

ISSUING OFFICIAL SIGNATURE

(Part 2)

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Indian Affairs Records Management Policy & Procedures Manual

Effective Date: October 09, 2015

Chapter: 1 General Policies and Objectives

Section: 1.1 Revisions to the Indian Affairs Records Management Manual

Originating Office: Office of Trust Records

1.1.1 Purpose.

The purpose of this section is to establish policy and procedures for the review, surname, and distribution of new or revised chapters or the removal of chapters from the Indian Affairs Records Management Manual (IARMM).

1.1.2 Scope.

The provisions of this section apply to Indian Affairs (IA) and the Office of the Special Trustee for American Indians (OST), hereinafter referred to as “bureaus.” The provisions of this section also apply to all other Bureaus and Offices within the Department of the Interior (DOI) that create, use, and manage Indian fiduciary trust records (IFTR), hereinafter referred to as “trust bureaus.”

1.1.3 Authorities.

A. Statutes.

1. 25 U.S.C., § 4001, The American Indian Trust Fund Management Reform Act of 1994, Public Law 103-412

B. Regulations.

1. 36 CFR, Part 1220, Federal Records, General

C. Guidance.

1. 110 DM 26, Office of the Special Trustee for American Indians (November 24, 2009)
2. 303 DM 6, Indian Fiduciary Trust Records (September 5, 2003)
3. 303 DM 2, Principles for Managing Indian Trust Assets (October 31, 2000)
4. 010 DS 1-H, Office of the Special Trustee for American Indians Directives System Handbook (November 7, 2013)

1.1.4 Policy.

REGULATORY REQUIREMENTS

- A. Office of Trust Records (OTR) shall maintain the IARMM as a recordkeeping directive for bureaus and trust bureaus. The IARMM establishes program objectives, responsibilities, and authorities for the creation, maintenance, and disposition of bureau records. The IARMM is

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reviewed and updated as necessary to ensure new regulatory or statutory requirements are incorporated (36 CFR 1220.34(c)).

GUIDANCE

- B. OTR shall manage the records management program in conformity with the legal obligations of the trust relationship between the Federal government and the American Indians (110 DM 26.2.A(1)a).
- C. Bureaus and trust bureaus who create, maintain, or use IFTR shall maintain their records in accordance to the IARMM (303 DM 6.4).

1.1.5 Objectives.

- A. Manage records to ensure compliance with regulatory and statutory requirements.
- B. Establish and issue IARMM policy and procedures for the bureau and trust bureau records management programs.
- C. Ensure IARMM provides guidance for the records and information life cycle management.
- D. Ensure records created and received are properly identified and maintained.
- E. Provide the bureaus an opportunity to comment on and propose changes to the policy and procedures contained in the IARMM.
- F. Ensure OTR reviews and approves all IARMM policy and procedures prior to surname and approval by management officials.

1.1.6 Responsibilities.

- A. Office of Trust Records (OTR). OTR shall plan, control, direct, organize, train, promote, and perform other managerial activities for a comprehensive records and information management program. This requirement applies to revisions, rescissions, interim directives, and proposals of new chapters and sections to the IARMM. OTR shall follow the OST Directives System Handbook to produce, receive approval, and publish the IARMM.
- B. Bureaus. Bureaus, including all offices and programs under its jurisdiction, shall comply with the IARMM, and submit comments and feedback to any revised or new chapters and sections for the IARMM.
- C. Trust Bureaus. Trust bureaus within DOI and the Office of the Secretary shall comply with applicable sections of the IARMM when they create, manage, or use IFTR.

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1.1.7 Procedures.

- A. Proposed New or Revisions to IARMM Chapters. Prior to proposing new or revised policy and/or procedures, bureaus shall submit draft chapters to OTR.
- B. Prepare and Assemble the Policy and Procedures Package. The originator of the proposed or revised policy and procedures shall assemble and forward the draft policy and procedures package to OTR for review and approval. The format of the proposed policy and procedures shall be as follows:
1. Proposed Chapter(s) or Revisions. The draft chapter of the policy and procedures package shall be assembled and submitted in the following order: 1) a clean copy of the draft policy and procedures, 2) flowcharts (includes charts or maps), 3) proposed forms, 4) applicable appendices, and 5) electronic copy (disk or CD-RW) of items 1-4. Forward the package to OTR.
 2. Supporting Documentation. Supporting documentation may include, as applicable, memoranda, results of studies, and/or legal authorities, etc., and shall be included in the package.
 3. Mark-Up Copies. Mark-up copies (made during the drafting process) of previously published chapters and forms, if applicable, shall be included in the package.
- C. Submit the Proposed Draft Policy and Procedures Package for OTR Review and Clearance.
1. Bureaus and/or trust bureaus shall ensure that all contents of the proposed policy and procedures are assembled and prepared as required.
 2. OTR shall review and analyze the proposed policy and procedures, flowcharts, and forms for format, structure, and clarity.
 3. OTR shall contact the originator if edits or changes become necessary.
- D. Review and Surname the IARMM. OTR shall coordinate with OST Policy Specialist stationed at RACA to review, approve, surname folder contents, and publish the IARMM at the conclusion of the surname process.
- E. Implementation of the IARMM.
1. OTR shall notify and distribute the approved IARMM chapter(s) and/or section(s) in electronic form to the bureaus and trust bureaus.
 2. OTR shall schedule and conduct education and training for bureaus and trust bureaus on the new or revised IARMM chapter(s).
 3. OST Policy Specialist stationed at RACA shall publish the final version of the IARMM chapter(s) and/or section(s) to OST public website.
- F. Rescissions, Interim Directives and Interim Records Management Guidance of the IARMM.
1. Rescissions. OTR shall propose rescissions in accordance to the OST Directives System Handbook and make notification of rescissions to bureaus and trust bureaus.

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2. Interim Directives. OTR shall prepare and circulate interim directives for review and comment from OST. See Section 1.1.7.D and E for review, surname, and implementation.
3. IA Interim Records Management Guidance.
 - a. When proposed records management guidance requires IA to take action, OTR shall:
 - i. prepare and submit interim records management guidance to IA for review and comment. The review and comment process will be initiated through the IA's Database Tracking System.
 - ii. prepare and submit the final and approved interim records management guidance to IA's Office of Information Technology for publication on IA's intranet records management site.
 - b. When proposed records management guidance relays information and does not require IA to take action, OTR shall prepare and submit the final and approved interim records management guidance to IA's Office of Information Technology for publication on IA's intranet records management site.