OFFICE OF THE SPECIAL TRUSTEE FOR AMERICAN INDIANS

IARMM TRANSMITTAL SHEET

DOCUMENT IDENTIFICATION NUMBER	SUBJECT	ACTION
Chapter 1, Section 1.3	**GENERAL POLICIES AND OBJECTIVES, RECORDS SCHEDULE**	REPLACE
FOR FURTHER INFORMATION		**ISSUANCE DATE**
Office of Trust Records 505-816-1607		07/21/2009

This release prescribes the policy and procedures for developing and approving records schedules. This release replaces the former version of "Records Schedule" that was issued 11/24/03. The section number is changed from 6.0 to 1.3.

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Director, Office of Trust Records

FILING INSTRUCTIONS:

Insert: On the Trust Portal in the Trust Library under Program Offices, OCIO, Office of Trust Records, Manual.

Effective Date: July 21, 2009
Chapter: 1.0 General Policies and Objectives
Section: 1.3 Records Schedule

Originating Office: Office of Trust Records

1.3.1 Purpose.

This chapter establishes policy and procedures for developing and approving record schedules for the Office of the Special Trustee for American Indians (OST) and all Indian Affairs programs. Indian Affairs, as used in this manual, refers to program offices in the Bureau of Indian Affairs (BIA), the Office of Justice Services, and the Bureau of Indian Education.

1.3.2 Authorities.

A. 44 U.S.C., Federal Records Act.

B. 36 CFR, National Archives and Records Administration.

C. 130 DM 1, Bureau of Indian Affairs (April 21, 2003).

1.3.3 Policy.

The Office of Trust Records (OTR) will coordinate with OST and Indian Affairs offices in developing records schedules and will provide training and technical assistance in the implementation of the record schedules.

1.3.4 Objectives.

The objectives of this policy and procedures are as follows:

A. To develop a comprehensive record schedule for OST and Indian Affairs programs.

B. To conduct a careful analysis of OST's and Indian Affairs' creation and maintenance of documents.

C. To provide mandatory instructions for the retention and disposition of records and nonrecord materials.

1.3.5 Responsibilities.

A. Bureau of Indian Affairs (BIA). BIA has the responsibility and authority for the implementation and management of BIA's records management program in accordance with the Federal Records Act, 130 DM 1, BIA, DOI, and OTR policies and procedures set forth in the Indian Affairs Records Management Manual (IARMM). BIA program offices will coordinate and assist OTR in establishing and developing appropriate records schedules.

B. Office of the Special Trustee for American Indians (OST). OST has the responsibility and authority for the implementation and management of OST's records management program in accordance with the Federal Records Act, 130 DM 1, BIA, DOI, and OTR policies and procedures set forth in the IARMM. OST program offices will coordinate and assist OTR in establishing and developing appropriate records schedules for the Indian Affairs Records Schedule.

C. Office of Trust Records (OTR). OTR has the responsibility and authority for establishing and managing the Indian Affairs Records Management Program for both OST and Indian Affairs, including the development of records schedules, providing analysis on the creation, and maintenance of documents for OST and Indian Affairs, as well as applying disposition authorities for nonrecord materials with NARA approved records disposition authorities.

1.3.6 Procedures.

A. Formulation of Records Schedules. Though records disposition authority may be requested from NARA on a program-by-program, function-by-function, or office-by-office basis, all records must be scheduled. Schedules must follow the guidelines provided below:

1. Schedules shall identify and describe clearly each series or system and shall contain disposition instructions that can be readily applied. Schedules must be prepared so that each office will have standing instructions detailing the disposal, transfer, or retention of records.

2. All schedules shall take into account the physical organization of records or the filing system so that disposal or transfer can be handled in blocks. A "block" is one or more chronological segments of cutoff, or closed, records that are in the same series and are dealt with as a unit for disposition purposes. For example, a transfer of records in 5-year blocks.

3. The disposition of nonrecord materials is controlled by instructions in the Indian Affairs Records Schedule.

4. Records schedules shall provide for:

a. The destruction of records that have served their statutory, fiscal, or administrative uses and no longer have sufficient value to justify further retention;

b. The transfer to the American Indian Records Repository (AIRR) of records not eligible for immediate destruction, or other disposition, but which are no longer needed in the office. These records are maintained by AIRR until they are eligible for further disposition action;

c. The retention of the minimum volume of current records in office space consistent with effective and efficient operations; and

d. The identification of records of permanent value and the establishment of cut-off periods and dates when such records will be transferred to NARA.

B. Developing Records Schedules. All OST and Indian Affairs records created and maintained must be scheduled. However, all records do not need to be scheduled at the same time. Those records that have not been scheduled are referred to as "unscheduled" records. Records created and maintained as "unscheduled" will carry the disposition "Permanent" until scheduled and approved by NARA. OST or Indian Affairs program offices shall work with the Regional Records Liaison (RRL) and OTR staff in scheduling records identified as "unscheduled."

1. OST and Indian Affairs program offices shall complete Records Inventory Form (IARM Form 1002) for records that cannot be identified in the General Records Schedule or the Indian Affairs Records Schedule. RRL will forward the Records Inventory Form to OTR for review and approval. OTR will prepare a response concerning the status of the Records Inventory Form and forward it to the RRL. RRL will forward response and discuss status with the appropriate OST or Indian Affairs program office.

1.3.7 Appendix.

A. IARM Form 1002, Records Inventory Form.

INSTRUCTIONS FOR COMPLETING
IARM FORM 1002, RECORDS INVENTORY

1. CONTACT INFORMATION:

a-g. Provide date, contact name, region, agency (if applicable), program, phone and fax number.

2. RECORDS INFORMATION:

a. Are records part of an existing records series already scheduled? Check applicable box. If Yes is checked, proceed to 2b and continue. If No is checked, proceed to 2d and continue.
b. Records schedule: Check the records schedule where these records are scheduled.
c. Records series #: Indicate the records series where these records are scheduled.
d. Type of records: Check the applicable box.
e. Title of records: Provide the title of records either for the records that are already scheduled or for those records that are not scheduled.
f. Description of records (detailed description of records): Provide a complete description of the records.
g. Are these records part of a new function, program, or a changed process? Check the applicable box. If yes, provide the name and description of the new function, program or process.
h. Are these records the product of an electronic records system? Check the applicable box. If yes, provide title of the system.
i. Suggested Filing Arrangement. Provide a suggested filing arrangement for the records (i.e. alphabetically, numerically, etc.).
j. Who maintains official file?: Who maintains the official file (i.e., central office, regional office, agency office).
k. Are these records subject to the Privacy Act?: Check the applicable box.
l. Type of media: Check the applicable box. If other, explain.

3. DISPOSITION INFORMATION:

a. Suggested cut-off: Provide a suggested cut-off (i.e., end of the fiscal year, end of the fiscal year when project is closed, etc.).
b. How long do you suggest the records be maintained in office after cut-off? Indicate how long these records should be maintained at the program office after they are cut-off (i.e., 2 years, 5 years, 10 years, etc.)?
c. Why do you suggest the records be maintained this long? State why should these records be maintained for the length of time indicated.
d. Are these records temporary? Check the applicable box. If Yes, provide retention.
e. Are these records permanent? Check the applicable box. If Yes, provide justification.
Provide Justification: Provide reason(s).

4. ADDITIONAL INFORMATION:

a. On what date were these records first created?: Provide month and year.
b. What is the annual growth of these records?: Indicate the annual growth of these records in cubic feet (i.e., 5 cubic feet).
c. Do other regional, agency or field offices maintain these records?: Check the applicable box. If Yes, indicate the region, agency (if applicable), program office, contact name, phone and fax number.
d-h. Region, Agency, Program Office, Contact Name, Phone #, and Fax #: Self-explanatory.

5. REGIONAL RECORDS LIAISON REVIEW:

a-b. Print name and sign.

RECORDS INVENTORY

1. CONTACT INFORMATION:		
a. Date:	b. Contact Name:	
c. Region:	d. Agency:	
e. Program:	f. Phone #:	g. Fax #:

2. RECORDS INFORMATION:

a. Are records part of an existing record series already scheduled?
☐ Yes, skip to 2b and continue ☐ No, go to 2d and continue

b. Records Schedule:
☐ Indian Affairs Records Schedule (IARS) ☐ General Records Schedules (GRS)

c. Records Series #:

d. Type of records: ☐ Trust Records ☐ General Trust Records

e. Title of Records:

f. Description of Records (detailed description of records):

g. Are these records part of a new function, program, or a changed process? ☐ Yes (explain) ☐ No

h. Are these records the product of an electronic records system?
☐ Yes (Title of the system and explain) ☐ No

i. Suggested Filing Arrangement:	j. Who maintains official file?

k. Are these records subject to the Privacy Act? ☐ Yes ☐ No

l. Type of Media: ☐ Paper ☐ Electronic Records ☐ Audiovisual
☐ Microform ☐ Photograph ☐ Other (explain) _____

3. DISPOSITION INFORMATION:

a. Suggested cut-off:

b. How long do you suggest the records be maintained in office after cut-off?

c. Why do you suggest the records be maintained this long?

d. Are these records temporary? ☐ Yes (see below) ☐ No

Provide suggested retention:

e. Are these records permanent? ☐ Yes (see below) ☐ No

Provide justification:

4. ADDITIONAL INFORMATION:

a. On what date were these records first created?

b. What is the annual growth of these records? (cubic feet)

c. Do other regional, agency or field offices maintain these records? ☐ Yes (complete below) ☐ No

d. Region:	e. Agency:
f. Program Office:	g. Contact Name:
g. Phone #:	h. Fax #:

5. REGIONAL RECORDS LIAISON REVIEW:

a. Print Name:	b. Signature: