case file, an official personnel file (OPF), or a contract file, the originator and recipient may assign a subject code, an OPF code, and a Serial or Contract Number to the record.

2. Determining Filing Requirements. The originator, recipient and records custodian are responsible for determining and identifying the recordkeeping system in which to file the record. The file classification code should be used to determine the appropriate record series. The nature of the information in the record and the individual or office needs may require it to be maintained in more than one record series file, or perhaps, on more than one media. Determining which record series and which media will depend upon the following criteria:

- a. the needs of the originator, the recipient and other users;
- b. the value and sensitivity of the information;
- c. retrieval and user needs; and
- d. the disposition authority of the record.

.32 Media. Managers shall ensure that information is not lost because of changing technology, deterioration, or from converting storage media. NARA will not accept electronic records except as prescribed in 36 CFR 1220.

A. Selection and Conversion Factors. The following factors shall be considered before selecting a storage medium or converting from one medium to another:

1. The authorized life of the records as determined during the scheduling process.
2. The maintenance necessary to retain the records.
3. The cost of storing, accessing and retrieving the records.
4. The density of the records.
5. The access time to retrieve stored records.

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6. The portability of the medium and the capability to transfer information from one medium to another (such as from microform to optical disk or paper to magnetic tape).

7. Whether the medium meets current applicable Federal Information Processing Standards.

8. The likelihood that the authorized disposition of new systems can be implemented after conversion.

9. Effect of new system on existing records disposition authorities.

B. Types of Media. Records Administrators should consult the local NARA Archives Preservation office when conducting a cost benefit analysis prior to selecting the media for permanent or other long term retention records.

1. Paper. Many agents can cause paper to deteriorate. These include acid, light, heat, humidity, air pollutants, dust, fungus, insects, vermin and hard or prolonged usage. Acidity is the primary cause of deterioration.

2. Ink. Although ink is the primary source of inscription, the toner used in printers and copiers are rapidly becoming as prevalent as ink. Ink comes in two varieties: printing ink and writing ink; the durability of which is influenced by method of inscription, stacking, and use.

3. Microform. Use of microfilm reduces storage. BLM will use microfilm to store permanent records. Microfilm systems can be automated with indexing to speed the search and retrieval time to obtain the record. BLM will use microfilm until it fully migrates to optical disc storage and retrieval.

4. Optical Disc. Anything that can be stored on optical disc can be stored in magnetic memory. The major differences are that with optical media more information can be stored in a smaller space, the information is not as easy to destroy, and the costs are much lower. Most makers of optical disc guarantee data retention for 10 years. Special handling and storage is not required. There are no federal standards for using optical discs as a media for acceptable records storage and retrieval. Retention planning for media stored on optical disc will include retaining not only the discs but also the software, operating systems, and equipment required to read the disc. Consequently, with the exception of analog and digital audio compact discs, records on optical disc cannot now be transferred to the NARA. When NARA accepts optical discs, BLM will apply this media.

5. Magnetic Tape. Magnetic tape is the primary electronic storage media that the NARA will accept for transferring custody of the permanent electronic records. It is a fragile medium, highly susceptible to the generation of error by improper care and handling.

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6. Hard Discs. Hard discs are high-capacity file storage and retrieval mediums for computers. Hard disks are similar to floppy disks in function and should not be used to store permanent records indefinitely.

7. Analog Videodiscs. Analog videodiscs that typically contain photographs are one type of optical disk that can be transferred to the NARA, provided that they do not require any interactive software on nonstandardized equipment. Original photographs appraised as permanent and copied onto a videodisc must be scheduled for transfer along with a copy of the videodisc.

8. Compact Discs. Compact discs used for digital audio playback can be transferred to the NARA because they use a standard player and require no special software.

9. Floppy Discs. Floppy discs cannot be transferred to the NARA. Users need to avoid the use of floppy discs for the exclusive long-term storage of permanent or unscheduled electronic records. This medium should be used only for storing temporary records, backups, and duplicate or reference copies of information recorded on a hard drive.

.33 Files Management. Planning the proper location of files collections is the first step in effective files management. The network system of filing, or official file station concept, is based primarily on decentralized records locations with centralized control. A file station may be a large, central location shared by several offices or it may be a small, local station or computer server, with only one or two file cabinets or PC's, serving a single unit. Records with the same disposition should be filed together to promote ease of access and archiving.

A. Basic Types (Groups) of Files. The files collection will normally consist of more than one basic type of file. The first step in planning and arranging a file collection is identifying and separating these various types. A file group consists of a collection of file materials which have similar characteristics and which should be kept apart from other groups of records in the office.

B. Centralization Versus Decentralization of Files.

1. Centralized Files. Centralized files are designed to keep as many records as possible in small, usable collections where they are more easily managed and accessible. Centralizing records usually results in duplicating recordkeeping and is, therefore, limited to specific records series which require central documentation. Consider locating records in a centralized file or electronic network system when:

a. records are of functional interest or reference value to several offices.

b. security of proprietary/confidential/privacy material requires specialized equipment, which may be limited.

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c. records are brought together to ensure that related activities are adequately documented.

2. Decentralized Files. Consider locating records in a decentralized file or restricting access on an electronic network system when:

- a. records are of interest to only one work unit.
- b. centralized filing is too distant from users.
- c. information must be immediately available to the user.
- d. constant reference is made to the records by a particular unit.
- e. technical support and control of the records is required.

C. Maintaining a Central Files. If the decision is made to maintain a central files unit or centralized general correspondence files, the following guidelines should be followed:

1. Records should be arranged and filed according to their general informational, or subject, content.
2. Mainly letters and memorandums will be maintained in the central files unit. However, forms, reports, memorandum of understanding, and other material, all relating to program and administrative functions may be included.
3. Information pertaining to specific case files should not be included in the central files unit.
4. General correspondence files will be maintained in subject code order by fiscal year. Subject codes are codes assigned to each subject area within BLM responsibility which serves as an index to assist users in locating information. BLM uses codes 1000-9000. Subject codes 1600-9000 are linked to Title 43 of the Code of Federal Regulations. Each subject code is used to link correspondence, forms, training courses, manual sections, handbooks, instruction memorandums, information bulletins, reports, etc., pertaining to a certain subject. See Appendix 3, Subject Code Index.
5. Forms 1271-1, 1271-1a, 1271-1b (Illustration 1), 1271-c, and 1271-1d, Official File Covers, are file covers which may be used to organize central files records. The content of these forms is identical. These forms are color-coded to represent a particular fiscal year. Illustration 2 is a list of the fiscal years they represent.

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6. Form 1271-1c, Official File Cover, is a pink file folder which may be used to identify long term records such as those with permanent retention or unscheduled records. Some examples of records filed in these file folders are:

- a. Local Memorandums of Understanding.g
- b. Organization and boundary files.
- c. Unscheduled records.
- d. Perpetual maintenance files.
- e. Local news releases.

7. Central files records will be disposed of according to the appropriate disposition authorities. (See Appendix 2, Combined GRS/BLM Records Schedules.) Some examples of these files are:

- a. Memorandums of Understanding masters - PERMANENT (16/22a)
- b. Request for Vehicle at Employee Residence - TEMPORARY (10/2a)
- c. Government Bills of Lading - TEMPORARY (9/1c or 6/1b)
- d. Local management team agenda and minutes - TEMPORARY (16/8b(1))

.34 Use of Information. The Federal laws and regulations determine what records a federal agency will create, how the BLM uses its records to accomplish its mission to manage the Public Lands, conduct administrative business for internal operations, and provide information to the public. The BLM records are used internally for documenting and referencing administrative operations of BLM programs to include personnel training and staffing, organizational management, information resources management, and so forth. They may be used during administrative proceedings for a land use decision, or they may be needed for a land appeal decision.

A. Use in the BLM. Program Managers are responsible for providing guidance on what information is to be used, when and by whom in the decisionmaking process and to perform BLM activities. This guidance should also include the access and security requirements for using the information.

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B. Use by other Federal and Local Agencies and the Public. The BLM has a responsibility to make publicly available, disseminate and provide information to the public consistent with its mission and statutory requirements. As defined by OMB Circular A-130, dissemination means the government initiated distribution of information to the public. Not considered dissemination within this meaning is distribution limited to government employees or agency contractors or grantees, intra- or inter-agency use or sharing of government information, and responses to requests for agency records under the FOIA or Privacy Act. BLM electronic records not designated as official agency records require an accompanying disclaimer as prescribed in BLM Manual Section 1278, External Access to BLM Information. Information Dissemination Products as defined in .1F of this manual section should be published in the Government Information Locator Service (GILS). Employees should seek sources of information in collaboration with other agencies.

C. Loan of Permanent and Unscheduled Records. Loans of permanent and unscheduled records outside the Bureau must be approved, accurately documented, and effectively controlled to ensure that the records are protected while on loan and that they are returned within the agreed-upon timeframe. The Records Administrator should establish a tracking system for loans of any Bureau records.

1. Loans to Non-Federal Recipients. The loan of permanent and unscheduled records to non-Federal entities must be approved in writing by NARA. The request to loan records shall be coordinated by the Records Administrator having jurisdiction for the records with personnel creating, maintaining, or using the records to be loaned. Upon obtaining necessary reviews and approval signatures, the Records Administrator shall submit the letter of request to the NARA with information required in 36 CFR 1228.70. If the request is approved, the NARA will notify the requesting Records Administrator. Implementation of this loan shall be documented in a local Instruction Memorandum; a copy of which must be filed or noted in the disposition case file.

2. Loans to Federal Recipients. The temporary loan of permanent and/or unscheduled records to another Federal agency does not require NARA approval. However, employees who make such loans must first obtain approval from the Records Administrator having jurisdiction over the records and ensure that the loaned records will be properly handled and stored and that appropriate access restrictions are enforced.

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D. Special Considerations for Electronic Mail Records. The life cycle management requirements of information created and received in Email are no different than for records received and transmitted via traditional postal services, courier services, facsimile machines, and importing and exporting from electronic records systems. The originator and recipient must consider the value of the information for determining the ultimate disposition of the record. Drafts, working copies, and transitory records transmitted and received should be treated as reference material, filed if needed for future use, and destroyed when no longer needed. Electronic and hard copies designated as BLM's record copy shall be disposed of only in accordance with an approved disposition authority of the recordkeeping system and record series in which it is maintained. However, uses encouraged for the use of an Email system include:

1. Transmitting and receiving advance transmissions of information awaiting issuance through the formal correspondence or directives process.
2. Issuing and receiving data calls identified on the BLM Recurring Reports Inventory or other reminders contained in a current directive.
3. Importing and exporting working documents in to an electronic record system such as a data base file or word processing file.
4. Communicating with working groups or peers for such activity as sharing ideas, providing information, or making recommendations and decisions.
5. Maintaining background and working information for future reference and decisionmaking.
6. Receiving information by a centralized contact, liaison, or manager for review and transfer to another individual for action or information.
7. Producing transitory records to transmit, receive, and respond to routine inquiries and requests for information, publications, supplies; schedule and confirm meetings; and other such records not documenting administrative, fiscal, or evidential information of long-term value.

.35 BLM Records Access Categories. The FOIA, the Privacy Act, and other statutes require all Federal agencies to make certain information available for public inspection, and other information exempt from disclosure to the public. Therefore, it is the policy of BLM to make records available to the public to the greatest extent possible, in keeping with the spirit of the FOIA, while at the same time protecting sensitive information. Based on these statutes, as they are created, all BLM records and information will be reviewed and segregated into one of the following three records access categories. See BLM Manual Section 1278, External Access to BLM Information, for current BLM records category listings and information on categorizing new records.

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A. BLM Public Records - Category 1. Public records (traditionally available/unlimited access records) are those BLM records for which the entities outside of BLM have the right to view/inspect without charge. Records in this category are not required to be physically maintained in BLM information access center/area; however, they must be available (brought to the information access center/area) to view/inspect upon request.

B. Discretionary Records - Category 2 (Electronic Records and Outputs and State-specific information determined releasable to the public). The records placed in this category are records which BLM has chosen to make available to the public at a cost (as opposed to the free for view records in Category 1). Fees shall be determined in accordance with fee guidelines set forth in BLM Manual Section 1270-2 and BLM Handbook H-1270-2, Cost Recovery.

C. Nonpublic Records - Category 3 (Limited Access Records). These records include all records not designated as publicly available in either Category 1 or 2.

.36 Information Dissemination Product (IDP) as defined in OMB Circular A-130 is:

"...any book, paper, map, machine-readable material, audiovisual production, or other documentary material, regardless of physical form or characteristic, disseminated by an agency to the public..."

BLM is required to make publicly available, disseminate, and provide information to the public consistent with its mission and statutory requirements ensuring that:

A. Information is disseminated in a manner that achieves the best balance between the goals of maximizing the usefulness of the information and minimizing the cost to BLM and the public.

B. IDPs are disseminated on equitable and timely terms.

C. BLM takes advantage of all dissemination channels, federal and nonfederal, including State and local governments, libraries and private sector entities, in discharging BLM's information dissemination responsibilities.

D. BLM's Information Locator System (ILS) developed in connection with the Government Information Locator System (GILS) provides the inventory of BLM's IDPs. The BLM ILS was established and maintained to assist the public in locating government information (Refer to OMB Circular A-130).

.37 Records Inventory. Each BLM office is required to maintain a complete records inventory identifying records and nonrecord materials in all media (36 CFR 1228.22). Inventories should be updated annually.

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A. Uses of a Records Inventory. The records inventory can be used as a management tool to reduce search time in locating records either for use by BLM or in response to public requests. Search time is added to cost recovery rates for retrieving information for the public under the FOIA or through BLM information access centers/areas where records are provided. The records inventory is the first step in scheduling records for disposition. Creation of a disposition schedule requires identifying existing records, appraising the records for retention, securing necessary clearances and approvals for disposition, and disseminating the schedules for mandatory use. Conducting the records inventory can detect such problems as:

1. Unscheduled records;
2. Inadequate maintenance and location of information;
3. Unnecessary duplication of information;
4. Manual records that should be automated;
5. Retention of records past their disposal or transfer date;
6. Records that were not created even though BLM is required to create them;
7. Records that should not have been created or maintained;
8. Inappropriate retention, poor records security practices;
9. Insufficient identification of vital records; and
10. Inadequate documentation of official actions.

B. Mandatory Elements of a Records Inventory. The following individual elements must be included in the inventory:

1. Location of the series should precisely identify the Building and Room Number; e.g. WO-800, MIB, Rm 5617. This information, in relation to other data elements, can help in analyzing whether the location is in close proximity to frequent users, whether duplicates should also be maintained in other locations, and whether centralized or decentralized filing such as a Local Area Network (LAN), Central Files unit, PC, or individual employee's office would be more effective and efficient in accessing and retrieving the information.
2. Creating office is frequently the Office of Record and the point of contact for requesting copies of records.
3. Series Description as it would be stated in the records disposition schedules.
4. Records Disposition Schedule Number and Item Number.

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5. Cutoff Date to be used to plan and ensure proper records disposition.

6. Inclusive Dates for each series. The earliest and latest dates of the records in each series are important aspects of the description. It would identify those records over 30 years old for which the NARA has legal authority to obtain custody and for which BLM has the requirement to report as they are identified.

7. Medium should be identified to assist in analyzing appropriateness of medium, and duplication of recordkeeping systems.

8. Arrangement or filing scheme of the series such as subject code, case number, and contract number.

9. Custodian of the records. Use the title of the individual in charge of agency files.

10. Access and use restrictions for security and protection of sensitive, proprietary, and confidential records; e.g. FOIA, Privacy Act, Information Dissemination Product (IDP), Public vs Nonpublic, Confidential and Proprietary information. This element should include the category code or number as required by BLM Manual Section 1278, External Access to BLM Information.

11. Vital Records information is important to alert employees that certain records vital to the mission of BLM require specific disaster recovery planning. This element would also identify whether a duplicate exists and the remote site of the duplicate. See BLM Manual Section 1273, Vital Records, for more information.

12. Records Status would identify whether the record is a duplicate, reference copy, finding aid, etc.

C. Maintaining the Records Inventory. The Records Managers are responsible for ensuring that records inventories are complete, accurate and up-to-date and that newly identified records are scheduled with the NARA. All employees having records, regardless of media, should participate in conducting the inventory using the previous year's inventory as a baseline. Each office shall maintain an official copy of their records inventory (e.g., the State Office shall maintain an official copy of the State Office records inventory). Copies of records inventories should be maintained in a central location for use by all employees.

.38 Submitting Records into Evidence. Records serve as the primary form of evidence in many court cases, but records have not always been admissible as evidence. Traditionally, courts excluded records from evidence because they regarded live testimony as the most trustworthy and dependable kind of evidence. Records were excluded because courts considered such documentary evidence hearsay. Present day courts will admit documentary evidence as long as such evidence qualifies for admission.

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A. Federal Rules of Evidence. The law of evidence is a system of rules and standards by which the admission of proof at a trial is regulated. The Federal Rules of Evidence (Fed.R.Evid.) is a compilation of well established principles of evidence law. These rules provide the basis for admitting all types of documentary evidence, including electronic records in evidence (Title 28, U.S.C. Appendix - Rules of Evidence).

B. Trustworthiness of Records. The following circumstances associated with records creation, maintenance and use, and disposition will enhance the trustworthiness of BLM records:

1. Records are prepared in the regular course of business.
2. Records have an independent business purpose, but are prepared in the regular course of business to meet legitimate business needs.
3. Records are required by law.
4. Records are prepared with no motive to misrepresent or change them and are only prepared to meet legitimate business needs rather than protect an individual and indicate no motive to prepare fraudulent records.
5. Records are prepared before litigation is foreseen.
6. Records are prepared by an independent third party on behalf of others.
7. Live testimony corroborates the information contained in the records.
8. Records containing factual information rather than opinions such as accounting and financial records represent factual information, internal memos or general correspondence often contain opinions and self-serving information.
9. Records are prepared by an experienced person.

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C. Submitting Originals Versus Duplicates. Original records have traditionally been considered more reliable than duplicates because duplicates were first made by copying the original by hand. Today, microfilm, electronic imaging systems, and office copiers reproduce images very reliably. A duplicate copy, however, can still be modified from the original. BLM may in certain circumstances use reproductions or duplicates of original records as evidence in judicial and administrative proceedings. Reproductions or duplicates include formats produced with microfilm, electronic imaging technology, digitized records, scanned images, optical disk, and traditional photocopying. Criteria for determining whether a reproduction may be admitted should not present a problem if recordkeeping requirements for reproducing original records are documented in BLM program directives and the Official Agency Records Designation Documentation (BLM Handbook H-1270-1, Electronic Records Administration).

D. Discovery and Subpoenas of Records. Once a legal action has been initiated within the statute of limitations, either party, under the rules of discovery has the opportunity to uncover relevant information in the possession of the other party. Discovery includes the right to inspect documents, perform tests, conduct depositions of witnesses, and obtain responses to written interrogatories or questions (Rule 34 of the Federal Rules of Civil Procedure, Production of Documents and Things and Entry Upon Land for Inspection and Other Purposes" (28 U.S.C. Appendix - Rules of Civil Procedure)).

1. Failure to Produce Records Required by Discovery. If an organization fails to produce documents under a discovery order, the court can subject it to criminal penalties for obstruction of justice or contempt of court, or to an adverse inference which is often harmful in litigation.

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2. Records Schedule Protection. The failure to produce documents in response to a court order can be supported through the introduction of evidence indicating that the records had been destroyed in compliance with NARA approved records schedule, prior to litigation. This evidence will need to include testimony regarding the authorized records disposition program, documentation regarding procedures and approved records schedules, and documentation showing a systematic destruction of records over a period of time. Prompt attention to maintaining the records disposition schedule and documentation will prevent unnecessary search time and retrieval time. However, destroying the records prior to their authorized destruction date or when litigation is pending can result in fines and penalties outlined in 18 U.S.C. 2071. To protect BLM interests and the legal rights and interests of the public, BLM must be sure that documentation of business activities are described as recordkeeping requirements in their program manuals. Most of BLM records related to accomplishing the mission of land management are legal rights and interests records. These records must be identified as such in BLM Records Schedules. Examples of records with legal value include formal decisions and legal opinions; documents containing evidence of actions in particular cases such as claims papers and legal dockets; and documents involving legal agreements, such as leases, titles, and contracts. They also include records relating to criminal investigations, worker's compensation, exposure to hazardous material, and the issuance of licenses and permits.

3. Authorization to Destroy Records Prior to the End of the Statute of Limitations. A statute of limitations only impacts the period of time during which a legal action may be brought. Records can be destroyed prior to a Statute of Limitation ending period if:

- a. they are authorized to be disposed of in accordance with an approved BLM Records Schedule;
- b. a specific statute or regulation does not prohibit it; and
- c. if there is not an internal BLM directive suspending their disposition authority.

.39 Safeguarding Information. All employees must assume responsibility for the accuracy, integrity, and security of the information they create, maintain, or use. All reasonable steps shall be taken to preserve the integrity throughout the life cycle of the information. Access to records should be physically limited to authorized users. Sensitive information such as proprietary, confidential, or Privacy Act information must be protected from disclosure. (See BLM Manual Section 1278, External Access to BLM Information.) The recordkeeping system design must include adequate safeguards to protect against age or storage equipment obsolescence, unauthorized access, unauthorized disclosure, and contamination. Refer to BLM Handbooks H-1273-1, Disaster Recovery Plan for Paper and Film Records; H-1264-1, Automated Information Systems Security; and BLM Manual Section 1273, Vital Records.

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.4 Records Disposition consists of records destruction, transferring records for temporary storage, transferring records for permanent preservation, donating temporary records, and selling or salvaging the records for re-use of the media. There are two organizations within NARA that are responsible for the care of records transferred to them by federal agencies: 1) the National Archives (Archives) and 2) the Federal Records Centers (FRC). Each organization's facilities maintain all types of federal records including paper, motion pictures, microform, still pictures, maps and drawings, and electronic records. A list of the records centers can be found in 36 CFR 1228.150.

.41 Role of the National Archives and Records Administration (NARA). The NARA was established in 1934 to assist federal agencies in ensuring adequate and proper documentation of the policies and transactions of the Federal Government. NARA is responsible for records appraisal, for regulating and approving the disposition of federal records (SF-115, Request for Records Disposition Authority), for operating the Archives, providing program assistance and Federal Records Center (FRC) storage, and serving as the final custodian of permanent records.

A. The Federal Records Centers (FRC) have the responsibility to provide temporary storage for records scheduled by federal agencies for disposition through destruction or permanent preservation by the NARA. The FRCs provide temporary storage and reference service for records that are needed infrequently by the creating agency, but are not yet eligible for destruction or transfer to the National Archives for permanent preservation. Agencies prepare an SF-135, Records Transmittal and Receipt (Illustration 6) and a shelf list (Illustration 8) when they are ready to transfer records to a FRC. Records stored in a FRC remain in the legal custody of the creating agency. The FRC shall notify agencies of pending records destruction for temporary records within their physical custody (Illustration 9, Notice of Intent to Destroy). They will also generate a request for transfer of legal custody to NARA for permanent records (Illustration 10, SF-258). Agency records which are accessioned by the FRC are still within the legal custody of BLM and, therefore, subject to public disclosure under the FOIA. The FRC will not disclose the record except to the agency which maintains the record, or under rules established by BLM (36 CFR 1228.162).

B. The National Archives stores the Federal Government's permanent records which are also known as the National Archives of the United States. The Archivist is also responsible for approving BLM's Request for Records Disposition Authority (SF-115) (Illustration 3 and 4). The National Archives are located throughout the United States for facilitating transfer and storage of records. When transferring permanent records to the National Archives, agencies also transfer legal custody of the records. The National Archives takes conservation measures needed to preserve the records and also provides reference service, including service to the creating agency. Field Office records are transferred to the nearest regional archives as identified in 36 CFR 1220. The transfers shall only be made with an approved SF-258. Once custody of records is transferred to National Archives, the only document that may be added is a cross-reference document (see .46 of this manual section and Illustration 11).

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.42 Records Schedules. An approved records schedule is the only legal authority for disposing of BLM records. There are two types of records schedules - the General Records Schedules and agency (BLM) records schedules.

A. General Records Schedules (GRS). The GRS are issued by the Archivist of the United States to provide legal authorization for the disposal of temporary records common to several or all agencies of the Federal Government. The GRS cover temporary records relating to civilian personnel, fiscal accounting, procurement, communications, printing, and other common functions; and certain nontextual records. These records comprise an estimated one-third of the total volume of records created by federal agencies. In 1978, use of the GRS was made legally mandatory. The disposal authorizations must be used by a federal agency to the greatest extent possible. Because these schedules are designed to cover records common to several or most agencies, the records descriptions in the GRS are general. Disposition requirements are mandatory and must be applied except when BLM has received NARA approval for a different retention period.

B. BLM Records Schedules. The NARA's regulations, 36 CFR 1228, require each agency to develop a comprehensive records schedule within 2 years of the agency's establishment and to schedule the records of a new program within 1 year of its implementation. The GRS does not cover all records of BLM. They must be supplemented by BLM records schedules for unique program records, permanent agency records, and other records not described in the GRS. The BLM records schedules have been combined with the GRS in the combined GRS/BLM records schedules (Appendix 2).

C. Combined GRS and BLM Records Schedules. This document shall combine disposition authorities from the GRS and the BLM schedules. It shall describe the record series, security and access requirements, Privacy Act Systems Notices, the office of record, whether the record is vital or a legal rights and interest record, the retention and cutoff period, whether it is a temporary record scheduled for destruction or permanent for transferring to the legal custody of and continued preservation by the NARA. The WO Records Administrator is responsible for revising, coordinating its revisions with NARA and bureauwide, maintaining, and distributing this document. The combined schedules are Appendix 2 to this manual section. The combined schedules include two indexes: alphabetical subject index and commonly used forms index.

1. Composition of GRS/BLM Combined Schedules.

a. Schedules. GRS/BLM Combined Schedules are arranged numerically 1 through 30. Each numbered schedule defines a group of records that relate to a particular subject, function, or some other common relationship (i.e., Schedule 1 describes personnel records; Schedule 10 describes motor vehicle records; Schedule 30 describes system records associated with ALMRS).

(1) Introductory Page. The introductory page of each schedule provides an overview of the records covered by the schedule and describes any additional NARA requirements.

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b. Column 1 - Item Number. Each of the 30 schedules are subdivided into items with alpha-numeric designations for each records series description.

c. Column 2 - Record Series Description. A record series is a collection of records that have a well-defined internal relationship. A series consists of file units or documents arranged according to a filing system or kept together because they relate to a particular subject or function, result from the same activity, document a specific kind of action, take a particular physical form, or because of some other relationship arising out of their creation, receipt, or use. Series are generally handled as a unit for disposition purposes. Each record within a series has the same retention period and disposition action.

The series descriptions have been written to provide the series title, a general description of the documents or data in the series, and their arrangement, followed by the more detailed information that is described below:

(1) Authority. The authorizing law or directive is usually shown by a citation to the relevant Code of Federal Regulations or U.S. Code. Some authorities contain recordkeeping instructions. When the authorities are extensive, a cross-reference is provided to BLM Manual where the list of authorities can be found.

(2) Forms. Forms are described in the series descriptions by their numbers only; for brevity, form titles are not provided. However, form titles can be found in the Forms Index to Appendix 2.

(3) Confidentiality/Sensitive/Proprietary/Privacy. The records access category number and, if applicable, the Privacy Act system number are included in the series description. This alerts records custodians to those files that must be protected from unauthorized access as required by BLM Manual Section 1278, External Access to BLM Information, and helps the FRCs identify records whose destruction must be witnessed to protect confidential information. This section also identifies whether the records are sensitive or contain proprietary information.

(4) Vital Records Status. Records that are essential to the continued functioning of an organization (during and after an emergency) and records essential to the protection of the rights and interests of the Bureau and the public are identified as vital in the series description. If records are vital, they must be duplicated and stored off-site. Location of duplicates should be identified. This information will assist field offices in developing a vital records program plan as required by BLM Manual Section 1273, Vital Records. The proposed disposition authority for all vital records series must be reviewed by the Department.

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(5) Location. The records needed to carry out delegations of authority are placed at the lowest organizational level possible. Because the delegations of authority may differ from state to state, the organizational unit where the records are located may also differ. This makes it difficult to specify the exact office of record on an organizational level. For example, the office of record for mineral lease inspection and enforcement activity in some states is the District, in others it is the Resource Area, and in some states it may be the State Office.

When the office of record is consistent throughout the Bureau, the specific organizational unit is cited (e.g., official personnel files are maintained by Personnel Offices at Headquarters, Service Center, and State Offices). When the location cited is "all" or "AFO" this means the series is usually found in most Bureau or field offices; however, some offices may not maintain such records. For example, the location of Visitor Control Files (Schedule 18, Item 17) is described as "all" because the majority of BLM offices maintain visitor logs. However, for those BLM offices that are located in a federal building, visitor logs are created and maintained by the Federal Protective Service.

(6) Exclusions. Exclusion statements are added to some series descriptions. These statements are used to cross-reference record series that may be similar in title and function but which have different filing and disposition requirements. For example, Schedule 4, Item 26, Resource Management Plans excludes Resource Activity Plans which are found in Schedule 4, Item 27.

d. Column 3 - Disposition Authority. The disposition authority column identifies the records as either permanent or temporary, provides cutoff instructions, and instructions for their ultimate disposition - either by transfer or destruction. Unscheduled records are identified as "PROPOSED."

(1) Permanent v. Temporary. All records are either permanent or temporary. All permanent records must eventually be transferred to NARA. All temporary records will eventually be destroyed either by BLM or at a FRC. The use of the term, "indefinite" is not an acceptable term to NARA. Even records with very lengthy retention periods (e.g., 50 to 75 years) are still temporary records.

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(a) Disposition Instructions.

i. Permanent Records. Permanent records are never destroyed and are always identified for transfer to NARA at a specific time after cutoff. Permanent files may first be transferred to FRC and then later be transferred by the FRC to NARA. See Section .44 for more information about implementing the records schedules.

ii. Temporary Records. All temporary records are scheduled for destruction, either at their cutoff date, after a specific period of time after cutoff, or when no longer needed. Temporary records may first transfer to FRC where they will be destroyed when they reach their authorized disposal date. See Section .44 for more information about implementing the records schedules.

(2) Cutoff Instructions. Cutting off files involves breaking or ending files at regular intervals, usually at fiscal or calendar year end, to permit their disposal or transfer. For example, case files are usually cutoff at the end of the fiscal year in which they close. Subject files (general correspondence) are cutoff at fiscal year end to permit establishment of new files for the coming year and are destroyed 3 years after cutoff.

(3) GRS or NARA Job Citations. At the end of each disposition authority is a reference to the GRS or a NARA job number. A GRS citation means the disposition authority was copied from the GRS. A NARA job number means the records were approved for disposition under an SF-115 submitted by BLM. NARA assigns a job number to each SF-115 submitted by agencies.

(4) Explanatory Notes. Explanatory notes about series revisions are highlighted in the disposition authority column. The implications of the hazardous materials program to be considered during the review are also described in the highlighted notes in the disposition authority column.

e. Finding Aids. The schedules contain three finding aids to assist the users: (1) a table of contents provides a list of the schedules by number and their titles; (2) the subject index is an alphabetical listing of schedule topics by page number(s); and (3) the forms index is a numerical listing of all forms mentioned in the series descriptions and their titles by page number(s).

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.43 Reviewing and Updating the Schedules. BLM managers, records custodians, and record users must review its comprehensive records schedule annually and revise and update as necessary. Additions and changes to the GRS shall be incorporated into BLM records schedules and disseminated within 6 months of issuance from NARA.

A. Adding, Revising and Deleting Schedule Items. The following may require changes to be made to the BLM disposition schedule items:

1. Changes in legislation or program regulations.
2. Changes in program priorities, policies, procedures, or information flow.
3. Discontinued programs and responsibilities.
4. New programs and responsibilities.
5. The impact of automation on records, such as electronic or microform systems that replace paper-based systems.
6. Internal reorganizations affecting the nature, content, and importance of existing records.
7. Increases or decreases in office space.

B. SF-115, Request for Records Disposition Authority. BLM must request disposition authority for each record series on Form SF-115 (Illustrations 3 and 4). The Archivist grants approvals for the agency's recommended retention and disposition requirements by signing the SF-115. Any additions or changes to disposition authorities must also be approved by the Archivist.

1. Initiating an SF-115, Request for Records Disposition Authority. When new records are created for which current disposition authorities are not applicable, an SF-115 should be completed. Preparation of the SF-115 and supporting documentation is the responsibility of the respective program staff. Records Administrators and Records Managers should be contacted for assistance in completing these documents. The completed SF-115 and supporting documentation should be submitted by the Bureau program office to the Bureau Records Officer for approval and submission to NARA for approval by the Archivist of the United States. The Bureau Records Officer, or designated acting, is the only BLM official authorized to sign the SF-115. Approved disposition authorities will be incorporated into the Combined GRS and BLM Records Schedules by the Bureau Records Officer as they are received. (See Appendix 2)

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2. Completing an SF-115, Request for Records Disposition Authority. (See Illustrations 3 and 4 for samples of a completed SF-115.) More detailed guidance to completing an SF-115 are contained on the back of the form and in the NARA records management handbook, Disposition of Federal Records (NSN 7610-01-055-8704).

3. Information Required in Disposition Recommendations. The quality of the schedules depends on in-depth analyses and recommendations by records custodians, managers, Information Resource Management (IRM) staff, records manager, records administrator, and users. The disposition authorities must be consistent with the administrative, fiscal and legal value of the records. (See .23 of this manual section.) All requests to initiate disposition authorities, changes to disposition authorities, and exceptions to the GRS must include the following information:

- a. Applicable statutes of limitation.
- b. Regulatory limits for claims or prosecution.
- c. The potential for fraud, and litigation trends involving procedural or substantive rights.
- d. Particular statutes or regulations granting or limiting a specific legal right.
- e. The availability of the same information in other record series or systems.
- f. Legal rights and interest to BLM and the public.
- g. Access restrictions.
- h. Environmental information (such as hazardous materials) which may require a longer retention period to identify liability in future court cases.

C. Request for Exception to GRS Disposition Authority. With appropriate justification, NARA will grant exceptions to the GRS disposition authorities. Procedures for requesting exceptions to the GRS and the same as those described above (SF-115 and supporting justification) that are required for scheduling unscheduled records and modifying existing schedules.

D. Notification of Approved Records Schedules. Upon receipt of a signed approval by the Archivist, the Bureau Records Officer shall ensure implementation of the new or revised records disposition authority via a bureauwide Instruction Memorandum.

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E. Recordkeeping Requirements. The Records Administrators are responsible for establishing a recordkeeping system for maintaining the project file containing the request with associated supporting documentation. The WO is the office of record for all requests, coordination and supporting decision documentation, and the NARA approved SF-115. These files shall be maintained in a case file.

F. Withdrawal of Disposal Authority by NARA. In emergencies, the Archivist of the United States may withdraw, temporarily or permanently, disposal authority previously granted. Such action will be taken whenever the disposal would harm the interest of the government or individuals. The Archivist notifies the Bureau Records Officer of the withdrawal by a letter or NARA Bulletin in accordance with the provisions of 36 CFR 1228.52. The Bureau Records Officer shall notify BLM via an Instruction Memorandum of such withdrawal authority.

.44 Implementing the Records Schedules. Timely application of the records disposition schedules includes review of proposed and existing records schedules bureauwide to ensure efficient, prompt, and orderly reduction in the quantity of records maintained in office space and equipment. Applying the records schedules is the responsibility of all employees responsible for maintaining records created, received, and used by BLM. Records Administrators are responsible for developing a systematic process to ensure records disposition occurs in accordance with current approved records schedules.

A. Screening Records. A records series determined to be of permanent value (permanent records) may reside in a file with records or information of temporary value and vice versa, regardless of media. Therefore, before records can be disposed of, records custodians should screen the files to ensure destruction of temporary records, continued maintenance of long-term value of temporary records and transfer of permanent records to the Archives. Decisions to screen files requires rigorous analysis because of the cost involved. The amount of time and money spent depends on whether or not:

1. Complete files or sections of files can be removed.
2. It is easy to identify the materials to be removed.
3. The records are easily accessible.

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4. Physical processing, such as removal of paper clips or archiving only extracts of electronic record information to another system or media, is unnecessary. Screening is no substitute for establishing and following proper filing procedures and it should be unnecessary if such procedures are implemented in accordance with a BLM directive. It is normally cost-effective only if the records to be retained are permanent, are scheduled for periods exceeding 30 years, or constitute less than half of the file. Alternatives to screening records include retaining them in the office until final disposition, moving them to an agency holding area, or retiring them intact to a FRC. The best way to avoid screening problems is to make sure that permanent or long-term records are not filed with short-term records or with nonrecord materials.

B. Destruction of Obsolete Records and Nonrecord Materials that are authorized for destruction by NARA. Managers should be aware that the provisions of the Freedom of Information Act (FOIA) apply to all records in existence in the agency. A FOIA request for documents maintained beyond the authorized destruction date of the records series would effectively bar the disposal of such records (see BLM Manual Section 1278, External Access to BLM Information).

C. Transferring Records to Federal Records Centers (FRC). Both temporary and permanent records may be shipped to FRCs for temporary storage. Records accessioned to the FRC and NARA are maintained in a controlled environment suitable for records preservation. The FRC will perform disposition through destruction or transfer of records to NARA with agency approval. The NARA will continue to preserve records of permanent historical value. For information on completing an SF-135, Records Transmittal and Receipt, see .45 of this manual section.

D. Request for Temporary Extension of Retention Periods. Certain events, such as litigation, program audits, and investigations, may require that records be retained beyond their scheduled destruction date. Upon submission of adequate justification, NARA may authorize a federal agency to extend the retention period of a series or system of records (44 U.S.C. 2909). Managers who wish to extend the retention period of the records involved in such events shall submit a letter of request addressed to NARA in accordance with the provisions of 36 CFR 1228.54.

1. Letter of Request (Special Circumstances). This procedure is to be followed only for segments of records that have been affected by the special circumstances. The letter shall include a records series description, the disposition schedule citation, reasons for the request, the current and physical location of the records including information on whether the records have been or will be transferred to one or more FRC, and the time period involved if it can be determined. If program officials determine that a series should always be kept for longer than the scheduled retention period, the schedule should be revised.

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a. Field Office and WO Requests. The letter of request shall be initiated by the Manager having jurisdiction for the records in need of the extension. The request shall be coordinated through the State/Center/WO Records Administrator who will coordinate the request with the regional NARA.

b. Bureauwide Requests. Bureauwide requests will be approved, signed and submitted by the Bureau Records Officer to the NARA.

E. Records Over 30 Years Old. Permanent records over 30 years old which are still in BLM custody must be transferred to the National Archives unless a request is made in writing justifying the need for the records to be retained by BLM to conduct regular current business. Records Administrators must complete a NARA Form 13148, "Report to NARA on Permanent and Unscheduled Records Over 30 Years Old in Agency Custody" (see Illustration 5, for all records within the physical custody of BLM.) These forms do not have to be completed for records over 30 years old that are stored in a FRC.

F. Notification of Approval. The Archives shall notify the requesting Records Administrator of their approval or disapproval. Disapprovals shall be coordinated accordingly by the requesting Records Administrator. The requesting Records Administrator shall notify employees of the approved extension via Instruction Memorandum. For extensions of a bureauwide records system or records series, the Bureau Records Officer shall notify all employees bureauwide via Instruction Memorandum.

G. Transferring Records to the National Personnel Records Center (NPRC). Guidance for the transfer of official personnel folders (OPF) and certain other personnel records to the NPRC is provided in 36 CFR 1228.154, Federal Personnel Manual (FPM) 293, FPM Supplement 293-31, and 384 DM 4.7. Transfers and retrievals to and from the NPRC may be delegated to the staff of the Servicing Personnel Office rather than the Records point of contact as identified in the list described above. Records at the NPRC covered by GRS 1 and 2 will be destroyed in accordance with those schedules without further Bureau clearance.

.45 Transferring Records to the Federal Records Center (FRC). Federal Records Centers are facilities operated by the National Archives and Records Administration (NARA) for the economical storage and servicing of records pending their ultimate disposition. Only the physical custody of records is transferred. The office of record (BLM) retains the legal responsibility for these records. See 36 CFR 1228.150 for a list of Federal Records Centers and the areas they serve.

A. Procedures for Transferring Records to the FRC. General guidance for transferring records to the FRC is provided in 36 CFR 1228.150 and in 384 DM 4.5. Transfers are initiated by the submission of an SF-135, Records Transmittal and Receipt. Detailed procedures and illustrations are provided in NARA Handbook, "Federal Archives and Records Centers." The regional FRCs also publish NARA Field Bulletins that provide supplemental information on the services and procedures of each region. Bureau records personnel should request copies of NARA Field Bulletins from the FRC that serves their geographic area.

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1. Use the Proper Containers and Supplies. Standard-size record boxes (NSN-8115-00-117-8344) may be obtained from Customer Supply Center (GSA). These boxes are used for standard and legal files (14-3/4" x 12" x 9-1/2"). Other containers, forms, tape and markers needed for preparing containers are listed in the GSA catalog which may be obtained from GSA, Centralized Mailing List Services, P.O. Box 17077, Fort Worth, Texas 76102-0077.

B. Criteria for Records Transferred to a FRC. Records transferred to a FRC must have their final disposition established by an approved records schedule, a Request for Records Disposition Authority (SF-115) submitted to NARA for approval (for unscheduled records), or an exception to 36 CFR 1228.152. FRC does not ordinarily accept records that have less than a 1-year retention period before disposition. Offices facing a critical shortage of space or other substantive problem may request an exception to the 1-year rule by submitting a written request to the Director of the regional FRC. Records Administrators having jurisdiction for the unscheduled records must submit a written request to the FRC in accordance with the provisions of 36 CFR 1228.152.

C. SF-135, Records Transmittal and Receipt (Illustration 6) is used to transfer records to the FRC.

1. Initiating the SF-135. The SF-135 will be generated by the office having custody of the records. The originating office shall prepare an original and two copies of the SF-135, retain one copy for filing purposes and send the original and one copy to your regional FRC.

2. Approval Process for the SF-135. The SF-135 review and approval process shall be coordinated by the Records Manager for records within their jurisdiction. The review process shall be coordinated with personnel creating, maintaining, or using the records to be transferred. The SF-135 must identify whether information in the records is sensitive, vital, confidential, privacy, or proprietary. Once the SF-135 is approved by FRC, an approved copy of the SF-135 will be forwarded to the requesting office with shipping dates, accession number and instructions for preparing containers for shipment.

3. Coordination of Transfers and Points of Contact. Close coordination between the FRC and Bureau records personnel can improve the management and disposition of records. To ensure that appropriate points of contact are maintained, Records Administrators shall maintain an up-to-date list of points of contact of BLM personnel who have authority to transfer to and retrieve records from the FRC. This list must be submitted to the FRC at the beginning of each fiscal year. The FRCs must be notified of changes in authorized records personnel as they occur.

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.46 Transferring Permanent Records to National Archives. The National Archives, which includes eleven National Archives Field Branches, maintains the permanent (archival) records of the federal government. Once records are transferred to the Archives from the originating agency, NARA assumes legal responsibility for them, regulates access to them, and assures their protection. Detailed information about the field branches of the National Archives can be found in "The Archives: A Guide to the National Archives Field Branches."

A. Types of Records Transferred to Archives. Records transferred to the National Archives must be listed as permanent on an approved records schedule. Permanent records stored in a FRC for the Bureau are transferred to NARA by the FRC after Bureau clearance. Permanent records in Bureau space may be offered directly to National Archives.

B. Procedures for Transferring Records to Archives. General guidance for transferring records to National Archives is provided in 36 CFR 1228.190 and 384 DM 1.8B(2). Transfers are initiated by the submission of a SF-258, Request to Transfer, Approval and Receipt of Records to the National Archives of the United States.

1. Documentation Needed to Transfer Electronic Records to the NARA. Form NA 14097, Technical Description for Transfer of Electronic Records to the National Archives (Illustration 7) or other documentation should include, at a minimum, the software needed to process the information, a narrative description of the system, physical and technical characteristics of the records, and any other technical information needed to read or process the records, e.g., data dictionary or the equivalent information.

C. SF-258, Request to Transfer, Approval, and Receipt of Records to National Archives (NARA) of the United States (Illustration 10). This form and supporting documentation, such as a shelf list (Illustration 8) or other description of the record, are used to transfer legal custody of permanent records to NARA.

1. Initiating the SF-258. The SF-258 may be generated by a FRC for records stored at the FRC or generated by the office having custody of the records.

a. The FRC will initiate the SF-258 for transferring permanent records from FRC space and send it to the office of record for review and approval. The SF-258 from the FRC should have a copy of a SF-135 attached highlighting the records to be transferred.

b. BLM managers who wish to transfer permanent records from Bureau space are responsible for initiating the SF-258, which should include a shelf list, SF-135, NA 14097, and/or other description of the record. These requests must be made through the Records Administrator having jurisdiction for the records.

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2. Review process for SF-258. The SF-258 review and approval process shall be coordinated by the Records Administrator for records within their jurisdiction. The review process shall be coordinated with personnel creating, maintaining, or using the records to be transferred. The review of the SF-258 must include identifying whether information in the records is sensitive, confidential, proprietary, or privacy. Transfers of records subject to the Privacy Act of 1974 (5 U.S.C. 552a) shall be accompanied by the most recent agency privacy notice covering the records (36 CFR 1228.194).

3. Coordination of Transfers. Upon obtaining necessary reviews and approvals the Records Administrator shall sign the SF-258 and send it with the appropriate supporting documentation in accordance with 36 CFR 1228 to the Archivist of the United States for approval. If NARA approves the request, NARA sends a copy to the requesting office. Unapproved requests will be returned by NARA in their entirety to the point of contact indicated on the list submitted by the Records Administrator. The approved SF-258 and all supporting documentation shall be maintained in a case file in the transferring office. Once the SF-258 is approved, the records must be transferred to the physical and legal custody to the NARA.

D. Adding Documents to Files Already in Archives. NARA has interpreted their custodial responsibilities to involve preservation of the integrity of the information in archival records, and NARA normally discourages any changes to those records, including any additions. However, NARA is conscious of the fact that sometimes it is necessary to link archival files to records documenting more recent agency actions. Because of its responsibility for public land tenure recordkeeping, future actions on a "dead" case are more common for the Bureau than other agencies. To reference more recent documentation to original case files held in the Archives is essential for the Bureau's effective conduct of business and for providing correct information to the public. As a result, NARA has agreed to insert into archival files one additional document of BLM actions that have taken place after the files were transferred to Archives.

1. Cross-Reference Document. The NARA will accept a one-page cross-reference document (Illustration 11) for adding to the archived file. This cross-reference document should also be added to the subject files and any related files currently within the legal custody of BLM. The cross-reference document shall identify: the archived file classification code (e.g. patent number, Serialized Case File number, subject code, etc.), a description of the records and the most recent agency action or reason for creating the cross-reference document, the location of the office of record, a schedule citation, a point of contact and any other information that would be of value for future research purposes in locating the information.

2. Submission of Cross-Reference Documents. The cross-reference documents shall be initiated by the employee identifying the need for the document, signed by the Records Administrator having original jurisdiction for the records. The Records Administrator shall submit this document to the NARA Accessions Branch having legal custody of the cross-referenced file.

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.47 Retrieving Records.

A. Retrieving Records from the FRC. An OF-11, Reference Request - Federal Records Center (Illustration 12), is used to request copies, permanently withdraw, temporarily loan, or review BLM records stored at the FRC. Requests to retrieve records from the FRC must be made through the Records Manager having jurisdiction for continued management of these records.

B. Retrieving Records from the NARA. NARA's policy is to provide only copies of permanent records in their legal custody. The NARA will provide original records only when a copy is not sufficient for correct interpretation of the information.

1. Requests by BLM Employees for the Original Records in NARA Custody must be made through and tracked by the Records Administrator having jurisdiction for the records. Requests by BLM employees for the original records must be substantiated in writing that reproductions provided by the NARA will not be sufficient for reading or interpreting the information. BLM Form 1272-7, Case File Transfer Request (Illustration 13), is used to request a loan of original BLM records previously transferred to NARA. NARA will return a copy of Form 1272-7 with the requested records. If a request to loan the original record is not approved, NARA will return Form 1272-7 and the supporting documentation, if applicable, to the requesting office explaining the reasons for denial.

2. Requests by BLM Employees for Copies of Records in NARA Custody must be made through and tracked by the Records Manager having jurisdiction for the records. BLM Form 1272-7, Case File Transfer Request (Illustration 13), is used to request copies of original BLM records previously transferred to NARA. NARA will return a copy of Form 1272-7 with the requested records.

3. Requests by Members of the Public and Other Agencies for Copies and Loans of Original Records in NARA Custody should be referred to the appropriate Archives.

.48 Loan, Transfer, Donation or Sale of Records.

A. Loan of Permanent and Unscheduled Records. Loans of permanent and unscheduled records outside the Bureau must be approved, accurately documented, and effectively controlled to ensure that the records are protected while on loan and that they are returned within the agreed-upon timeframe. The Records Administrator should establish a tracking system for loans of any Bureau records.

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1. Loans to Nonfederal Recipients. The loan of permanent and unscheduled records to nonfederal entities must be approved in writing by NARA. The request to loan records shall be coordinated by the Records Administrator having jurisdiction for the records with personnel creating, maintaining, or using the records to be loaned. Upon obtaining necessary reviews and approval signatures, the Records Administrator shall submit the letter of request to the NARA with information required in 36 CFR 1228.70. If the request is approved, the NARA will notify the requesting Records Administrator. Implementation of this loan shall be documented in a local Instruction Memorandum; a copy of which must be filed or noted in the disposition case file.

2. Loans to Federal Recipients. The temporary loan of permanent and/or unscheduled records to another federal agency does not require NARA approval. However, employees who make such loans must first obtain approval from the Records Administrator having jurisdiction over the records and ensure that the loaned records will be properly handled and stored and that appropriate access restrictions are enforced.

B. Transferring Custody of Records to Another Agency. In accordance with the provisions of 36 CFR 1220 and 384 DM 4.3, NARA approval is required for the transfer of records between agencies except when:

- a. The records are being transferred to a FRC or the National Archives,
- b. Records are being loaned for official use,
- c. The transfer is required by statute or Executive Order, or
- d. The records are being transferred between two components of the same Executive department. A copy of requests with supporting documentation shall be maintained by the requesting office and the WO disposition case file(s).

1. Transferring Records to Agencies Within Interior. Managers who wish to transfer records to another Interior agency must submit to the Bureau Records Officer a disposition plan and inventory of the records being transferred in accordance with the provisions of 384 DM 4.4. Requests shall be submitted through the appropriate Records Administrator, having jurisdiction for the records, for review and approval. The Bureau Records Officer will review the request, obtain the necessary Bureau and Department clearances, and notify the requesting Records Administrator via Instruction Memorandum of approved transfers and transfer schedules.

2. Transferring Records to Agencies Outside Interior. Managers who wish to transfer records to agencies outside the Department (excluding NARA) must submit a written request, addressed to the NARA, through the Bureau Records Officer for signature in accordance with the procedures in 36 CFR 1228.124. Requests shall be submitted through the Records Administrator having jurisdiction for the records. The Bureau Records Officer shall review the request, obtain the necessary Bureau and Department clearances, and notify the requesting Records Administrator via Instruction Memorandum of approved transfers and transfer schedules.

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C. Donation and Sale of Temporary Records. The disposal of federal records, regardless of method, must comply with the procedures described in 36 CFR 1228 and 384 DM 1.7. All requests to donate, sell or destroy temporary records must be made through the Records Administrator having jurisdiction for the records. A copy of documentation and clearances shall be maintained in a disposition file.

1. Donation. Occasionally, officials may be asked by various individuals, organizations, or historical societies to donate BLM records to them for their continued preservation and use. Permanent records shall not be donated. External entities desiring a permanent BLM record shall only be given a copy which should be certified as a duplicate of the original. Employees who wish to donate temporary records to such entities must submit written requests addressed to NARA through their Records Administrator in accordance with the provisions of 36 CFR 1228.60. NARA will consider each request and determine whether these donations are in the public interest. If NARA determines that the proposed donation is contrary to the public interest, the request will be denied and the records must be disposed of in accordance with the appropriate disposal authority. Approval of the donation may only be implemented via an Instruction Memorandum to the office holding the records.

2. Sale or Salvage. Disposable paper records should be sold on a competitive basis as waste paper or other waste unless the quantities involved are too small, the market price is too low, or the paper can be sold only after expensive and time-consuming sorting or cleaning. Sensitive records may be sold as waste paper only if adequate safeguards are taken to prevent any disclosure of the information before their pulping, shredding, or other destruction. All sales of waste paper must be in accordance with 41 CFR 101-45. All sales contracts must prohibit the resale of the paper for use as records or documents. Sales must be coordinated with and surnamed by the Records Administrator having jurisdiction for the records.

.49 Destruction, Loss or Damage of Records.

A. Destruction of Temporary Records. If the records cannot be sold advantageously or otherwise salvaged, the records may be destroyed by burning, pulping, shredding, macerating, or other suitable means in accordance with 36 CFR 1228.58. Records shall not be destroyed until all proper clearances and signatures have been obtained of records creators, users, and custodians of the records by the Records Administrators having jurisdiction for the records. Temporary records transferred to a FRC will be destroyed by the FRC when they reach their disposition date. The FRC will provide BLM a 90-day advance notice of intent to destroy (see Illustration 9). A copy of the notice of intent to destroy must be filed in the disposition case file. Procedures are as follows:

1. All records destruction requests shall be made by the records custodians of the records to the State/Center/WO Records Manager or who will ensure that all approvals for destroying the records have been obtained.

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2. Notices of Destruction sent by the FRC to the office of record shall be coordinated through the State/Center Records Administrator or WO Records Administrator having jurisdiction for records disposition operations. These notices must be responded to within 90 days of the date sent by the FRC, otherwise the FRC will automatically destroy the records.

3. Refer to .44 of this manual section for requesting an extension of the retention period.

B. Emergency Destruction. Under certain emergency conditions, records may be destroyed regardless of schedule provisions or other authority in accordance with the provisions of 36 CFR 1228.90. An emergency condition is one in which the records pose a threat to health and safety or to national security. Records shall not be destroyed until all proper clearances and signatures have been obtained of records creators, users, and custodians of the records by the Records Administrator for records within their jurisdiction. Implementation of records destruction shall be documented in a local Instruction Memorandum; a copy of which must be filed or noted in a Records Disposition File.

1. Conditions Requiring Prior Approval. Records whose physical condition pose a danger to human life or property may be authorized for destruction before their scheduled disposition date. Such records may be infested with vermin or may be housed under such adverse conditions that they cannot be used or repaired.

2. Approval for Record Destructions. The request to perform emergency destruction of the records shall be coordinated by the Records Administrator with personnel creating, maintaining, or using the records to be destroyed. Upon obtaining necessary reviews and approval signatures, the Records Administrator having jurisdiction for the records shall submit a letter of request to the NARA with information required in 36 CFR 1228.92. If the request is approved, the NARA will notify the requesting Records Administrator. Implementation of this destruction shall be documented in an Instruction Memorandum; a copy of which must be filed or noted in a Records Disposition File.

3. Conditions Requiring No Prior Approval. Still or motion picture film with a nitrocellulose base that has deteriorated to the extent that it is a threat to human life or property may be destroyed without prior NARA approval. Records that may fall into the hands of a potential enemy when a state of war exists may also be destroyed immediately. Managers should request verbal approval for the emergency destruction from the Bureau Records Officer. Within 6 months after the date of destruction, the Bureau Records Officer will submit to NARA a written statement describing the records, their location, and the destruction date in accordance with 36 CFR 1228.94.

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C. Unauthorized Destruction, Loss, or Damage. Unauthorized disposal of federal records is a serious crime. The severe penalties for damage, removal, or destruction of official records are described in 36 CFR 1228.102 and in 18 U.S.C. 2071. It is also illegal to destroy or remove records without proper authorization (18 U.S.C. 2071). Employees who become aware of any unlawful or accidental destruction, defacing, alteration, or removal of records in the custody of the Bureau must submit a written report of such events to the Bureau Records Officer in accordance with the provisions of 36 CFR 1228.104. The Bureau Records Officer will forward the report to NARA for further action.

.5 Reviews of Recordkeeping Practices. The guidance in this section may be used for "self" reviews of recordkeeping practices. Although reviews of recordkeeping practices are not required, the guidance provided here generally follows the formal evaluation process.

.51 Pre-Review Activities.

A. Approval. If possible, obtain official approval for the review at the beginning of the fiscal year in which the review is to be conducted. Identify the proposed review in the budget process for appropriate funding of travel expenses. If such early approval is not possible, obtain approval far enough in advance to allow sufficient time for proper planning and early notification. Identify the proposed review in the budget process for appropriate funding of travel expenses.

B. Notification. Prepare a memorandum for signature by the approving official to the Target Office Head at least 6 weeks prior to the review date. Include the following information in the memorandum:

1. Purpose of review.
2. Review dates and locations to be visited.
3. Itinerary.
4. Names and titles of review team.
5. Employees who should attend opening and closing meetings.
6. Other employees to be contacted or interviewed.

C. Information Gathering. Review all available information about the records program of the target office. Such information may consist of the following documents:

1. Previous records review reports and responses.
2. Official evaluation reports and responses (general management evaluations, administrative procedures reviews, special evaluations, information systems procedures reviews, etc.).
3. Current records-related directives issued by the State, Service Center, and Headquarters.
4. Current directives issued by the target office.
5. Records-related correspondence to and from the target office.
6. Target office organizational chart.

The checklist (Appendix 5) may be sent to the target audience prior to the review for completion by records personnel.

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.52 On-Site Review Activities.

A. Opening Meeting. Conduct a brief meeting at the beginning of the review to reaffirm the review plan with the Target Office Head, the Administrative Chief, and the designated Records Manager and Records Administrator. Other personnel having records management responsibilities may also be included.

B. Checklist Completion and Other Observations. Complete the Records Management Review Checklist, using the following techniques, as appropriate, during the review process:

1. Interview all personnel who have direct responsibility for records management.
2. Conduct a "walk-through" of the entire facility, including storage areas, to observe centralized and decentralized files, filing equipment, and general layout of all recordkeeping operations.
3. Interview the custodians of decentralized files and various other records users.
4. Spot check the accuracy of records.
5. Examine random case files for accuracy and control.
6. Review internal records control procedures.
7. Examine records security facilities.

C. Informal All-Employee Meeting. If time permits and the Target Office Head approves, arrange an all-employee meeting and present a brief overview of the BLM records management system. Distribute appropriate handouts and answer any questions about records issues.

D. Draft Report. At the end of the review and before the closeout, prepare a draft report of findings and recommendations. Using the completed checklist as a guide, cite each major strength and weakness of the records program, any potential records problems, and proposed recommendations for corrections. Include any records assistance provided during the review and follow-up actions needed.

E. Closeout. Conduct a closeout meeting with the Target Office Head and affected personnel. Discuss the items in the draft report. Make notes on the closeout discussions and any informal agreements reached between the reviewer and the Target Office Head.

## 1220 - RECORDS AND INFORMATION MANAGEMENT

**.53 Post-Review Activities.**

A. Final Report. The final report, approved and signed by the Reviewing Office Head, is the guide by which the target office will make improvements and changes in the records program. It is also used to chart progress during follow-up visits.

1. Prepare the report in a constructive, fair, and helpful tone. In addition to citing deficiencies, also cite achievements, innovations, and other positive findings.

2. The report is a directive from the Reviewing Office Head requiring specific actions and should indicate who, what, how, why, and when in all findings and recommendations.

3. List and number the findings and follow each with a recommendation. If any deficiencies were corrected during the review, include those findings and actions taken. Describe the specific steps to be taken in accomplishing the remaining recommendations. Establish realistic time frames for implementing recommendations.

4. Prepare a cover memorandum to the Target Office Head for signature by the Reviewing Office Head. Summarize the overall results, including positive findings and significant problems. Establish a due date for a response to the report by the Target Office Head.

5. Obtain necessary approvals for the report. Obtain signatures from affected program areas.

B. Distribution of Final Report. Distribute copies as follows:

1. The signed cover memo and original report to the Target Office Head.

2. The official file copy with a copy of the report and all backup documentation (completed checklist, notes, or other related information) to the central files of the reviewing office.

C. Follow-Up. When a response is received from the target office, review the progress reported and schedule a follow-up visit if required.

## 1220 - RECORDS AND INFORMATION MANAGEMENT

Glossary of Terms

- A -

access: the availability of, or the permission to consult or obtain, records.

access category: a numerical designation assigned to three types of BLM information (public, discretionary, nonpublic) that defines the releasability of the records.

accession: (1) the transfer of agency records to a Federal Records Center for temporary storage. The agency retains legal custody of the records, (2) the transfer of the legal and physical custody of permanent records from an agency to the National Archives, (3) the records so transferred.

adequate and proper documentation: as defined by the National Archives and Records Administration (NARA) in 36 CFR 1220.14 **adequate and proper documentation** is

"...a record of the conduct of Government business that is complete and accurate to the extent required to document the organization, functions, policies, decisions, procedures, and essential transactions of the agency and that is designed to furnish the information necessary to protect the legal and financial rights of the Government and of persons directly affected by the agency's activities."

administrative value: the usefulness of records in conducting an agency's current business. Includes fiscal value and legal value, which are usually analyzed separately when records are evaluated for disposition. See also fiscal value and legal value.

AIM: Automation, Information Resources Management, Modernization.

appraisal: the process of determining the value and thus the final disposition of records, making them either temporary or permanent.

archives: (1) the noncurrent records of an organization preserved because of their continuing, or enduring, value. "National Archives of the United States" means those records that have been determined by the Archivist of the United States to have sufficient historical or other value to warrant their continued preservation by the Federal Government, and that have been accepted for deposit in the Archivist's custody, (2) in the Federal Government, short for National Archives and Records Administration, (3) one or more buildings, or portions thereof, where permanent records are located after being accessioned by an archival agency.

- C -

case files: records in any media that document a specific action, event, person, place, project, or other matter. Include personnel, project, and transaction files, which are types of case files.

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central files: files accumulated by several offices or organizational units and maintained and supervised in one location.

comprehensive records schedules: a schedule or collection of schedules based on NARA-approved disposition authorities and issued as a directive or manual to cover all the records of an independent agency (BLM). Should also include instructions for nonrecord materials, whose disposition is base on agency needs. See also records schedules.

confidential record: a record or information that requires protection against unauthorized disclosure.

COR: Contracting Officer's Representative

creation: the first stage of the records life cycle in which records are made (or recieved) by an office.

cutoff: breaking or ending files at regular intervals (e.g., fiscal year or calendar year) to permit their disposal or transfer or to permit establishing new files.

- D -

destruction: in records management, the major type of disposal action. Methods of destroying records include burning, pulping and selling, or salvaging the record medium.

disposal: (1) the actions taken regarding temporary records after their retention periods expire and consisting usually of destruction or, occasionally, donation, (2) also, when so specified, the actions taken regarding nonrecord materials when no longer needed, especially their destruction.

disposition: the actions taken regarding records no longer needed in current office space. These actions include transfer to agency storage facilities or Federal Records Centers, transfer from one Federal agency to another, transfer of permanent records to the National Archives, and disposal of temporary records.

disposition authority: legal approval by NARA (and in some cases by GAO) empowering an agency to transfer permanent records to NARA or to carry out the disposal of temporary records.

donation: the transfer of temporary records from BLM to an eligible person or organization after the authorized retention period has expired. Requires NARA's approval.

- F -

FAR: Federal Acquisition Regulations.

## 1220 - RECORDS AND INFORMATION MANAGEMENT

federal information processing standards (FIPS): a set of published information processing standards that are recommended as guidelines for adoption by all Federal agencies.

Federal Records Center (FRC): a facility operated by NARA for the economical storage and servicing of records pending their ultimate disposition.

file: (1) an accumulation of records or nonrecord materials arranged according to a plan, (2) a unit, such as a folder, microform, or electronic medium, containing such records or nonrecord materials, (3) storage equipment, such as a filing cabinet, (4) in electronic recordkeeping, an organized collection of related data, usually arranged into logical records that are stored together and treated as a unit.

file classification code: numbers of symbols used to abbreviate lengthy file titles. Includes serialized case file number, FOIA case number, and subject code.

file code: see subject code and file classification code.

fiscal value: the usefulness of records in documenting an agency's financial transactions and obligations. See also administrative value and legal value.

FOIA: Freedom of Information Act.

- G -

General Records Schedules (GRS): NARA-issued records disposition schedules governing the disposition of specified records common to several or all federal agencies.

- I -

information system: the organized collection, processing, transmission, and dissemination of information in accordance with defined procedures, whether automated or manual. This is also called a record system or a system. It most often refers to a system containing electronic records, which involved input or source documents, records on electronic media, and output records, along with related documentation and any indexes. BLM's records systems are designed to maintain BLM record series as identified in BLM Records Schedules.

- L -

life cycle management (LCM): the process of cradle to grave management of a project, system or record. The life cycle itself is the time span between the establishment of a need for a system or record and the end of its operational use. The LCM process is a step-by-step planning process that assures systems implemented meet user needs, that are within management priorities, and that are the most cost-effective for the Government.

1220 - RECORDS AND INFORMATION MANAGEMENT

legal value: the usefulness of records in documenting legally enforceable rights or obligations, both those of the Federal Government and those of persons directly affected by the agency's activities. See also administrative value and fiscal value.

life cycle of records: the management concept that records pass through three stages: creation, maintenance and use, and disposition.

local area network: a system for linking together computers, terminals, printers, and other equipment, usually within the same office or building.

- M -

maintenance and use: any action involving the storage, retrieval, and handling of records kept in offices by, or for, BLM. This is the second stage of the records life cycle.

- N -

National Archives and Records Administration (NARA): the agency responsible for appraising, accessioning, preserving, and making available permanent records.

nonrecord materials: government-owned informational materials excluded from the legal definition of records or not meeting the requirements of that definition. Included are extra copies of documents kept only for convenience or reference, stocks of publications and of processed documents, and library or museum materials intended solely for reference or exhibition.

- O -

OMB: Office of Management and Budget

office of record: an office designated as the official custodian of records for specified programs, activities, or transactions of an organization; see "record copy."

official file copy: see "record copy."

- P -

permanent records: records appraised by NARA as having enduring value because they document the organization and functions of the agency that created or received them and/or because they contain significant information on persons, things, problems, and conditions with which the agency dealt. Permanent records are ultimately transferred to the legal custody of NARA.

perpetual maintenance files: files which requires ongoing maintenance. Examples of perpetual files are project files where the project is not completed, files which have not been cutoff (i.e., the agreement has not terminated), and other files that are being held in suspense.

## 1220 - RECORDS AND INFORMATION MANAGEMENT

personal papers: nonofficial, or private, papers relating solely to an individual's own affairs. Must be clearly designated as such and kept separate from the agency's records. Also called personal files or personal records.

Privacy Act: a law providing that no agency shall disclose any record that is contained in a Privacy Act "system of records" by any means of communication to any person or to another agency, except pursuant to a written request by, with the prior written consent of, the individual to whom the record pertains.

Privacy Act system of records: a group of any records under the control of any agency from which information is retrieved by the name of an individual or by some identifying number, symbol, or other identifier assigned to the individual.

program records: records documenting the unique, substantive functions for which an agency is responsible, in contrast to administrative records.

- R -

record copy: the official or record document that is so marked or recognized, complete with enclosures or related papers; also known as "official file copy." The record copy does not have to be an original unless specified.

record series: file units or documents arranged according to a filing system or kept together because they relate to a particular subject or function, result from the same activity, document a specific kind of action, take a particular physical form, or because of some other relationship arising out of their creation, receipt, or use. Generally handled as a unit for disposition purposes.

records custodian: the individual or office in charge of agency files.

records disposition schedule: see records schedule.

records inventory: a survey of agency records and nonrecord materials that is conducted primarily to develop records schedules and also to identify various records management problems, such as improper applications of recordkeeping technology.

records management: the planning, controlling, directing, organizing, training, promoting, and other managerial activities related to the creation, maintenance and use, and disposition of records to achieve adequate and proper documentation of Federal policies and transactions and effective and economical management of agency operations.

records schedule: a document providing authority for the final disposition of records. Includes the SF-115, the General Records Schedules, and BLM records schedule, which when completed becomes a comprehensive records schedule that also contains BLM disposition instructions for nonrecord materials. Also called records disposition schedule or records retention schedule.

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- S -

scheduling: the process of developing a document that provides mandatory instructions for what to do with records (and nonrecord materials) no longer needed for current government business.

shelf list: a detailed listing of the contents of each box of records being transferred. A copy of the shelf list is placed in the first box of each accession of temporary and permanent records. Also known as box lists.

subject codes: a code assigned to each subject area within BLM responsibility which serves as an index to assist users in locating information. BLM uses codes 1000-9000. Subject codes 2000-9000 are linked to Title 43 of the Code of Federal Regulations. Each subject code is used to link correspondence, forms, training courses, manual sections, handbooks, instruction memorandums, information bulletins, reports, etc., pertaining to a certain subject.

- T -

temporary records: records approved by NARA for disposal, either immediately or after a specified retention period.

transfer: the act or process of moving records from one location to another, especially from office space to agency storage facilities or to federal records centers, from one federal agency to another, or from office or storage space to NARA for permanent preservation.

- U -

unscheduled records: records for which no disposition authority has been approved by NARA.

UPA: Uniform Photographic Copies of Business and Public Records as Evidence Act.

- V -

vital records: records containing information that is essential for:  
(1) emergency operations during a disaster or a national emergency,  
(2) resumption and/or continuation of operations, (3) reestablishment of the legal, financial, and/or functional status of an agency, and (4) determination of the rights and obligations of individuals and/or corporate bodies with respect to an agency.

1220 - RECORDS AND INFORMATION MANAGEMENT

Sample Official File Cover (Form 1271-1b)

Subject Code <p style="font-size: 2em; text-align: center;">1112</p>	PERIOD COVERED From <u>10-1-92</u> To <u>9-30-93</u> RECORDS SCHEDULE CITATION  Bureau  General <u>23/1a</u> DISPOSITION INFORMATION Retain in local office <u>3</u> Years Transfer Date to Records Center <u>—</u> Retain in Records Center <u>—</u> Years Date for Offer to Archives <u>—</u> DESTRUCTION DATE <u>10-1-96</u>
Form 1271-1b (June 1992) UNITED STATES DEPARTMENT OF THE INTERIOR BUREAU OF LAND MANAGEMENT OFFICIAL FILE COVER	File Title <p style="font-size: 2em; text-align: center;">Safety Mgmt - General</p> Cross References and Remarks:  <p style="font-size: 2em; text-align: center;">(yellow)</p> <p style="text-align: right; font-weight: bold;">IMPORTANT</p> <p style="font-size: 0.8em; text-align: right;">This file constitutes a part of the official records of the Bureau of Land Management and should not be separated.</p>

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Color Codes for Official File Covers

1271-1	Blue	FY 1991
1271-1a	Salmon	FY 1992
1271-1b	Yellow	FY 1993
1271-1d	Green	FY 1994
1271-1	Blue	FY 1995
1271-1a	Salmon	FY 1996
1271-1b	Yellow	FY 1997
1271-1d	Green	FY 1998
1271-1	Blue	FY 1999
1271-1a	Salmon	FY 2000
1271-1c	Pink	Perpetual/ Permanent

1220 - RECORDS AND INFORMATION MANAGEMENT

Sample Request for Records Disposition Authority (SF-115)(Front)  
(New Authority Requested)

REQUEST FOR RECORDS DISPOSITION AUTHORITY <i>(See Instructions on reverse)</i>		LEAVE BLANK (NARA use only)	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER	
1. FROM (Agency or establishment) Bureau of Land Management		DATE RECEIVED	
2. MAJOR SUBDIVISION Division of Information Resources Management		NOTIFICATION TO AGENCY  In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
3. MINOR SUBDIVISION (WO-872) Branch of Information Access Policy & Coordination			
4. NAME OF PERSON WITH WHOM TO CONFER Mae Bowman	5. TELEPHONE 202-452-5011	DATE	ARCHIVIST OF THE UNITED STATE
6. AGENCY CERTIFICATION I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached _____ page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, <input checked="" type="checkbox"/> is not required; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE	SIGNATURE OF AGENCY REPRESENTATIVE	TITLE Bureau Records Officer	
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NAR USE ONLY)
1	<p>SCHEDULE 18 - Security and Protective Services Records</p> <p>43. LAW ENFORCEMENT REPORTS</p> <p>c. <u>Law Enforcement Activity Reports.</u> Recurring reports of law enforcement activities. Includes BLM Form 9260-12.</p> <p>(1) <u>Law Enforcement Activity Feeder Reports.</u> Submitted by field offices to Headquarters.</p> <p>PROPOSED DISPOSITION: TEMPORARY. Cutoff end of FY. Destroy 3 years after cutoff.</p> <p>(2) <u>Law Enforcement Activity Consolidated Reports.</u> Headquarters law enforcement office copies.</p> <p>PROPOSED DISPOSITION: TEMPORARY. Cutoff end of FY. Destroy 5 years after cutoff.</p> <p>NOTE: Records are not subject to the Privacy Act.</p>		

115-109

NSN 7540-00-634-4064  
PREVIOUS EDITION NOT USABLE

STANDARD FORM 115 (REV. 3-9)  
Prescribed by NAR  
36 CFR 122

## 1220 - RECORDS AND INFORMATION MANAGEMENT

Sample Request for Records Disposition Authority (SF-115) (Back)  
(New Authority Requested)

## INSTRUCTIONS

## GENERAL

Use Standard Form 115 to obtain authority for the disposition of records. Submit two signed copies to the National Archives and Records Administration (NIR), Washington, DC 20408, and retain one copy as your suspense copy. NARA will later return one copy as notification of the items approved for disposal or archival (permanent) retention. This copy will also indicate any items withdrawn or disapproved. GAO's written approval must either accompany each SF 115 requiring Comptroller General concurrence or be requested prior to the submission of the SF 115 to NARA. The SF 115 may be accompanied by Standard Form 115A, Continuation Sheet, by schedule items entered on blank stationery formatted similar to the SF 115A, or by pages formatted to conform to the agency's published records disposition schedule.

## SPECIFIC

*Entry 1* should show the name of the Executive Branch department or independent agency, Legislative Branch agency, or the Administrative Office of the U. S. Courts for the Judicial Branch that is submitting the request.

*Entries 2 and 3* should show the major and minor organizational subdivisions that create or maintain the records described on the form. If more than one subdivision maintains records described in the submission, the various office names should be specified in entry 8.

*Entries 4 and 5* should provide the name and telephone number of the person to be contacted for information.

*Entry 6* must be signed and dated by the agency official authorized to certify that the retention periods for records proposed for disposal are adequate to meet the agency's needs, and that GAO requirements have been met (check appropriate box). Unsigned SFs 115 will be returned to the agency.

*Entry 7* should contain the item numbers of the records identified on the form in sequence, beginning with "1." Lower case letters and numbers may be used to designate subdivisions of an item (1a, 1b, 1b(1), 1b(2), etc.). Agency file numbers should not be entered in this column, but may be included in entry 8.

*Entry 8* should describe the records to be scheduled. Follow these steps in describing the records:

(a) Include centered headings for groups of items to indicate the office of origin if all records described on the form are not those of the same office, or if they are records created by another office or agency such as, for example, records inherited from a defunct agency.

(b) Identify separate collections of nontextual records, such as photographs, sound recordings, maps, architectural drawings, or magnetic tapes or disks, as separate and distinct items. If such records are interspersed with textual records, as in case files, their presence should be noted in the description of the textual file.

(c) Describe completely and accurately each series of records proposed for disposal or transfer to the National Archives. See 36 CFR 1228 for more detailed requirements. Failure to comply with the provisions of that regulation will result in the return of the SF 115 for corrective action.

(d) Provide clear disposition instructions for each item and subitem. These instructions should include file breaks; the time after which records will be retired to Federal records centers, if applicable; for temporary records, the time after which they may be destroyed; and for archival (permanent) records, the time after which they will be transferred to the legal custody of the National Archives.

(e) If immediate disposal or transfer to the National Archives is proposed for non-recurring records, indicate the volume and inclusive dates of the records and the Federal records center accession and box numbers, if applicable.

(f) If future or continuing disposition authority is requested, state the retention period in terms of years, months, etc. or in terms of future actions or events. Ensure that any future action or event that must precede final disposition is objective and definite.

(g) If records are converted to electronic form, schedule both the original records and the electronic media, unless covered by the General Records Schedules.

(h) If permanent or unscheduled records are converted to microform, the disposition for both the original and microform copies must be approved on an SF 115. The SF 115 covering the microform must contain the certifications required by 36 CFR 1230. Approval is not required for the disposition of microform copies of records authorized for disposal, as specified in the regulation cited above.

*Entry 9* must include the previous NARA disposition job and item numbers; General Records Schedule and item numbers, if applicable; and agency directive or manual and item numbers, if applicable, as required by 36 CFR 1228. If such information is missing from column 9, the SF 115 will be returned without action. Leave column 9 blank only if the records are being scheduled for the first time.

*Entry 10* is for NARA use only and should be left blank.

1220 - RECORDS AND INFORMATION MANAGEMENT

Sample Request for Records Disposition Authority (SF-115)(Front)  
(Revision of Existing Authority Requested)

REQUEST FOR RECORDS DISPOSITION AUTHORITY <i>(See instructions on reverse)</i>		LEAVE BLANK (NARA use only)	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER	
1. FROM (Agency or establishment) Bureau of Land Management		DATE RECEIVED	
2. MAJOR SUBDIVISION Division of Information Resources Management		NOTIFICATION TO AGENCY	
3. MINOR SUBDIVISION (WO-872) Branch of Information Access Policy & Coordination		In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
4. NAME OF PERSON WITH WHOM TO CONFER Mae Bowman	5. TELEPHONE 202-452-5011		
6. AGENCY CERTIFICATION I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached _____ page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, <input checked="" type="checkbox"/> is not required; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE	SIGNATURE OF AGENCY REPRESENTATIVE	TITLE	
		Bureau Records Officer	
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
1	Schedule 17 - Cadastral, Cartography, Aerial Photo, Architecture and Engineering Records		
1a	2. AERIAL PHOTOGRAPHY e. <u>Aerial Photo Original or Master Negatives.</u> Includes related original or master indexes.  <u>PROPOSED DISPOSITION: PERMANENT.</u> 1) Field offices cutoff end of FY in which the flight is completed and originals are received. Transfer to Service Center Photo Lab 1 year after cutoff. 2) Service Center Photo Lab cutoff end of FY in which no longer needed for reproduction. Transfer directly to NARA 1 year after cutoff.	NC1-49-85-2, 17/16a	
1b	f. <u>Aerial Photo Prints and Duplicated Negatives which are Annotated.</u>  <u>PROPOSED DISPOSITION: Use disposal authority for the annotated information (e.g., aerial photos annotated with natural resource inventory data are disposed of under BLM 4/18a).</u>  NOTE: Records are not subject to the Privacy Act.	NC1-49-85-2 17/16b(1)	

115-109

NSN 7540-00-634-4064  
PREVIOUS EDITION NOT USABLE

STANDARD FORM 115 (REV. 3-91)  
Prescribed by NARA  
36 CFR 1228

## 1220 - RECORDS AND INFORMATION MANAGEMENT

Sample Request for Records Disposition Authority (SF-115)(Back)  
(Revision of Existing Authority Requested)

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## INSTRUCTIONS

### GENERAL

Use Standard Form 115 to obtain authority for the disposition of records. Submit two signed copies to the National Archives and Records Administration (NIR), Washington, DC 20408, and retain one copy as your suspense copy. NARA will later return one copy as notification of the items approved for disposal or archival (permanent) retention. This copy will also indicate any items withdrawn or disapproved. GAO's written approval must either accompany each SF 115 requiring Comptroller General concurrence or be requested prior to the submission of the SF 115 to NARA. The SF 115 may be accompanied by Standard Form 115A, Continuation Sheet, by schedule items entered on blank stationery formatted similar to the SF 115A, or by pages formatted to conform to the agency's published records disposition schedule.

### SPECIFIC

*Entry 1* should show the name of the Executive Branch department or independent agency, Legislative Branch agency, or the Administrative Office of the U. S. Courts for the Judicial Branch that is submitting the request.

*Entries 2 and 3* should show the major and minor organizational subdivisions that create or maintain the records described on the form. If more than one subdivision maintains records described in the submission, the various office names should be specified in entry 8.

*Entries 4 and 5* should provide the name and telephone number of the person to be contacted for information.

*Entry 6* must be signed and dated by the agency official authorized to certify that the retention periods for records proposed for disposal are adequate to meet the agency's needs, and that GAO requirements have been met (check appropriate box). Unsigned SFs 115 will be returned to the agency.

*Entry 7* should contain the item numbers of the records identified on the form in sequence, beginning with "1." Lower case letters and numbers may be used to designate subdivisions of an item (1a, 1b, 1b(1), 1b(2), etc.). Agency file numbers should not be entered in this column, but may be included in entry 8.

*Entry 8* should describe the records to be scheduled. Follow these steps in describing the records:

(a) Include centered headings for groups of items to indicate the office of origin if all records described on the form are not those of the same office, or if they are records created by another office or agency such as, for example, records inherited from a defunct agency.

(b) Identify separate collections of nontextual records, such as photographs, sound recordings, maps, architectural drawings, or magnetic tapes or disks, as separate and distinct items. If such records are interspersed with textual records, as in case files, their presence should be noted in the description of the textual file.

(c) Describe completely and accurately each series of records proposed for disposal or transfer to the National Archives. See 36 CFR 1228 for more detailed requirements. Failure to comply with the provisions of that regulation will result in the return of the SF 115 for corrective action.

(d) Provide clear disposition instructions for each item and subitem. These instructions should include file breaks; the time after which records will be retired to Federal records centers, if applicable; for temporary records, the time after which they may be destroyed; and for archival (permanent) records, the time after which they will be transferred to the legal custody of the National Archives.

(e) If immediate disposal or transfer to the National Archives is proposed for non-recurring records, indicate the volume and inclusive dates of the records and the Federal records center accession and box numbers, if applicable.

(f) If future or continuing disposition authority is requested, state the retention period in terms of years, months, etc. or in terms of future actions or events. Ensure that any future action or event that must precede final disposition is objective and definite.

(g) If records are converted to electronic form, schedule both the original records and the electronic media, unless covered by the General Records Schedules.

(h) If permanent or unscheduled records are converted to microform, the disposition for both the original and microform copies must be approved on an SF 115. The SF 115 covering the microform must contain the certifications required by 36 CFR 1230. Approval is not required for the disposition of microform copies of records authorized for disposal, as specified in the regulation cited above.

*Entry 9* must include the previous NARA disposition job and item numbers; General Records Schedule and item numbers, if applicable; and agency directive or manual and item numbers, if applicable, as required by 36 CFR 1228. If such information is missing from column 9, the SF 115 will be returned without action. Leave column 9 blank only if the records are being scheduled for the first time.

*Entry 10* is for NARA use only and should be left blank.

1220 - RECORDS AND INFORMATION MANAGEMENT

Sample Report to NARA on Permanent and Unscheduled Records Over  
 30 Year Old in Agency Custody (NA Form 13148)(Front)

Report to NARA on Permanent and Unscheduled Records  
 Over 30 Years Old in Agency Custody

(INSTRUCTIONS ON REVERSE)

1. Department or Independent Agency Name USDI, Bureau of Land Management	
2. Name of Agency Contact Person Pam Dandrea	Telephone Number 406-255-2758
Office Montana State Office	
3. Description of Records	
a. Series Title Manuscript and Annotated Maps	
b. Dates 1800-1900	c. Volume (cubic feet) 118 cu ft
d. Series Description Tract Books (Includes Indian allotments)	
4. Disposition Authority BLM Schedule 17/01c (Permanent)	
5. Location of Records (Complete Office Address) U. S. Department of the Interior Bureau of Land Management Montana State Office (954) 222 North 32nd Street Billings, MT 59101	
NATIONAL ARCHIVES AND RECORDS ADMINISTRATION	
NA FORM 13148 (9-90) INTERAGENCY REPORTS CONTROL NO. 0378-NAR-AR	

1220 - RECORDS AND INFORMATION MANAGEMENT

Sample Report to NARA on Permanent and Unscheduled Records Over  
30 Year Old in Agency Custody (NA Form 13148)(Back)

INSTRUCTIONS FOR NA FORM 13148

Describe *only* records that have been appraised as permanent on a Standard Form 115 (Request for Records Disposition Authority) or that are unscheduled, and that are held by the agency or for the agency by an institution other than a Federal records center. Excluded from this reporting requirement are (a) records authorized for disposal by the General Record Schedules or by an approved SF 115 and (b) records that have been transferred to a Federal records center.

**Entry 1.** Enter the name of the department or independent agency that has custody of the records identified on the form.

**Entry 2.** Enter the name, telephone number, and office affiliation of the individual within the agency who should be contacted for further information on these records. It is very important that this entry be filled in on every form submitted.

**Entry 3.** Describe the records at the series level, just as on the SF 115. A record series is a group of documents filed or maintained together because of subject, function, physical form, or some other factor related to their creation, receipt, or use.

Follow these instructions for the individual subentries:

- a. Each series should be given a brief descriptive title.
- b. Give the inclusive dates for the series of records. The dates can be expressed in years.
- c. The volume of records should be expressed in cubic feet. It is not necessary to be more precise than to the nearest cubic foot.
- d. The series description should be brief but should include information on the function for which the records were created, their current use, the media or format of the records, and their content and arrangement. The existence of any finding aids should be noted, as should the level of security classification or any other restrictions on access to and use of the records.

Agencies that retain numerous series of records over 30 years old may fill out one form for all records series that would have the same entry for Location of Records (*entry 5*), and attach a listing of the series or a copy of an agency finding aid that describes the record series.

**Entry 4.** Give the manual and item number and the SF 115 and item number for scheduled permanent records. Indicate "unscheduled" if no disposition has been approved. If multiple series are included on one form, please provide all appropriate disposition authorities.

**Entry 5.** Give the location of the series of records as precisely as possible, including the complete address of the office that is responsible for maintaining the records.

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION NA FORM 13148 BACK (9-90)

1220 - RECORDS AND INFORMATION MANAGEMENT

Sample Records Transmittal and Receipt (SF-135)(Front)

RECORDS TRANSMITTAL AND RECEIPT		PAGE	OF
		1	1
<p>1. TO (Complete the address for the records center serving your area as shown in 36 CFR 1228.150)</p> <p style="text-align: center;">Federal Records Center Southwest Region 501 W. Felix Street Fort Worth, TX 76115</p> <p>TRANSFERRING AGENCY OFFICIAL (Signature and title) <i>Eileen Vigil</i> State Records Manager</p> <p>DATE 10/15/93</p>		<p>Complete and send original and two copies of this form to the appropriate Federal Records Center for approval prior to shipment of records. See specific instructions on reverse.</p> <p>6. FROM (Enter the name and complete mailing address of the office retaining the records. The signed receipt of this form will be sent to this address)</p> <p style="text-align: center;">Bureau of Land Management New Mexico State Office P.O. Box 1449 Santa Fe, NM 87504-1449</p>	
<p>2. AGENCY TRANSFER AUTHORIZATION</p> <p>TRANSFERRING AGENCY OFFICIAL (Signature and title) <i>Eileen Vigil</i> State Records Manager</p> <p>DATE 10/15/93</p>			
<p>3. AGENCY CONTACT</p> <p>TRANSFERRING AGENCY LIAISON OFFICIAL (Name, office and telephone No.) Eileen Vigil Administrative Services 505-438-7636</p>			
<p>4. RECORDS CENTER RECEIPT</p> <p>RECORDS RECEIVED BY (Signature and title)</p>			
<b>RECORDS DATA</b>			
ACCESSION NUMBER	VOLUME (cu ft)	AGENCY BOX NUMBERS	SERIES DESCRIPTION (With inclusive dates of records)
RG FY NUMBER (a) (b) (c)	(d)	(e)	(f)
049 94 0001	2	1-2	Publication Masters, FY 1993. Recreation brochures, draft and final Environmental Impact statements (EIS), and combined Resource Management Plans/EISS.
		RESTRICTION (g)	DISPOSAL AUTHORITY (Schedule and item number) (h)
		R	1272/16-31a NCL-49-85-2, 16-2
		DISPOSAL DATE (i)	COMPLETED BY RECORDS CENTER LOCATION (j)
		P2010	
		CONTAINER TYPE (k)	SHELF (l)
		CONTAINER NUMBER (m)	

Standard Form 135 (Rev 7-85)  
Prescribed by NARA  
36 CFR 1228.152

135-107

NSN 7540-00-634-4093

1220 - RECORDS AND INFORMATION MANAGEMENT

Sample Records Transmittal and Receipt (SF-135) (Back)

INSTRUCTIONS FOR COMPLETION OF STANDARD FORM 135

FOR COMPLETION BY THE TRANSFERRING AGENCY

Items 1, 2, 3 and 5 are self-explanatory. Specific instructions for item 6 are as follows:

*Col.*

**Accession Number.** A separate accession number is required for each series of records listed on the form. A series consists of records having the same disposal authority and disposal date that are transferred together to the records center. The accession number is entered in three parts, consisting of:

- (a) The NARA record group number assigned to the records of the agency making the transfer;
- (b) The last two digits of the current fiscal year; and
- (c) A four digit sequential number obtained in advance from the records center. (Arrangements may be made with the center to have these numbers assigned by the agency records officer or other official.)

(d) **Volume.** Enter the volume in cubic feet of each series of records being transferred.

(e) **Agency Box Numbers.** Show the inclusive box numbers for each series of records being transferred. The agency shall number each carton sequentially as follows: 1 of 25, 2 of 25, 3 of 25, etc. (Each new series of records should begin with carton number 1.) To facilitate control of the records and future reference service, the agency also shall mark each container with the assigned accession number prior to shipment.

(f) **Series Description.** Describe the records in sufficient detail to allow the records center to check for proper application of the disposal schedule. Inclusive dates of the records should be indicated. Show the organizational component that created the records when it is other than that shown in item 5.

(g) **Restriction.** Enter one of the following codes to show a restriction on use of the records. Restrictions other than (or in addition to) security classifications, such as limiting access to certain agency officials, are to be specified by a statement in the Series Description column (f).

U.S. GOVERNMENT PRINTING OFFICE: 1982 - 312-071/40263

*Code*

*Restrictions*

<b>Q</b>	Q security classification
<b>T</b>	Top Secret security classification
<b>S</b>	Secret security classification
<b>C</b>	Confidential security classification
<b>R</b>	Restricted use—witnessed disposal <i>not required</i> (specify in column (f))
<b>W</b>	Restricted use—witnessed disposal <i>required</i> (specify in column (f))
<b>N</b>	No restrictions

(h) **Disposal Authority.** For each series of records, cite the agency schedule and specific item number authorizing disposal. Cite the NARA disposal job and item number if it has not been incorporated into an updated agency schedule.

(i) **Disposal Date.** Applying the disposal authority previously cited in column (h), enter the month and year in which the records may be destroyed.

FOR COMPLETION BY THE RECORDS CENTER

Item 4 is self-explanatory. Specific instructions for item 6 are as follows:

*Col.*

(j) **Location.** The records center annotates the shelf location of the first carton for each series of records.

(k) **Shelving Plan.** The records center enters the appropriate code from Chap. 7-10e, HB, Records Center Operations (NAR P 1864.1A), to reflect the shelving system.

(l) **Container Type.** The records center enters the appropriate code from Chap. 7-10h, NAR P 1864.1A, to reflect the type of container in which the records are retired.

(m) **Automatic Disposal.** The records center enters either Y (yes) to indicate automatic disposal applies or N (no) indicating that the agency wishes to receive disposal concurrence notice prior to destruction of the records. Automatic disposal is applied only when previously agreed upon by the agency.

Use Standard Form 135-A, Records Transmittal and Receipt Continuation, when additional space is required for listing records data.

Standard Form 135 Back (Rev. 7-85)

1220 - RECORDS AND INFORMATION MANAGEMENT

Sample Technical Description for Transfer of Electronic Records  
to the National Archives (NA 14097)(Front)

TECHNICAL DESCRIPTION FOR TRANSFER OF ELECTRONIC RECORDS TO THE NATIONAL ARCHIVES		
FILE IDENTIFICATION		
01. OFFICIAL FILE TITLE, COMMONLY USED IDENTIFIER, AND/OR DESCRIPTIVE TITLE: Airline Service Quality Performance File		02. ACRONYM ASSIGNED TO FILE: On Time Performance
03. RESTRICTIONS ON ACCESS: N/A		
04. TITLE/DESCRIPTION OF DOCUMENTATION PROVIDED: Master Data File Description Master Data Record Description Air Travel Consumer Report Issued 02/90		05. FORMAT OF DOCUMENTATION: <input checked="" type="checkbox"/> Paper <input type="checkbox"/> Electronic Format (Specify) <input type="checkbox"/> Other (Specify)
06. ELECTRONIC RECORDS SUBMITTED BY (Agency name and address): Dept. of Trans./Research and Special Programs Office of Airline Statistics, DAI-20, 400 7th St., SW, Wash., D.C. 20590-0001		07. IDENTIFY TECHNICAL CONTACT(S):  Name: Charles Bradford Phone: (202)366-4376
FILE CHARACTERISTICS		
08. SHORT TITLE ON EXTERNAL LABEL: J3.J3NAXXXX.NARA. DELAY.Y.890112	10. STORAGE MEDIA UNIT VOLUME SERIAL NUMBER: 106770, 106839	12. DENSITY (CPI/8PI):  37,871
09. RETURN STORAGE MEDIA TO AGENCY AFTER ARCHIVAL PROCESSING: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If Yes, Provide Address for Return (if different from item 06):	11. TYPE OF MEDIA PROVIDED: <input type="checkbox"/> Open-Roll Magnetic Tape <input checked="" type="checkbox"/> 3480-Class Tape Cartridge <input type="checkbox"/> Other (Specify)	13. NUMBER OF TRACKS: <input type="checkbox"/> 7 <input type="checkbox"/> 9 <input checked="" type="checkbox"/> 18 <input type="checkbox"/> Other (Specify)
14. FILE ORGANIZATION ON STORAGE MEDIA <input type="checkbox"/> One File on One Media Unit <input checked="" type="checkbox"/> One File on Multiple Media Units <input type="checkbox"/> Multiple Files on One Media Unit <input type="checkbox"/> Multiple Files/Multiple Media Units	15. RECORDED LABEL (Internal Label) <input checked="" type="checkbox"/> IBM OS <input type="checkbox"/> IBM DOS <input type="checkbox"/> ASNI X 3.27 Standard <input type="checkbox"/> No Internal Labels <input type="checkbox"/> Other (Specify and Describe)	16. CHARACTER SET: <input type="checkbox"/> ASCII <input checked="" type="checkbox"/> EBCDIC <input type="checkbox"/> BCD (7 track only) <input type="checkbox"/> Binary <input type="checkbox"/> Packed Decimal <input type="checkbox"/> Other (Specify)
17. DATA OF FILE COPIED: 11/23/92		
18. INTERNAL FILE NAME/IDENTIFIER (aka Data Set Name): same as 08	19. SEQUENCE OF FILE ON STORAGE MEDIA UNIT: file <u>1</u> of <u>1</u>	16. NUMBER OF LOGICAL RECORDS PER BLOCK (Blocking Factor): 200
21. RECORD TYPE: <input type="checkbox"/> Fixed Length (F) <input checked="" type="checkbox"/> Fixed Length Blocked (FB) <input type="checkbox"/> Other Than Fixed Length (Specify Format)	22. LENGTH OF LOGICAL RECORDS IN CHARACTERS OR BYTES: 71	21. NUMBER OF LOGICAL RECORDS: 5,041,200
	23. LENGTH OF PHYSICAL RECORDS IN CHARACTERS OR BYTES: 14,200	25. NUMBER OF PHYSICAL RECORDS (Blocks): 25,206
26. AGENCY COMMENTS:		
27. FORM PREPARED BY: Name: Gloria Laury	Phone: (202) 366-0923	28. DATE FORM COMPLETED: 12/16/92

1220 - RECORDS AND INFORMATION MANAGEMENT

Sample Shelf List

<b>From:</b> Bureau of Land Mgmt. HAWAII STATE OFFICE Box 123 Honolulu, HI 12345		<b>Accession Number:</b> 049-94-0123	<b>Date</b> 10/5/94	<b>Page</b> 1 of 1
		<b>Cubic Feet</b> 2	<b>Telephone No.</b> 123-456-7890	
Location No.	Box No.	Description of Records	Schedule	
	1 of 2	Access? 1987 Access? DRAFT, 8/88 An Archeological Overview, 1986 Annual Report FY90 Annual Report FY91 Bald Eagle Management Plan, 6/86 Birney MFP Summary, 7/77 Black-footed ferret 1986-1990, 12/90 Blackleaf EIS-DRAFT, 3/90 Blackleaf EIS-FINAL, 6/92 BLM: The First 40 years, 3/87 Briefing Statements, 01/93 Briefing Statements, 6/92 Cherry Project, Draft, 9/91 County Fishing Map North Half, 1991 Decker EA, Final, 7/79 Decker MFP Summary, 7/77 Elder Mgmt Framework Plan Summary, 9/77	16/31a PERM	
	2 of 2	Floater's Guide, 1985 Management Plan brochure, 1990 Mountain Exchange, Draft EIS, 10/89 Mountain Exchange, Final EIS, 11/90 Mountain Exchange EIS ROD, 12/91 News brochure, 4/90 Penter Creek EA/MFP, Final, 9/86 Rangeland Program Summary, 9/84 Rangeland Program Summary, 3/92 RMP/EIS, FINAL, 11/83 Vegetation Allocation, DRAFT, 2/82 Wilderness EIS, FINAL, 8/89 Wilderness EIS, FINAL, 6/88 Wilderness Study, Draft, 2/87 Wilderness Suitability Study, 4/90 Wilderness Visitor's Guide, 1989	16/31a PERM	

1220 - RECORDS AND INFORMATION MANAGEMENT

Sample Notice of Intent to Destroy Records (NA Form 1301)

DATE OF NOTICE		DISPOSAL DATE
1/01/87		4 37
RECORDS DESCRIPTION		
ACCESSION NUMBER	SUBGROUP	
049-84-0016	MTS	
DISPOSAL AUTHORITY	VOLUME (i.e. ff.)	
GRS/3/4A1	2	
SERIES DESCRIPTION		
CONTRACTS 1-2 3LNGS		
CLSJ1-D/80		
ADDRESS OF FEDERAL RECORDS CENTER		
FEDERAL ARCHIVES AND RECORDS CENTER		
P.O. BOX 25307		
DENVER, CO 80225		
NOTICE OF INTENT TO DESTROY RECORDS		
<p>The records described in this notice appear eligible for disposal on the date shown. In accordance with FPMR 101.11.410 8(b) they will be destroyed 90 days from the date of this notice. You should annotate your SF 135 (all copies) to show that the records have been destroyed. No other action is required, if you do not concur in the scheduled destruction of these records, you may request an extension of the retention period by providing written justification (including a proposed new disposal date), within the 90 day period to the Director of the Federal records center indicated at the right.</p>		
REMARKS		
<p>WE REMIND YOU THAT THE DESTRUCTION OF SOME OR ALL OF THESE RECORDS MAY BE AFFECTED BY CONTINUING FEDERAL COURT ORDERS ISSUED BY COURTS WITH PENDING SUITS WHICH TEMPORARILY FORESWEAR THE DESTRUCTION OF MANY TYPES OF RECORDS</p>		
LOCATION	00054423	00054424
NATIONAL ARCHIVES AND RECORDS ADMINISTRATION		
NA FORM 1301 (4-85)		

1220 - RECORDS AND INFORMATION MANAGEMENT

Sample Request to Transfer, Approval and Receipt of Records (SF-258)(Front)

REQUEST TO TRANSFER, APPROVAL, AND RECEIPT OF RECORDS TO NATIONAL ARCHIVES OF THE UNITED STATES (See Instructions on reverse)		LEAVE BLANK		RG		
		UNIT	DATE RECEIVED	UNIT	DATE RECEIVED	
		JOB NUMBER		JOB NUMBER		
<b>1. TYPE OF ACTION</b>		<b>2. TO</b>		<b>3. UNIT THAT CREATED THE RECORDS</b>		
<input checked="" type="checkbox"/> <b>A. OFFER OF UNSCHEDULED RECORDS</b> <input type="checkbox"/> <b>B. TRANSFER OF SCHEDULED RECORDS</b>		<input checked="" type="checkbox"/> <b>A. RECORDS DISPOSITION DIVISION</b> MAILING ADDRESS: NARA <del>GENERAL SERVICES ADMINISTRATION</del> WASHINGTON, DC 20408  <input type="checkbox"/> <b>B. NATIONAL ARCHIVES</b> MAILING ADDRESS: GENERAL SERVICES ADMINISTRATION (NNA) WASHINGTON, DC 20408  <input type="checkbox"/> <b>C. REGIONAL ARCHIVES</b> FEDERAL ARCHIVES AND RECORD CENTER GENERAL SERVICES ADMINISTRATION		<b>A. AGENCY OR ESTABLISHMENT</b> Bureau of Land Management  <b>B. MAJOR SUBDIVISION</b> Montana State Office  <b>C. MINOR SUBDIVISION</b> 222 North 32nd Street, P.O. Box 36800  <b>D. NAME OF UNIT</b> Billings, MT 59107-6800  <b>E. NAME OF PERSON WITH WHOM TO CONFER ABOUT THE CONTENT OF THE RECORDS</b>  <b>F. TELEPHONE</b> (Include area code)		
<b>4. CURRENT LOCATION OF RECORDS</b>		<input checked="" type="checkbox"/> <b>A. AGENCY SPACE</b> (Give location) Montana State Office, 222 N. 32nd St., Billings, MT 59102  <input type="checkbox"/> <b>B. FEDERAL RECORDS CENTER</b> (Identify center and FRC accession no. and enter location)		<b>C. REQUEST FOR TRANSFER DATE</b>		
<b>5. RECORDS DATA</b>						
<b>A. DESCRIPTION OF RECORDS</b> (Give overall title of records, individual documents, dates, and attach Standard Form 135, if records are now in FRC. Continue on separate sheet of paper, if necessary.)  <input type="checkbox"/> SF 135 ATTACHED <input checked="" type="checkbox"/> SEPARATE SHEETS ATTACHED <div style="text-align: center;">Linen Mineral Survey Maps, 1867-1872 (SEE ATTACHED SHEET)</div>						
<b>B. EST. VOLUME</b>		<b>C. ARE RECORDS SUBJECT TO PRIVACY ACT?</b> (If yes, cite agency system number and F.R. volume and page number for most recent notice and attach a copy)		<b>D. SPECIFIC RESTRICTIONS TO BE IMPOSED</b> (Include justification cite statute or FOI exemption that authorizes such restrictions)		
cu. ft.      cu. mtr. 1-42" map tube .5		NO		N/A		
<b>E. RECORDS CONTROL SCHEDULE/ITEM NO. OR APPRAISAL JOB NO.</b>			<b>F. AGENCY REMARKS:</b>			
NARA Special List 29						
<b>6. STATEMENT OF AGENCY REPRESENTATIVE</b>						
The records described above and on the attached pages are hereby offered for deposit with the National Archives of the United States in accordance with 44 U.S.C. 2103. It is agreed that these records will be administered in accordance with the provisions of 44 U.S.C. Chapter 21, 41 C.F.R. 101-11.411, 41 C.F.R. 100-61, and such other rules or regulations as may be prescribed by the Administrator of General Services or the Archivist of the United States. Unless specified and justified above, there are no restrictions on the use of these records other than the general and specific record group restrictions on the use of records in the National Archives of the United States that have been published in 41 C.F.R. 105-61.53 or in the Guide to the National Archives of the United States. The Archivist of the United States may destroy, donate, or otherwise dispose of any containers, duplicate records, unused forms, blank stationary, nonarchival print or processed material, or other nonrecord material in any manner authorized by law or regulation without further consent of this agency. I certify that any restrictions specified by this agency on the use of these records are in conformance with the requirements of 5 U.S.C. 552 and that I am authorized by the head of this agency to act for the agency on matters pertaining to the disposition of agency records.						
<b>A. SIGNATURE OF AGENCY REPRESENTATIVE</b>		<b>B. TITLE</b>		<b>C. MAILING ADDRESS</b>		
		Bureau Records Officer				
<b>7. ACTION TAKEN BY NATIONAL ARCHIVES AND RECORDS SERVICE, GENERAL SERVICES ADMINISTRATION</b>						
<b>A. ACTION</b>		<b>B. NARS CONCURRENCES</b>				<b>C. FOR NARS ONLY</b>
<input type="checkbox"/> APPROVED  <input type="checkbox"/> DISAPPROVED		INITIALS	UNIT	DATE	INITIALS	
<b>D. NARS REMARKS REGARDING DISPOSITION/SHIPPING</b>						
<b>E. SIGNATURE OF NARS AUTHORIZED REPRESENTATIVE</b>			<b>F. TITLE</b>		<b>G. DATE</b>	
<b>B. RECORDS RECEIVED NARS DEPOSITORY</b>		<b>A. DATE</b>	<b>B. SIGNATURE</b>	<b>C. TITLE</b>		
258-102-01		(Exception to SF 258 approved by NARS 8-3-79)		STANDARD FORM 258 (REV. 10-78) Prescribed by GSA, FPMR (41 CFR) 101-11.		

1220 - RECORDS AND INFORMATION MANAGEMENT

Sample Request to Transfer, Approval and Receipt of Records (SF-258) (Back)

INSTRUCTIONS

This form may be initiated by either the transferring agency or a Federal records center.

INITIATED BY AGENCY:

Agency completes items 1 through 6 (see specific instructions below). Item 6 must be signed and dated. Send original and 4 copies to the appropriate address in item 2 sixty days before planned date of transfer.

INITIATED BY FEDERAL RECORDS CENTER:

Federal records center completes items 1, 2, 3A-F, if known, 4B, 5A and B, D, and E and send original and 3 copies to transferring agency records officer.

Agency completes/corrects items 3, 5A, 5C-F, and 6. Item 6 must be signed and dated. Agency sends original and 3 copies to the address indicated in item 2 sixty days before planned date of transfer.

ITEM 1, TYPE OF ACTION:

If 1B is checked, a reference to the records control schedule number or NARS appraisal job number must be included in 5E. (Item 1B may be checked for unscheduled records if an appropriate appraisal job is cited to reflect an accretion according to prior evaluation of the series).

ITEM 2, TO:

When 1B is checked, requests are sent to the National Archives (NNA) unless the records control schedule or appraisal job specifies a regional archives or Presidential library.

When 2C is checked, include in that block address (number and street, city, State, and zip code) of the regional archives branch being offered the records.

ITEM 3, UNIT THAT CREATED THE RECORDS:

Fully identify the agency, subdivision, and unit that created or originated the records (not the agency records office). If this is not possible, or a successor unit or agency is transferring the records, then explain under Agency Remarks, item 5F.

ITEM 4, CURRENT LOCATION OF RECORDS:

Identify the agency location or the particular records center in which the records are located and provide FRC accession number. The stack location in the center may also be provided.

ITEM 5, RECORDS DATA:

5A. Describe the records. If the records are in a Federal records center, attach SF 135. Arrangement statement must be provided and enough description to substantiate responses in items 5B (with volume for each item) 5C and 5D.

5B. Estimated volume may be indicated in either cubic feet or cubic meters.

5C. Privacy Act notices must be cited for records subject to the Privacy Act (5 U.S.C. 552a) and should be attached.

5D. Specific restrictions must be fully justified and may not violate the Freedom of Information Act (5 U.S.C. 552).

5E. If the records have previously been scheduled in a records control schedule, the schedule and item number must be cited, and the schedule itself may be attached. If the records are not scheduled but a part of the series has been appraised as permanent in the past and transferred to a NARS depository, then cite the appraisal job number as authority and treat as a scheduled offer.

ITEM 6, STATEMENT OF AGENCY REPRESENTATIVE:

Signature and title of agency records officer is placed here and normally is not the name or office given in item 3.

ITEM 7, ACTION TAKEN BY NARS:

NARS will indicate approval and provide shipping or delivery instructions, or disapproval and recommend appropriate disposition of the records. NARS will indicate quantity of offer approved, disapproved and for which action is deferred.

If NARS approves the transfer, the Office of the National Archives send SF 258 to the agency (or to the Federal records center if the records are in a center) with a transfer date and shipping or delivery.

If NARS disapproves the transfer, the Records Disposition Division returns SF 258 to the agency with suggestions for disposition of the records.

ITEM 8, RECORDS RECEIVED:

After receipt of the records by a NARS depository NARS will sign and return one copy of SF 258 to the agency.

STANDARD FORM 258 BACK (REV. 10-78)

1220 - RECORDS AND INFORMATION MANAGEMENT

Sample Cross-Reference Document



United States Department of the Interior

BUREAU OF LAND MANAGEMENT

Montana State Office

222 North 32nd Street

P.O. Box 36800

Billings, Montana 59107-6800

IN REPLY TO:

1865 (950.16)

Miles City 044028

National Archives and Records Administration  
Washington, D.C.

CROSS-REFERENCE DOCUMENT - RECORD GROUP 49

This cross-reference document is to be inserted in the original casefile:

Serial Number: Miles City 044028      State: Montana  
Patent Number: 782532                      Dated: November 18, 1920

**ATTENTION RESEARCHER:**

Additional action has been performed on this case by the Bureau of Land Management.

This action involved a patent correction request.

The official records documenting this additional action are located in a supplemental casefile, identified as such:

Supplemental Casefile  
Serial Number: Miles City 044028

Information on the location of this supplemental casefile can be obtained from:

State Records Manager  
Bureau of Land Management  
Montana State Office  
Billings, Montana 59107-6800  
Phone: 406-255-2888

Bureau Records Officer  
Bureau of Land Management  
Interior Building  
Washington, D.C. 20240

This supplemental casefile will be sent to the Federal Records Center in Denver, Colorado, for retention until it is accessioned into the National Archives-Denver Branch.

Agency Official: \_\_\_\_\_

*Pam Dandrea*  
Pam Dandrea  
State Records Manager

Date: \_\_\_\_\_

*7/27/94*



1220 - RECORDS AND INFORMATION MANAGEMENT

Sample Records Request (Form 1272-7)

UNITED STATES DEPARTMENT OF THE INTERIOR BUREAU OF LAND MANAGEMENT <b>RECORDS REQUEST</b>	Record Group
	Identification Number Patent No. 1446 Type of Case
To: <b>National Archives and Records Administration</b> Suitland Reference Branch NNRR Washington, DC 20409	State North Dakota Land Office
	Serial Number NA Other Identifying Number or Information JOHN PAISLEY SW $\frac{1}{4}$ , SEC. 34, T. 157 N., R. 67 W.
From: <b>Bureau of Land Management</b> Montana State Office 222 North 32nd Street P O Box 36800 Billings, Montana 59107-6800	<input checked="" type="checkbox"/> Furnish copy of record(s) only <input type="checkbox"/> Certification Required [OR] <input type="checkbox"/> Loan of record(s)
	Purpose:
Send Records to: <b>Bureau of Land Management</b> Montana State Office P O Box 36800 Billings, Montana 59107-6800	Need:
	Justification for loan:
Name of requestor Jeanette Reichert (406) 255-2760 8/15/94 In response to case file (for BLM use only):	Loan period requested (not to exceed 6 months):
Name of Agency contact (Records Manager): Jeanette Reichert (406) 255-2760	
Telephone No. (FTS): Commercial (include area code): (406) 255-2760 I certify records are required for official business:	<input checked="" type="checkbox"/> Other information (specify): Patent dated September 9, 1895 Charge to: BPA 1422 E950 B 20008 No. 32
Date 8/15/94 Jeanette Reichert (Records Manager's signature)	INSTRUCTIONS Send original and one copy to addressee - use separate form for each item requested.

Form 1272-7 (August 1989)

NATIONAL ARCHIVES

## 1220 - RECORDS AND INFORMATION MANAGEMENT

NARA Reference Guides

For additional records management issues, the following publications are available:

NARA Publications:

Federal Records Management: Laws and Regulations, 1991  
 General Records Schedules, 1988  
 NARA Records Management Handbooks:  
 Disposition of Federal Records, 1989  
 Federal Archives and Records Centers, 1979  
 NARA Instructional Guide Series:  
   Managing Electronic Records, 1990  
   Managing Audiovisual Records, 1990  
 Managing Cartographic, Aerial Photographic, Architectural, and Engineering Records, 1989

NARA Guides:

Guide to Cartographic Records in the National Archives, 1971  
 Guide to Records in the National Archives of the United States, 1982  
 Guide to Genealogical Research in the National Archives, 1983  
 Guide to Records in the National Archives New England Region, 1990  
   (Connecticut, Main, Massachusetts, New Hampshire, Rhode Island, Vermont)  
 Guide to Records in the National Archives Northeast Region, 1989  
   (New York, New Jersey, Puerto Rico, Virgin Islands)  
 Guide to Records in the National Archives Mid Atlantic Region, 1990  
   (Delaware, Maryland, Pennsylvania, Virginia, West Virginia)  
 Guide to Records in the National Archives Southeast Region, 1989  
   (Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee)  
 Guide to Records in the National Archives Great Lakes Region, 1989  
   (Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin)  
 Guide to Records in the National Archives Central Plains Region, 1989  
   (Iowa, Kansas, Missouri, Nebraska)  
 Guide to Records in the National Archives Southwest Region, 1989  
   (Arkansas, Louisiana, New Mexico, Oklahoma, Texas)  
 Guide to Records in the National Archives Rocky Mountain Region, 1989  
   (Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming)  
 Guide to Records in the National Archives Pacific Southwest Region, 1990  
   (Arizona, Southern California, Nevada-Clark County)  
 Guide to Records in the National Archives Pacific Sierra Region, 1989  
   (Northern California, Hawaii, Nevada-except Clark County, American Samoa, Guam)  
 Guide to Records in the National Archives Pacific Northwest Region, 1989  
   (Alaska, Idaho, Oregon, Washington)

1220 - RECORDS AND INFORMATION MANAGEMENT

NARA Reference Information Papers:

Public Land Records of the Federal Government, 1800-1950, and Their Statistical Significance, Reference Information Paper No. 57, 1973  
Transportation in Nineteenth-Century America: A Survey of the Cartographic Records in the National Archives of the United States, Reference Information Paper 65, 1975

NARA Preliminary Inventories:

Preliminary Inventory of the Land-Entry Papers of the General Land Office, Preliminary Inventory 22, 1949  
Cartographic Records of the Office of the Secretary of the Interior, Preliminary Inventory 81  
Preliminary Inventory of the Records of the Bureau of Land Management, 1966 [Arizona and California]  
Preliminary Inventory of the Records of the Bureau of Land Management-Northern California and Nevada, 1970  
Preliminary Inventory of the Records of the Bureau of Land Management-Utah, 1979  
Preliminary Inventory of the Records of the Bureau of Land Management-Wyoming, 1983  
Preliminary Inventory of the Records of the Bureau of Land Management-Colorado, 1984

NARA Special Lists:

List of Cartographic Records of the General Land Office, Special List 19, 1964  
Cartographic Records Relating to the Territory of Wisconsin, 1836-1848, Special List 23, 1970  
Prefederal Maps in the National Archives: An Annotated List, Special List 26, 1975  
Cartographic Records Relating to the Territory of Iowa, 1838-1846, Special List 27, 1971  
List of Selected Maps of States and Territories, Special List 29, 1971  
National Archives Microfilm Publications in the Regional Archives System, Special List 45, 1975  
Microfilm Publications in the National Archives New England Region, Special List 46, 1990 (Connecticut, Main, Massachusetts, New Hampshire, Rhode Island, Vermont)  
Microfilm Publications in the National Archives Northeast Region, Special List 47, 1990 (New York, New Jersey, Puerto Rico, Virgin Islands)  
Microfilm Publications in the National Archives Mid Atlantic Region, Special List 48, 1990 (Delaware, Maryland, Pennsylvania, Virginia, West Virginia)  
Microfilm Publications in the National Archives Southeast Region, Special List 49, 1990 (Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee)  
Microfilm Publications in the National Archives Great Lakes Region, Special List 50, 1990 (Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin)  
Microfilm Publications in the National Archives Central Plains Region, Special List 51, 1990 (Iowa, Kansas, Missouri, Nebraska)

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Microfilm Publications in the National Archives Southwest Region, Special List 52, 1990 (Arkansas, Louisiana, New Mexico, Oklahoma, Texas)  
Microfilm Publications in the National Archives Rocky Mountain Region, Special List 53, 1990  
Microfilm Publications in the National Archives Pacific Southwest Region, Special List 54, 1990 (Arizona, Southern California, Nevada-Clark County)  
Microfilm Publications in the National Archives Pacific Sierra Region, Special List 55, 1990 (Northern California, Hawaii, Nevada-except Clark County, American Samoa, Guam)  
Microfilm Publications in the National Archives Pacific Northwest Region, Special List 56, 1990 (Alaska, Idaho, Oregon, Washington)

NARA Miscellaneous Finding Aids:

Catalog of National Archives Microfilm Publications, 1982  
Microfilm Resources for Research, 1986  
Electronic Recordkeeping, Information Resources Management Handbook, General Services Administration, 1989  
The Archives: A Guide to the National Archives Field Branches, Loretto Dennis Szucs and Sandra Hargreaves Luebking, 1988

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**Schedule 1 - Civilian Personnel Records**

**Introduction**

This schedule incorporates the records described in General Records Schedule 1, which describes personnel records common to most federal agencies, and adds the following additional personnel records maintained by the Bureau of Land Management (BLM):

- Training aids developed by the BLM.
- The BLM volunteer personnel folders and volunteer administrative program files.
- The BLM fire experience and qualifications files.

Personnel records relate to the supervision over and management of federal civilian employees and volunteers. This schedule covers the disposition of all Official Personnel Folders (OPFs) of the BLM employees and other records relating to personnel and volunteers, regardless of location. Any records created prior to

January 1, 1921, must be offered to the National Archives and Records Administration (NARA) for appraisal before these disposition instructions may be applied.

The most important type of records - OPFs, Service Record Cards, and Employee Medical Folders - are maintained according to The Guide to Personnel Recordkeeping, an Office of Personnel Management (OPM) manual that prescribes a system of recordkeeping for Federal personnel.

A new item has been added to this schedule to authorize the destruction of electronic mail and word processing records maintained by the BLM in addition to the copy in the recordkeeping system. This item covers electronic copies of electronic mail and word processing records created and used solely to produce the recordkeeping copy, and electronic copies of electronic mail and word processing records that are needed in addition to the recordkeeping copy for dissemination, revision, or updating.

Item	Record Series Description	Disposition Authority
1	<b>OFFICIAL PERSONNEL FOLDERS (OPFs) [1400-293]</b> . Records filed on right side of the OPF (see Schedule 1/10 for temporary papers on left side of OPF). Folders covering employment terminated after 12/31/1920, excluding those selected by NARA for permanent retention. Forms: OF-5, 8, 69, 136, 137, 138, 140, 141; SF-14, 15, 49-52, 59, 61, 61b, 66, 75, 85, 85a, 86, 127, 144, 171-172, 176, 177, 180, 182, 813, 1150, 1152, 2800-2804, 2808-2810, 2816-2824, 2824c, 3102, 3104, 3105, 3106a, 3107, 3107-1, 5515; BLM 1400-72, 74, 92, 97; INS I-9; OPM-1170/17, 1367, 1368, 1465, 1514, 1528, 1555, 1560, 1561; TSP-1, TSP-3. Confidentiality: Non-public record category 3; Privacy Act System Interior/OS-79. Vital: Legal and financial rights records. Location: WO, Center, SO, and some FO Personnel Offices. Exclusions: Volunteer personnel files (Schedule 1/42), supervisor's copies of OPF documents and other duplicate OPF documentation (Schedule 1/18), and OPFs for employment terminated prior to 01/01/1921 (contact NARA).	
	a. Transferred Employees.	-See Chapter 7 of <u>The Guide to Personnel Recordkeeping</u> for instructions relating to folders of employees transferred to another agency. GRS 1/1a.
	b. Separated Employees.	TEMPORARY. Transfer to National Personnel Records

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			Center (NPRC), St. Louis, MO, 30 days after latest separation. NPRC destroys 65 years after separation from federal service. GRS 1/1b.
<b>2</b>	<b>SERVICE RECORD CARDS [1400-290]</b> . Forms: SF-7, 7a, or equivalent. Confidentiality: Non-public record category 3; Privacy Act System Interior/OS-79. Location: WO, Center, SO Personnel Offices. NOTE: Effective 12/31/1994, the SF-7 card became obsolete.		
	a.	Employees Separated or Transferred on or before 12/31/1947.	TEMPORARY. Transfer to NPRC, St. Louis, MO. Destroy 60 years after earliest personnel action. GRS 1/2a.
	b.	Employees Separated or Transferred on or after 01/01/1948.	TEMPORARY. Destroy 3 years after separation or transfer of employee. GRS 1/2b.
<b>3</b>	<b>PERSONNEL CORRESPONDENCE FILES [1400]</b> . Correspondence, reports, and other records relating to the general administration and operation of personnel functions. Exclusions: Records specifically described elsewhere in this schedule and records maintained at agency staff planning levels.		TEMPORARY. Destroy when 3 years old. GRS 1/3.
<b>4</b>	<b>OFFERS OF EMPLOYMENT FILES [1400-300]</b> . Correspondence including letters and telegrams offering appointments to potential employees. Forms: OF-5. Confidentiality: Non-public record category 3; Privacy Act System Interior/OS-79. Location: All.		
	a.	Employment Offers Accepted.	TEMPORARY. Destroy when appointment is effective. GRS 1/4a.
	b.	Employment Offers Declined.	
		(1) When Name is Received from Certificate of Eligibles.	TEMPORARY. Return to OPM with reply and application. GRS 1/4b(1).
		(2) Temporary or Excepted Appointment.	File with the application (Schedule 1/15). GRS 1/4b(2).
		(3) All Others.	TEMPORARY. Destroy immediately. GRS 1/4b(3).
<b>5</b>	RESERVED		
<b>6</b>	<b>EMPLOYEE RECORD CARDS [1400-293]</b> . Employee record cards used for informational purposes outside personnel offices. Forms: SF-7b, BLM1400-71. NOTE: Effective 12/31/1994, the SF-7 card became obsolete. Confidentiality: Non-public record category 3; Privacy Act System Interior/OS-79. Location: All.		TEMPORARY. Destroy on separation or transfer of employee. GRS 1/6.
<b>7</b>	<b>POSITION CLASSIFICATION FILES [1400-511]</b> . Forms: OF-8. Confidentiality: Mixed: Non-public record category 3 and Public record category 1; Privacy Act System Interior/OS-79.		
	a.	Position Classification Standards Files.	
		(1) Position Classification Standards and Guidelines. Issued or reviewed by OPM and used to classify and evaluate positions within the BLM. Location: All.	TEMPORARY. Destroy when superseded or obsolete. GRS 1/7a(1).

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**Schedule 1 – Civilian Personnel Records**

		(2)	Position Classification Standards Correspondence and other records re. development of standards for classification of positions peculiar to the BLM and OPM approval or disapproval. Location: WO, Center, SO Personnel Offices.	
		(a)	Case File.	TEMPORARY. Destroy 5 years after position is abolished or description is superseded. GRS 1/7a(2)(a).
		(b)	Review File.	TEMPORARY. Destroy when 2 years old. GRS 1/7a(2)(b).
	b.		Position Descriptions. Record copy of position descriptions which include information on title, series, grade, duties and responsibilities, and related documents. Location: All. Exclusions: Copies in individual OPFs.	TEMPORARY. Destroy 2 years after position is abolished or description is superseded. GRS1/7b.
	c.		Survey Files. Location: WO, Center, SO Personnel Offices.	
		(1)	Position Classification Survey Reports. Reports on various positions prepared by classification specialists, including periodic reports.	TEMPORARY. Destroy when 3 years old or 2 years after regular inspection, whichever is sooner. GRS 1/7c(1).
		(2)	Inspection, Audit, and Survey Files. Including correspondence, reports, other records re. inspections, surveys, desk audits, and evaluations. Location: All.	TEMPORARY. Destroy when obsolete or superseded. GRS 1/7c(2).
	d.		Position Classification Appeals Files. Location: WO, Center, SO Personnel Offices.	
		(1)	Case files re. classification appeals, excluding OPM classification certificate.	TEMPORARY. Destroy 3 years after case is closed. GRS 1/7d(1).
		(2)	Certificates of classification issued by OPM.	TEMPORARY. Destroy after the affected position is abolished or superseded. GRS 1/7d(2).
<b>8</b>	<b>PERSONNEL INTERVIEW FILES [1400-300].</b> Correspondence, reports, and other records re. interviews with employees, including "exit" interviews. Exclusions: employment interview for 1) merit promotion (Schedule 1/32); 2) OPM certificates (Schedule 1/33); 3) all other employment interviews (Schedule 1/15 with applications, etc.). Confidentiality: Non-public record category 3; Privacy Act System Interior/OS-79. Location: All.			TEMPORARY. Destroy 6 months after transfer or separation of employee. GRS 1/8.
<b>9</b>	<b>PERFORMANCE RATING BOARD CASE FILES [1400-430].</b> Copies of case files forwarded to OPM re. performance rating board reviews. Forms: BLM1400-94, 98-102. Confidentiality: Non-public record category 3; Privacy Act System Interior/OS-79. Vital: Legal and financial rights records. Location: WO, Center, SO Personnel Offices.			TEMPORARY. Destroy 1 year after case is closed. GRS 1/9.
<b>10</b>	<b>OPF TEMPORARY INDIVIDUAL EMPLOYEE FILES [1400-293].</b> Confidentiality: Non-public record category 3; Privacy Act System Interior/OS-79. Location: WO, Center, SO Personnel Offices. Exclusions: Performance-related records (Schedule 1/23), and Immigration and Naturalization Service Form I-9 (Schedule 1/10b).			

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**Schedule 1 – Civilian Personnel Records**

	a.	All copies of correspondence and forms maintained on left side of OPF in accordance with Chapter 3 of <u>The Guide to Personnel Recordkeeping</u> .	TEMPORARY. Destroy when superseded or obsolete, or upon separation or transfer of employee or when 1 year old, unless specifically required to be transferred with the OPF. GRS 1/10a.
	b.	Immigration and Naturalization Service Form I-9.	TEMPORARY. Destroy 3 years after employee separates from service or transfers to another agency. GRS 1/10b.
<b>11</b>	<b>POSITION IDENTIFICATION STRIPS.</b> Strips used to provide summary data on each position occupied. Forms: former SF-7d (obsolete effective 12/31/1994). Confidentiality: Non-public record category 3; Privacy Act System Interior/OS-79. Location: All.		TEMPORARY. Destroy when superseded or obsolete. GRS 1/11.
<b>12</b>	<b>EMPLOYEE AWARDS FILES [1400-451].</b> Forms: OF-163, 164; DI-398, 399-402, 405, 411; BLM 1400-17, 18, 19, 40, 70, 70a, 79, 85, 93, 95. Confidentiality: Non-public record category 3; Privacy Act System Interior/OS-79. Vital: Legal and financial rights records. Location: All. Exclusions: Records relating to department-level awards must be scheduled by submitting an SF-115 to NARA and copies of letters of commendation, length of service, and appreciation filed in the OPF (Schedule 1/1).		
	a.	General Awards Files.	
		(1) Case Files. Including recommendations, approved nominations, correspondence, reports, and related handbooks re. The BLM-sponsored cash and noncash awards such as incentive awards, within-grade merit increases, suggestions, and outstanding performance.	TEMPORARY. Destroy 2 years after approval or disapproval. GRS 1/12a(1).
		(2) Correspondence. Pertaining to awards from other federal agencies or nonfederal organizations.	TEMPORARY. Destroy when 2 years old. GRS 1/12a(2).
	b.	Length of Service and Sick Leave Awards. Including correspondence, reports, computations of service and sick leave, and lists of awardees.	TEMPORARY. Destroy when 1 year old. GRS 1/12b.
	c.	Letters of Commendation and Appreciation. Copies of letters recognizing length of service and retirement and letters of appreciation and commendation for performance. Exclusions: copies filed in the OPF.	TEMPORARY. Destroy when 2 years old. GRS 1/12c.
	d.	Awards Lists or Indexes to Award Nominations. Lists of nominees and winners and indexes of nominations.	TEMPORARY. Destroy when superseded or obsolete. GRS 1/12d.
<b>13</b>	<b>EMPLOYEE INCENTIVE AWARDS PROGRAM REPORT FILES [1400-451].</b> Reports re. operation of the incentive awards programs. Forms: OPM 1465; BLM 1400-73. Confidentiality: Non-public record category 3; Privacy Act System Interior/LLM-26. Location: WO, Center, SO personnel.		TEMPORARY. Destroy when 3 years old. GRS 1/13.
<b>14</b>	<b>NOTIFICATIONS OF PERSONNEL ACTIONS [1400-290].</b> Documenting all individual personnel actions such as employment, promotions, transfers, separation. Forms: SF-50, 50a, 50b. Confidentiality: Non-public record category 3; Privacy Act System Interior/OS-79. Location: All. Exclusions: Copies in OPFs (Schedule 1/1).		
	a.	Chronological File Copies. Including fact sheets	TEMPORARY. Destroy when

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		maintained in personnel offices.	2 years old. GRS 1/14a.
	b.	All Other Copies.	TEMPORARY. Destroy when 1 year old. GRS 1/14b.
<b>15</b>	<b>EMPLOYMENT APPLICATIONS [1400-333].</b> Applications and related records, including interview records. Forms: OF-49, 50, 51, 612; SF-171, 171a, 172, 2817, resumes and other applications that agencies may develop for unique jobs with specialized requirements. Confidentiality: Non-public record category 3; Privacy Act System Interior/OS-79. Location: All. Exclusions: Copies filed in individual OPFs (Schedule 1/1), records re. appointments requiring Senatorial confirmation and applications resulting in appointment filed in OPF (Schedule 1/1).		TEMPORARY. Destroy upon receipt of OPM inspection report or when 2 years old, whichever is earlier. GRS 1/15.
<b>16</b>	<b>PERSONNEL OPERATIONS STATISTICAL REPORTS [1400-291].</b> Statistical reports in operating personnel office and subordinate units relating to personnel. Forms: SF-113a, 113e. Confidentiality: Non-public record category 3; Privacy Act System Interior/OS-79. Location: All.		TEMPORARY. Destroy when 2 years old. GRS 1/16.
<b>17</b>	<b>EMPLOYEE CORRESPONDENCE AND FORMS FILES [1400-295].</b> Operating personnel office records re. individual employees not maintained in OPFs and not provided for elsewhere in this Schedule. Forms: SF-127. Confidentiality: Non-public record category 3; Privacy Act System Interior/OS-79. Vital: Legal and financial rights records. Location: WO, Center, SO Personnel Offices.		
	a.	Employee Correspondence and Forms re. Pending Personnel Actions.	TEMPORARY. Destroy when action is completed. GRS 1/17a.
	b.	Retention Registers and Related Records.	
		(1) Registers and related records used to effect RIF actions.	TEMPORARY. Destroy when 2 years old. GRS 1/17b(1).
		(2) Registers from which no RIF actions have been taken and related records.	TEMPORARY. Destroy when superseded or obsolete. GRS 1/17b(2).
	c.	All Other Employee Correspondence and Forms.	TEMPORARY. Destroy when 6 months old. GRS 1/17c.
<b>18</b>	<b>SUPERVISOR'S PERSONNEL FILES AND DUPLICATE OPF DOCUMENTS [1400-290].</b> Confidentiality: Non-public record category 3; Privacy Act System Interior/OS-79. Location: All.		
	a.	Supervisor's Personnel Files. Correspondence, forms, and other records re. positions, authorizations, pending actions, copies of position descriptions, requests for personnel action, and records on individual employees duplicated in or not appropriate for the OPF.	TEMPORARY. Review annually and destroy superseded or obsolete documents, or destroy all documents re. an individual employee within 1 year after separation or transfer. GRS 1/18a.
	b.	Duplicate OPF Documentation. Other copies of documents duplicated in the OPFs not provided for elsewhere in this Schedule.	TEMPORARY. Destroy when 6 months old. GRS 1/18b.
<b>19</b>	<b>INDIVIDUAL NONOCCUPATIONAL HEALTH RECORD FILES [1400-293].</b> Forms, correspondence, and other records, including summary records, documenting individual employee's medical history, physical condition, and visits to Government health facilities, for nonwork-related purposes. Confidentiality: Non-public record category 3; Privacy Act System Interior/OS-79. Location: WO, Center, SO Personnel Offices. Exclusions: Employee		TEMPORARY. Destroy 6 years after date of last entry. GRS 1/19.

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**Schedule 1 – Civilian Personnel Records**

	medical folder records (Schedule 1/21).		
<b>20</b>	<b>HEALTH UNIT CONTROL FILES [1400-293].</b> Logs or registers reflecting daily number of visits to dispensaries, first aid rooms and health units. Confidentiality: Non-public records category 3; Privacy Act System Interior/OS-79.		Currently, the BLM does not maintain health unit records. GRS 1/20a & b.
<b>21</b>	<b>EMPLOYEE MEDICAL FOLDER [1400-293].</b> Forms: CA-1, 2-8, 16, 17, 20; SF-3105c. Confidentiality: Non-public record category 3; Privacy Act System Interior/OS-79. Vital: Legal and financial rights records. Location: WO, Center, SO Personnel Offices. Exclusions: Electronic master files and data bases created to supplement or replace the records covered by this item are not authorized for disposal (submit SF-115 to NARA).		
	a.	Long Term Medical Records. As defined in 5 CFR 293, Subpart E.	
		(1) Transferred Employees.	See 5 CFR 293, Subpart E for instructions. GRS 1/21a(1).
		(2) Separated Employees.	TEMPORARY. Transfer to NPRC, St. Louis, MO, 30 days after separation. NPRC destroys 75 years after birth date of employee; 60 years after date of earliest document in the folder, if the date of birth cannot be ascertained; or 30 years after latest separation, whichever is later. GRS 1/21a(2).
	b.	Temporary or Short Term Records. As defined in the Federal Personnel Manual (FPM).	TEMPORARY. Destroy 1 year after separation or transfer of employee. GRS 1/21b.
	c.	Individual Employee Health Case Files Created Prior to the EMF System that have been retired to a NARA records storage facility.	TEMPORARY. Destroy 60 years after retirement to a NARA records storage facility. GRS 1/21c.
<b>22</b>	<b>EMPLOYEE HEALTH STATISTICAL SUMMARIES [1400-792].</b> Copies of statistical summaries and reports with related papers pertaining to employee health, retained by the reporting unit. Confidentiality: Non-public record category 3; Privacy Act System Interior/OS-79. Location: All. Exclusions: Electronic master files and data bases created to supplement or replace the records covered by this item are not authorized for disposal (submit SF-115 to NARA).		TEMPORARY. Destroy when 2 years old. GRS 1/22.
<b>23</b>	<b>EMPLOYEE PERFORMANCE FILE SYSTEM FILES [1400-300].</b> Forms: BLM 1400-90. Confidentiality: Non-public record category 3; Privacy Act System Interior/OS-76. Vital: Legal and financial rights records. Location: WO, Center, SO Personnel Offices. Exclusions: Performance records pertaining to Presidential appointees are not authorized for disposal (submit SF-115 to NARA).		
	a.	Non-SES Appointees. As defined in 5 USC 4301(2).	
		(1) Appraisals of Unacceptable Performance. Where a notice of proposed demotion or removal is issued but not effected, and all related documents.	TEMPORARY. Destroy after employee completes 1 year of acceptable performance from the date of the written advance notice of proposed removal or reduction in grade notice. GRS

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					1/23a(1).
		(2)	Superseded Performance Files. Superseded through an administrative, judicial, or quasi-judicial procedure.		TEMPORARY. Destroy when superseded. GRS 1/23a(2).
		(3)	Former Employee Performance Files.		
		(a)	Latest Rating of Record 3 Years Old or Less. And performance plan upon which it is based and any summary rating.		TEMPORARY. Place records on left side of OPF and forward to gaining federal agency upon transfer or to NPRC if employee separates (GRS 1/1b). An agency retrieving an OPF from NPRC will dispose of these documents in accordance with GRS 1/23a(3)(b). GRS 1/23a(3)(a).
		(b)	All Other Performance Plans and Ratings.		TEMPORARY. Destroy when 4 years old. GRS 1/23a(3)(b).
		(4)	All Other Summary Performance Appraisal Files. Including performance appraisals and job elements and standards upon which they are based.		TEMPORARY. Destroy 4 years after date of appraisal. GRS 1/23a(4).
		(5)	Supporting Documents.		TEMPORARY. Destroy 4 years after date of appraisal. GRS 1/23a(5).
	b.	SES Appointees. As defined in 5 USC 3132a(2).			
		(1)	Superseded Performance Files. Superseded through an administrative, judicial, or quasi-judicial procedures.		TEMPORARY. Destroy when superseded. GRS 1/23b(1).
		(2)	Former SES Appointee Performance-Related Files.		
		(a)	Latest Rating of Record Less Than 5 Years Old. And performance plan upon which it is based and any summary rating.		TEMPORARY. Place records on left side of OPF and forward to gaining federal agency upon transfer or to NPRC if employee leaves federal service (GRS 1/1b). An agency retrieving an OPF from NPRC will dispose of these documents in accordance with GRS 1/23b(2)(b). GRS 1/23b(2)(a).
		(b)	All Other Performance Ratings and Plans.		TEMPORARY. Destroy when 5 years old. GRS 1/23b(2)(b).
		(3)	All Other Performance Appraisals. Along with job elements and standards (job expectations) upon which they are based. Exclusions: those for SES appointees serving on a Presidential appointment (5 CFR 214).		TEMPORARY. Destroy 5 years after date of appraisal. GRS 1/23b(3).
		(4)	Supporting Documents.		TEMPORARY. Destroy 5 years after date of appraisal. GRS 1/23b(4).

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24	RESERVED		
25	<b>EQUAL EMPLOYMENT OPPORTUNITY (EEO) FILES [1400-713].</b> Forms: SF-278. Confidentiality: Non-public record category 3; Privacy Act System Interior/OS-18. Vital: Legal and financial rights records. Exclusions: Electronic master files and data bases created to supplement or replace the records covered by this item are not authorized for disposal (submit SF-111 to NARA).		
	a.	EEO Official Discrimination Complaint Case Files. Originating agency's file containing complaints with related correspondence, reports, exhibits, withdrawal notices, copies of decisions, records of hearings and meetings, and other records as described in 29 CFR 1613.222. Cases resolved within the BLM, by DOI, by EEOC, or by a U.S. Court. Location: WO, Centers, SO.	TEMPORARY. Destroy 4 years after resolution of case. GRS 1/25a.
	b.	EEO Complaint Duplicate Files. Duplicate case files or documents re. case files retained in the official discrimination complaint case files. Location: All.	TEMPORARY. Destroy 1 year after resolution of case. GRS 1/25b.
	c.	EEO Preliminary and Background Files. Location: All.	
		(1) Background records not filed in the official discrimination complaint case files.	TEMPORARY. Destroy 2 years after final resolution of case. GRS 1/25c(1).
		(2) Records documenting complaints that do not develop into official discrimination complaint cases.	TEMPORARY. Destroy when 2 years old. GRS 1/25c(2).
	d.	EEO Compliance Files. Location: WO, Centers, SO.	
		(1) EEO Compliance Review Files. Reviews, background documents and correspondence re. contractor employment practices.	TEMPORARY. Destroy when 7 years old. GRS 1/25d(1).
		(2) EEO Compliance Reports.	TEMPORARY. Destroy when 3 years old. GRS 1/25d(2).
	e.	EEO Employee Housing Requests. Forms requesting the BLM assistance in housing matters, such as rental or purchase. Location: WO, Centers, SO.	TEMPORARY. Destroy when 1 year old. GRS 1/25e.
	f.	EEO Employment Statistics Files. Record copies of employment statistics re. race and sex. Location: All.	TEMPORARY. Destroy when 5 years old. GRS 1/25f.
	g.	EEO General Files. General correspondence and copies of regulations with related records re. the Civil Rights Act of 1964, EEO Act of 1972, and any pertinent later legislation; and BLM EEO Committee meeting records including minutes and reports. Location: All.	TEMPORARY. Destroy when 3 years old or when superseded or obsolete, whichever is applicable. GRS 1/25g.
	h.	EEO Affirmative Action Plans (AAPs).	
		(1) AAP Consolidated Files. Headquarters EEO Office copy of consolidated AAPs. Location: WO.	TEMPORARY. Destroy 5 years from date of plan. GRS 1/25h(1).
		(2) AAP Feeder Plans to Consolidated AAPs. Location: All.	TEMPORARY. Destroy 5 years from date of feeder plan or when administrative purposes have been served, whichever is sooner. GRS 1/25h(2).

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		(3)	AAP On-Site Review Reports. Record copies. Location: All.	TEMPORARY. Destroy 5 years from date of report. GRS 1/25h(3).
		(4)	Affirmative Action Accomplishment Annual Reports. Record copies. Location: WO.	TEMPORARY. Destroy 5 years from date of report. GRS 1/25h(4).
<b>26</b>	<b>PERSONNEL COUNSELING FILES [1400-700].</b> Confidentiality: Non-public record category 3; Privacy Act System Interior/OS-79. Vital: Legal and financial rights records.			
	a.		Personnel Counseling Files. Reports of interviews, analyses, and related records. Location: WO, Center, SO Personnel Offices.	TEMPORARY. Destroy 3 years after termination of counseling. GRS 1/26a.
	b.		Alcohol and Drug Abuse Program Files. Records created in planning, coordinating, and directing an alcohol and drug abuse program. Location: All.	TEMPORARY. Destroy when 3 years old. GRS 1/26b.
<b>27</b>	RESERVED			
<b>28</b>	<b>LABOR MANAGEMENT RELATIONS FILES [1400-711].</b> Confidentiality: Non-public record category 3; Privacy Act System Interior/OS-79. Vital: Legal and financial rights records. Location: All.			
	a.		Labor Management Relations General and Case Files. Correspondence, memoranda, reports, and other records re. the relationship between management and employee unions or other groups.	
		(1)	Office Negotiating Agreement.	TEMPORARY. Destroy 5 years after expiration of agreement. GRS 1/28a(1).
		(2)	Other Offices.	TEMPORARY. Destroy when superseded or obsolete. GRS 1/28a(2).
	b.		Labor Arbitration General and Case Files. Correspondence, forms, and background papers re. labor arbitration cases.	TEMPORARY. Destroy 5 years after final resolution of case. GRS 1/28b.
<b>29</b>	<b>TRAINING FILES [1400-410].</b> Confidentiality: Non-public record category 3; Privacy Act System Interior/OS-76. Location: All. Exclusions: Records of formally established schools which train employees in specialized program areas, such as law enforcement and national defense.			
	a.		General Files of the BLM-Sponsored Training. Exclusions: General subject files re. training (Schedule 23/1a), reference copies of training catalogs (Schedule 23/21), and record copy of manuals, syllabuses, textbooks and other training aids developed by the BLM (Schedule 1/29p).	
		(1)	Files re. Establishment and Operation of Training Courses and Conferences. Includes correspondence, memoranda, agreements, authorizations, reports, requirement reviews, plans, and objectives. Forms: SF-182.	TEMPORARY. Destroy when 5 years old or 5 years after completion of a specific training program. GRS 1/29a(1).
		(2)	Background and Working Files.	TEMPORARY. Destroy when 3 years old. GRS 1/29a(2).
	b.		Employee Training - Other Than the BLM. Correspondence, memoranda, reports and other records	TEMPORARY. Destroy when 5 years old or when superseded

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		re. the availability of training and employee participation in training programs sponsored by other government agencies or nongovernment institutions.	or obsolete, whichever is sooner. GRS 1/29b.
	c-o	Reserved	
	p.	Training Aids and Indexes - Record Copies. One record copy of each training aid (and related index) from the originating office. Consists of training manuals, syllabuses, textbooks or other aids developed by the BLM for training purposes. Forms: BLM 1400-87. Exclusions: Audiovisual training aids (Schedule 21/28, 29, 31) and reference copies of training aids and training catalogs (Schedule 23/21). Location: All.	
		(1) Training Aids Relating Specifically to the BLM Policies, Programs, or Activities.	PERMANENT. Cutoff EOFY in which issued. Transfer one copy to FRC 2 years after cutoff. FRC transfers to NARA in 5-year blocks when most recent records are 5 years old (e.g., transfer 1980-84 files in 1990). NARA Job NC1-49-85-2, 1/30a(1).
		(2) Training Aids Relating to General Management and Administrative Activities.	TEMPORARY. Cutoff EOFY in which issued. Transfer one copy to FRC 2 years after cutoff. FRC destroys 15 years after cutoff. NARA Job NC1-49-85-2, 1/30a(2).
<b>30</b>	<b>ADMINISTRATIVE GRIEVANCE, DISCIPLINARY, AND ADVERSE ACTION FILES [1400-750].</b> Confidentiality: Non-public record category 3; Privacy Act System Interior/OS-78. Vital: Legal and financial rights records. Exclusions: Copies of reprimand letters filed in the OPF. Location: WO, Center, SO Personnel Offices.		
	a.	Employee Grievance Files (5 CFR 771). Records re. grievances raised by the BLM employees, except EEO complaints. These case files include statements of witnesses, reports of interviews and hearings, examiner's findings and recommendations, a copy of the original decision, related correspondence and exhibits, and records re. a reconsideration request.	TEMPORARY. Destroy 5 years after case is closed. GRS 1/30a.
	b.	Employee Adverse Action Case Files (5 CFR 752) and Performance-Based Action (5 CFR 432). Case files and records re. adverse actions and performance-based actions (removal, suspension, reduction-in-force, furlough) against employees. The file includes a copy of the proposed adverse action with supporting documents; statements of witnesses; employee's reply; hearing notices, reports and decisions; reversal of action; and appeal records.	TEMPORARY. Destroy 5 years after case closed. GRS 1/30b.
<b>31</b>	<b>PERSONAL INJURY (ACCIDENT) CASE FILES [1400-810].</b> Forms, reports, correspondence, and related medical and investigatory records re. on-the-job injuries, including volunteer-related incidents, whether or not a claim for compensation was made. Forms: DI-134, and reference copies of CA-1, 2-8, 16, 17, 20; OWCP-1500. Confidentiality: Nonpublic record category 3; Privacy Act System Interior/LLM-13. Vital: Legal and financial rights records. Location:		TEMPORARY. Cutoff on termination of compensation or when deadline for filing a claim has passed. Destroy 3 years after cutoff. GRS 1/31.

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	All. Exclusions: Copies in Employee Medical Folder (Schedule 1/21) and copies submitted to Department of Labor; OSHA files (Schedule 1/34); motor vehicle accident files (Schedule 10/5); tort claim files (Schedule 6/10a).	
32	<b>EMPLOYEE MERIT PROMOTION CASE FILES [1400-335].</b> Records re. the promotion of an individual that document qualification standards, evaluation methods, selection procedures, interview records, and evaluations of the candidates. Forms: SF-171, 171a, 172, 2817; BLM 1400-68, 68a, 86, 86a. Confidentiality: Non-public record category 3; Privacy Act System Interior/OS-79. Vital: Legal and financial rights records. Location: WO, Center, SO Personnel Offices.	TEMPORARY. Destroy after OPM audit or 2 years after the personnel action is completed, whichever is sooner. GRS 1/32.
33	<b>EMPLOYMENT EXAMINATION AND CERTIFICATION FILES [1400-337].</b> Delegated agreements and related records created under the authority of 5 USC 1104 between OPM and agencies allowing for the examination and certification of applicants for employment, including interview records. Forms: SF-39, 39A. Confidentiality: Non-public record category 3; Privacy Act System Interior/OS-79. Location: WO, Center, SO Personnel Offices.	
	a. Delegated Agreements.	TEMPORARY. Destroy 3 years after termination of agreement. GRS 1/33a.
	b. Correspondence concerning applications, certification of eligibles, and all other examining and recruiting operations. Such correspondence, includes, but not limited to, correspondence from Congress, White House, and the general public, and correspondence regarding accommodations for holding examinations and shipment of test materials.	TEMPORARY. Cutoff EOFY annually. Destroy 1 year after cutoff. GRS 1/33b.
	c. Correspondence or notices received from eligible indication a change in name, address, or availability	TEMPORARY. Destroy 90 days after updating the appropriate record in the registry or inventory GRS 1/33c
	d. Test Material Stock Control. Stock control records of examination test material including running inventory of test material in stock.	TEMPORARY. Destroy when test is superseded or obsolete. GRS 1/33d.
	e. Application Record Card. Forms: OPM 5000a, or equivalent.	TEMPORARY. Cutoff after examination. Destroy no later than 90 days after cutoff. GRS 1/33e.
	f. Examination Announcement Case Files. Correspondence re. examination requirements, final version of announcement(s) issued, subsequent amendments to announcement(s), public notice documentation, rating schedule, job analysis documentation, record of selective and quality rating factors, rating procedures, transmutation tables, and other documents associated with the job announcement(s) and the development of the register/inventory or case examination (Schedule 1/7a).	TEMPORARY. Cutoff EOFY after termination of related register or inventory or after final action is taken on the certificate generated by case examining procedures. Destroy 2 years after cutoff. GRS 1/33f.
	g. Register of Eligibles. Documenting eligibility of an individual for federal jobs. Forms: OPM 5001c or	TEMPORARY. Cutoff EOFY in which the register of

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		equivalent.	inventory is terminated. Destroy 2 years after cutoff. GRS 1/33g.
	h.	RESERVED	
	i.	Test Answer Sheets. Written test answer sheets for both eligibles and ineligibles. Filed by date of processing.	TEMPORARY. Destroy when 6 months old. GRS 1/33i.
	j.	Lost or Exposed Test Material Case Files. Records showing the circumstances of loss, nature of the recovery action and correction action required.	TEMPORARY. Cutoff annually. Destroy 5 years after cutoff. GRS 1/33j.
	k.	Cancelled and ineligible applications for positions filled from a register or inventory. Such documents include Optional Form (OF) 612,, resumes, supplemental forms, and attachments, whether in hard copy or electronic format.	TEMPORARY. Cutoff EOFY. Destroy 1 year after cutoff. GRS 1/33k
	l.	Eligible applications for positions filled from a register or inventory, including OF 612, resumes, supplemental forms, and attachments, whether in hard copy or electronic format. Forms: SF-59; OPM 648 or equivalent.	TEMPORARY. Cutoff annually. Destroy 1 year after cutoff. GRS 1/33l.
		(1) On active register or inventory.	TEMPORARY. Destroy 90 days after termination of the register or inventory, (except for those applications that may be brought forward to a new register or inventory, if any). GRS 1/33l(1)
		(2) On inactive register or inventory.	TEMPORARY. Cut off annually. Destroy 1 year after cut off. GRS 1/33l(2).
	m.	Ineligible or incomplete applications for positions filled by case examining. Such documents include OF 612, resumes, supplemental forms, whether hard copy or electronic format.	TEMPORARY. Cutoff EOFY. Destroy 2 year after cutoff. GRS 1/33m.
	n.	Eligible applications for positions filled by case examining that either are not referred to the hiring official or are returned to the examining office by the hiring official. Such documents include OF 612, resumes, supplemental forms, and attachments, whether in hard copy or electronic format.	TEMPORARY. Cutoff annually. Destroy 2 years after cutoff. GRS 1/33n.
	o.	Requests for Prior Approval. Of personnel actions taken by agencies on such matters as promotion, transfer, reinstatement, or change in status. Forms: SF-59; OPM 648 or equivalent.	TEMPORARY. Cutoff EOFY. Destroy 1 year after cutoff. GRS 1/33o.
	p.	Certificate Files. All papers upon which the certification was based; The list of eligibles screened for the vacancies, ratings assigned, availability statement, the certificate of eligibles that was issued to the selecting official, the annotated certificate of eligibles that was returned from the selecting official, and other documentation material designated by the examiner for	TEMPORARY. Cutoff EOFY. Destroy 2 years after cutoff. GRS 1/33p.

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		retention. Forms: SF-39, 39a, or equivalent.	
	q.	Certificate Files, including SF 39, SF 39A, or equivalent, and all papers upon which the certification was based: the list of eligibles screened for the vacancies, ratings assigned, availability statements, the certificate of eligibles that was issued to the selecting official, the annotated certificate of eligibles that was returned from the selecting official, and other documentation material designated by the examiner for retention.	TEMPORARY. Cut off annually. Destroy 2 years after cutoff. GRS 1/33q
	r.	Displaced Employee Program (DEP) and Interagency Placement Program (IPP) application and registration sheet.	TEMPORARY. Destroy upon expiration of employee's DEP eligibility. GRS 1/33r
	s.	DEP control cards, if maintained.	TEMPORARY. Cut off annually. Destroy 2 years after cut off. GRS 1/33s
	t.	Reports of audits of delegated examining operations.	TEMPORARY. Destroy 3 years after date of the report. GRS 1/33t
	b.	Unapproved requests.	TEMPORARY. Destroy 1 year after request is rejected. GRS 1/42b.
<b>34</b>	<b>OCCUPATIONAL INJURY AND ILLNESS FILES [1112].</b> Reports and logs maintained as prescribed in 29 CFR 1960 and OSHA Pamphlet 2014 to document all recordable occupational injuries and illnesses for each establishment. Includes volunteer occupational injury and illness reports. Forms: OSHA 100, 101, 102, 200; DI-134, or equivalents. Confidentiality: Non-public record category 3; Privacy Act System Interior/LLM-13. Location: WO, Center, SO Personnel Offices.		
<b>35</b>	<b>HEALTH BENEFITS REQUESTS DENIED UNDER SPOUSE EQUITY [1400-890].</b> Denied eligibility files consisting of applications, court orders, denial letters, appeal letters, and related papers. Confidentiality: Non-public record category 3; Privacy Act System Interior/OS-79. Vital: Legal and financial rights records. Location: All. NOTE: Pursuant to Subchapter S17 of the <u>FEHB Handbook</u> enrollment files of spouses eligible for benefits are transferred to OPM when former spouse cancels the enrollment, when enrollment is terminated by the employing office, or when former spouse begins receiving an annuity payment.		
	a.	Health Benefits Denied - Not Appealed.	TEMPORARY. Destroy 3 years after denial. GRS 1/35a.
	b.	Health Benefits Denied - Appealed to OPM for Reconsideration.	
		(1) Appeal Successful - Benefits Granted.	TEMPORARY. Create enrollment file in accordance with Subchapter S17 of the <u>FEHB Handbook</u> . GRS 1/35b(1).
		(2) Appeal Unsuccessful - Benefits Denied.	TEMPORARY. Destroy 3 years after denial. GRS 1/35b(2).
<b>36</b>	<b>FEDERAL WORKPLACE DRUG TESTING PROGRAM FILES [1400-792].</b> Drug testing program records created under Executive Order 12564 and PL 100-71, Section 503 (101 Stat. 468). Forms: OMB 9999-0023. Confidentiality: Non-public record category 3; Privacy Act System Interior/OS-79. Vital: Legal		

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**Schedule 1 – Civilian Personnel Records**

	and financial rights records. Location: WO, Center, SO Personnel Offices. Exclusions: Disciplinary action case files (Schedule 1/30), consolidated statistical and narrative reports including annual reports to Congress, any records relevant to litigation or disciplinary actions (destroy no earlier than the related litigation or adverse action case file(s)).		
	a.	Drug Test Plans and Procedures. The BLM copies of plans and procedures, with related drafts, correspondence, memoranda, and other records re. development of procedures for drug testing programs, including the determination of testing incumbents in designated positions. Exclusions: Documents filed in record sets of formal issuances (directives, procedural handbooks, operating manuals, and the like) (Schedule 16/1a).	TEMPORARY. Destroy when 3 years old or when superseded, obsolete. GRS 1/36a.
	b.	Employee Acknowledgement of Notice Forms. Forms completed by employees whose positions are designated sensitive for drug testing purposes acknowledging that they have received notice that they may be tested.	TEMPORARY. Destroy when employee separates from testing designated position. GRS 1/36b.
	c.	Drug Test Selection and/or Scheduling Files. Records re. selection of specific employees and/or applicants for testing and the scheduling of tests. Included are lists of selectees, notification letters, and testing schedules.	TEMPORARY. Destroy when 3 years old. GRS 1/36c.
	d.	Drug Test Specimens Collection and Handling Files.	
		(1) Permanent Record Books. Bound books containing identifying data on each specimen, recorded at each collection site in the order in which the specimens were collected.	TEMPORARY. Destroy 3 years after date of last entry. GRS 1/36d(1).
		(2) Chain of Custody Files. Forms and other records used to maintain control and accountability of specimens from the point of collection to the final disposition of the specimen.	TEMPORARY. Destroy when 3 years old. GRS 1/36d(2).
	e.	Drug Test Results. Records documenting individual test results, including reports of testing, notifications of employees/applicants and employing offices, and documents re. follow up testing.	
		(1) Positive results.	
		(a) Employees.	TEMPORARY. Destroy when employee leaves the agency or when 3 years old, whichever is later. GRS 1/36e(1)(a).
		(b) Applicants not accepted for employment.	TEMPORARY. Destroy when 3 years old. GRS 1/36e(1)(b).
		(2) Negative results.	TEMPORARY. Destroy when 3 years old. GRS 1/36e(2).
37	<b>DONATED LEAVE PROGRAM CASE FILES [1400-630].</b> Case files documenting the receipt and donation of leave for medical emergencies, including recipient applications, agency approvals or denials, medical or physician		TEMPORARY. Beginning in January 1994, destroy 1 year after the end of the year in

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	certifications, leave donation records, supervisor/timekeeper approvals, leave transfer records, payroll notification records, and leave program termination records. Forms: OF-630a. Confidentiality: Non-public record category 3; Privacy Act System Interior/OS-85. Vital: Legal and financial rights records. Location: All.	which the file is closed. GRS 1/37.	
<b>38</b>	<b>WAGE SURVEY FILES [1400-530].</b> Wage survey reports and data, background documents and correspondence pertaining to 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. Confidentiality: Non-public record category 3; Privacy Act System Interior/OS-85. Vital: Legal and financial rights records. Exclusions: Authorized wage schedules and wage survey recapitulation sheets. Location: All.	TEMPORARY. Destroy after completion of second succeeding wage survey. GRS 1/38.	
<b>39</b>	<b>RETIREMENT ASSISTANCE FILES [1400-830].</b> Correspondence, memoranda, annuity estimates, and other records used to assist retiring employee or survivors claim insurance or retirement benefits. Confidentiality: Non-public record category 3; Privacy Act System Interior/OS-85. Vital: Legal and financial rights records. Location: All.	TEMPORARY. Destroy when 1 year old. GRS 1/39.	
<b>40</b>	<b>HANDICAPPED INDIVIDUALS APPOINTMENT CASE FILES [1400-302].</b> Case files containing position title and description; fully executed SF-171; medical examiner's report; a brief statement explaining accommodation of impairment; and other documents related to previous appointment, certification, and/or acceptance or refusal, created in accordance with FPM 306-11, subchapter 4-2. Confidentiality: Non-public record category 3; Privacy Act System Interior/OS-79. Vital: Legal and financial rights records. Location: All.	TEMPORARY. Destroy 5 years following the date of approval or disapproval of each case. GRS 1/40.	
<b>41</b>	<b>PAY COMPARABILITY RECORDS [1400-551].</b> 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, and supervisory differentials and casefiles consisting of requests for and approval of recruitment and relocation bonuses and retention allowances. Confidentiality: Non-public record category 3; Privacy Act System Interior/OS-85. Vital: Legal and financial rights records. Location: All.	TEMPORARY. Destroy 3 years following the date of approval or upon completion of the relevant service agreement or allowance, whichever is later. GRS 1/41.	
<b>42</b>	<b>VOLUNTEER PERSONNEL FILES [1114].</b> Documenting the administration and operation of the volunteer program and the activities of individuals or organized groups who voluntarily and without compensation or reimbursement provide personal services to BLM. Authority: FPM 308 and 370 DM 308. Forms: SF-50, 171, 171a, 2817; OF-301; BLM 1114-1, 2, 4, 5, 5a; 1400-109. Confidentiality: Non-public record category 3; Privacy Act System Interior/OS-79. Vital: Legal and financial rights records. Exclusions: Volunteer personal injury files (Schedule 1/31); volunteer-related motor vehicle accident files (Schedule 10/5); volunteer action plans (Schedule 16/19. Location: All.		
	a.	Volunteer Official Personnel Folders. Personnel files as described in FPM 308.7-6d containing volunteer application, services agreement, performance evaluation, certificate of appreciation, correspondence, and related material.	TEMPORARY. Cutoff EOFY in which services are terminated. Destroy 3 years after cutoff. NARA Job N1-49-90-6, 1/41a.
	b.	Volunteer Program Administrative Files. General correspondence, annual reports, and other material documenting the routine administration, internal procedures, and general activities of the volunteer program. Forms: BLM 1114-7.	TEMPORARY. Cutoff EOFY. Destroy 2 years after cutoff. NARA Job N1-49-90-6, 1/41b.
<b>43</b>	<b>FIRE EXPERIENCE AND QUALIFICATIONS FILES [9215].</b> Files which document the qualifications of the BLM personnel to perform jobs associated with the fire management program. Authority: 42 USC 1856a. Confidentiality:	TEMPORARY. Destroy when superseded, obsolete, or no longer needed for	

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	Non-public record category 3; Privacy Act System Interior/OS-76. Vital: Legal and financial rights records. Location: All offices with fire management responsibilities.	administrative or reference purposes. NARA Job N1-49-90-6, 1/43.
<b>44-50</b>	<b>Reserved</b>	
<b>51</b>	<b>ALTERNATIVE WORKSITE RECORDS.</b>	
	a. Approved requests or applications. To participate in an alternative worksite program; agreements between the agency and the employee; and records re. safety of the worksite, the installation and use of equipment, hardware, and software, and the use of secure, classified information or data subject to the Privacy Act.	TEMPORARY. Destroy 1 year after end of employee's participation in the program. GRS 1/42a.
	b. Unapproved requests.	TEMPORARY. Destroy 1 year after request is rejected. GRS 1/42b.
	c. Forms and other Records. Generated by the agency or the participating employee evaluating the alternative worksite program.	TEMPORARY. Destroy when 1 year old, or when no longer needed, whichever is later. GRS 1/42c.
<b>52</b>	<b>ELECTRONIC MAIL AND WORD PROCESSING SYSTEM COPIES.</b> Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.	
	a. Copies that have No Further Administrative Value. After the recordkeeping copy is made. Includes 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.	TEMPORARY. Destroy/Delete within 180 days after the recordkeeping copy has been produced. GRS 1/43a.
	b. Copies Used for Dissemination, Revision, or Updating. That are maintained in addition to the recordkeeping copy.	TEMPORARY. Destroy/Delete when dissemination, revision, or updating is completed. GRS 1/43b.

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## 1220 - RECORDS AND INFORMATION MANAGEMENT

## Subject Code Index

**About the Index . . .** All 43 CFR subject titles (subject codes 1600-9000) have been listed in this index, including those that are "reserved." Subject codes 1000-1500 are not linked to 43 CFR because they are regulated by other agencies. In cases where a BLM Manual Section exists, the Manual title is listed. An asterisk (\*) following the title indicates no BLM Manual Section exists. The contact for assigning and updating these subject codes is the Directives and Information Services Branch.

- |  |   |
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| 1003 - Acting Officials*   |   |
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| 1060 - Occupational & Environmental Safety<br>and Health Management* | 1161 - Compilation*   |
| 1100 - GENERAL ADMINISTRATION*                                       | 1162 - Analysis and Evaluation*   |
| 1102 - Passes and Employee<br>Identification Cards                   | 1163 - Coordination*  |
| 1103 - Uniforms  | 1164 - Publication*   |
| 1110 - Cross Functional Activities<br>Management*                    | 1165 - Public Land Statistics*  |
| 1111 - Fire Business Management                                      | 1170 - Emergency Operations   |
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| 1113 - Official Use of Horses  |   |
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| 1120 - Public Affairs  |   |
| 1140 - Compliance*   |   |

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The 1400 series of the Index is double coded because the Bureau's coding for this subject area is combined with the coding for the Federal Personnel Manual (FPM). The Bureau's code for Personnel Management is 1400; the additional three numbers for each subject represents the FPM code for that subject.

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Grant Programs\*

1400-310 - Employment of Relatives\*

1400-311 - Power of Appointment and  
Removal

**1220 - RECORDS AND INFORMATION MANAGEMENT**

- 1400-312 - Position Management
- 1400-315 - Career and Career-Conditional Employment\*
- 1400-316 - Temporary Employment\*
- 1400-331 - Organization for Recruitment and Examining\*
- 1400-332 - Recruitment and Selection Through Competitive Examination\*
- 1400-333 - Recruitment and Selection for Temporary and Term Appointment Outside the Register\*
- 1400-334 - Temporary Assignment Under Intergovernmental Personnel Act\*
- 1400-335 - Promotion and Internal Placement Plan
- 1400-337 - Examining System\*
- 1400-338 - Qualification Requirements (General)\*
- 1400-339 - Qualification Requirements (Medical)\*
- 1400-340 - Part-Time Employment\*
- 1400-351 - Reduction-in-Force
- 1400-352 - Reemployment Rights\*
- 1400-353 - Restoration to Duty\*
- 1400-361 - Career Intern Program
- 1400-362 - Presidential Management Intern Program\*
- 1400-380 - Upward Mobility Program
- 1400-400 - EMPLOYEE PERFORMANCE AND UTILIZATION\*
- 1400-410 - Training
- 1400-412 - Executive Management and Supervisory Development\*
- 1400-430 - Performance Management System
- 1400-432 - Unacceptable Performance
- 1400-451 - Incentive Awards
- 1400-500 - POSITION CLASSIFICATION, PAY, AND ALLOWANCES\*
- 1400-511 - Classification Under the General Schedule
- 1400-512 - Job Evaluation Under Federal Wage System\*
- 1400-530 - Pay Rates and Systems\*
- 1400-531 - Pay Under the General Schedule
- 1400-532 - Federal Wage System
- 1400-534 - Pay Under Other Systems\*
- 1400-536 - Grade and Pay Retention
- 1400-539 - Conversions Between Pay Systems\*
- 1400-540 - Performance Management and Recognition System\*
- 1400-550 - Pay Administration (General)
- 1400-551 - Fair Labor Standards Act\*
- 1400-571 - Travel and Transportation for Pre-Employment Interviews and Recruitment\*
- 1400-591 - Allowances and Differentials Payable in Nonforeign Areas\*
- 1400-600 - ATTENDANCE AND LEAVE\*
- 1400-610 - Hours of Duty
- 1400-620 - Alternative Work Schedule\*

**1220 - RECORDS AND INFORMATION MANAGEMENT**

- 1400-630 - Absence and Leave
- 1400-700 - PERSONNEL RELATIONS AND SERVICES\*
- 1400-711 - Labor Management Relations\*
- 1400-713 - Equal Employment Opportunity
- 1400-715 - Voluntary Separations and Reduction in Rank or Pay\*
- 1400-720 - Affirmative Employment Program\*
- 1400-731 - Personnel Suitability\*
- 1400-732 - Personnel Security Program\*
- 1400-733 - Political Activity of Federal Employees\*
- 1400-734 - Financial Disclosures Requirements\*
- 1400-735 - Employee Responsibilities and Conduct\*
- 1400-736 - Investigations\*
- 1400-751 - Discipline\*
- 1400-752 - Discipline and Adverse Actions
- 1400-771 - Appeals and Grievances to the Agency
- 1400-772 - Federal Employee Remedial Systems\*
- 1400-792 - Federal Employees Health and Counseling Programs
- 1400-800 - INSURANCE AND ANNUITIES\*
- 1400-810 - Injury Compensation\*
- 1400-831 - Retirement
- 1400-832 - Social Security Retirement, Survivors Insurance, Disability Insurance, and Medicare\*
- 1400-840 - Federal Employees Retirement System\*
- 1400-850 - Unemployment Benefits\*
- 1400-870 - Life Insurance\*
- 1400-890 - Federal Employees Health Benefits\*
- 1400-900 - GENERAL AND MISCELLANEOUS\*
- 1400-910 - Mobilization Readiness\*
- 1400-920 - Senior Executive Service\*
- 1400-931 - Federal Personnel Administration Career\*
- 1400-932 - Motor Vehicle Operator Program (See 1112)\*
- 1400-933 - Qualification Requirements for Specific Positions\*
- 1400-990 - General and Miscellaneous\*

**1220 - RECORDS AND INFORMATION MANAGEMENT****1500 - ADMINISTRATIVE SERVICES**

1510 - Acquisition

H-1510-1 - Purchasing

H-1510-2 - Contracting (General)

H-1510-3 - Contracting for Construction

H-1510-4 - Contracting for Services

H-1510-5 - Contracting for Supplies and  
EquipmentH-1510-6 - Contracting for Studies, Analyses,  
Inventories and Surveys

H-1510-7 - Contracting for ADP

1511 - Assistance Agreements

H-1511-1 - Assistance Agreements

1514 - Unsolicited Proposals

1515 - Indian Self-Determination/  
Self Governance

1520 - Personal Property Management

1521 - Receiving and Identification

H-1521-1 - Receiving and Identification

1522 - Personal Property Accountability

H-1522-1 - Personal Property Accountability  
Handbook

1523 - Inventory and Warehouse Management

H-1523-1 - Inventory and Warehouse Management

1524 - Loss, Damage, or Theft

H-1524-1 - Loss, Damage, or Theft

1525 - Fleet Management

H-1525-1 - Fleet Management

H-1525-2 - Automated Fleet Management System

1526 - Equipment Rental and Loan

1527 - Disposal

1528 - Automated Personal Property System

H-1528-1 - Automated Personal Property System

1529 - Acquisition of Excess Personal  
Property

1530 - Real Property Management

1531 - Acquisition

1532 - Accountability and Utilization

1533 - Disposal

1534 - Quarters and Housing Management

H-1534-1 - Quarters and Housing Management

1535 - Space Management

H-1535-1 - Space Management Handbook

1536 - Display of Flags\*

1540 - Office Services\*

1541 - Correspondence Preparation

H-1541-1 - Correspondence Preparation

1542 - Mail Management

1543 - Communications (See 1290)\*

1544 - Word Processing\*

1545 - Transportation of Freight\*

1550 - Printing, Duplicating, Copying and  
Graphic Arts

**1220 - RECORDS AND INFORMATION MANAGEMENT**

**1551 - Printing**

**1552 - In-House Printing and Reprographic  
Equipment and Services**

**1553 - Graphic Arts**

**1554 - Distribution and Sale of Printed  
Materials**

**1555 - Publication Indexing System**

**1556 - Printed Materials Distribution**

**1557 - Technical Publications System\***

**1220 - RECORDS AND INFORMATION MANAGEMENT**

- 1600 - PLANNING, PROGRAMMING, AND BUDGETING\***
- 1601 - Bureau Planning System
- 1602 - Plan Documentation and Records
- 1610 - Resource Management Planning\*
- 1611 - Resource Management Planning Guidance
- 1612 - Social and Economic Guidance for Resource Management Planning
- 1613 - Areas of Critical Environmental Concern
- 1614 - Public Participation in Planning
- 1615 - Coordination and Consistency
- 1616 - Prescribed Resource Management Planning Actions
- 1617 - Resource Management Plan Approval, Use, and Modification
- 1618 - Transition to Resource Management Plans
- 1619 - Activity Plan Coordination
- 1620 - Supplemental Program Guidance
- 1621 - Supplemental Program Guidance for Environmental Factors
- 1622 - Supplemental Program Guidance for Renewable Resources
- 1623 - Supplemental Program Guidance for Land Resources
- 1624 - Supplemental Program Guidance for Energy and Mineral Resources
- H-1624-1 - Planning for Fluid Mineral Resources
- 1625 - Supplemental Program Guidance for Support Services
- H-1625-1 - Resource Management Planning Handbook - Fire Management
- 1630 - Managing the Planning System\*
- 1631 - Program Management
- 1632 - Programs Reports
- 1633 - Administrative and Judicial Mandates\*
- 1634 - Planning Data and Information Base\*
- 1635 - Computer Assistance in Planning\*
- 1636 - Regional Studies\*
- 1637 - Special Plans or Studies Required by Congress\*
- 1670 - Budget Development\*
- 1671 - Strategic Budget Plan\* (formerly Program Year Budget Plan)
- 1672 - Budget Estimates\*
- 1673 - Budget Justifications\*
- 1674 - Budget Hearings and Transcripts\*
- 1675 - Amendments and Supplementals\*
- 1676 - Appropriations Acts and Congressional Directives\*
- 1680 - Budget Execution\*
- 1681 - Annual Work Plan - Operating Budget
- H-1681-1 - Annual Work Plan Handbook
- 1682 - Unit Accomplishment Reporting\*
- 1683 - Ceilings and Limitations\*

**1220 - RECORDS AND INFORMATION MANAGEMENT**

1684 - Fund Coding System

H-1684-1 - Fund Coding Handbook

1690 - Budget Administration\*

1691 - Appropriations and Allotments\*

1692 - Management Reports\*

1693 - Budget Execution Reports\*

1694 - Special Reports\*

**1220 - RECORDS AND INFORMATION MANAGEMENT**

- 1700 - PROGRAM MANAGEMENT\***
- 1701 - Organization and History\*
  - 1702 - Research Management and Liaison
  - H-1702-1 - Research Management and Liaison
  - 1703 - Hazardous Materials Management\*
  - 1710 - Management by Objectives
  - 1720 - Programs and Objectives\*
  - 1721 - Youth Conservation Corps Program\*
  - 1722 - Young Adult Conservation Corps Program\*
  - 1725 - Program Policy\*
  - 1730 - Integrated Resource Management\*
  - 1731 - Integrated Resource Data\*
  - 1733 - Water-Oriented Planning\*
  - 1734 - Inventory and Monitoring Coordination
  - 1735 - Renewable Resource Monitoring\*
  - 1736 - Biodiversity/Ecosystem Management\*
  - 1737 - Riparian-Wetland Area Management
  - 1738 - Coastal Zone Management
  - 1740 - Renewable Resource Improvements and Treatments
  - H-1740-1 - Renewable Resource Improvement and Treatment Guidelines and Procedure
  - 1741 - Renewable Resource Improvements, Practices, and Standards
  - H-1741-1 - Fencing
  - H-1741-2 - Water Developments
  - 1742 - Emergency Fire Rehabilitation
  - H-1742-1 - Emergency Fire Rehabilitation
  - 1743 - Renewable Resource Investment Analysis
  - H-1743-1 - Resource Investment Analysis
  - 1744 - Job Documentation Reporting System\*
  - 1745 - Introduction, Transplant, Augmentation, and Reestablishment of Fish, Wildlife and Plants
  - 1750 - Legislation\*
  - 1751 - Legislative Reports and Proposals
  - 1752 - Legislative Drafting Service
  - 1753 - Implementation of New Legislation
  - 1760 - Regulations\*
  - 1761 - Proposing Regulations
  - 1770 - International Cooperation
  - 1771 - Technical Assistance\*
  - 1772 - Training and Consultation\*
  - 1773 - International Meetings and Conferences\*
  - 1774 - International Travel
  - 1775 - International Committees\*
  - 1776 - International Agreements\*
  - 1777 - Compliance with United States Foreign Policy
  - 1778 - International Studies\*
  - 1779 - International Organizations\*

**1220 - RECORDS AND INFORMATION MANAGEMENT**

**1900 - 1999 (UNASSIGNED)**

**1220 - RECORDS AND INFORMATION MANAGEMENT**

**2000 - LAND RESOURCE MANAGEMENT\***

2010 - Coordination\*

2020 - Lands Resource Inventory\*

2050 - Lands Activity Plans\*

2060 - Lands Examination, Investigations,  
and Reports\*

2063 - Land Reports\*

2064 - Administration of Land Use  
Authorizations (Compliance)\*

2070 - Designation of Areas and Sites

2071 - Type and Effect of Designations\*

2072 - Procedures\*

2090 - Special Laws and Rules\*

2091 - Segregation of Lands

2093 - Minerals (Nonmineral Entries on  
Mineral Lands)

2094 - Special Resource Values; Shore  
Space\*

2096 - Veterans\*

2097 - Opening Orders

**1220 - RECORDS AND INFORMATION MANAGEMENT**

**2100 - ACQUISITION**

2101 - Acquisition Management

H-2101-1 - Acquisition Processing

H-2101-2 - Condemnation

H-2101-3 - Disposal of Unneeded Easements

2110 - Gifts\*

2111 - Procedures\*

2120 - Leases\*

2121 - Procedures\*

2130 - Acquisition of Lands or Interests in  
Lands by Purchase or Condemnation\*

2131 - Completion of Deeds\*

2132 - Title, Evidence, Clearance, and  
Opinion\*

2133 - Negotiations\*

2134 - Recordation\*

2135 - Inspection and Possession\*

2136 - Payment of Consideration\*

2137 - Condemnation of Lands or  
Interests in Lands\*

2140 - Acquired Lands

**1220 - RECORDS AND INFORMATION MANAGEMENT**

**2200 - EXCHANGE OF PUBLIC LANDS**

H-2200-1 - Exchange of Public Lands

2201 - Exchanges: Specific Requirements\*

2202 - Exchanges: National Forest Exchange\*

2203 - Exchanges Involving Fee Federal Coal  
Deposits\*

2210 - State Exchanges\*

2212 - Miscellaneous State Exchanges\*

2240 - National Park System Exchanges

2250 - Wildlife Refuge Exchanges

2270 - Miscellaneous Exchanges\*

2271 - Indian Reservation Exchanges

2272 - Reclamation Exchanges

2273 - National Wild and Scenic Rivers  
System: National Trails System  
Exchanges

2274 - National Conservation Area Exchanges

2275 - Alaska Native Claims Settlement Act  
(ANCSA)\*

**1220 - RECORDS AND INFORMATION MANAGEMENT**

**2300 - WITHDRAWALS\***

2310 - Withdrawals, General Procedure\*

2320 - Federal Energy Regulatory Commission  
Withdrawals\*

2340 - Federal Power Commissions\*

2344 - Federal Power Commission

2345 - Procedures\*

2355 - Withdrawal Review

2360 - National Petroleum Reserve  
in Alaska\*

2361 - Management and Protection of The  
National Petroleum Reserve in  
Alaska\*

2370 - Restorations and Revocations\*

2371 - Petition for Revocations

2372 - Procedures

2374 - Acceptance of Jurisdiction by BLM\*

**1220 - RECORDS AND INFORMATION MANAGEMENT**

**2400 - LAND CLASSIFICATION\***

2410 - Land Classification - General

2420 - Multiple-Use Management  
Classifications\*

2430 - Criteria for Disposal  
Classifications\*

2440 - Criteria for Classification\*

2450 - Petition-Application Classification  
Procedure

2451 - Petition-Applications and Bureau-  
Initiated Classifications

2460 - Bureau Initiated Classification  
System\*

2461 - Multiple-Use Classification  
Procedures\*

2462 - Disposal Classification  
Procedures - Over 2,560  
Acres\*

2470 - Opening and Allowance\*

## 1220 - RECORDS AND INFORMATION MANAGEMENT

**2500 - DISPOSITION: OCCUPANCY AND USE\***

2510 - Homesteads\*

2511 - Original Homesteads\*

2512 - Additional Entries\*

2513 - Second Entries\*

2520 - Desert Land Entries

2521 - Procedures\*

2522 - Extension of Time to Make Final Proof\*

2523 - Payments\*

2524 - Desert Land Entries Within A Reclamation Project\*

2530 - Indian Allotments\*

2531 - Applications\*

2532 - Allotments\*

2533 - Allotments Within National Forests\*

2540 - Color-of-Title Grants

2541 - Color-of-Title Act\*

2542 - Color-of-Title Claims, New Mexico, Contiguous to Spanish or Mexican Grants\*

2543 - Erroneously Meandered Lands, Arkansas

2544 - Erroneously Meandered Lands, Louisiana

2545 - Erroneously Meandered Lands, Wisconsin

2546 - Snake River, Idaho, Omitted Lands\*

2547 - Omitted Lands: General\*

2550 - Mining Claim Occupancy Act\*

2560 - Alaska Occupancy and Use\*

2561 - Native Allotments\*

2562 - Trade and Manufacturing Sites\*

2563 - Homesites or Headquarters

2564 - Native Townsites\*

2565 - Non-Native Townsites\*

2566 - Alaska Railroad Townsites\*

2567 - Alaska Homestead Settlement

**1220 - RECORDS AND INFORMATION MANAGEMENT**

**2600 - DISPOSITION: GRANTS\***

2610 - Carey Act Grants\*

2611 - Segregation Under The Carey Act -  
Procedures\*

2612 - Issuance of Patents\*

2613 - Preference Right Upon Restoration\*

2620 - State Grants\*

2621 - Indemnity Selections

2622 - Quantity and Special Grant Selections\*

2623 - School Land Grants to Certain States  
Extended to Include Mineral Sections\*

2624 - Patents for Granted School Sections\*

2625 - Swamplands Grants

2626 - Carey Act

2627 - Alaska

2630 - Railroad Grants

2631 - Patents for Lands Sold by Railroad Carriers  
(Transportation Act of 1940)\*

2640 - Airport Patents

2641 - Procedures\*

2650 - Alaska Native Selections\*

2651 - Village Selections\*

2652 - Regional Selections\*

2653 - Miscellaneous Selections\*

2654 - Native Reserves\*

2655 - Federal Installations\*

**1220 - RECORDS AND INFORMATION MANAGEMENT**

**2700 - DISPOSITION: SALES\***

2710 - Public Sales

2711 - Public Sales Procedures

2720 - Conveyance of Federally-Owned  
Mineral Interests\*

2740 - Recreation and Public Purposes Act

H-2740-1 - Recreation and Public Purposes

2741 - R&PP: Requirements\*

2742 - R&PP Act: Omitted Lands and  
Unsurveyed Islands\*

2743 - R&PP Act: Solid Waste Disposal\*

2760 - Townsites\*

2761-63 - (Reserved)

2764 - Reclamation Projects\*

2765 - Grant of Lands in Reclamation  
Townsites for School Purposes\*

2780 - Special Areas\*

2781 - Choctaw-Chickasaw\*

2783 - State Irrigation Districts\*

2784 - Arkansas Drainage\*

**1220 - RECORDS AND INFORMATION MANAGEMENT**

**2800 - RIGHTS-OF-WAY**

2801 - Rights-of-Way Management

H-2801-1 - Right-of-Way Plans of Development  
and Grants

H-2801-2 - Administration of Rights-of-Way  
Granted (Compliance)

H-2801-3 - Rights-of-Way Bonds and Bonding  
Procedures

2802 - Applications\*

2803 - Administration of Rights Granted\*

2804 - Appeals\*

2805 - Federal Agencies

2806 - Designation of Right-of-Way Corridors\*

2807 - Reservation to Federal Agencies\*

2808 - Reimbursement of Costs\*

2810 - Tramroads and Logging Roads\*

2812 - Over O & C and Coos Bay Revested  
Lands\*

2850 - Power Sites and Transmissions Lines

2851 - Prevention of Raptor Electrocutation  
on Powerlines

2860 - Communications

H-2860-1 - Communication Site Right-of-Way  
Management

2880 - Oil and Natural Gas Pipelines

2881 - Terms and Conditions of Right-  
of-Way Grants and Temporary  
Use Permits\*

2882 - Applications\*

**1220 - RECORDS AND INFORMATION MANAGEMENT**

**2900 - USE: LEASES AND PERMITS\***

2910 - Leases\*

2911 - Airport Leases

2912 - Recreation and Public Purposes Act\*

2913 - Small Tract Act\*

2914 - Mining Claim Occupancy Act\*

2916 - Alaska Fur Farm\*

2920 - Leases, Permits, and Easements

## 1220 - RECORDS AND INFORMATION MANAGEMENT

## 1300 - FISCAL ACCOUNTING

1301 - Accounting Principles and Standards

1302 - Relationship to Treasury Department\*

1303 - Relationship to Office of Management  
and Budget\*1304 - Relationship to General Accounting  
Office\*

1305 - Relationship to Other Agencies\*

1306 - Audit Followup\*

1307 - Management Control Systems

H-1307-1 - Internal Control Systems Handbook

1310 - General and Allotment Ledger Accounting

1311 - General Ledger Accounting Control

1312 - Appropriation and Allotment Accounting

1313 - Audit Followup\*

1314 - Document Processing and Control

1315 - Working Capital Fund

1317 - Distribution of Receipts\*

1318 - Internal Financial Reports\*

1319 - External Financial Reports\*

1320 - Cost Accounting\*

1321 - General Concepts\*

1322 - Road Construction Costs\*

1323 - Cost Recovery for Reimbursable  
Projects/Activities

1324 - Reimbursable Projects\*

1325 - Other Project Accounting\*

1330 - Financial Reporting\*

1331 - District, Land and State Office  
Reports (See 1321)\*

1332 - Cash Accountability\*

1333 - Employee Overpayments

1334 - Interagency Transfers and Returns\*

1340 - Payroll Procedures\*

1341 - Time, Attendance, and Leave  
Reporting

1342 - Severance Pay\*

1343 - Distribution of Paychecks

1344 - Payroll Earnings\*

1345 - Payroll Deductions

1346 - Emergency Employees\*

1347 - Temporary Employees\*

1348 - Unemployment Compensation  
Procedures\*

1349 - Missing Employees\*

1360 - Service Center and Field Office  
Fiscal Procedures\*1368 - Concession Contract and Permit  
Procedures

1370 - Receipts and Disbursements\*

1371 - Billings

1372 - Collections

1373 - Distribution of Receipts

1374 - Refunds, Transfers, and Returns

1375 - Delinquent Accounts

## 1220 - RECORDS AND INFORMATION MANAGEMENT

**3000 - MINERALS MANAGEMENT**

3003 - Competitive Bidding\*

3010 - Coordination\*

3020 - Classification of Federal Lands\*

3021 - Lands Prospectively Valuable  
for Leasable Minerals

3022 - Known Geologic Areas\*

3023 - Known Geothermal Resource Areas  
(KGRA)\*3024 - Known Recoverable Coal Resource Area  
(KRCRA)\*

3025 - Known Leasing Area (KLA)\*

3030 - Geology, Energy and Mineral (GEM)  
Resource Assessment\*

3031 - Energy and Mineral Resource Assessment

3032 - Geology and Paleontology\*

3033 - Geologic Hazards\*

3034 - Ground Water Assessment\*

3040 - Exploration Activity\*

3041 - Surface Management\*

3042 - Land Reclamation

H-3042-1 - Solid Mineral Reclamation

3044 - Safety\*

3045 - Geophysical Exploration, Oil and Gas\*

3046 - Hazardous Materials\*

3060 - Mineral Reports -- Preparation and  
Review

3070 - Mineral Economic Evaluation

H-3070-1 - Economic Evaluation of Coal  
Properties

3071 - Oil and Gas\*

3072 - Geothermal\*

3073 - Coal\*

3074 - Non-energy Solid Leasable Minerals\*

3075 - Mineral Material\*

3076 - Other Leasable Minerals\*

3090 - Minerals Research\*

3091 - Special Studies\*

3092 - Geologic Studies\*

## 1220 - RECORDS AND INFORMATION MANAGEMENT

**3100 - OIL AND GAS LEASING**

H-3100-1 - Oil and Gas Leasing

3101 - Issuance of Leases

H-3101-1 - Issuance of Leases

3102 - Qualifications of Lessees

H-3102-1 - Qualifications of Lessees

3103 - Fees, Rentals and Royalty

H-3103-1 - Fees, Rentals and Royalty

3104 - Bonds

H-3104-1 - Bonds

3105 - Cooperative Conservation Provisions

H-3105-1 - Cooperative Conservation Provisions

3106 - Assignments and Other Transfers

H-3106-1 - Assignments and Other Transfers

3107 - Continuation, Extension or Renewal  
of Leases

H-3107-1 - Continuation, Extension or Renewal

3108 - Relinquishments, Terminations, and  
CancellationsH-3108-1 - Relinquishments, Terminations, and  
Cancellations

3109 - Leasing Under Special Acts

H-3109-1 - Leasing Under Special Acts

3110 - Noncompetitive Leases

H-3110-1 - Noncompetitive Leases

3111 - Over-the-Counter Offers

H-3111-1 - Over-the-Counter Offers

3112 - Simultaneous Filing

H-3112-1 - Simultaneous Filing

3120 - Competitive Leases

H-3120-1 - Competitive Leases

3130 - Oil and Gas Leasing: National  
Petroleum Reserve, Alaska\*

3131 - Leasing Program\*

3132 - Issuance of Leases\*

3133 - Rentals and Royalties\*

3134 - Bonding\*

3135 - Transfers, Extensions and Consolidations\*

3136 - Relinquishments, Terminations, and  
Cancellations of Leases\*

3140 - Combined Hydrocarbon Leasing\*

3141 - Competitive Leasing in Special  
Tar Sand Areas\*

3142 - Paying Quantities/Diligent Development\*

3150 - Onshore Oil and Gas Geophysical  
Exploration (See 3045)\*

3151 - Exploration Outside of Alaska\*

3152 - Exploration in Alaska\*

3153 - Exploration of Lands Under the Jurisdiction  
of the Department of Defense\*

3154 - Bond Requirements\*

3160 - Onshore Oil and Gas Operations\*

3160-1 - Application for Permit to Drill  
and Subsequent Operations

**1220 - RECORDS AND INFORMATION MANAGEMENT**

- H-3160-1 - Technical and Environmental Considerations
- 3160-2 - Drainage Protection
- H-3160-2 - Drainage Protection
- 3160-3 - First Production/Discovery Reports
- 3160-4 - Conversion to Water Well
- 3160-5 - National Oil & Gas Inspection and Enforcement Strategy\*
- 3160-7 - Oil and Gas Inspector Identification Cards
- 3160-9 - Communitization
- 3160-10 - Suspension of Operations and/or Production
- 3160-11 - Underground Storage of Natural Gas
- 3160-16 - Indian Diligent Development
- 3161 - Jurisdiction and Responsibility\*
- 3162 - Requirements for Operating Rights Owners and Operators\*
- 3163 - Noncompliance, Assessments, and Penalties\*
- 3164 - Special Provisions\*
- 3165 - Relief, Conflicts, and Appeals\*
- 3180 - Unitization (Exploratory)
- H-3180-1 - Unitization (Exploratory)
- 3181 - Application for Unit Agreement\*
- 3182 - Qualifications of Unit Operator\*
- 3183 - Filing and Approval of Documents\*
- 3184 - (Reserved)
- 3185 - Appeals\*
- 3186 - Model Forms\*
- 3190 - Delegation of Authority, Cooperative Agreements and Contracts for Oil and Gas Inspection\*
- 3191 - Delegation of Authority\*
- 3192 - Cooperative Agreements with States and Tribes\*

## 1220 - RECORDS AND INFORMATION MANAGEMENT

**3200 - GEOTHERMAL RESOURCES  
LEASING**

H-3200-1 - Geothermal Resources Leasing

3201 - Available Lands; Limitations;  
Unit Agreements; Lease IssuanceH-3201-1 - Available Lands; Limitations; Unit  
Agreements; Lease Issuance

3202 - Qualifications of Lessees

H-3202-1 - Qualifications of Lessees

3203 - Leasing Terms

H-3203-1 - Leasing Terms

3204 - Surface Management Requirements;  
Special Requirements\*

3205 - Fees, Rentals, and Royalties

H-3205-1 - Fees, Rentals, and Royalties

3206 - Lease Bonds

H-3206-1 - Lease Bonds

3207 - Leases for a Fractional or Future Interest

3208 - (Reserved)

3209 - Geothermal Resources Exploration  
Operations\*

3210 - Noncompetitive Leases

H-3210-1 - Noncompetitive Leases

3220 - Competitive Leases

H-3220-1 - Competitive Leases

3240 - Rules Governing Leases\*

3241 - Transfers

H-3241-1 - Transfers

3242 - Production and Use of Byproducts\*

3243 - Cooperative Conservation Provisions\*

3244 - Terminations and Expirations

H-3244-1 - Terminations and Expirations

3250 - Utilization of Geothermal Resources\*

3260 - Geothermal Resource Operations\*

3261 - Jurisdiction and Responsibility\*

3262 - Requirements for Operating Rights  
Owners and Operators\*

3263 - Measurement of Production\*

3264 - Reports to be Made by All Lessees\*

3265 - Procedure in Case of Violation of  
the Regulations or Lease Terms\*

3266 - Appeals\*

3280 - Geothermal Resources Unit Agreements\*

3281 - Application for Unit Agreement\*

3282 - Qualification of Unit Operator\*

3283 - Filing and Approval of Documents\*

3284 - (Reserved)

3285 - Appeals\*

3286 - Model Forms\*

## 1220 - RECORDS AND INFORMATION MANAGEMENT

**3400 - COAL MANAGEMENT**

3410 - Exploration Licenses

3420 - Competitive Leasing

H-3420-1 - Competitive Coal Leasing

3422 - Lease Sales\*

3425 - Leasing on Application\*

3427 - Split Estate Leasing\*

3430 - Preference Right Leases

H-3430-1 - Procedures for Processing Coal  
Preference Right Lease Applications3431 - Negotiated Sales - Right-of-Way  
(Coal)\*

3432 - Lease Modifications

3435 - Lease Exchange

3436 - Coal Lease and Coal Land Exchanges--  
Alluvial Valley Floor

3440 - Licenses to Mine\*

3450 - Management of Existing Leases

3451 - Continuation of Leases: Readjustment  
of Terms3452 - Relinquishment, Cancellation, and  
Termination3453 - Transfers by Assignment, Sublease, or  
Otherwise

3460 - Environment\*

3461 - Federal Lands Review--  
Unsuitability for Mining\*

3465 - Surface Management and Protection\*

3470 - Coal Management Provisions and  
Limitations\*3471 - Coal Management Provisions and  
Limitations\*

3472 - Lease Qualification Requirements\*

3473 - Fees, Rentals, and Royalties\*

3474 - Bonds

3475 - Lease Terms\*

3480 - Coal Exploration and Mining  
Operations Rules\*

3481 - General Provisions\*

3482 - Exploration and Resource Recovery and  
Protection Plans\*3482-2 - Mining Plans for Coal Operations  
on Indian Lands

3483 - Diligence Requirements

3484 - Performance Standards\*

3485 - Reports, Royalties, and Records

3486 - Inspection and Enforcement, Production  
Verification, and Appeals

3487 - Logical Mining Unit

## 1220 - RECORDS AND INFORMATION MANAGEMENT

**3500 - LEASING OF SOLID MINERALS  
OTHER THAN COAL AND OIL  
SHALE**

3501 - Descriptions and Acreage

3502 - Qualification Requirements

3503 - Fees, Rentals, and Royalties

3504 - Bonds

3506 - Assignments and Subleases

3507 - Fractional and Future Interest  
Permits and Leases

3508 - Mineral Lease Exchange

3509 - Relinquishment, Termination,  
Expiration, and Cancellation

3510 - Phosphate Leasing

H-3510-1 - Phosphate Leasing Handbook

3511 - Lease Terms and Conditions

3512 - Phosphate Prospecting Permits

3513 - Preference Right Lease

3514 - Exploration License

3515 - Competitive Leasing

3516 - Noncompetitive Leasing - Fringe Acreage  
Leases and Lease Modifications

3517 - Use Permits

3520 - Sodium Leasing

3521 - Lease Terms and Conditions

3522 - Sodium Prospecting Permits

3523 - Preference Right Lease

3524 - Exploration License

3525 - Competitive Leasing

3526 - Noncompetitive Leasing - Fringe Acreage  
Leases and Lease Modifications

3527 - Use Permits

3528 - Lease Renewals

3530 - Potassium Leasing

3531 - Lease Terms and Conditions

3532 - Potassium Prospecting Permits

3533 - Preference Right Lease

3534 - Exploration License

3535 - Competitive Leasing

3536 - Noncompetitive Leasing - Fringe Acreage  
Leases and Lease Modifications

3540 - Sulphur Leasing

3541 - Lease Terms and Conditions

3542 - Sulphur Prospecting Permits

3543 - Preference Right Lease

3544 - Exploration License

3545 - Competitive Leasing

3546 - Noncompetitive Leasing - Fringe Acreage  
Leases and Lease Modifications

3547 - Lease Renewals

3550 - Gilsonite Leasing

3551 - Lease Terms and Conditions

3552 - Gilsonite Prospecting Permits

3553 - Preference Right Lease

3554 - Exploration License

**1220 - RECORDS AND INFORMATION MANAGEMENT**

- 3555 - Competitive Leasing
- 3556 - Noncompetitive Leasing - Fringe Acreage Leases and Lease Modifications
- 3560 - Hardrock Minerals Leasing
- 3561 - Lease Terms and Conditions
- 3562 - Hardrock Minerals Prospecting Permits
- 3563 - Preference Right Lease
- 3564 - Competitive Leasing
- 3565 - Noncompetitive Leasing - Fringe Acreage Leases and Lease Modifications
- 3566 - Lease Renewals
- 3567 - Development Contracts
- 3568 - Whiskeytown-Shasta-Trinity National Recreation Area\*
- 3570 - Asphalt in Oklahoma
- 3571 - Lease Terms and Conditions
- 3572 - Maps and Plans\*
- 3573 - Bore Holes and Samples\*
- 3574 - Competitive Leasing
- 3575 - Noncompetitive Leasing: Fringe Acreage Leases and Lease Modifications
- 3576 - Lease Renewals
- 3577 - Production Records and Audits\*
- 3578 - Inspection, Issuance of Orders, and Enforcement of Orders\*
- 3579 - Late Payment or Underpayment of Charges\*
- 3580 - Special Leasing Areas\*
- 3581 - Gold, Silver, or Quicksilver in Confirmed Private Land Grants\*
- 3582 - National Park Service Areas\*
- 3583 - Shasta and Trinity Units of The Whiskeytown-Shasta-Trinity National Recreation Area\*
- 3584 - Reserved Minerals in Lands Patented to The State of California for Park or Other Public Purposes\*
- 3585 - White Mountains National Recreation Area, Alaska\*
- 3586 - Sand and Gravel in Nevada\*
- 3590 - Solid Mineral (Other Than Coal) Exploration and Mining Operations\*
- 3591 - General Obligations of Lessees, Licensees, and Permittees\*
- 3592 - Plans and Maps\*
- 3592-2 - Mining Plans for Noncoal Operations on Indian Lands
- 3593 - Bore Holes and Samples\*
- 3594 - Mining Methods\*
- 3595 - Protection Against Mining Hazards\*
- 3596 - Waste From Mining or Milling\*
- 3597 - Production Records\*
- 3598 - Inspection and Enforcement Production Verification, and Appeals
- 3599 - Late Payment or Underpayment of Charges\*

**1220 - RECORDS AND INFORMATION MANAGEMENT**

**3600 - MINERAL MATERIALS DISPOSAL**

H-3600-1 - Mineral Materials Disposal Handbook

3601 - Limitations\*

3602 - Disposal of Mineral Materials\*

3603 - Unauthorized Use\*

3604 - Community Pits and Common Use Areas\*

3610 - Mineral Material Sales\*

3620 - Free Use\*

3621 - Free Use: General\*

3622 - Free Use of Petrified Wood\*

3630 - Mineral Material Appraisal

H-3630-1 - Mineral Material Appraisal Handbook

1220 - RECORDS AND INFORMATION MANAGEMENT

3700 - MULTIPLE USE; MINING\*

3746 - Fissionable Source Materials\*

3710 - Public Law 167; Act of July 23, 1955\*

3711 - Common Varieties\*

3712 - Proceedings Under the Act\*

3713 - Hearings\*

3714 - Rights of Mining Claimants\*

3720 - Public Law 357; Entry and Location of  
Source Material Upon Public Lands  
Valuable for Coal\*

3722 - Report to Geological Survey\*

3730 - Public Law 359; Mining in Powersite  
Withdrawals\*

3731 - Power Rights\*

3732 - Withdrawals Other Than for Powersite  
Purposes\*

3733 - Risk of Operation\*

3734 - Location and Assessment Work\*

3735 - Prior Existing Mining Locations\*

3736 - Mining Operations\*

3737 - Use\*

3738 - Surface Protection Requirements\*

3740 - Public Law 585; Multiple Mineral  
Development\*

3741 - Claims, Locations and Patents\*

3742 - Procedures Under The Act\*

3743 - Hearings\*

3744 - Claimant's Rights\*

3745 - Helium\*

## 1220 - RECORDS AND INFORMATION MANAGEMENT

**3800 - MINING CLAIMS UNDER THE  
GENERAL MINING LAWS**

- |   |   |
|---|---|
| 3802 - Exploration and Mining, Wilderness Review Program*                                     | 3833 - Recordation of Mining Claims                   |
| 3809 - Surface Management   | 3840 - Types of Claims*                               |
| 3810 - Lands and Minerals Subject to Location*  | 3841 - Lode Claims*                                   |
| 3811 - Lands Subject to Location and Purchase*  | 3842 - Placer Claims*                                 |
| 3812 - Minerals Under The Mining Laws*  | 3843 - Tunnel Sites*                                  |
| 3813 - Disposal of Reserved Minerals Under The Act of July 17, 1914*                          | 3844 - Millsites*                                     |
| 3814 - Disposal of Reserved Minerals Under The Stockraising Homestead Act                     | 3850 - Assessment Work*                               |
| 3815 - Mineral Locations in Stock Driveway Withdrawals*                                       | 3851 - Assessment Work, General*                      |
| 3816 - Mineral Locations in Reclamation Withdrawals*  | 3852 - Deferment of Assessment Work                   |
| 3820 - Areas Subject to Special Mining Laws*  | 3853 - Mineral Leasing Acreage Control Records System |
| 3821 - O and C Lands*   | 3860 - Mineral Patent Applications                    |
| 3822 - Lands Patented Under The Alaska Public Sale Act*                                       | H-3860-1 - Mineral Patent Application Processing      |
| 3823 - Prospecting, Mineral Locations, and Mineral Patents Within National Forest Wilderness* | 3861 - Surveys and Plats                              |
| 3824 - City of Prescott, Arizona, Watershed*  | 3862 - Lode Mining Claim Patent Applications          |
| 3825 - Papago Indian Reservation, Arizona*  | 3863 - Placer Mining Claim Patent Applications        |
| 3826 - National Park Service Areas*   | 3864 - Mill Site Patent                               |
| 3827 - King Range National Conservation Area*   | 3870 - Adverse Claims, Protests, and Conflicts*       |
| 3830 - Location of Mining Claims  | 3871 - Adverse Claims                                 |
| 3831 - Rights to Mineral Lands*   | 3872 - Protests, Contests, and Conflicts              |
| 3832 - Who May Make Locations*  | 3873 - Segregation*                                   |
|   | 3890 - Mineral Investigations                         |
|   | H-3890-1 - Handbook for Mineral Examiners             |
|   | 3891 - Validity Examinations                          |
|   | 3893 - Residential Occupancy on Mining Claims         |
|   | 3894 - Mineral Contest Proceedings                    |

**1220 - RECORDS AND INFORMATION MANAGEMENT**

**3896 - Appraisal of Locatable Mineral Estates\***

**3898 - Special Mining Acts\***

**1220 - RECORDS AND INFORMATION MANAGEMENT**

**3900 - OIL SHALE MANAGEMENT\***

3901 - Qualifications of Lessees\*

3910 - Exploration Licenses\*

3920 - Competitive Leasing\*

3921 - Prelease Sale Activities\*

3922 - Lease Activities\*

3923 - Required Payments\*

3924 - Multimineral Leasing\*

3930 - Post-Lease Activities\*

3931 - Mine Plan Review and Approval\*

3932 - Lease Modifications and Readjustments\*

3933 - Transfers\*

3934 - Suspension of Lease Operations and  
Cancellation\*

3950 - Special Investigations, Multiple Use

3951 - Validity Examination - Public Law 167

3953 - Public Law 359

**1220 - RECORDS AND INFORMATION MANAGEMENT**

**4000 - RANGE MANAGEMENT\***

4010 - Range Management Program Records

H-4010-1 - Range Management Records

**1220 - RECORDS AND INFORMATION MANAGEMENT**

**4100 - GRAZING ADMINISTRATION -  
EXCLUSIVE OF ALASKA**

4110 - Qualifications and Preference

H-4110-1 - Qualifications and Preference

4120 - Grazing Management

H-4120-1 - Grazing Management

4130 - Authorizing Grazing Use

H-4130-1 - Authorizing Grazing Use

4140 - Prohibited Acts\*

4150 - Unauthorized Grazing Use

H-4150-1 - Unauthorized Grazing Use

4160 - Administrative Remedies

H-4160-1 - Administrative Remedies

4170 - Penalties\*

**1220 - RECORDS AND INFORMATION MANAGEMENT**

**4200 - GRAZING ADMINISTRATION;  
ALASKA; LIVESTOCK\***

4210 - Conditions\*

4220 - Procedures\*

4230 - Disposition of Leased Lands\*

4240 - Protests, Hearings, and Appeals\*

**1220 - RECORDS AND INFORMATION MANAGEMENT**

**4300 - GRAZING ADMINISTRATION;  
ALASKA; REINDEER\***

4310 - Conditions\*

4320 - Procedures\*

4330 - Protests\*

4340 - Trespass\*

**1220 - RECORDS AND INFORMATION MANAGEMENT**

**4400 - RANGELAND INVENTORY,  
MONITORING, AND  
EVALUATION**

H-4400-1 Rangeland Monitoring and Evaluation

4410 - Ecological Site Inventory

H-4410 - National Range Handbook

**1220 - RECORDS AND INFORMATION MANAGEMENT**

**4700 - WILD FREE-ROAMING HORSE  
AND BURRO MANAGEMENT**

4710 - Management Considerations Protection

4720 - Removal

4730 - Destruction of Wild Horses or Burros  
and Disposal of Remains

4740 - Motor Vehicles and Aircraft

4750 - Private Maintenance

H-4750-1 - Wild Horse and Burro Preparation

H-4750-2 - Adoption of Wild Horses and Burros

H-4750-3 - Wild Horse Training Handbook

4760 - Compliance

4770 - Prohibited Acts, Administrative  
Remedies, and Penalties\*

**1220 - RECORDS AND INFORMATION MANAGEMENT**

**5000 - FOREST MANAGEMENT**

5000-1 - Forest Management (Public Domain)

5003 - Administrative Remedies\*

5040 - Sustained Yield Unit and Cooperative  
Agreements\*

5041 - Annual Productive Capacity\*

5042 - Master Units\*

5043 - Sustained Yield Forest Units\*

5044 - Cooperative Sustained Yield Agreements\*

5045 - Exchanges\*

**1220 - RECORDS AND INFORMATION MANAGEMENT**

**5100 - FOREST MANAGEMENT PLANS\***

**1220 - RECORDS AND INFORMATION MANAGEMENT**

**5200 - FOREST MANAGEMENT PROGRAM  
DEVELOPMENT\***

5210 - Extensive Forest Inventories\*

5220 - Photopoint Inventory System\*

5240 - Allowable Cut Planning\*

5250 - Intensive Forest Inventories\*

5251 - Timber Production Capacity Classification

5260 - Timber Depletion and Statistics\*

**1220 - RECORDS AND INFORMATION MANAGEMENT**

**5300 - TIMBER MEASUREMENT**

5310 - Timber Cruising

## 1220 - RECORDS AND INFORMATION MANAGEMENT

**5400 - SALES OF FOREST PRODUCTS**

H-5400-1 - Sales of Forest Products

H-5400-2 - Timber Sale Information System

5401 - Advertised Sales\*

5402 - Other Than Advertised Sales\*

5410 - Annual Timber Product Sale Plan

H-5410-1 - Annual Forest Product Sale Plan

5420 - Preparation for Sale

5422 - Volume Measurements\*

5424 - Preparation of Contract\*

5430 - Advertisement

H-5430-1 - Advertisement

5440 - Conduct of Sales

H-5440-1 - Conduct of Sales

5441 - Advertised Sales\*

5442 - Bidding Procedure\*

5443 - 90-Day Sales\*

5450 - Award of Contract

H-5450-1 - Award of Contract

5451 - Bonds\*

5452 - Method of Payment\*

5460 - Sales Administration

H-5460-1 - Sales Administration

5461 - Contract Payments\*

5462 - Contract and Permit Requirements\*

5463 - Expiration of Time for Cutting and Removal\*

5470 - Contract Modification-Extension-Assignment

H-5470-1 - Contract Modification, Notification, Extension, Assignment

5473 - Extension of Time for Cutting and Removal\*

5474 - Contract Assignment\*

5475 - Federal Timber Contract Payment Modification\*

5480 - Contract Violation-Suspension-Cancellation; Settlement of Uncompleted Contract

H-5480-1 - Contract Violation-Suspension-Cancellation; Settlement of Uncompleted Contract

5484 - Termination of Contract

5490 - Contract Termination

H-5490-1 - Contract Termination

**1220 - RECORDS AND INFORMATION MANAGEMENT**

**5500 - NONSALE DISPOSALS**

**5510 - Free Use of Timber\***

**5511 - Free Use Regulations\***

**1220 - RECORDS AND INFORMATION MANAGEMENT**

**5600 - SILVICULTURAL PRACTICES\***

5610 - General Silvicultural Applications\*

5611 - Lodgepole\*

5612 - Ponderosa Pine\*

5613 - Engelmann Spruce\*

5620 - Silvicultural Prescription\*

5630 - Cutting Methods\*

5640 - Logging Methods\*

5650 - Multiple Use Relationships\*

**1220 - RECORDS AND INFORMATION MANAGEMENT**

**5700 - FOREST DEVELOPMENT**

5702 - Funding\*

5703 - Records and Annual Reports

5705 - Regeneration Stocking Surveys

5710 - Reforestation

5711 - Site Preparation

5712 - Tree Seed

5713 - Tree Seedlings

5714 - Seeding

5715 - Planting

5716 - Protective Measures

5717 - Release Treatments\*

5720 - Site Productivity Improvement\*

5721 - Fertilization\*

5730 - Genetic Improvements\*

5740 - Stand Improvements

5741 - Precommercial Thinning\*

5742 - Commercial Thinning\*

5750 - Stand Conversion\*

**1220 - RECORDS AND INFORMATION MANAGEMENT**

**5800 - FOREST PROTECTION AND FOREST  
PEST MANAGEMENT**

**5820 - Forest Disease Control\***

**1220 - RECORDS AND INFORMATION MANAGEMENT**

**6000 - WILDLIFE MANAGEMENT\***

**6220 - Protection and Preservation of Natural  
Values\***

**1220 - RECORDS AND INFORMATION MANAGEMENT**

**6500 - WILDLIFE AND FISHERIES  
MANAGEMENT**

- 6501 - Wildlife Reports
- 6502 - Wildlife Evaluations\*
- 6507 - Economic Analysis\*
- 6510 - Multiple Use Wildlife Coordination\*
- 6511 - Wildlife--Engineering\*
- 6512 - Wildlife--Forestry\*
- 6513 - Wildlife--Lands\*
- 6514 - Wildlife--Minerals\*
- 6515 - Wildlife--Protection\*
- 6516 - Wildlife--Range Management\*
- 6517 - Wildlife--Recreation/Wilderness\*
- 6518 - Wildlife--Soil, Water, and Air\*
- 6520 - Cooperative Relations
- 6521 - State Agencies
- 6522 - Federal Agencies
- 6523 - Nongovernmental Organizations
- 6524 - Research
- 6525 - Sikes Act Wildlife Programs
- 6526 - Schools, Colleges, and Universities\*
- 6530 - Game Ranges\*

**1220 - RECORDS AND INFORMATION MANAGEMENT**

**6600 - FISH, WILDLIFE, AND SPECIAL  
STATUS PLANT RESOURCES  
INVENTORY AND MONITORING**

6635 - Habitat Condition and Trend

6636 - Mammals\*

6601 - Wildlife Inventory and Monitoring  
Information Systems\*

6674 - Water Analysis for Fisheries

6602 - Integrated Habitat Inventory and  
Classification System

6603 - Riparian/Aquatic Information Data  
Summary\*

6604 - Threatened and Endangered Species  
Data System\*

6605 - Wildlife Observation Report Data  
System\*

6606 - Wildlife Productivity/Modeling Data  
System\*

6609 - Other Information System\*

6610 - Wildlife Inventory

6611 - Wetland Riparian\*

6612 - Lakes and Reservoirs\*

6613 - Streams\*

6614 - Estuarine and Coastal Surveys\*

6615 - Marine Surveys\*

6616 - Water Analysis for Fisheries\*

6620 - Preparation of Biological Specimens\*

6630 - Big Game Studies\*

6631 - Requirements

6632 - Preparatory Information

6633 - Field Procedure

6634 - Inspection Methods

**1220 - RECORDS AND INFORMATION MANAGEMENT**

**6700 - HABITAT MANAGEMENT,  
DEVELOPMENT, AND  
MAINTENANCE\***

6710 - Terrestrial/Upland Habitat\*

6711 - Vegetation Management\*

6712 - Fences\*

6713 - Wildlife Passes\*

6714 - Study Enclosures and Exclosures\*

6715 - Springs\*

6716 - Water Catchments\*

6717 - Wells\*

6718 - Supplemental Water Facilities\*

6720 - Aquatic Resource Management

6721 - Reservoirs

6740 - Wetland-Riparian Area Protection and  
Management (see 1737)\*

6750 - Lake and Reservoir Management and  
Development\*

6760 - Stream Management and Development\*

6761 - Stream Planning\*

6762 - Stream Management\*

6763 - Stream Improvement Construction\*

6770 - Estuarine and Coastal Habitat\*

6775 - Marine Habitat\*

6780 - Habitat Management Plans

**1220 - RECORDS AND INFORMATION MANAGEMENT**

**6800 - POPULATION MANAGEMENT\***

6801 - Responsibilities\*

6805 - Goals and Objectives\*

6810 - Regulations and Harvest\*

6811 - Hunting and Fishing Regulations\*

6812 - Hunting and Fishing Surveys\*

6820 - Wildlife Introductions and Transplants  
(See 1745)\*

6821 - Native Species\*

6822 - Exotic Species\*

6830 - Animal Damage Control

6840 - Special Status Species Management

6841 - The Endangered Species Act (ESA)\*

6842 - Administration of the ESA\*

6843 - Threatened and Endangered Species  
Planning and Management\*

6844 - Other Special Status Species\*

6845 - Reintroductions\*

6846 - Data Collection\*

6850 - Protection of Special Status Plants\*

**1220 - RECORDS AND INFORMATION MANAGEMENT**

**7000 - SOIL, WATER, AND AIR  
MANAGEMENT**

**1220 - RECORDS AND INFORMATION MANAGEMENT**

**7100 - SOIL RESOURCE MANAGEMENT**

**1220 - RECORDS AND INFORMATION MANAGEMENT**

**7200 - WATER RESOURCES**

**7210 - Watershed Condition Analysis\***

**7220 - Watershed Activity Planning\***

**7221 - Floodplain Management**

**7230 - Ground Water\***

**7240 - Water Quality**

**7250 - Water Rights**

**7260 - Floodplain Management (see 7221)\***

**1220 - RECORDS AND INFORMATION MANAGEMENT**

**7300 - AIR RESOURCES\***

**7316 - Ground Water Hydrology**

**1220 - RECORDS AND INFORMATION MANAGEMENT**

**7400 - PRACTICE, STANDARDS, AND  
TECHNIQUES\***

**1220 - RECORDS AND INFORMATION MANAGEMENT**

**8000 - RECREATION PROGRAMS\***

8010 - Special Area Management\*

8011 - Areas of Critical Environmental Concern\*

8012 - Special Area Designations of National  
Importance\*

8013 - Special Areas Designations of International  
Importance\*

8014 - Special Areas Designated by Congress\*

**1220 - RECORDS AND INFORMATION MANAGEMENT**

**8100 - CULTURAL RESOURCE  
MANAGEMENT**

**8180 - Treasure Trove/Abandoned Property\***

**8190 - Restoration/Reconstruction of Cultural  
Resources\***

**8102 - Program Monitoring\***

**8110 - Cultural Resource Identification**

**8111 - Cultural Resource Inventory and Evaluation**

**8120 - Nomination of Cultural Resources to  
Special Systems\***

**8121 - National Register of Historic Places\***

**8122 - National Historic Landmarks\***

**8123 - Historic American Buildings Survey\***

**8124 - Historic American Engineering Record\***

**8129 - State and Local Systems\***

**8130 - Cultural Resource Planning**

**8131 - Cultural Resource Management Plans**

**8132 - Cultural Resource Project Plans**

**8133 - External Plans Coordination\***

**8140 - Protection of Cultural Resources**

**8141 - Physical and Administrative Protection**

**8142 - Recovery of Cultural Resource Data**

**8143 - Avoidance and/or Mitigation of Adverse  
Effects to Cultural Properties**

**8150 - Utilization of Cultural Resources**

**8151 - Cultural Resource Use Permits**

**8152 - Cultural Resources Interpretation\***

**8160 - Native American Coordination and  
Consultation**

**8170 - Cultural Heritage Education\***

**1220 - RECORDS AND INFORMATION MANAGEMENT**

**8200 - NATURAL HISTORY RESOURCE  
MANAGEMENT\***

8201 - Program Development/Priorities\*

8202 - Program Monitoring\*

8210 - Inventory and Evaluation\*

8220 - Nomination to Special Systems\*

8222 - National Natural Landmarks\*

8223 - Research Natural Areas\*

8224 - Fossil Forest Research Natural Area\*

8230 - Planning\*

8231 - Natural History Resource Management  
Plans\*

8232 - Project Plans\*

8240 - Protection\*

8241 - Administrative Measures\*

8242 - Physical Measures\*

8243 - Environment Assessment of Natural History  
Resources\*

8250 - Utilization of Natural History Resources\*

8270 - Paleontology\*

## 1220 - RECORDS AND INFORMATION MANAGEMENT

**8300 - RECREATION MANAGEMENT**

8301 - Program Development/Priorities\*

8302 - Program Monitoring\*

8303 - Recreation Management Information  
Systems\*

8305 - Environmental Assessment\*

8310 - Recreation Inventory

8320 - Planning for Recreation Resources

8321 - Land Use Planning\*

8322 - Recreation Area Management Plans

8323 - Recreation Project Planning

8324 - External Plans Coordination\*

8340 - Off-Road Vehicles

8341 - Conditions of Use (ORVs)

8342 - Designation of Areas and Trails (ORVs)

8343 - Vehicle Operations (ORVs)\*

8344 - Permits (ORVs)\*

8350 - Management Areas\*

8351 - Wild & Scenic Rivers - Policy and Program  
Direction for Identification, Evaluation,  
and Management

8352 - Established Areas\*

8353 - Trail Management Areas\*

8354 - River Management Areas\*

8355 - Winter Sports Management Areas\*

8356 - Water Sports Management Areas\*

8357 - Byways

H-8357-1 - Byways

8358 - Off-Road Vehicle Management Areas\*

8359 - Special Use Management Areas\*

8360 - Visitor Services

8361 - Emergency Services (Reserved)

8362 - Interpretive Services (Reserved)

8363 - Resource and Visitor Protection  
(Reserved)\*

8364 - Closures and Restrictions\*

8365 - Rules of Conduct\*

8366 - Site Management\*

8367 - Environmental Education\*

8370 - Use Authorizations\*

8371 - Recreation Use Permits, Developed  
Sites (Reserved)\*

8372 - Special Recreation Permits

H-8372-1 - Special Recreation Permits for  
Commercial Use

8380 - Cave Resources Management

8381 - Cave Inventory, Evaluation, and  
Classification\*

8382 - Cave Planning\*

8383 - Cave Protection\*

8384 - Cave Resource Utilization\*

8385 - Cave Visitor Use Management\*

8390 - Recreation Concession Leases and  
Vendor Permits

**1220 - RECORDS AND INFORMATION MANAGEMENT**

**8400 - VISUAL RESOURCE MANAGEMENT**

8410 - Visual Resource Inventory

H-8410-1 - Visual Resource Inventory

8411 - Upland Visual Resource Inventory and  
Evaluation\*

8412 - Marine Inventory and Evaluation\*

8430 - Application of Visual Resource Management  
Principles to Project Planning and Design

8431 - Visual Resource Contrast Rating

H-8431-1 - Visual Resource Contrast Rating

8440 - Environmental Assessment\*

8450 - Rehabilitation and Enhancement of the  
Visual Resources\*

8460 - Monitoring and Compliance for Visual  
Resources\*

**1220 - RECORDS AND INFORMATION MANAGEMENT**

**8500 - WILDERNESS MANAGEMENT\***

8510 - Wilderness Inventory\*

8520 - Wilderness Studies\*

8530 - Wilderness Reporting\*

8550 - Interim Management Policy and Guidelines  
for Land Under Wilderness Review

H-8550-1 - Interim Management Policy and  
Guidelines for Lands Under Wilderness  
Review

8560 - Management of Designated Wilderness  
Areas

H-8560-1 - Management of Designated  
Wilderness Areas

8561 - Wilderness Management Plans

**1220 - RECORDS AND INFORMATION MANAGEMENT**

**8600 - ENVIRONMENTAL EDUCATION AND  
PROTECTION\***

**1220 - RECORDS AND INFORMATION MANAGEMENT**

**9000 - TECHNICAL SERVICES\***

9010 - Integrated Pest Management\*

9011 - Chemical Pest Control

H-9011-1 - Chemical Pest Control

9012 - Expenditure of Rangeland Insect Pest  
Control Funds

9014 - Use of Biological Control Agents of Pests  
on Public Lands

9015 - Integrated Weed Management

**1220 - RECORDS AND INFORMATION MANAGEMENT**

- 9100 - ENGINEERING**
- 9101 - Facility Planning
- 9102 - Facility Design
- 9103 - Facility Construction
- 9104 - Facility Maintenance
- 9105 - Energy Conservation\*
- 9107 - Engineering Computer Applications
- 9110 - Transportation Facilities
- H-9110-1 - Transportation Planning
- 9111 - Aviation Facilities
- 9112 - Bridges and Major Culverts
- 9113 - Roads
- H-9113-1 - Roads; Guidelines for Determination of Curve Widening
- H-9113-2 - Roads; Inventory and Maintenance
- 9114 - Trails
- H-9114-1 - Trails
- 9115 - Water Facilities\*
- 9119 - Incidental Transportation Appurtenance\*
- 9120 - Telecommunications (See 1290)
- 9121 - Frequency Authorization (See 1291)\*
- 9122 - Radio Communication (See 1292)\*
- 9130 - Signs and Posters
- H-9130-1 - Sign Installation and Maintenance
- 9131 - Transportation Signs
- 9132 - Operational Signs
- 9150 - Buildings and Recreation Facilities
- 9151 - Buildings
- 9152 - Water and Sewage\*
- 9153 - Heating, Ventilating and Air Conditioning Systems\*
- 9154 - Electrical Systems\*
- 9155 - Recreation Facilities\*
- 9160 - Mapping Sciences
- 9161 - Cartography
- H-9161-1 - Cartography
- 9162 - Aerial Photography\*
- 9163 - Remote Sensing\*
- 9164 - Photographic Services\*
- 9165 - Map Reproduction and Printing\*
- 9166 - Map Storage and Distribution\*
- 9167 - Geographic Information System (GIS)\*
- 9170 - Surface Resource Facilities
- 9171 - Water Development
- 9172 - Water Control Structures
- H-9172-1 - Water Control Structures; Guidelines for Design
- H-9172-2 - Water Control Structures; Guidelines for Construction Drawings
- 9173 - Protection Facilities\*
- 9174 - Stream and Channel Structures\*
- 9175 - Land Treatment\*

**1220 - RECORDS AND INFORMATION MANAGEMENT**

- 9176 - Stabilization Procedures\*
- 9177 - Maintenance and Safety of Dams
  - H-9177-1 - Maintenance and Safety of Dams
  - H-9177-2 - Preparing Emergency Action Plans  
(for Dams)
  - H-9177-3 - Reporting Dam Failures
- 9180 - Health and Pollution Control Facilities
- 9181 - Air Pollution Control\*
- 9182 - Wastewater Treatment
- 9183 - Municipal/Community Related Solid Waste
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## 1220 - RECORDS AND INFORMATION MANAGEMENT

Checklist for Review of Recordkeeping Practices

A. GENERAL RESPONSIBILITY AND AUTHORITY (1270-1272). Does an interview with the designated records manager and the records administrator, indicate that:

Yes    No

1.            The Office Head has approved in writing, those personnel who have demonstrated "need to know" and has given official permission to access proprietary and confidential data. (Obtain copy.)

Notes: \_\_\_\_\_  
\_\_\_\_\_

2.            The records manager provides periodic records orientation for local personnel. Date of last session \_\_\_\_\_

Notes: \_\_\_\_\_  
\_\_\_\_\_

3.            Orientation of new employees includes an explanation of the Bureau Records Management System, local records policies and procedures, and provides a copy of the disposition schedule.

Notes: \_\_\_\_\_  
\_\_\_\_\_

4.            The records manager has received formal training in the BLM Records Management Training. Date/Location of last session \_\_\_\_\_

Notes: \_\_\_\_\_  
\_\_\_\_\_

5.            The records manager has received formal training in Transferring Records to a Federal Records Center.

Notes: \_\_\_\_\_  
\_\_\_\_\_

6.            All requisitions for filing equipment and supplies are forwarded to the records manager for review and approval.

Notes: \_\_\_\_\_  
\_\_\_\_\_

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- |     | <u>Yes</u> | <u>No</u> |   |
|-----|------------|-----------|---|
| 7.  | ___        | ___       | All requisitions for library materials are reviewed to eliminate unnecessary duplication. (BLM Manual 1279)   |
|     |            |           | Notes: _____<br>_____   |
| 8.  | ___        | ___       | The records manager has convenient use of a computer terminal to access the Automated DDB, LRS, and other automated records information. Terminal location _____.   |
|     |            |           | Notes: _____<br>_____   |
| 9.  | ___        | ___       | The records manager maintains the local records inventory, (i.e., the state records manager should maintain the statewide inventory and the district records manager should maintain the districtwide inventory.) |
|     |            |           | Notes: _____<br>_____   |
| 10. | ___        | ___       | All locally issued MOU's are numbered and logs are maintained in accordance to BLM Manual 1786.   |
|     |            |           | Notes: _____<br>_____   |



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- | <u>Yes</u> | <u>No</u> |   |
|------------|-----------|---|
| 7. _____   | _____     | Subject files are free of unnecessary envelopes, routing slips, "information only" documents (newsletters, staff meeting notes from other offices), and other extraneous materials. |
|            |           | Notes: _____<br>_____   |
| 8. _____   | _____     | Individual subject files are established only for major subject codes and minor codes that accumulate 10 or more documents each Fiscal Year.  |
|            |           | Notes: _____<br>_____   |
| 9. _____   | _____     | The thickness of individual subject files does not exceed one inch.   |
|            |           | Notes: _____<br>_____   |
| 10. _____  | _____     | Appropriate Official File Covers (Form 1271-1) are used for subject files. Color of current Fiscal Year covers _____  |
|            |           | Notes: _____<br>_____   |
| 11. _____  | _____     | Pink file covers are used <u>only</u> for documents having indefinite disposition dates, ie., permanent or perpetual maintenance.   |
|            |           | Notes: _____<br>_____   |
| 12. _____  | _____     | File cover codes, titles, dates, disposition are complete and accurate.   |
|            |           | Notes: _____<br>_____   |
| 13. _____  | _____     | File guides and folders are adequately labeled to facilitate quick file access and reference.   |
|            |           | Notes: _____<br>_____   |

## 1220 - RECORDS AND INFORMATION MANAGEMENT

- | <u>Yes</u> | <u>No</u>                |  |
|------------|--------------------------|--|
| 14.        | <input type="checkbox"/> | <input type="checkbox"/> Filing equipment in Central Files is correctly and adequately labeled.  |
|            |                          | Notes: _____<br>_____  |
| 15.        | <input type="checkbox"/> | <input type="checkbox"/> Charge cards are being used to record removal of files from Central Files.  |
|            |                          | Notes: _____<br>_____  |
| 16.        | <input type="checkbox"/> | <input type="checkbox"/> A supply of charge cards is readily available to users.   |
|            |                          | Notes: _____<br>_____  |
| 17.        | <input type="checkbox"/> | <input type="checkbox"/> A historical file for locally issued agreements, e.g., Memoranda of Understanding, is maintained.                       |
|            |                          | Notes: _____<br>_____  |
| 18.        | <input type="checkbox"/> | <input type="checkbox"/> Reader files are free of Privacy Act or Sensitive documents.  |
|            |                          | Notes: _____<br>_____  |
| 19.        | <input type="checkbox"/> | <input type="checkbox"/> Reader files are destroyed when 1 year old. Date of oldest reader file maintained _____.                                |
|            |                          | Notes: _____<br>_____  |
| 20.        | <input type="checkbox"/> | <input type="checkbox"/> Unnecessary duplicate reader files have been eliminated. Number of reader copies routinely prepared and for whom _____. |
|            |                          | Notes: _____<br>_____  |

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C. DIRECTIVES. Does a review of directives and an interview with the records manager and/or file clerk indicate that:

Yes      No

1.    \_\_\_    \_\_\_    All Employee Bulletins are not being used. (Rel. 1-1573, Transmittal Sheet for BLM Manual 1221)

Notes: \_\_\_\_\_  
\_\_\_\_\_

2.    \_\_\_    \_\_\_    Instruction Memorandums should only be used to provide policy, procedural regulation, interpret existing regulation . . . (1221.14a)

Notes: \_\_\_\_\_  
\_\_\_\_\_

3.    \_\_\_    \_\_\_    Local directives are formatted, numbered and distributed in accordance with BLM Manual Section 1221 and Handbook 1221-1.

Notes: \_\_\_\_\_  
\_\_\_\_\_

4.    \_\_\_    \_\_\_    A historical file is maintained of all original locally issued directives (IM's, IB's, Manual Supplement Releases), along with a copy of all attachments. (Review several folders to ensure that files are not missing numbered directives, are in numerical order, have appropriate attachments, etc.).

Notes: \_\_\_\_\_  
\_\_\_\_\_

5.    \_\_\_    \_\_\_    If temporary directives are generated locally, a Directives Digest Bulletin is being prepared.  
Date of latest local DDB \_\_\_\_\_.

Notes: \_\_\_\_\_  
\_\_\_\_\_

6.    \_\_\_    \_\_\_    Local records management manual supplements are up-to-date. Request samples of various sections within Records Management (1221, 1223, 1271, 1272, 1542, etc.).

Notes: \_\_\_\_\_  
\_\_\_\_\_

1220 - RECORDS AND INFORMATION MANAGEMENT

Yes      No

7.            Local Manual Releases are reviewed by the records manager for format and content. (Form 1221-13)

Notes: \_\_\_\_\_  
\_\_\_\_\_

1220 - RECORDS AND INFORMATION MANAGEMENT

D. CENTRAL LIBRARY (1279), if maintained. Does a review of the Library and an interview with the designated Librarian indicate that:

Yes    No

1.            All library materials are stamped to indicate ownership (e.g., "Property of USDI-BLM, Arizona State Office").

Notes: \_\_\_\_\_  
\_\_\_\_\_

2.            Manuals (BLM, DOI, FPM, FPMR, etc.) are complete and up-to-date.

Notes: \_\_\_\_\_  
\_\_\_\_\_

3.            A charge-out system is in effect.

Notes: \_\_\_\_\_  
\_\_\_\_\_

4.            Unneeded references are transferred to the librarian at the next higher organizational level or the Departmental Library.

Notes: \_\_\_\_\_  
\_\_\_\_\_

5.            Directives Digest Bulletins (WO/SC/SO, etc.) are current and filed with or near the directives. Latest DDB date \_\_\_\_\_.

Notes: \_\_\_\_\_  
\_\_\_\_\_

6.            Binder copies of Washington Office Instruction Memorandums and Information Bulletins are destroyed when microfiche set is received, or only kept for up to 3 years if microfiche has not been received. Date of oldest paper copies maintained \_\_\_\_\_.

Notes: \_\_\_\_\_  
\_\_\_\_\_

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- |    | <u>Yes</u> | <u>No</u> |   |
|----|------------|-----------|---|
| 7. | _____      | _____     | How long are Federal Registers maintained? Date of oldest edition _____ (It is suggested no more than 1 year for State Office; 6 months for Districts; 3 months for detached Resource Areas). |
|    |            |           | Notes: _____<br>_____   |
| 8. | _____      | _____     | IBLA decisions are filed by volume and page number.   |
|    |            |           | Notes: _____<br>_____   |

## 1220 - RECORDS AND INFORMATION MANAGEMENT

E. FORMS MANAGEMENT (1223). Does a review of the local forms program and interviews with the records manager and the employee who orders, stocks, and control the forms supply indicate that:

- | <u>Yes</u> | <u>No</u> |   |
|------------|-----------|---|
| 1.         | _____     | _____ The records manager manages the local forms program (reviewing, numbering, canceling, etc.).<br><br>Notes: _____<br>_____   |
| 2.         | _____     | _____ Local forms meet the Bureau's general format standards (BLM Manual 1223 and H-1223-1).<br><br>Notes: _____<br>_____   |
| 3.         | _____     | _____ A separate historical folder is set up for all local forms created with a copy of Form 1223-7, Request for a New or Revised Form with all pertinent information on form.<br><br>Notes: _____<br>_____ |
| 4.         | _____     | _____ A Printed Materials Distribution Supply Catalog is kept in area where forms are, and up-to-date with new and revised forms listed.<br><br>Notes: _____<br>_____                                       |
| 5.         | _____     | _____ Requisitioning Control Cards (1223-6) are used for stock control.<br><br>Notes: _____<br>_____  |

## 1220 - RECORDS AND INFORMATION MANAGEMENT

F. **RECORDS DISPOSITION.** Does a review of the file containing SF-135's Records Transmittal and Receipt, indicate that:

- | <u>Yes</u> | <u>No</u>                |  |
|------------|--------------------------|--|
| 1.         | <input type="checkbox"/> | <input type="checkbox"/> The records manager maintains current copies of all required records schedules and knows how to look up a disposition citation (BLM, GRS).  |
|            |                          | Notes: _____<br>_____  |
| 2.         | <input type="checkbox"/> | <input type="checkbox"/> All SF-135's are reviewed and signed by the records manager.  |
|            |                          | Notes: _____<br>_____  |
| 3.         | <input type="checkbox"/> | <input type="checkbox"/> Individual SF-135's are prepared for each separate accession.   |
|            |                          | Notes: _____<br>_____  |
| 4.         | <input type="checkbox"/> | <input type="checkbox"/> Shelf lists attached to the SF-135's adequately describe the files being transferred (shelf lists are required only for permanent records; however, it is recommended for detailed transfers, shelf lists be prepared). |
|            |                          | Notes: _____<br>_____  |
| 5.         | <input type="checkbox"/> | <input type="checkbox"/> File description on SF-135 (Column 6f) matches description of the records in the Schedule cited in (Column 6h).   |
|            |                          | Notes: _____<br>_____  |
| 6.         | <input type="checkbox"/> | <input type="checkbox"/> Provisions shall be made to ensure that permanent records are preserved but that records no longer of current use are promptly disposed of or retired. Date of latest SF-135 _____                                      |
|            |                          | Notes: _____<br>_____  |

1220 - RECORDS AND INFORMATION MANAGEMENT

- |    | <u>Yes</u> | <u>No</u> |   |
|----|------------|-----------|---|
| 7. | _____      | _____     | NARA forms, Agency Review for Contingent Disposal, are reviewed by records manager and returned to FRC within 90 days.  |
|    |            |           | Notes: _____<br>_____   |
| 8. | _____      | _____     | NARA forms, Notice of Intent to Dispose of Records, are responded to appropriately and stapled to the related SF-135's. |
|    |            |           | Notes: _____<br>_____   |
| 9. | _____      | _____     | Binders or folders containing historical SF-135's are easy to refer to by year and/or accession number.                 |
|    |            |           | Notes: _____<br>_____   |

## 1220 - RECORDS AND INFORMATION MANAGEMENT

G. DECENTRALIZED RECORDS. Does a review of decentralized files and interviews with File Custodians and various records users indicate:

- | <u>Yes</u> | <u>No</u> |   |
|------------|-----------|---|
| 1.         | _____     | _____ Decentralized file custodians have access to the Records Disposition Schedules.   |
|            |           | Notes: _____<br>_____   |
| 2.         | _____     | _____ A clear separation of official files from reference files exists in the decentralized files.  |
|            |           | Notes: _____<br>_____   |
| 3.         | _____     | _____ All terminated and inactive decentralized files are disposed of in accordance to the GRS/BLM Records Disposition Schedules.           |
|            |           | Notes: _____<br>_____   |
| 4.         | _____     | _____ All decentralized files and equipment are labeled.  |
|            |           | Notes: _____<br>_____   |
| 5.         | _____     | _____ All decentralized filing equipment which contains Privacy Act information is locked and Privacy Act labels are affixed on cabinets.   |
|            |           | Notes: _____<br>_____   |
| 6.         | _____     | _____ All decentralized filing equipment is used <u>only</u> to store records and are free of supplies, publications, and personal effects. |
|            |           | Notes: _____<br>_____   |

1220 - RECORDS AND INFORMATION MANAGEMENT

- |    | <u>Yes</u> | <u>No</u> |  |
|----|------------|-----------|--|
| 7. | _____      | _____     | Library materials at individual desks have been stamped to indicate ownership (e.g., "Property of USDI-BLM, Arizona State Office").                              |
|    |            |           | Notes: _____<br>_____  |
| 8. | _____      | _____     | Most users indicate that the Central Records Unit is effective.  |
|    |            |           | Notes: _____<br>_____  |
| 9. | _____      | _____     | Users are familiar with various services of the BLM Library (located at the Service Center) (online bibliographic searching, library loan, video library, etc.). |
|    |            |           | Notes: _____<br>_____  |

## 1220 - RECORDS AND INFORMATION MANAGEMENT

H. CORRESPONDENCE PREPARATION (1541). Does an interview with the Staff Assistants indicate:

Yes No

1.   Each Staff Assistant maintains a current copy of H-1221-1, Writing and Formatting Directives Handbook and local 1541, Correspondence Preparation Handbook.

Notes: \_\_\_\_\_  
\_\_\_\_\_

2.   Each Staff Assistant maintains a current copy of the 1220 Records and Information Management Manual, containing subject codes.

Notes: \_\_\_\_\_  
\_\_\_\_\_

3.   Each Staff Assistant maintains a current list of appropriate sections of BLM Manual 1203, Delegation of Authority and any supplements.

Notes: \_\_\_\_\_  
\_\_\_\_\_

5.   Originator copies for authors are prepared only upon request.

Notes: \_\_\_\_\_  
\_\_\_\_\_