

ISSUING OFFICIAL SIGNATURE

(Part 2)

APPROVAL RECORD (Modified DI-228)	1. TYPE OF DOCUMENT IARMM	2. IDENTIFICATION NUMBER Chapter 4, Section 4.3
3. SUBJECT/ TITLE Research Requests, Research/Retrieval of Tribal Records from the American Indian Records Repository (AIRR)		
4. SUMMARY OF DOCUMENT CONTENTS Revisions to IARMM Section 4.3 This section replaces and supersedes Chapter 4, Section 4.3 Research/Retrieval of Tribal Records from the American Indian Records Repository, Issued 03/18/2010, and all policies and procedures related to research/retrieval of tribal records from AIRR that may have been created and/or distributed.		
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John E. White, Deputy Special Trustee – Program Management

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

Effective Date: October 26, 2016

Chapter: 4 Research Requests

Section: 4.3 Research/Retrieval of Tribal Records from the American Indian Records Repository (AIRR)

Originating Office: Office of Trust Records

4.3.1 Purpose.

The purpose of this section is to establish policy and procedures for research requests and retrieval of inactive Indian Fiduciary Trust Records (IFTR), in the custody of the tribes/consortium, being stored at the American Indian Records Repository (AIRR).

4.3.2 Scope.

The provisions of this section apply to tribes/consortia that store IFTR at the AIRR and the Division Chief, Division of Records Management Operations (DRMO) who manages IFTR.

4.3.3 Authorities.

A. Regulations.

1. 25 CFR, Chapter VI, Part 1000, Subpart Q Miscellaneous Provisions

B. Guidance.

1. Federal Register, Volume 70, No. 166, pp. 51081-51083, "Final Decision Regarding Self-Determination and Self-Governance Funding Agreement Language on Fiduciary Trust Records Management" (August 29, 2005)
2. Executive Order No. 13175 – Consultation and Coordination with Indian Tribal Governments (November 6, 2000)

4.3.4 Policy.

A. REGULATORY REQUIREMENTS

1. Tribal/Consortium records shall not be considered federal records for the purpose of the Freedom of Information Act (25 CFR 1000.392(b)).
2. Tribal/Consortium records shall not be considered federal records for the purpose of the Privacy Act (25 CFR 1000.393).

B. GUIDANCE

1. Office of Trust Records (OTR) shall protect access to IFTR in the custody of the tribe/consortium stored at the AIRR (Federal Register, Volume 70, No. 166).

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2. OTR shall respect Indian tribal self-government and sovereignty, honor tribal treaty and other rights, and strive to meet the responsibilities that arise from the unique legal relationship between the Federal Government and Indian Tribal Governments (Executive Order No. 13175 Sec 3(a)).
3. OTR shall grant Indian tribal governments the maximum administrative discretion possible to provide tribes/consortium access to their respective inactive records stored at the AIRR (Executive Order 13175 Sec 3(b)).

4.3.5 Objective.

- A. Provide procedural guidance to tribes/consortium in the research and retrieval of their inactive IFTR stored at the AIRR.

4.3.6 Responsibilities.

- A. OTR. OTR shall store, preserve, protect, and make inactive IFTR available to tribe/consortium. OTR shall also provide technical assistance to the tribe/consortium in the research and retrieval of inactive IFTR.
- B. Tribe/Consortium. Tribe/Consortium shall provide OTR with written notification of any updates and/or changes to the list of personnel authorized access to inactive tribal IFTR stored at the AIRR.
- C. Division Chief, DRMO. Division Chief, DRMO shall:
 1. Ensure all records in the custody of the tribe/consortium are only retrieved as authorized by the tribe/consortium.
 2. Monitor, evaluate, and implement research requests.
 3. Provide research and retrieval services as requested by tribe/consortium.

4.3.7 Procedures.

- A. Research Request. A written research request must be initiated by an individual authorized by the tribe/consortium to approve research requests and access the records. (See Section 4.3.6.B. above).
 1. The requestor must complete the Research Request, IARM Form 4001 (Appendix A), to request specific information from inactive records stored at the AIRR.
 2. The requestor shall fax the research request directly to the AIRR. If the Research Request is incomplete (without the proper signature or document information), the AIRR will fax or email instructions to the requestor for the proper completion of the research

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request.

3. The researcher shall contact the requestor within one business day of the receipt, by phone, fax or email, regarding the status of the research and to confirm the requestor's fax and phone numbers.
 4. A response letter with the research results shall be sent to the requestor.
- B. Request to Withdraw the Records. Requests to withdraw a box or boxes must be initiated by an individual authorized by the tribe/consortium. The authorized individual must submit a written request to the Division Chief, DRMO. The Division Chief, DRMO will comply with the request and document the return of the box(s) to the tribe/consortium.

4.3.8 Appendix.

- A. Research Request, IARM Form 4001.

APPENDIX A



Office of The Special Trustee for American Indians
 American Indian Records Repository
 17501 West 98th Street, Suite 44-47
 Lenexa, Kansas 66219
 Fax (913) 956-2685

Research Request

1. REQUESTOR INFORMATION:			
a. Date: Click here to enter text.	b. First Name: Click here to enter text.	c. Last Name: Click here to enter text.	
d. Street Address, City, State and Zip Code: Click here to enter text.			
e. Region/Agency/Program Office: Click here to enter text.	f. E-mail Address: Click here to enter text.	g. Telephone: Click here to enter text.	h. Fax: Click here to enter text.
2. DOCUMENT(S) REQUEST INFORMATION (Provide as much information as possible):			
a. Account Holder's Last name: Click here to enter text.	b. Account Holder's First name: Click here to enter text.		
c. Tribe: Click here to enter text.	d. Account Number: Click here to enter text.		
e. Office/Agency where records were created: Click here to enter text.	f. Dollar Amount (if applicable): Click here to enter text.		
g. Document date or fiscal year: Click here to enter	h. Document or form number: Click here to enter text.	i. Document Type: Click here to enter text.	
j. Accession and/or box number: Click here to enter text.	k. Format for copy of documents: Click here to enter text.	l. Method for delivery of copies: Click here to enter text.	
m. Additional Information (if more space is needed, use Additional Information on page 2): Click here to enter text.			
3. REQUEST AND APPROVING OFFICIAL'S AUTHORIZATION:			
a. Requestor's Signature:	b. Requestor's Position Title (print): Click here to enter text.		
c. Approving Official's Name and Title (print): Click here to enter text.	d. Approving Official's Signature and Date:		
4. AUTHORIZATION FOR RECORDS RELEASE (Refer to Instruction Page for Appropriate Use):			
a. Responsible Program Official's Name and Title (print): Click here to enter text.	b. Region/Agency/Program Office: Click here to enter text.		
c. Check one: <input type="checkbox"/> Approve <input type="checkbox"/> Disapprove (if checked please provide justification in section 5 on page 2)	d. Responsible Program Official's Signature and Date:		