


ISSUING OFFICIAL SIGNATURE

(Part 2)

APPROVAL RECORD (Modified DI-228)	1. TYPE OF DOCUMENT IARMM	2. IDENTIFICATION NUMBER Chapter 2, Section 2.4.2
3. SUBJECT/TITLE Destruction of Records and Nonrecords		
4. SUMMARY OF DOCUMENT CONTENTS Revisions to IARMM 2.4.2 This section replaces and supersedes Chapter 2, 2.4.2 Removal and Destruction of Records, issued 10/20/2015, and all policies and procedures related to the destruction of records and nonrecords.		
5. RELEASE NUMBER AND DATE		
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3/16/2017	
	
Signed by: JOHN WHITE	

John E. White, Deputy Special Trustee – Program Management

Indian Affairs Records Management Policy & Procedures Manual

Effective Date: March 16, 2017

Chapter: 2 Recordkeeping Requirements

Section: 2.4.2 Destruction of Records and Nonrecords

Originating Office: Office of Trust Records

2.4.2.1 Purpose.

The purpose of this section is to establish policy and procedures for the destruction of inactive temporary records and nonrecord material, regardless of media.

2.4.2.2 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.”

2.4.2.3 Authorities.

A. Statutes.

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

B. Regulations.

1. 36 C.F.R., Part 1222, Creation and Maintenance of Federal Records
2. 36 C.F.R., Part 1226, Implementing Disposition

C. Guidance.

1. U.S. Department of the Interior, Office of the Chief Information Officer, Removal and Destruction of Federal Records, Standard Operating Principles and Procedures (DOI OCIO SOPP), Version 1.0 (July 28, 2015)
2. 384 DM 1, Disposition (May 12, 1989)
3. 384 DM 3, Removal or Destruction of Official Records (December 21, 1986)

2.4.2.4 Policy.

REGULATORY REQUIREMENTS

- A. Bureaus shall determine the appropriate method of destruction for inactive temporary records, regardless of media, when their retention periods have expired. The method of destruction must be witnessed by bureau staff when required by applicable regulation and in compliance with the Indian Affairs Records Management Manual (IARMM) (36 C.F.R. § 1226.24, 384 DM 1.7.C).
- B. Bureaus must properly destroy nonrecord material in compliance with the IARMM (36 C.F.R. § 1222.16).

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GUIDANCE

C. Bureaus shall adhere to preservation orders, legal holds, or other special circumstances which require continued retention, such as audit investigations, active Freedom of Information Act (FOIA) requests, or active Equal Employment Opportunity complaints. Bureaus are prohibited from destroying records until an official notification is received from the Office of Trust Records (OTR) to release litigation holds or until such active requests are completed (DOI OCIO SOPP, Version 1.0).

2.4.2.5 Objectives.

- A. Ensure bureau staff properly destroys inactive temporary records when they have met their retention period in accordance with the National Archives and Records Administration (NARA) approved records schedule.
- B. Ensure bureau staff properly destroys nonrecord material.

2.4.2.6 Responsibilities.

- A. Office of Trust Records (OTR). OTR shall issue, update, and disseminate the IARMM as policy and procedural guidance to establish and implement proper destruction of inactive temporary records and nonrecord material, regardless of media.
- B. Bureaus. Bureaus, including all offices and programs under its jurisdiction, shall ensure that the NARA approved records schedules are applied for disposition of inactive temporary records.

2.4.2.7 Procedures.

- A. Destruction of Inactive Temporary Records.
 - 1. Eligibility Requirements. Temporary records, regardless of media, are eligible for destruction based on the following criteria:
 - a. Identified and scheduled as temporary records in a NARA approved records schedule. Any federal record not covered by a NARA approved records schedule is considered permanent and cannot be destroyed.
 - b. Not under a litigation freeze, legal hold, covered by a preservation order, and/or subject to a legitimate interest of any other party (i.e., active FOIA requests or investigations) that supersedes the normal disposition authority for temporary records. Refer to IARMM 2.2.2.
 - c. Met the retention period according to the NARA approved records schedule.

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2. Review and Approval.
 - a. Bureau staff shall prepare and submit the Documentation of Temporary Records Destruction, Form DI-1941 (Appendix A) and the Detailed Inventory of Temporary Records to be Destroyed (Appendix B) to the program manager or supervisor for review and approval.
 - b. Program Manager or Supervisor.
 - i. Review to ensure the eligibility requirements in section 2.4.2.7.A.1 are met.
 - ii. Contact the respective Records and Information Management Specialist for an up-to-date list of federal records holds and freezes, if necessary.
 - iii. If additional review is necessary due to sensitivity of records, presence of Personally Identifiable Information (PII), or restrictions or other risks associated with the records, submit to OTR Responsible Records Officer for review and approval.
 - iv. If additional review is not required, return the approved DI-1941 and the Detailed Inventory of Temporary Records to be Destroyed to the bureau staff to perform the authorized destruction (See 2.4.2.7.A.3).
 - c. OTR Responsible Records Officer (for additional review only). Complete the review of the DI-1941 and the Detailed Inventory of Temporary Records to be Destroyed to ensure there are no litigation holds or freezes and determine whether other bureaus and offices, such as the Office of the Solicitor, should be contacted for a final decision. OTR Responsible Records Officer will communicate the final decision to the program, which will include the legal citation that prevents the destruction of inactive temporary records.
3. Perform Authorized Destruction.
 - a. Paper and Electronic or Digital Copy. Ensure that all paper records are destroyed by paper shredding machine, burning, pulping, macerating, or other suitable means, and in addition, witnessing is required by a bureau staff member for such documents with sensitive information and/or PII. All electronic or digital versions from computers, databases, shared drives, or other shared resources must also be deleted at the same time as paper records.
 - b. Other Storage Media Types. The appropriate method to destroy records on other storage media type (i.e., microfilm, microfiches, tape, disk, etc.) must be carefully evaluated to ensure records, content, or images are destroyed. Destruction may include physical destruction, demagnetization, or the use of commercial companies to ensure full destruction (deletion) is carried out.

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4. Complete and File Documentation of Destruction. The bureau program office shall:
 - a. Sign Section 9 of the DI-1941 to confirm on-site records destruction of inactive temporary records.
 - b. Use DRS 1.1.02 Long-term Administration Records to file the DI-1941 and the Detailed Inventory of Temporary Records to be Destroyed.

B. Destruction of Nonrecord Material.

1. Nonrecord material that does not contain PII or sensitive information may be disposed of by deleting from all storage media, recycling when appropriate, or by any other means.
2. Nonrecord material containing PII or sensitive information shall be destroyed by paper shredding machine, burning, pulping, macerating, or other suitable means. Destruction of electronic nonrecords includes physical destruction, demagnetization, or use of commercial company to ensure full destruction (deletion) is carried out.
 - a. Bureau staff shall complete a Nonrecords Inventory, IARM Form 2016 (Appendix C) for destruction of nonrecord material of 1 cubic foot or more.
 - b. Bureau staff shall complete a Certification of Nonrecords Destruction, IARM Form 2017 (Appendix D) for daily routine destruction of nonrecord material less than 1 cubic foot and to document the destruction of electronic nonrecords.

2.4.2.8 Appendices.

- A. Documentation of Temporary Records Destruction, Form DI-1941.
- B. Detailed Inventory of Temporary Records to be Destroyed (Sample).
- C. Nonrecords Inventory, IARM Form 2016.
- D. Certification of Nonrecords Destruction, IARM 2017.

APPENDIX A

The Documentation of Temporary Records Destruction, Form DI-1941, can be obtained from the [Office of Trust Records' SharePoint site](#) or contact your [Records and Information Management Specialist](#).

Form DI-1941
(August 2015)

UNITED STATES
DEPARTMENT OF THE INTERIOR

Reference Number

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Documentation of Temporary Records Destruction

This form documents the destruction of temporary records according to approved records disposition schedules. Submit completed form with original or digital signatures in the appropriate Responsible Records Officer or Designee.

1. Bureau	2. Office	3. Division/Branch/Section			
4. Requester Name	4a. Requester Phone	4b. Requester e-Mail	5. Manager/Supervisor Name	5a. Mgr/Supv Phone	5b. Mgr/Supv e-Mail

4. Inventory of Temporary Records to be Destroyed (page 2)

7. Does this destruction require additional approvals?

8. Destruction Approvals

We certify that the records listed on the attached inventory were retained for the scheduled retention period, required audits are completed, and there is not any pending or ongoing litigation, investigations, active FOIA requests or preservation orders involving these records which are known to exist.

Requester Name	e-Mail Address	Requester Signature	Date

Manager or Supervisor Name	e-Mail Address	Manager or Supervisor Signature	Date

Responsible Records Officer (RRO) or Designee Name	e-Mail Address	Responsible Records Officer or Designee Signature	Date

Name and Title of Additional Approver	e-Mail Address	Signature of Additional Approver	Date

Name and Title of Additional Approver	e-Mail Address	Signature of Additional Approver	Date

9. Records Destruction Affirmed by: (For FBC disposal, attach NARA Form(s) NA-13001, Notice of Eligibility for Disposal)

Name	e-Mail Address	Signature	Date


APPENDIX B

DETAILED INVENTORY OF TEMPORARY RECORDS TO BE DESTROYED – SAMPLE

Region/Agency/Program Office (Western/San Carlos/Forestry Program)
Agency Location Code: (H58440)

File Number	Record Series	File Name Identifier	Date Range	Date Eligible for Destruction	Media & Volume	Destruction Method
1	DRS 1.2.09	Rebecca Stillwell	2015-2015	2015	Paper	Paper Shredder
2	DRS 1.2.09	Tony Thomas	2015-2016	2016	Paper/PDF File	Paper Shredder/Deleted
3	DRS 1.2.09	Joe Jones	2015-2017	2017	Paper/PDF File	Paper Shredder/Deleted
4	DRS 1.1.03	Tracking and Control Records – March 2015 Sign-In Sheet	2015-2016	2016	Paper/PDF File	Paper Shredder/Deleted

APPENDIX C

 <h3 style="text-align: center;">NONRECORDS INVENTORY</h3>		
1. INFORMATION ON INDIVIDUAL SUBMITTING REQUEST:		
a. First Name:	b. Last Name:	c. Date:
d. Street Address, City, State, and Zip Code:		
e. Region/Agency/Program:	f. Email:	g. Telephone:
2. DESCRIPTION OF CONTENT(S):		
a. Describe the nonrecord material (i.e., copies of personnel actions, IIM ticklers) that contain personally identifiable information (Privacy Act 5, U.S.C. Section 552a) or sensitive information.		
b. Total Number of Boxes:		
c. Disposition Method: <input type="checkbox"/> Paper Machine Shredder <input type="checkbox"/> Other:		
3. PROGRAM MANAGER/SUPERVISOR APPROVAL INFORMATION:		
I approve the destruction as final disposal for nonrecord materials as indicated:		
a. Print Name/Title:	b. Signature:	c. Date:
4. WITNESS CERTIFICATION:		
I attest as witness for the final disposal of the nonrecord material as approved in my presence.		
a. Print Name/Title of person disposing nonrecord material:	b. Signature:	c. Date:
d. Print Name/Title of witness:	e. Signature:	f. Date:

