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John E. White, Deputy Special Trustee – Program Management

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

Effective Date: October 09, 2015

Chapter: 1 General Policies and Objectives

Section: 1.5 Records Management Roles and Responsibilities

Originating Office: Office of Trust Records

1.5.1 Purpose.

This purpose of this section is to establish policy supporting the identified roles and responsibilities of the Indian Affairs Records Management program and network.

1.5.2 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.”

1.5.3 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. Memorandum, Bernard J. Mazer, Chief Information Officer, Managing Federal Records and Documents for Departing Political Appointees (February 15, 2013)
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. OMB Circular No. A-130 Revised, Transmittal Memorandum No. 4, Memorandum for Heads of Executive Departments and Agencies, Management of Federal Information Resources

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1.5.5 Policy.

REGULATORY REQUIREMENTS

- A. Bureaus shall assign records management responsibilities within the agency to coordinate and oversee implementation of a comprehensive records management program and principles (36 CFR 1220.34(a)).
- B. Bureaus shall assign records management responsibilities in each program (mission) and administrative area to ensure the incorporation of recordkeeping requirements into the bureaus' programs, processes, systems, and procedures (36 CFR 1220.34(d)).

GUIDANCE

- C. OTR shall manage the bureaus' records management program in compliance with the federal laws and regulations (110 DM 26.2.A(1)).
- D. OTR shall manage the IFTR in concert with trust bureaus (110 DM 26.2.A(1)).
- E. OTR shall authorize access to records at the American Indian Records Repository (AIRR) for the continued protection, preservation, inventory, and storage of all DOI's IFTR (110 DM 26.2.A(1), 303 DM 6.6(B)).
- F. Trust bureaus shall ensure that all IFTR under their control are identified, inventoried, scheduled, and maintained in accordance with their own records management policies and procedures and the Indian Affairs Records Management Manual (IARMM) (303 DM 6.6(C and D)).
- G. Political appointees departing their employment with the bureaus must print and file all documents identified as federal records to be retained and preserved by the bureaus. This requirement includes electronic documents (including email) and paper records (Managing Federal Records and Documents for Departing Political Appointees, February 15, 2013).
- H. Bureaus must implement the long-term goals of managing digital information and electronic records and other specific actions outlined in Presidential Directive M-12-18, Managing Government Records Directive, August 24, 2012.
- I. Bureaus must implement all of the information policies, principles, standards, guidelines, rules, and regulations prescribed by Office of Management and Budget (OMB) (OMB Circular No. A-130 Revised, 9a(b)).

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1.5.6 Objectives.

- A. Identify roles and responsibilities of key bureau staff.
- B. Ensure bureau staff is well-informed of their records management roles and responsibilities.
- C. Provide adequate training and education to bureau staff on the records management.

1.5.7 Roles and Responsibilities.

- A. **Responsible Records Officer (RRO).** The Director, Office of Trust Records (OTR), is designated as the bureaus' Responsible Records Officer. RRO shall:
 - 1. Create and maintain a Bureau Records Management Plan.
 - 2. Comply with legal obligations including, but not limited to, preservation and litigation holds.
 - 3. Respond to data calls and information requests.
 - 4. Coordinate and oversee implementation of the bureaus' comprehensive records management program and principles.
 - 5. Ensure bureau staff is aware of and understands their records management responsibilities.
 - 6. Ensure electronic recordkeeping requirements are fully implemented including establishing records schedules for new and existing electronic systems, maintaining electronic information systems in accordance with approved records schedules, and properly transferring permanent systems to the National Archives.
 - 7. Issue records management policies and procedures and ensure all applicable federal laws, statutes, regulations, executive and secretarial orders, and National Archives and Records Administration (NARA) regulations are incorporated into the IARMM.
 - 8. Develop and provide training to bureau and trust bureau staff on their records management responsibilities with an emphasis on IFTR.
 - 9. Coordinate the development of a records schedule and obtain the NARA approval of schedules prior to implementation.
 - 10. Ensure trust bureaus comply with 303 DM 6, Indian Fiduciary Trust Records.
 - 11. Institute internal controls to ensure that all records are properly organized, classified or indexed, described, protected, and made available for bureau staff use.
 - 12. Provide records management support and training to Indian tribes and Alaska Natives by assisting with the development of a tribal records management program.
 - 13. Designate a records management network to carry out records management responsibilities including, but not limited to, Regional Records Liaisons (RRLs), Records

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Management Specialists (RMSs), and Records Contacts (RCs), as required by NARA regulations, executive and secretarial orders, and the Departmental Manual.

14. Ensure vital records are identified in the bureaus' Continuity of Operations Plans.

15. Ensure exit clearance policies, procedures, and guidance are followed and completed for bureau staff that resign, transfer, retire, or are reassigned so that records are accessible and preserved.

B. Senior Official. Senior Official is the umbrella term used to include Regional Directors, Special Trustee, Principal Deputy Special Trustee, Assistant Director (Senior Advisor) of Information Resources, Assistant Regional Directors, Deputy Special Trustees, Superintendents, Directors, and Associate Directors. Senior Official shall:

1. Ensure that all agencies, offices, field offices, line offices, schools, and other facilities within their jurisdiction fully implement records management requirements as outlined in the IARMM and the NARA approved records schedule.
2. Establish and maintain program communication with the RRLs and RMSs to ensure that their records management program is implemented and operational.
3. Ensure an RC is designated for each program to serve as a primary contact for records management activities within the respective programs.
4. Ensure performance standards reflect records management duties, as appropriate, for bureau staff assigned with records management responsibilities.
5. Complete and ensure bureau staff complete annual mandatory records management and other records management training, as necessary.
6. Ensure the maintenance of a vital records program to continue key functions and activities in the event of an emergency or disaster.
7. Ensure records are not unlawfully removed by current or departing bureau staff.
8. Ensure textual records, electronic records, and electronic information systems are scheduled in the appropriate records schedule.
9. Plan and budget for records and records management costs and related expenditures.

C. Program Manager. Program manager shall:

1. Implement and manage a records management program that ensures full compliance with the recordkeeping requirements as outlined in the IARMM and the NARA approved records schedule.
2. Designate an RC for each program to serve as a primary contact for records management activities.
3. Complete and ensure bureau staff complete annual mandatory records management and other records management training, as necessary.

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4. Ensure records created adequately and properly document activities, transactions, and decisions of the program.
 5. Ensure records are protected from theft, loss, and unauthorized access.
 6. Establish an efficient and effective files management system that ensures information and documents can be easily retrieved in accordance with the program Files Maintenance and Disposition Plan (or Files Plan).
 7. Ensure inactive records are transferred to the AIRR in accordance with the appropriate records schedule.
 8. Coordinate with the Information Technology Services (ITS) manager to pre-accession or transfer inactive electronic records activities to the National Archives in accordance with the appropriate records schedule.
 9. Notify the RRL or RMS of program changes that result in the creation of new records, the transfer of inactive records no longer needed, or the need to change the retention period for records.
 10. Cooperate with and respond to OTR, RRL, RMS, and the Office of Trust Review and Audit regarding records assessments, requests for corrective action plans, and the resolution of cited records management deficiencies as prescribed by the IARMM.
 11. Respond to records management Corrective Action Plans (CAPs), data calls, and information requests.
 12. Plan and budget for records and records management costs and related expenditures.
- D. Regional Records Liaison (RRL) and Records Management Specialist (RMS).** RRL and RMS assist senior officials, program managers, ITS managers, and RCs with technical assistance and guidance to implement and maintain a records management program. The RRL serves as the field representative and the RMS serves as the OTR central office representative. RRL and RMS shall:
1. Assist with the implementation and maintenance of the Bureau Records Management Plan.
 2. Serve as a liaison to manage and transfer electronic records to the National Archives.
 3. Provide training to bureau staff and trust bureau staff at all levels on records management roles and responsibilities.
 4. Identify and initiate tasks to resolve and/or remediate records management deficiencies and/or weaknesses.
 5. Assist with the establishment and maintenance of a vital records program.
 6. Provide records management technical assistance and training to Indian tribes and Alaska Natives.

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7. Assist and/or respond to records management CAPs, data calls, and other information requests.
8. Coordinate and disseminate new bureau or office directives, policies, and procedures relative to the records management program to bureau staff.
9. Develop, revise, and obtain NARA approval of records schedules for all records created and received for all media types.

E. Records Contact (RC). RC shall:

1. Serve as the program's first point of contact for records management operations.
2. Assist the RRL or RMS with the implementation of the records management program requirements at the program level.
3. Develop, review, and update a Files Maintenance and Disposition Plan (or Files Plan) annually for each program.
4. Review program records schedules annually to ensure they are current, initiate changes, and assist in the development of new schedules for records and electronic records, as necessary.
5. Disseminate directives, policies, and procedures relative to the records management program to staff at the program level.
6. Initiate disposition activities which include, but are not limited to, transfer of inactive records to the AIRR, transfer of electronic records to the National Archives, and disposal of non-record material.
7. Assist with the establishment and maintenance of a vital records program in collaboration with the program manager.
8. Initiate remediation tasks to resolve records management deficiencies as outlined in the records management CAPs.
9. Assist with response to records management CAPs, data calls, and information requests.
10. Complete mandatory records management and other records management training, as necessary.

F. Bureau Staff. Bureau staff is the umbrella term used to include employees, contractors, volunteers, and detailed, seasonal, and temporary employees. Bureau staff shall:

1. Create and manage records that document bureaus' functions and activities.
2. Establish a communication network with the program's RC to ensure full compliance with the records management program.
3. Complete mandatory records management and other records management training, as necessary.
4. Manage and protect record and non-record material containing Personal Identifiable Information in accordance with the IARMM and the NARA approved records schedule.

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5. Maintain record and non-record documentary material in accordance with the IARMM policy and procedures.
6. Safeguard records and electronic records until they are authorized for disposition in accordance with the records schedules.
7. Report unauthorized disposition of records to the supervisor.
8. Complete an exit clearance form upon resignation, transfer, retirement, or reassignment to another bureau or office.