

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		LEAVE BLANK (NARA use only)	
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD, COLLEGE PARK, MD 20740-6001		JOB NUMBER <b>NI-75-04-02</b>	
1. FROM (Agency or establishment) <b>U. S. Department of the Interior</b>		Date Received <b>9/30/2003</b>	
2. MAJOR SUB-DIVISION <b>Bureau of Indian Affairs</b>		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request, including amendments is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	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 SUB-DIVISION <b>Office of Trust Responsibilities</b>			
4. NAME OF PERSON WITH WHOM TO CONFER <b>Terry Verden</b>	5. TELEPHONE <b>(202) 208-5831</b>	DATE <b>11-21-03</b>	ARCHIVIST OF THE UNITED STATES <i>John W. Carr</i>
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 <del>44</del> <sup>45</sup> page(s) are not needed now 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 provisos 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 <b>9/16/03</b>	SIGNATURE OF AGENCY REPRESENTATIVE <i>Ethel J. Abeita</i>		TITLE <b>Director, Office of Trust Records</b>
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	<b>Please See Attached.</b>  <b>This schedule covers the 4400 Series, Forestry &amp; Fire.</b>		
SIGNATURE OF DIRECTOR <i>Terry Verden</i>		DATE <b>9/18/03</b>	
BUREAU OF INDIAN AFFAIRS			

16 BIAM (1989 Version)		16 BIAM (2003 Version)	
SERIES	TITLE	SERIES	TITLE
4400	Series (Forestry)	4400	Series (Forestry & Fire)
4401-P3	Timber Management Plans	4401	Forestry Management Plans (Revised)
4402-P5	Timber Sale Contract Files	4402	Timber Sales (Revised)
4403-P5	Timber Sales Data Files	4403	Reserved - Refer to 4402
4404-T5	Timber Sales Ledgers	4404	Reserved - Refer to 4402
4405-T3	Monthly Report of Timber Cut	4405	Monthly Report of Timber Cut - Other than Individual Timber Sales or Permits (Revised)
4406-P5	Special Allotment Cutting Permits	4406	Cutting Permits (Revised)
4407-T5F	Timber Cutting Permits	4407	Reserved - Refer to 4406
4408-T5F	Log Scale Sheets	4408	Log Scale Sheets - Other than Individual Timber Sales or Permits (Revised)
4409-T5	Forestry Scale Reports	4409	Forestry Scale Reports-Other than Timber Sales (Revised)
4410-T3F	Forestry Check Scale Report	4410	Forestry Check Scale Report - Other than Individual Timber Sales or Permits (Revised)
4411a-P5	Analysis of Obligations Report-Record copy maintained at CO	4411	Reserved - Refer to 4413
4411b-T5	Analysis of Obligations Report-Other copies	4411	Reserved - Refer to 4413
4412-T0	Forestry Working Papers	4412	Refer to Related 4400 Series - <del>Reserved</del>
4413-P3	Annual Financial Statements for Indian Sawmills	4413	Financial Statements - Indian Owned Operations (Revised)
4414-T3F	Financial Statements of Indian Lumber Companies	4414	Reserved - Refer to 4413
4415-P5	Forestry Manuscript of Annotated Maps	4415	Forestry Manuscript of Annotated Maps (Revised)
4416-T5F	Agency Fire Control Plans	4416	Fire Management Plans and Agreements (Revised)
4417-T5F	Individual Fire Report	4417	Individual Fire Reports (Revised)
4418-P5	Annual Agency Forestry Report	4418	Annual Forestry Reports (Revised)
4419a-P5	Annual Area Forestry Report-CO copy	4419	Revised - Refer to 4418
4419b-T10	Annual Area Forestry Report-AO copy	4419	Revised - Refer to 4418
4420-T3F	Timber Trespass	4420	Timber Trespass (Revised)
4421-T3F	Fire Trespass	4421	Fire Trespass (Revised)
4422-P3F	Cumulative Forestry Comparative Statements	4422	Cumulative Forestry Comparative Statements (Revised)
Unscheduled		4423	Timber Marketing (New)
Unscheduled		4424	Fire Fighter Management (New)
Unscheduled		4425	Fire Dispatch Log (New)

Conversion C  
 16 BIAM (1989 Version) Crosswalk to 16 BIAM (2003 Version)

16 BIAM (1989 Version)		16 BIAM (2003 Version)	
SERIES	TITLE	SERIES	TITLE
Unscheduled		4426	Fire Facility Construction (New)
Unscheduled		4427	Interagency Dispatch Operations (New)
Unscheduled		4428	Fire Equipment (New)
Unscheduled		4429	Rural Fire Assistance (New)
Unscheduled		4430	Wildland Fire Preparedness (New)
Unscheduled		4431	Wildland Fire Suppression (New)
Unscheduled		4432	Wildland Urban Interface (New)
Unscheduled		4433	Hazardous Fuel Reduction (New)

# REVISED 16 BIAM (2003)

4400 Series

FORESTRY and FIRE

(Updates to the 16 BIAM dated July 12, 1989)

4401

**Forestry Management Plans**

**Contents:** Include, but not limited to, the following records: scope of work, budget, studies, surveys, tests, assessments, field notes, audits, analyses, statements, evaluations, consultations, results, reports, conservation and utilization plans showing volume of timber growth and growth potential under different forms of management, NEPA documentation, allowable annual cut under sustained yield management, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

**Filing Arrangement:** Chronological by planning fiscal year

**Official File:** Action (originating and/or receiving) Office

**Disposition:** **PERMANENT.** Cut off at fiscal year end of planning period. Maintain in office of record for a maximum of 5 years after cut off or until no longer needed; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

**Content:** Include, but not limited to, the following records:

**Pre-award:** bidders listing/abstract, abstracted history of cutting, approved forest officer report, environmental assessment (EA), finding of no significant impact (FONSI), biological assessment (BA), archaeology and cultural surveys, endangered and threatened surveys/data, wetland surveys and reconnaissance, timber cruise data and reports, allottee power of attorney, tribal resolutions, timber appraisal, logging road engineering data and reports, layout and design, fee property road access agreements, advertisement and affidavit, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

**Decision:** contract, modification(s), printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

**Post-award:** quarter/period stumpage re-adjustments or re-appraisals, log market appraisals, log valued reports, performance bond documents, inspection reports, ten-day timber scale report(s), consolidated scale reports, monthly check accuracy report (s), sale certificates, scale tickets, check scaling, waste scaling, statement of completion, sale certificates, scale tickets, log scale sheets, check scaling, waste scaling, data collection of wood analysis, footage cut, statement of completion, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

**Accounting:** requests for check to pay stumpage, timber sale ledgers, transaction forms (work tickets), bill of collections, journal vouchers, check copies, public vouchers for refund, profit and loss statements, balance sheets, detailed operating statements, public vouchers, monthly spreadsheets, inventory lists, DAM's non-trust deposits, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

**Filing Arrangement:** Numerical by contract

**Official File:** Action (originating and/or receiving) Office

**Disposition:** PERMANENT. Cut off at fiscal year end of contract completion, cancellation, or termination. Maintain in office of record for a maximum of 5 years after cut off, and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

**RECORDS SUBJECT TO THE PRIVACY ACT - 5 USC 552B.**

4403 Timber Sales Data Files

Refer to 4402 – Timber Sales

RESERVED

4404 Timber Sale Ledgers

Refer to 4402 – Timber Sales

RESERVED



**4405 Monthly Timber Cut Reports (Other than Individual Timber Sale or Permit)**

**Contents:** Include, but not limited to, the following records: consolidated scale reports, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

**Filing Arrangement:** Chronological by reporting fiscal year

**Official File:** Action (originating and/or receiving) Office

**Disposition:** **PERMANENT.** Cut off at fiscal year end of reporting period. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

## 4406

### Cutting Permits

**Contents:** Include, but not limited to, the following records:

**Pre-decision:** advertisement, bid proposals, bid list/abstract of bids, bond authority to grant privileges on allotted land, authority document for restricted land or land without secure clear legal title, statements of completion, approval officer's reports, Environmental Assessment (EA), Notice of Availability, Finding of No Significant Impact (FONSI), Biological Assessment (BA), layouts and designs, logging an road plans, performance bond documents, fee property road access agreements, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

**Decision:** permit, modifications, statement and certificate of award, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

**Post Decision:** data collection of wood analysis, footage cut, log scale sheets, log value reports, log market appraisals, ten-day timber scale report(s), consolidated scale reports, monthly check accuracy report (s), operation reports, inspection reports, specific data and resulting reports, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

**Accounting:** ledger sheets, profit and loss statements, balance sheets, detailed operating statements, inventory lists, requests for check to pay stampage, monthly spreadsheets, payment receipts, public refund voucher, county treasurer deposits/receipts, historical transactions listings, journal vouchers, bill of collections, intra-bureau transaction forms, transmittal forms (work tickets), DAM non-trust deposits, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

**Filing Arrangement:** Numerical by permit

**Official File:** Action (originating and/or receiving) Office

**Disposition:** **PERMANENT.** Cut off at fiscal year end when permit is cancelled, expired, or revoked. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

**RECORDS SUBJECT TO THE PRIVACY ACT – 5 USC 552B.**

4407 Timber Cutting Permits

Refer to 4406 – Cutting Permits

RESERVED

**4408 Log Scale Sheets (Other than Individual Timber Sales or Permits)**

**Contents:** Include, but not limited to, the following records: log scale sheets, log value reports, log market appraisals, requests for check to pay stumpage, accounting monthly spreadsheets, supporting documentation, and related correspondence.

**Filing Arrangement:** Numerical by logging unit

**Official File:** Action (originating and/or receiving) Office

**Disposition:** **PERMANENT.** Cut off at fiscal year end when logging unit is completed. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

**4409 Forestry Scale Report (Other than Individual Timber Sales or Permits)**

**Contents:** Include, but not limited to, the following records: ten-day timber scale report(s), monthly check accuracy report, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

**Filing Arrangement:** Chronological by reporting fiscal year

**Official File:** Action (originating and/or receiving) Office

**Disposition:** **PERMANENT.** Cut off at fiscal year end of reporting period. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

**4410 Forestry Check Scale Report (Other than Individual Timber Sales or Permits)**

**Contents:** Include, but not limited to, the following records: monthly reports that check log scales and verify their accuracy, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

**Filing Arrangement:** Chronological by reporting fiscal year

**Official File:** Action (originating and/or receiving) Office

**Disposition:** PERMANENT. Cut off at fiscal year end of reporting period. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

4411 Analysis of Obligations Report

Refer to 4413 – Financial Statements (Indian-owned Operations)

RESERVED

4412 Forestry Working Papers

Refer to related 4400 Series.

RESERVED



4413

**Financial Statements – Indian-owned Operations**

**Contents:** Include, but not limited to, the following records: ledger sheets; profit and loss statements; balance sheets; detailed operating statements; inventory lists; data collection of wood analysis, footage cut, market price, and other data; printouts of electronic mail; documents created through word processing and spreadsheet software applications; supporting documentation; and related correspondence.

**Filing Arrangement:** Numerical by contract/lease

**Official File:** Action (originating and/or receiving) Office

**Disposition:** **PERMANENT.** Cut off at fiscal year end of financial statement period. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

**RECORDS SUBJECT TO THE PRIVACY ACT – 5 USC 552B.**

4414 Financial Statements of Indian Lumber Companies

Refer to 4413 -- Financial Statements (Indian-owned Operations)

RESERVED

**4415 Forestry Manuscript of Annotated Maps**

**Contents:** Include, but not limited to, the following records: original maps showing reservation forest area, copies of allotment plat books for Indian lands, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence

**Filing Arrangement:** Geographical by reservation

**Official File:** Action (originating and/or receiving) Office

**Disposition:** **PERMANENT.** Cut off at fiscal year end when superseded or obsolete. Maintain in office of record for a maximum of 5 years after cut off, and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

**4416 Fire Management Plans and Agreements**

**Contents:** Include, but not limited to, the following records: scope of work, budget, studies, surveys, tests, assessments, field notes, audits, analyses, statements, evaluations, consultations, results, reports, burn plan, fire control procedures, Normal Fire Year Plan (NFYP), Fire Planning Analysis records, NEPA documents, Cultural and ESA compliance documentation, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

**Filing Arrangement:** Chronological by planning fiscal year

**Official File:** Action (originating and/or receiving) Office

**Disposition:** **PERMANENT.** Cut off at fiscal year end of planning period. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

**4417**

**Individual Fire Reports**

**Contents:** Include, but not limited to, the following records: reports on individual fires, fire dispatch logs, weather reports, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

**Filing Arrangement:** Chronological by reporting fiscal year

**Official File:** Action (originating and/or receiving) Office

**Disposition:** PERMANENT. Cut off at fiscal year end of reporting period. Maintain in office of record for a maximum of 5 years after cut off, and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

**4418 Annual Forestry Reports**

**Contents:** Include, but not limited to, the following records: summary reports prepared by Agencies and Regional Offices for submission to Central Office, annual accumulative report prepared by Central Office, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

**Filing Arrangement:** Chronological by reporting year

**Official File:** Action (originating and/or receiving) Office

**Disposition:** **PERMANENT.** Cut off at fiscal year end of reporting period. Maintain in office of record for a maximum of 5 years after cut off, and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

4418a Annual Agency Forestry Reports

Refer to 4418 – Annual Forestry Reports

RESERVED

4418b Annual Regional Forestry Reports

Refer to 4418 – Annual Forestry Reports

RESERVED



4418c Annual Central Office Forestry Reports

Refer to 4418 – Annual Forestry Reports

RESERVED

4419 Annual Area Forestry Report

Refer to 4418 – Annual Forestry Reports

RESERVED

**4420 Timber Trespass**

**Contents:** Include, but not limited to, the following records: litigation documents concerning actions resulting from inadvertent or illegal removal of timber from Indian land, tender payment of trespass obligations, receipt of payment, claims, claim resolution(s), reports, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

**Filing Arrangement:** Numerical by tract

**Official File:** Action (originating/receiving) Office

**Disposition:** **PERMANENT.** Cut off at fiscal year end when action is completed. Maintain files in office of record for a maximum of five (5) years after cut off and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

**RECORDS SUBJECT TO THE PRIVACY ACT – 5 USC 552B.**

4421

Fire Trespass

**Contents:** Include, but not limited to, the following records: litigation documents concerning damage or destruction by fire to Indian-owned resources, tender payment of trespass obligations, receipt of payment, claims, claim resolution(s), reports, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

**Filing Arrangement:** Numerical by tract

**Official File:** Action (originating/receiving) Office

**Disposition:** PERMANENT. Cut off at fiscal year end when action is completed. Maintain files in office of record for a maximum of five (5) years after cut off and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

RECORDS SUBJECT TO THE PRIVACY ACT - 5 USC 552B.

**4422 Cumulative Forestry Comparative Statements**

**Contents:** Include, but not limited to, the following records: expenditure and deduction, transaction records providing current and accumulated totals, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

**Filing Arrangement:** Chronological by statement fiscal year

**Official File:** Action (originating and/or receiving) Office

**Disposition:** **PERMANENT.** Cut off at fiscal year end when statement is completed. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

**(New Item)**  
**4423 Timber Marketing**

**Contents:** Include, but not limited to, the following records: scope of work, budget, studies, surveys, tests, assessments, field notes, audits, analyses, statements, evaluations, consultations, results, plans, marketing indexes; industry trend reports, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

**Filing Arrangement:** Chronological by marketing fiscal year

**Official File:** Action (originating and/or receiving) Office

**Disposition:** **PERMANENT.** Cut off at fiscal year end of marketing period. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

(New Item)  
4424 Fire Fighter Management

**Contents:** Include, but not limited to, the following records:

**Fire Fighter Qualifications:** scope of work, budget, studies, surveys, tests, assessments, field notes, audits, analyses, statements, consultations, results, reports, individual fire fighter physical examination, training, experience history, fire fighting history, performance evaluation and reviews, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

**Administrative Determined (AD) Hires and Payment Teams:** scope of work, budget, studies, surveys, tests, assessments, field notes, audits, analyses, statements, evaluations, consultations, results, reports, requests and responses concerning program information from tribes, federal and state agencies, local governments, private organizations, and individuals, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

**Filing Arrangement:** Chronological by fire fighting season

**Official File:** Action (originating/receiving) Office

**Disposition:** Permanent. Cut off at fiscal year end of fire fighting season. Maintain in office of record for a maximum of 5 years after cut off, and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

**RECORDS SUBJECT TO THE PRIVACY ACT – 5 USC 552B.**

(New Item)

**4425 Fire Dispatch Logs**

**Contents:** Include, but not limited to, the following records: fire dispatch logs reporting notification of fire location and reported time to include fire name, Tribe or organization affected; invoice copies; maps; printouts of electronic mail; documents created through word processing and spreadsheet software applications; supporting documentation; and related correspondence.

**Filing Arrangement:** Chronological by fire dispatch date

**Official File:** Action (originating/receiving) Office

**Disposition:** Permanent. Cut off at fiscal year end of fire fighting season. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.



**(New Item)**

**4426a Fire Facility Construction Program File**

**Contents:** Include, but not limited to, the following records: scope of work; budget; studies; surveys; assessments; audits; analyses; statements; evaluations; consultations; reports; requests and responses concerning program information from tribes, federal and state agencies, local governments, private organizations, and individuals; printouts of electronic mail; documents created through word processing and spreadsheet software applications; supporting documentation; and related correspondence.

**Filing Arrangement:** Chronological by program fiscal year

**Official File:** Action (originating and/or receiving) Office

**Disposition:** Permanent. Cut off at fiscal year end when program initiative is completed or terminated. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

**(New Item)**  
**4426b Fire Facility Construction Project File**

**Contents:** Include, but not limited to, the following records: scope of work, budget, studies, surveys, tests, assessments, field notes, analyses, evaluations, results, reports, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

**Filing Arrangement:** Chronological by project fiscal year

**Official File:** Action (originating and/or receiving) Office

**Disposition:** Permanent. Cut off at fiscal year end when project is completed or terminated. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

(New Item)

**4427a Interagency Dispatch Operations Program File**

**Contents:** Include, but not limited to, the following records: scope of work; budget; studies; surveys; assessments; audits; analyses; statements; evaluations; consultations; reports; requests and responses concerning program information from tribes, federal and state agencies, local governments, private organizations, and individuals; printouts of electronic mail; documents created through word processing and spreadsheet software applications; supporting documentation; and related correspondence.

**Filing Arrangement:** Chronological by program fiscal year

**Official File:** Action (originating and/or receiving) Office

**Disposition:** Permanent. Cut off at fiscal year end when program initiative is completed or terminated. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

**(New Item)**  
**4427b Interagency Dispatch Operations Project File**

**Contents:** Include, but not limited to, the following records: scope of work, budget, studies, surveys, tests, assessments, field notes, audits, analyses, statements, evaluations, consultations, results, reports, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

**Filing Arrangement:** Chronological by project fiscal year

**Official File:** Action (originating and/or receiving) Office

**Disposition:** Permanent. Cut off at fiscal year end when project is completed or terminated. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

**(New Item)**  
**4428a Fire Equipment Program File**

**Contents:** Include, but not limited to, the following records: scope of work; budget; studies; surveys; tests; assessments; field notes; audits; analyses; statements; evaluations; consultations; results; reports; requests and responses for program information from tribes, states, central office, other entities, and individuals; printouts of electronic mail; documents created through word processing and spreadsheet software applications; supporting documentation; and related correspondence.

**Filing Arrangement:** Chronological by program fiscal year

**Official File:** Action (originating and/or receiving) Office

**Disposition:** Permanent. Cut off at fiscal year end when program initiative is completed or terminated. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

**(New Item)**  
**4428b Fire Equipment Project File**

**Contents:** Include, but not limited to, the following records: scope of work, budget, studies, surveys, tests, assessments, field notes, audits, analyses, statements, evaluations, consultations, results, reports, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

**Filing Arrangement:** Chronological by project fiscal year

**Official File:** Action (originating and/or receiving) Office

**Disposition:** Permanent. Cut off at fiscal year end when project is completed or terminated. Maintain in office of record for a maximum of 5 years after cut off, and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

(New Item)

**4429a Rural Fire Assistance Program File**

**Contents:** Include, but not limited to, the following records: scope of work; budget; studies; surveys; assessments; audits; analyses; statements; evaluations; consultations; reports; requests and responses concerning program information from tribes, federal and state agencies, local governments, private organizations, and individuals; printouts of electronic mail; documents created through word processing and spreadsheet software applications; supporting documentation; and related correspondence.

**Filing Arrangement:** Chronological by program fiscal year

**Official File:** Action (originating and/or receiving) Office

**Disposition:** Permanent. Cut off at fiscal year end when program initiative is completed or terminated. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

(New Item)

**4429b Rural Fire Assistance Project File**

**Contents:** Include, but not limited to, the following records: scope of work, budget, studies, surveys, tests, assessments, field notes, audits, analyses, statements, evaluations, consultations, results, reports, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

**Filing Arrangement:** Chronological by project fiscal year

**Official File:** Action (originating and/or receiving) Office

**Disposition:** Permanent. Cut off at fiscal year end when project is completed or terminated. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.



**(New Item)**

**4430a Wildland Fire Preparedness Program File**

**Contents:** Include, but not limited to, the following records: scope of work; budget; studies; surveys; assessments; audits; analyses; statements; evaluations; consultations; reports; requests and responses concerning program information from tribes, federal and state agencies, local governments, private organizations, and individuals; printouts of electronic mail; documents created through word processing and spreadsheet software applications; supporting documentation; and related correspondence.

**Filing Arrangement:** Chronological program fiscal year

**Official File:** Action (originating and/or receiving) Office

**Disposition:** Permanent. Cut off at fiscal year end when program initiative is completed or terminated. Maintain in office of record for a maximum of 5 years after cut off, and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

**(New Item)**  
**4430b Wildland Fire Preparedness Project File**

**Contents:** Include, but not limited to, the following records: scope of work, budget, studies, surveys, tests, assessments, field notes, audits, analyses, statements, evaluations, consultations, results, reports, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

**Filing Arrangement:** Chronological project fiscal year

**Official File:** Action (originating and/or receiving) Office

**Disposition:** Permanent. Cut off at fiscal year end when project is completed or terminated. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

(New Item)

**4431a Wildland Fire Suppression Program File**

**Contents:** Include, but not limited to, the following records: scope of work; budget; studies; surveys; assessments; audits; analyses; statements; evaluations; consultations; reports; requests and responses concerning program information from tribes, federal and state agencies, local governments, private organizations, and individuals; printouts of electronic mail; documents created through word processing and spreadsheet software applications; supporting documentation; and related correspondence.

**Filing Arrangement:** Chronological by program fiscal year

**Official File:** Action (originating and/or receiving) Office

**Disposition:** Permanent. Cut off at fiscal year end when program initiative is completed or terminated. Maintain in office of record for a maximum of 5 years after cut off, and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

**(New Item)**  
**4431b Wildland Fire Suppression Project File**

**Contents:** Include, but not limited to, the following records: scope of work, budget, studies, surveys, tests, assessments, field notes, audits, analyses, statements, evaluations, consultations, results, reports, printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

**Filing Arrangement:** Chronological by project fiscal year

**Official File:** Action (originating and/or receiving) Office

**Disposition:** Permanent. Cut off at fiscal year end when project is completed or terminated. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

(New Item)

**4432a Wildland Urban Interface Program File**

**Contents:** Include, but not limited to, the following records: scope of work; budget; studies; surveys; assessments; audits; analyses; statements; evaluations; consultations; reports; requests and responses concerning program information from tribes, federal and state agencies, local governments, private organizations, and individuals; printouts of electronic mail; documents created through word processing and spreadsheet software applications; supporting documentation; and related correspondence.

**Filing Arrangement:** Chronological by program fiscal year

**Official File:** Action (originating and/or receiving) Office

**Disposition:** Permanent. Cut off at fiscal year end when program initiative is completed or terminated. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

(New Item)  
4432b Wildland Urban Interface Project File

**Contents:** Include, but not limited to, the following records: scope of work; budget; studies; surveys; tests; assessments; field notes; audits; analyses; statements; evaluations; consultations; results; reports; fuel complex defined by kind, arrangement, volume, condition, and location that forms a special threat of ignition and resistance to control; printouts of electronic mail; documents created through word processing and spreadsheet software applications; supporting documentation; and related correspondence.

**Filing Arrangement:** Chronological by project fiscal year

**Official File:** Action (originating and/or receiving) Office

**Disposition:** Permanent. Cut off at fiscal year end when project is completed or terminated. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

**(New Item)**

**4433a Hazardous Fuels Reduction Program File**

**Contents:** Include, but not limited to, the following records: scope of work; budget; studies; surveys; assessments; audits; analyses; statements; evaluations; consultations; reports; requests and responses concerning program information from tribes, federal and state agencies, local governments, private organizations, and individuals; printouts of electronic mail; documents created through word processing and spreadsheet software applications; supporting documentation; and related correspondence.

**Filing Arrangement:** Chronological by program fiscal year

**Official File:** Action (originating and/or receiving) Office

**Disposition:** Permanent. Cut off at fiscal year end when program initiative is completed or terminated. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Transfer to the National Archives of the United States in accordance with the signed Standard Form 258, Agreement to Transfer Records to the National Archives of the United States.

**(New Item)**  
**4433b Hazardous Fuels Reduction Project File**

**Contents:** Include, but not limited to, the following records: scope of work; budget; studies; surveys; tests; assessments; field notes; audits; analyses; statements; evaluations; consultations; results; reports; fuel complex defined by kind, arrangement, volume, condition, and location that forms a special threat of ignition and resistance to control; printouts of electronic mail; documents created through word processing and spreadsheet software applications; supporting documentation; and related correspondence.

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# National Archives and Records Administration

PACIFIC REGION  
24000 AVILA ROAD, FIRST FLOOR-EAST ENTRANCE  
LAGUNA NIGUEL, CALIFORNIA 92677-3497

Date : October 31, 2003

Reply to

Attn of : Deborah Wayne, NRHLR

Subject : Appraisal of NARA Job No. N1-75-04-2

To : Director, NMWL

The United States Department of the Interior, Office of Special Trustee for American Indians (OST), Office of Trust Records (OTR) submits NARA Job Number N1-75-04-2, to provide revised disposition authorization for those records that are created by the Forestry and Fire function (records series 4400) of the Bureau of Indian Affairs (BIA).

The Forestry and Fire *Request for Records Disposition Authorization* (SF115) is the second in a series of six records schedules that have been submitted to the National Archives and Records Administration (NARA) by OTR to request disposition authorization for textual Trust-related records. The additional records schedules received to date are: N1-075-04-1, Environmental Quality Services (records series 4300); N1-075-04-3, Natural Resources (Range Management, records series 4500); N1-075-04-4, Real Estate Services and Land, Title and Records Office (LTRO, records series 4600); N1-075-04-5, Roads and Transportation (records series 4700); and N1-075-04-6, Irrigation and Power (records series 4900). These records schedules will completely supersede the disposition authorities for the related records that were approved by NARA on September 15, 1977, as NARA Job No. NC1-075-77-1, and on July 30, 1990, as NARA Job No. N1-075-89-1. In addition, the new records schedules will supersede all disposition authorities for these records that are listed in BIA records manuals, including but not limited to 43BIAM, 15 BIAM, 16BIAM, RCS96, and RCS98.

## Background

Against the backdrop of the *Cobell, et al. v. Norton, et al.* Indian trust litigation pending in the U.S. District Court for the District of Columbia, and the resulting *Cobell Fiduciary Obligation Compliance Plan* of January 6, 2003, the Department of the Interior (DOI) entered into a Memorandum of Understanding (MOU) with the National Archives and Records Administration (NARA), dated September 12, 2003. The purpose of the MOU is to provide a centralized storage facility, referred to as the *American Indian Records Repository*, for BIA, OST, and other DOI fiduciary trust records at NARA's Federal Records Center (FRC) in Lenexa, Kansas. This agreement is expected to result in the consolidation of approximately 200,000 cubic feet of BIA, OST, and related DOI textual records created and presently maintained at DOI as well as in

NARA's Lee's Summit facility. The textual records that are appraised as having historical value will be retained as permanent records on a long-term basis at the Lenexa facility.

NARA has been providing extensive advice and guidance to the Office of Trust Records and to the Office of the Assistant Secretary to the Department of the Interior on the development of records schedules for BIA records in textual and electronic media. This project has been on going since fiscal year 2000, during which time NARA has reviewed and provided comments on pre-submission sets of draft schedules for 13 components of electronic systems of the BIA and for the 4000 series of records in textual format. In keeping with the timetable of the Compliance Plan, these records schedules were submitted to NARA in final in September and October of 2003 for appraisal and approval.

In accordance with the Compliance Plan and the *Order Issuing Structural Injunction in Cobell*, dated September 25, 2003, the following timetable is now in effect: by December 31, 2003, defendant DOI is to establish and implement revised records retention schedules for non-electronic Trust records for BIA and OST, and by March 31, 2004, DOI is to establish and implement revised records retention schedules for electronic Trust records for BIA and OST, as described in the Compliance Plan.

On September 15, 2003, OTR submitted six additional records schedules to provide disposition authorization for electronic records in Trust-related systems. The electronic records will be appraised in separate records appraisal memoranda and will provide permanent disposition authorization for 13 electronic systems and subsystems.

## History

In an earlier opinion in the *Cobell* litigation, the district court set out at some length the history of interactions between the U.S. government and Indian tribes. *See Cobell v. Norton*, 91 F.Supp.2d 1, 7-12 (D.D.C. 1999), *affirmed and remanded*, *Cobell v. Norton*, 240 F.3d 1081 (D.C. Cir. 2001). A brief synopsis of the Court's more extended discussion is included below to provide the larger historical context behind the recommendation to deem permanent in nature portions of DOI's present record holdings pertaining or sufficiently related to Indian and tribal trust records.

In 1824, the Bureau of Indian Affairs (BIA) was created to implement the policy of the relocation of tribal communities from their homelands in the East and Midwest to land in the newly acquired Louisiana Purchase territory. For most of the Nineteenth Century, the Federal government entered into a series of treaties and agreements identifying the lands owned by the tribes. By the late 1870s, the Federal government had embarked upon an era during which the BIA became the provider of foods, goods, and services to the tribes.

In 1887, Congress passed the General Allotment Act, also known as the Dawes Act. The Dawes Act authorized the division of any Indian reservation into separate plots, and assigns the portions to individual tribal members, according to a prescribed formula. The head of a family was allotted a one-fourth section, or 160 acres; each single person over eighteen and each orphan child under eighteen was allotted a one-eighth section, or 80 acres; and each

non-orphan child under eighteen was allotted a one-sixteenth section, or 40 acres. The lands that were not allotted to Indian individuals were then opened to non-Indian settlement. The Federal government held allotted land in Trust for individual Indians for a period of 25 years. After the 25 years had passed, the Government could convey full title to the land to the Indian to whom the land had been allotted or it could extend the 25-year period at its discretion. Indians could not lease, sell, or burden their property without the approval of the Federal government.

With the enactment of the Indian Reorganization Act of 1934, the Federal government ended the allotment era and authorized the Secretary of the Interior to acquire land and place it in Trust for the tribes and for individual Indians. This Act also indefinitely extended the Trust period for the allotments that had already been made. As a result of the allotment process and the indefinite extension of the Trust period, the United States presently holds approximately eleven million acres of land in Trust for the heirs of the American Indians to whom they were originally allotted.

In the early 1950s, the Government withdrew recognition of the existence of certain tribes and forswore any responsibility to those tribes or their people as Indians. The tribal assets were either administered by a corporate entity or distributed among the tribal members. The termination policy ended quickly and after the 1960s, no further tribes were terminated. The end of the termination policy brought about the onset of the modern era of Indian policy: self-determination and self-governance. The enactment in 1975 of the Indian Self-Determination and Education Assistance Act (Public Law 93-638 and amendments) permits tribes to assume any of the functions BIA carries out on the reservation. Tribes may also assume those functions performed by Office of Trust Fund Management (OTFM) with regard to IIM Trust accounts, through a contract or compact with Interior. Under the Self-Determination Act, if BIA contracts with a tribe to allow that tribe to perform a function, the financial resources that BIA would use in providing that service, including the overhead, are transferred to the tribe. In essence, these funds, which represent almost seventy percent of BIA's budget, pass through BIA to the tribes.

In the 1980s, the Office of Management and Budget (OMB) placed the financial management of Indian Trust funds as a high-risk liability to the United States. Prompted in large part by the findings of a 1992 OMB report entitled "*Misplaced Trust*," Congress in 1994 enacted the Indian Trust Fund Management Reform Act, P.L. 103-412 ("the 1994 Act"). Congress has designated the Secretary of the Interior and the Secretary of the Treasury to be the Trustee-delegates of the United States, and the departments run by these two cabinet secretaries are entrusted with certain Trust management responsibilities.

The Trust responsibilities of the Treasury Department are to maintain and invest IIM funds, under the direction of the Interior Department, and to provide accounting and financial management services. The United States has entrusted most of its Trust obligations, however, to the Department of the Interior. Within the Interior Department, several agencies perform particular IIM Trust functions. These agencies include BIA, the Bureau of Land Management (BLM), the Office of Trust Funds Management (OTFM), and the Minerals Management Service (MMS).

On June 10, 1996, the named plaintiffs in *Cobell* commenced their present action against the Secretary of the Interior and other Federal officials, alleging that the mismanagement of the IIM Trust by the Interior and Treasury departments constituted a breach of their fiduciary duty to plaintiffs. The United States District Court for the District of Columbia certified the action as a class action on February 4, 1997, and designated the named plaintiffs as class representatives for all present and former IIM beneficiaries. On May 5, 1998, the Court bifurcated this action into two distinct phases. The Court describes the phases in this manner: Phase I of the litigation, also known as the "fixing the system" phase, focuses on the reforms instigated by defendants to bring the management of the IIM Trust into compliance with their fiduciary obligations. This phase is forward-looking, in that it attempts to discern whether defendants have reformed the management of the IIM Trust in such a way as to ensure that the United States will honor its fiduciary obligations to the Indian beneficiaries in the future. On September 25, 2003, the Court issued its latest opinion on this phase of the case (Mem. Op. "Fixing the System"), as well as the above-referenced *Order Issuing Structural Injunction*.

The Court has yet to hear testimony with respect to the Phase II portion of *Cobell*, also known as the "historical accounting phase," which will focus on the performance of a formal accounting of the IIM Trust, as required by the 1994 Act. This phase is backward looking, in that it attempts to discern to what extent the United States has honored its fiduciary obligations to the Indian beneficiaries who make up the *Cobell* class, from the inception of the Trust until the present date. The Court also issued an Opinion dated September 25, 2003, regarding "Historical Accounting." In the latter opinion and accompanying *Order Issuing Structural Injunction*, the Court set out various deadlines through calendar year 2007 for DOI to comply with carrying out a final accounting.

### **Records Appraisal**

The records in the 4400 series, Forestry and Fire program records, were examined on September 10 – 11, 2003, at the NARA Lee's Summit Federal Records Center facility. The Forestry records sampled date from 1929 to 1998. The Forestry records series review include: Timber Management Plans (4401); Timber Sales Contracts (4402); Timber Sale Data (4403); Timber Sale Ledgers (4404); Monthly Reports of Timber Cut (4405); Special Allotment Cutting Permits (4406); Timber Cutting Permits (4407); Log Scale Sheets (4408); Forestry Scale reports (4409); Forestry Check Sale Report (4410); Analysis of Obligations (4411); Forestry Working Papers (4412); Annual Financial Statements of Indian Lumber Companies (4414), including documents relating to the accountability of the agency for the cutting and selling of timber from allotted and Trust lands; related printouts of electronic mail messages and work processing documents; and related spreadsheets.

Included in the 4400 series were the records created by the Fire Program. The series of Fire Program Records reviewed dated from 1945-1994. The 4400 program records series reviewed included: Agency Fire Control Plans (4416); Individual Fire Reports (4417); Annual Area Fire Reports (4419b) which includes reports of acreage damaged from fire, timetables of event and the cost to the BIA; and Cumulative Forestry Comparative Statements (4422). The accessions reviewed also included printouts of the daily download of data from the National Incident

Command Center (NICC) [a multi-agency fire command center]. The daily downloads relate to fire sites on Trust land.

Records described as Fire Trespass records (series 4421) were incorrectly identified on BIA supporting documentation (such as the SF135). Upon review of the content of the box, the NARA team determined that the records related to correspondence from the Regional Solicitors Office relating to forestry matters from tours on land and allotment grazing not associated with Illegal Timber or Fire Trespasses. The same disposition that has been applied to all of the series of records listed on this records retention schedule will be applied to this set of correspondence files.

Timber Trespass Records (4420) were withdrawn from NARA Job No. N1-75-89-1, item 4420, and no records were located in the Lee's Summit holdings. Even though the records were not examined, this series is listed on this most recent records schedule submission and will no longer be in withdrawn status.

Located also was an accession described as "Weather Observation Logs". The Forestry Branch creates these records to document the daily weather conditions, taken from observation towers. The records date from 1947-1995. The Bureau of Indian Affairs has not scheduled these records, nor does there appear to be a matching item in this records disposition schedule. However, the same disposition that has been applied to all of the series of records listed on this records retention schedule will be applied to the Weather Observation Logs.

The following records series were not available for review: Annual Financial Statements for Indian Sawmills (4413); Forestry Manuscript or Annotated Maps (4415); Timber Trespass (4420); and Fire Trespass files (4421). Also, to the best of the NARA team's knowledge, the 11 new series and subseries that pertain to Timber Marketing (item 4423) and to fire management activities (items 4424 through 4433) of BIA, were not available for review at Lee's Summit.

## **Conclusion**

The five-year time period that the records are to be maintained in agency space after the annual cutoff of the files is appropriate to meet the business needs of the agency. Although the appraisal was limited to those BIA records stored at Lee's Summit and therefore not all records series in this records schedule were reviewed, the NARA team that conducted the appraisal work at Lee's Summit has sufficient expertise in records that document forestry and fire activities of Federal agencies. In light of the continued pendency of the *Cobell* litigation and the current posture of the case, we determined that the Forestry and Fire records are permanently valuable because of the significant secondary value of these records for future historical, economic, geographic, and demographic research.

Under the present circumstances, the permanent retention of these bodies of records is appropriate to assure Government accountability, to protect rights, and to document the national experience. Therefore, NARA Stakeholder Units and I concur with the proposed

disposition instructions for and the permanent retention of the records in the 4400 series. I recommend approval of this records schedule.

*Gyenne K. Wilson*

*for*

DEBORAH WAYNE  
Archives Specialist