

INDIAN AFFAIRS RECORDS SCHEDULE

**3600 Series
SOCIAL SERVICES**

SUPERSEDES ALL PREVIOUSLY RELEASED RECORDS SCHEDULES

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 3600

Social Services

3600-P5 **Program Correspondence and Policy/Directives Files**

**NARA JOB #
N1-075-05-1
Approved
3/31/2005**

a. Program Correspondence Files – Official Files

Program correspondence files that are created; received and where action is taken; or have the primary responsibility for the documentation of the activities which relate directly to the Social Services program function. Records consist of incoming and outgoing originals or copies of correspondence, reports, forms, and other records that pertain to the program activities of the office in which these records are created and maintained. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.

Filing Arrangement: Arrange alphabetically by subject.

Official File: Office(s) with primary responsibility.

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

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b. Program Policy/Directives Master Set with Case History Files – Official Files

Files created and related to the internal program policy, guidance and regulations of daily operations for the Social Services program. Records consist of the preparation, review, documentation of decision related to policy development, regulation case history, public comment, proposed and final regulation, clearance, publication and final distribution of a directive in a manual, bulletin or handbook format outlining internal policy, procedure, organization, instruction and delegation of authority. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

Filing Arrangement: Arrange alphabetically by subject then chronologically.

Official File: Office(s) with primary responsibility.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when superceded or rescinded. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

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Social Services

3601-P5 General Assistance Case Files

**NARA JOB #
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Contents: Records include names, family profiles, client/contact reports, budget forms, Certificate of Indian Blood, address and assurance of residence on or near a reservation, application for assistance, correspondence regarding eligibility for assistance and type of assistance given. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence. **NOTE: IF RECORDS ARE TRUST RELATED, USE THE INDIAN FIDUCIARY FINANCIAL TRUST DECISION TREE AND RECORD SCHEDULE.**

Filing Arrangement: Arrange numerically by case number.

Official File: Record copy maintained at originating office.

Disposition Instructions: PERMANENT. Cut off at fiscal year end in which the case closes. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-8).

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Social Services

- 3602-P5 [Child Assistance \(Child Welfare\) Case Files](#)
- NARA JOB #**
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3/31/2005
- Contents:** Records include application for services, acceptance or rejection of application, notice of applicant, Certificate of Degree of Indian Blood, address or assurance of residence on or near a reservation, case plans, court order, and narrative entries of contacts with client. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence. **NOTE: IF RECORDS ARE TRUST RELATED, USE THE INDIAN FIDUCIARY FINANCIAL TRUST DECISION TREE AND RECORD SCHEDULE.**
- Filing Arrangement:** Arrange numerically by case number or alphabetically by name.
- Official File:** Record copy maintained at originating office.
- Disposition Instructions: PERMANENT.** Cut off at fiscal year end when case closes. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
- SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-8).**

INDIAN AFFAIRS RECORDS SCHEDULE

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Social Services

3603-P5

Indian Adoption Record Files

**NARA JOB #
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Contents: Records include final adoption decrees; name and tribal affiliation of child; name and addresses of biological parents; identity of any agency having files or information relating to such adoptive placement; and any affidavits relating to the adoption. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.

Filing Arrangement: Arrange alphabetically by individual.

Official File: Record copy maintained at originating office.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when adoption case is final. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-8).

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Social Services

- 3604-P5 [Social Services Report Files](#)
- NARA JOB #**
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- Contents:** Records include period or special reports on activities which reflect case load trends and track expenditures, analysis of funds, child abuse neglect report, monthly statistical reports, quarterly and annual reports, and annual quality control reviews. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence. Files include narrative and statistical reports.
- Filing Arrangement:** Arrange chronologically.
- Official File:** Record copy maintained at originating office.
- Disposition Instructions:** **PERMANENT.** Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
- SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-8).**

INDIAN AFFAIRS RECORDS SCHEDULE

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Social Services

3605-P5 [Social Services Only \(Non-Cash Assistance\) Files](#)

NARA JOB #
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Contents: Records include family profile, client-contact reports, treatment/service plans, correspondence regarding eligibility for assistance and type of assistance given. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.

Filing Arrangement: Arrange numerically by case number or name.

Official File: Record copy maintained at originating office.

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-8).

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Social Services

3606-P5 [Indian Child Welfare Act \(ICWA\) Review Files](#)

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Contents: Records include documents relating to the approval of and Indian Child Welfare Act application and award of a grant. Include review forms, scoring and ranking/rating sheets, and correspondence. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.

Filing Arrangement: Arrange by fiscal year.

Official File: Record copy maintained at originating office.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when application grant cycle is completed. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

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Social Services

3607-P5 [Regional Disbursement Office \(RDO\) Report Files](#)

NARA JOB #
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Approved
3/31/2005

Content: Records include annual RDO report listing eligible clients to receive payment benefits. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.

NOTE: IF RECORDS ARE TRUST RELATED, USE THE INDIAN FIDUCIARY FINANCIAL TRUST DECISION TREE AND RECORD SCHEDULE.

Filing Arrangement: Arrange appropriately.

Official File: Record copy maintained at originating office.

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-8).

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Social Services

3608-P5 Miscellaneous Assistance Case Files

**NARA JOB #
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3/31/2005** **Content:** Records include documents relating to disaster assistance, emergency transportation which includes name, family profile, client/contract report, budget form, Certificate of Indian Blood (CIB), address and assurance of residence on or near the reservation, correspondence regarding eligibility for assistance and type of assistance provided. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence. **NOTE: IF RECORDS ARE TRUST RELATED, USE THE INDIAN FIDUCIARY FINANCIAL TRUST DECISION TREE AND RECORD SCHEDULE.**

Filing Arrangement: Arrange alphabetically.

Official File: Record copy maintained at originating office.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when financial assistance is provided to client. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA- 8).

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Social Services

3609-P5 [Child Abuse and Neglect Report Files](#)

NARA JOB #
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3/31/2005

Content: Records include reports of abuse and neglect as required by Public Law 99-570 as amended. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.

Filing Arrangement: Arrange appropriately.

Official File: Record copy maintained at originating office.

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-8).

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Social Services

3610-P5 Social Services Invoice Payment Files

NARA JOB #
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Content: Records include report showing client name, address, vendor information for residential or other facilities and amount of funds approved for payment from the Regional Disbursement Office. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence. **NOTE: IF RECORDS ARE TRUST RELATED, USE THE INDIAN FIDUCIARY FINANCIAL TRUST DECISION TREE AND RECORD SCHEDULE.**

Filing Arrangement: Arrange alphabetically.

Official File: Record copy maintained at originating office.

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA- 8).

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Social Services

3611-P5 [Social Services Information Collection Requirement \(ICR\) Files](#)

**NARA JOB #
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Approved
3/31/2005**

Content: Records include copies of drafts for Information Collection Requirement (ICR) approving forms for the collection of personal information and cleared by the Office of Management and Budget (OMB). Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.

Filing Arrangement: Arrange appropriately.

Official File: Record copy maintained at originating office.

Disposition Instructions: **PERMANENT.** Cut off at fiscal year end when approved by OMB. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-8).

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SERIES: 3600

Social Services

- 3612-P5 [Indian Child Welfare Act \(ICWA\) Grant Files](#)
- NARA JOB #**
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- Contents:** Records include official grant made to a tribe under the Child Welfare Act (ICWA), Public Law 95-608, 92 Statute 3075, 25 U.S.C. § 1901. Grant file includes application, correspondence, instrument award, special conditions, fiscal program review check list, adjustment notice, financial and narrative progress report, financial payment record monitoring report, Model Grant and Annual Funding Agreements, and modifications and/or amendments. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.
- Filing Arrangement:** Arrange numerically by grant number.
- Official File:** Record copy maintained by originating ISD office.
- Disposition Instructions: PERMANENT.** Cut off at fiscal year end when final payment is made and grant is officially closed. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

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- 3613-P5 [Indian Child Welfare Inquiry Files](#)
- NARA JOB #**
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- Contents:** Records include requests received from state court or agencies and/or adoption agencies requesting information regarding tribal membership or possible tribal membership of a child(ren) or parent(s) to determine applicability of the ICWA, requests received and agency response. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.
- Filing Arrangement:** Arrange chronologically by date received.
- Official File:** Record copy maintained at originating office.
- Disposition Instructions:** **PERMANENT.** Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
- SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-8).**

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Social Services

- 3614-P5 [Child Protective Services Files](#)
- NARA JOB #**
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3/31/2005
- Content:** Records include child abuse reports, name of individuals involved, statement of nature, contact information, tribal affiliation/membership, and any documents supporting the allegation. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.
- Filing Arrangement:** Arrange chronologically by date received.
- Official File:** Record copy maintained at originating office.
- Disposition Instructions:** **PERMANENT.** Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
- SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-8).**

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SERIES: 3600

Social Services

3615-P5 [Child Welfare Administrative Review Files](#)

NARA JOB #
N1-075-05-1
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3/31/2005

Content: Records include correspondence related to client/provider appeals, copies of investigative reports, case narratives, court orders, and child/family identifying information. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.

Filing Arrangement: Arrange by agency then in alphabetically by client's name.

Official File: Record copy maintained at originating office.

Disposition Instructions: **PERMANENT.** Cut off at fiscal year end in which the administrative review is completed. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT – BIA-8.

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3616-P5 Alcohol and Substance Abuse Case Files

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3/31/2005

Contents: Records include documents relating to the identification of an individual with alcohol and/or substance abuse and treatment thereof. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.

Filing Arrangement: Arrange alphabetically by individual.

Official File: Maintained by office of origin.

Disposition Instructions: **PERMANENT.** Cut off when treatment is refused or completed. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-57).

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 3600

Social Services

- 3617-P5 [Alcohol and Substance Abuse Report Files](#)
- NARA JOB #**
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3/31/2005
- Contents:** Records include printout of information and reports required by the alcohol and substance abuse program. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.
- Filing Arrangement:** Arrange alphabetically by location.
- Official File:** Record copy maintained by Central Office.
- Disposition Instructions:** **PERMANENT.** Cut off at end of fiscal year. Maintain in office of record for a maximum of 5 years after cut off; and then retire to records center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of Interior and the National Archives and Records Administration.
- SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT (BIA-57).**