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John E. White, Deputy Special Trustee – Program Management

**Indian Affairs Records Management  
Policy & Procedures Manual**

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**Effective Date: October 09, 2015**

**Chapter:** 1 General Policies and Objectives

**Section:** 1.4 Records Management Program Policy

**Originating Office:** Office of Trust Records

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**1.4.1 Purpose.**

The purpose of this section is to establish policy supporting recordkeeping requirements to ensure adequate and proper documentation of activities is recorded, maintained, and preserved.

**1.4.2 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.”

**1.4.3 Authorities.**

**A. Statutes.**

1. 44 U.S.C., Chapter 31, Records Management by Federal Agencies
2. 44 U.S.C., Chapter 29, Records Management by the Archivist of the United States and by the Administrator of General Services
3. 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. Executive Office of the President, Office of Management and Budget, Memorandum for the Heads of Executive Departments and Agencies and Independent Agencies, M-12-18, Managing Government Records Directives (August 24, 2012)
5. Federal Enterprise Architecture Records Management Profile; *Version 1.0*, National Archives and Records Administration, Office of Management and Budget, and Architecture

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and Infrastructure and Committee, Federal Chief Information Officers Council (December 15, 2005)

6. OMB Circular No. A-130 Revised, Transmittal Memorandum No. 4, Memorandum for Heads of Executive Departments and Agencies, Management of Federal Information Resources

### **1.4.4 Policy.**

#### STATUTORY REQUIREMENTS

- A. Bureaus shall create and preserve records ensuring adequate and proper documentation of their organization, functions, policies, decisions, procedures, and essential transactions. Records management practices shall be adequate to furnish the information necessary to protect the legal and financial rights of the Government and of persons directly affected by the bureaus' activities (44 U.S.C. 3101).
- B. Bureaus shall establish and maintain an active, continuing program for the economical and efficient management of records (44 U.S.C. 3102). The records management program shall provide for:
  1. Effective controls over the creation, maintenance, and use of records in the conduct of current business, and
  2. Cooperation with the Archivist to apply standards, procedures, and techniques designed to improve the management of records, promote the maintenance and security of records deemed appropriate for preservation, and facilitate the segregation and destruction of records of temporary value.

#### REGULATORY REQUIREMENTS

- C. Bureaus shall comply with National Archives and Records Administration (NARA) regulations and the recordkeeping requirements issued by Office of Trust Records (OTR) in the Indian Affairs Records Management Manual (IARMM). The IARMM and other statutes, regulations, and authoritative issuances provide additional requirements that govern how records are created, captured, maintained, and disposed of, including the length of preservation for evidential purposes (36 CFR 1220.18).
- D. Bureaus shall create and maintain authentic, reliable, and usable records and ensure that they remain so for the length of their authorized retention period (36 CFR 1220.32). A comprehensive records management program provides policies and procedures to ensure that:

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1. Records documenting the bureaus' business are created and captured.
2. Records are organized and maintained to facilitate their use and ensure their integrity throughout their authorized retention periods.
3. Records are available when needed, where needed, and in a usable format to conduct business.
4. Legal and regulatory requirements, relevant standards, and OTR policies are followed.
5. Records are protected in a safe and secure environment and removal or destruction is carried out only as authorized in a records schedule.
6. Continuity of operations is supported by a vital records program.

### GUIDANCE

- E. OTR shall manage a records management program consistent with the requirements set forth in 44 U.S.C. for the bureaus. OTR shall also manage the DOI's IFTR in concert with trust bureaus. OTR shall coordinate records management activities with the Office of the Solicitor, NARA, the Department of Justice, and the Office of Management and Budget (110 DM 26.2.A(1)).
- F. Bureaus and trust bureaus shall establish and maintain a verifiable system of records that documents the evidence of DOI's actions regarding the management and disposition of Indian trust assets, permits beneficial owners to obtain information regarding their Indian trust assets in a timely manner, and protects the privacy of such information in accordance with applicable statutes (303 DM 2.7.I, J).
- G. Bureaus and trust bureaus who create, maintain, or use IFTR shall comply with its respective trust bureau's and OTR's records management policy and procedure (303 DM 6.4).
- H. Bureaus must observe, commit, and implement the long-term goals of managing digital information and electronic records as outlined in the Managing Government Records Directive (M-12-18, Managing Government Records Directives).
- I. Bureaus must incorporate records management requirements, policies, and procedures into business processes, enterprise architectures, and information systems by effectively and consistently applying the reference modules stated in the Records Management Profile in the Federal Enterprise Architecture (FEA).
- J. Bureaus must incorporate records management and archival functions into the design, development, and implementation of information systems (OMB Circular No. A-130, Revised, 8a).

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**1.4.5 Objectives.**

- A. Document and simplify the activities, transactions, systems, and processes of records created, maintained, and used.
- B. Preserve and dispose of records in accordance with an approved records schedule.
- C. Focus continuing attention on records management from initial creation to final disposition with particular emphasis on the prevention of unnecessary records.
- D. Incorporate electronic recordkeeping to best utilize resources in the performance of records management operations.

**1.4.6 Responsibilities.**

- A. Office of Trust Records (OTR). OTR, an office within OST, shall plan, control, direct, organize, train, promote, and perform other managerial activities for a comprehensive records management program. OTR, with full authority and oversight of records management activities, shall develop and implement a records management program that is consistent with DOI's guidelines, NARA's statutory and regulatory requirements, executive and secretarial orders, and other applicable Federal statutes and regulations. OTR shall issue, update, and disseminate the IARMM as policy and procedural guidance to establish and implement a records management program for bureaus and trust bureaus.
- B. Bureaus. Bureaus, including all offices and programs under its jurisdiction, shall create, maintain, and preserve records that document programmatic and administrative activities, and ensure a NARA approved records schedule is applied for proper disposition of records that are no longer needed for daily business. Bureaus shall adhere to the IARMM prescribed by OTR.
- C. Trust Bureaus. Trust bureaus within DOI are responsible to create, maintain, and preserve IFTR that document IFTR activities, and ensure an approved IFTR schedule is applied for proper disposition for IFTR no longer needed for daily business. Trust bureaus shall adhere to the IARMM prescribed by OTR for the management of IFTR.