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Indian Affairs Records Management Policy & Procedures Manual

Effective Date: October 09, 2015

Chapter: 1 General Policies and Objectives

Section: 1.3 Records Schedule

Originating Office: Office of Trust Records

1.3.1 Purpose.

The purpose of this section is to establish policy and procedures for the development, approval, and maintenance of record schedules. Record schedules ensure records are properly organized, classified, described, and provide records retention and disposition instructions.

1.3.2 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 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.”

1.3.3 Authorities.

A. Statutes.

1. 44 U.S.C., Chapter 33, Disposal of Records

B. Regulations.

1. 36 CFR, Part 1220, Federal Records; General
2. 36 CFR, Part 1224, Records Disposition Programs
3. 36 CFR, Part 1225, Scheduling Records
4. 36 CFR, Part 1226, Implementing Disposition
5. 36 CFR, Part 1236, Electronic Records Management

C. Guidance.

1. 380 DM 6, Indian Fiduciary Trust Records (September 5, 2003)
2. 380 DM 2, Principles for Managing Indian Trust Assets (October 31, 2000)

1.3.4 Policy.

STATUTORY REQUIREMENTS

- A. Office of Trust Records (OTR) shall maintain the Indian Affairs Records Schedule (IARS) as the official records schedule for all records not covered by the newly published DOI Department Records Schedule (DRS), Administrative Records. The IARS provides

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mandatory disposition instructions for the bureaus. The IARS is in the process of migrating to the DRS (44 U.S.C. 3303).

- B. The DRS Administrative Records provides mandatory disposal for administrative records common to several or all bureaus and offices within DOI. The DRS Administrative Records supersedes the existing GRS, however, not all series items are affected. The unaffected series items remain active and in use (44 U.S.C 3303a(d)).

REGULATORY REQUIREMENTS

- C. Bureaus shall implement and apply the NARA approved records schedule to ensure records are maintained to conduct daily business, protect rights, and preserve permanent records for final disposition (36 CFR 1226.10).
- D. Bureaus shall apply standards, procedures, and techniques to maintain and secure records deemed appropriate for preservation and facilitate the segregation and proper disposal of temporary records (36 CFR 1220.30(c)(2)).
- E. Bureaus shall organize and maintain their records to facilitate their use and ensure integrity throughout their authorized retention period (36 CFR 1220.32(b)).
- F. Bureaus shall protect their records in a safe and secure environment. The removal or destruction shall be carried out only as authorized in the NARA approved records schedule (36 CFR 1220.32(e)).
- G. Bureaus shall incorporate the records maintenance, storage, and disposition practices into their programs, processes, systems, and procedures (36 CFR 1220.34(d)).
- H. Bureaus shall integrate records management and archival requirements into the design, development, and implementation of new or revised recordkeeping systems (i.e., electronic information systems or paper) (36 CFR 1220.34(e), 36 CFR 1224.10(d)).
- I. Bureaus shall implement NARA approved records schedule for all records and transfer eligible permanent records to the National Archives (36 CFR 1224.10(a)).
- J. Bureaus shall assist with the annual review and update of the NARA approved records schedule (36 CFR 1224.10(c)).
- K. Government contractors shall maintain records in compliance with the NARA approved records schedule (36 CFR 1225.10).
- L. Bureaus shall submit records schedules that are media neutral, i.e., the disposition instructions apply to the described records in any medium unless the schedule identifies a specific medium for a specific series (36 CFR 1225.12(e)).
- M. Bureaus shall treat all unscheduled records as permanent until a new schedule is approved (36 CFR 1225.14(c)(2)).

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N. Bureaus shall schedule all electronic records, electronic information systems (new or existing), and website content records (36 CFR 1236.26).

GUIDANCE

O. Bureaus shall identify, inventory, schedule, and maintain IFTR in accordance with the OTR's records management policies and procedures (303 DM 6.4).

P. Trust bureaus shall:

1. Use the Decision Tree to assess and identify records that meet the terms of IFTR (303 DM 6.8).
2. Ensure IFTR are identified, inventoried, and reflected in their respective records schedule as approved by NARA (303 DM 6.6.D).
3. Ensure the records schedule includes a separate chapter or section for IFTR. All new or revised records schedules must be coordinated for review with OTR prior to submission to NARA for approval (303 DM 6.8).
4. Reassess records to ensure all IFTR are identified at the end of each fiscal year. An updated IFTR records schedule shall be submitted to OTR (303 DM 6.8).

Q. Bureaus and trust bureaus shall establish and maintain a verifiable system of records that protects and preserves Indian trust assets (303 DM 2).

1.3.5 Objectives.

- A. Maintain a comprehensive records schedule for bureau programs ensuring all records are scheduled.
- B. Develop, implement and disseminate an approved records schedule.
- C. Periodically conduct a careful analysis of bureau program records retention, disposition and maintenance requirements and update, if necessary.
- D. Provide mandatory instructions for the retention, disposition and maintenance of records, ensuring permanent records are transferred.
- E. Provide training and technical assistance in the implementation of a records schedule.

1.3.6 Responsibilities.

- A. Office of Trust Records (OTR). OTR shall issue, update, and disseminate the Indian Affairs Records Management Manual as policy and procedural guidance to establish, implement and maintain the NARA approved records schedule (mission related).

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- B. Bureaus. Bureaus, including all offices and programs under its jurisdiction, shall implement the NARA approved records schedule. Bureaus shall collaborate with OTR in periodic evaluations of bureau records to revise and/or develop records series.
- C. Trust Bureaus. Trust bureaus within DOI shall ensure an authorized records schedule is applied for proper retention, disposition, and maintenance of IFTR.

1.3.7 Procedures.

- A. Maintenance of a Records Schedule. Maintenance of a records schedule requires:
 - 1. Periodic reviews and analysis of the NARA approved records schedule (mission related).
 - 2. Updates or revisions of the NARA approved records schedule (mission related), as necessary.
 - 3. Identification of unscheduled bureau records and electronic information systems.
 - 4. Research of current and new policies, statutes, and regulations.
 - 5. Coordination of scheduling activities with all identified bureau stakeholders.
- B. Evaluation of Bureau Records and Records Schedules. A periodic review of bureau records and an analysis of their functions and business practices shall be conducted to:
 - 1. Identify changes in business needs, functions, and activities by:
 - a. Conducting a functional or work process analysis.
 - b. Consulting with program Subject Matter Experts (SMEs) in coordination with Regional Records Liaison (RRL) and/or Records Management Specialist (RMS).
 - c. Reviewing new policies, statutes, and regulations.
 - 2. Evaluate findings and determine the need to:
 - a. Revise an existing record series.
 - b. Place a record series in "Reserved" status.
 - c. Create a new record series.
- C. Revision of an Existing Record Series. Record series are revised when it is determined there is need to update and/or change in one or more of the following areas:
 - 1. Content – Purpose statements, description of records, filing arrangement or identification of the official file.
 - 2. Retention and Disposition – Records of permanent or temporary value, cut-off, disposal and/or transfer of records instructions.
 - 3. Privacy Act - Notations which identify record series containing personal identifiable information and related citation.
- D. Rescission of a Record Series and Placement in “Reserved” Status.
 - 1. An office or program may request an existing record series to be rescinded when:

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- a. A program is terminated,
 - b. Records are no longer created or received,
 - c. There is a duplication or redundancy within the records schedule, or
 - d. Program activities or operations have integrated with other existing programs.
2. Record series will be notated on the records schedule as “Reserved” and include the following:
 - a. A date indicating when the record series was placed in “Reserved” status,
 - b. A “Refer to” notation indicating what replacement records schedule the record series is cross walked to, or
 - c. If the record series is discontinued, a notation on the records schedule explaining why it is no longer needed.
 3. The “Reserved” record series will remain in the NARA approved records schedule (mission related).
- E. Development of a New Record Series and Identification of Unscheduled Records. A new record series may be required for a newly established program or function and the review of activities and operations of existing programs may require the creation of a new record series. Records are referred to as “Unscheduled Records” when they cannot be identified in the NARA approved records schedule. New and unscheduled record series will be developed as follows:
1. Bureau program offices shall complete Records Inventory Form, IARM Form 1002 (Appendix A).
 - a. Transmit the completed form to the RRL or RMS.
 - b. RRL or RMS will review the form for completeness and submit to OTR for review, evaluation, and approval.
 - c. OTR will coordinate and collaborate with the RRL or RMS and bureau program offices, as necessary.
 - d. A final determination is made and forwarded to the Responsible Records Officer for approval and for submission to the DOI and/or NARA.
- F. Review, Approval and Implementation Process for New Record Series.
1. Lead RMS will:
 - a. Prepare and submit the draft record series for bureau program review.
 - b. Incorporate accepted edits and comments from the bureau program into the draft record series.
 - c. Prepare and submit the preliminary final draft record series and SF-115 Request for Records Disposition Authority to OTR management for review and approval.

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2. Responsible Records Officer will approve the new or revised record series by signing the SF-115 and returning it to the lead RMS for processing to DOI and/or NARA for final approval.
3. Lead RMS will:
 - a. Submit the approved SF-115 and records schedule series to the DOI Records Officer and/or NARA.
 - b. Respond to comments and feedback from the DOI Records Officer and/or NARA until final approval is received. This process may require additional information from program SMEs.
 - c. Post the approved records series and provide official notice by transmittal sheet to all bureau senior officials for implementation.

1.3.8 Appendix.

- A. Records Inventory Form, IARM Form 1002.

APPENDIX A



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? <input type="checkbox"/> Yes, skip to 2b and continue <input type="checkbox"/> No, go to 2d and continue		
b. Records Schedule: <input type="checkbox"/> Department Records Schedule (DRS) (mission related) <input type="checkbox"/> Administrative Records (DRS)		c. Records Series #:
d. Type of records: <input type="checkbox"/> Trust Records <input type="checkbox"/> 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? <input type="checkbox"/> Yes (explain) <input type="checkbox"/> No		
h. Are these records the product of an electronic records system? <input type="checkbox"/> Yes (Title of the system and explain) <input type="checkbox"/> No		
i. Suggested Filing Arrangement:	j. Who maintains official file?	
k. Are these records subject to the Privacy Act? <input type="checkbox"/> Yes <input type="checkbox"/> No		
l. Type of Media: <input type="checkbox"/> Paper <input type="checkbox"/> Electronic Records <input type="checkbox"/> Audiovisual <input type="checkbox"/> Microform <input type="checkbox"/> Photograph <input type="checkbox"/> 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? <input type="checkbox"/> Yes (see below) <input type="checkbox"/> No		
Provide suggested retention:		
e. Are these records permanent? <input type="checkbox"/> Yes (see below) <input type="checkbox"/> 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? <input type="checkbox"/> Yes (complete below) <input type="checkbox"/> 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:	