


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 The updated version of the Research Request, IARM 4001 (02/07/2017), allows users to submit, by email, an electronic version (i.e., scanned copy) of the reference request to the AIRR. The email address has been added to the updated IARM Form 4001. This section incorporates the updated version of the IARM form and to the procedural section.		
5. RELEASE NUMBER AND DATE		
RELEASE NUMBER: 17-21	DATE SUBMITTED: 5/4/2017	

6. ISSUING OFFICIAL SIGNATURE:
5/5/2017  X _____ John E White Deputy Special Trustee - Program Management Signed by: JOHN WHITE

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

Effective Date:

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. All requests must be submitted by fax, mail, or email directly to the DRMO. If the Research Request is incomplete, AIRR research supervisor or designee will contact the requestor to resubmit.

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3. The researcher shall contact the requestor within 24 hours of 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(es) must be initiated by an individual authorized by the tribe/consortium. The authorized individual must submit a written request to the DRMO. The DRMO will comply with the request and document the return of the box(es) to the tribe/consortium.

4.3.8 Appendix.

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 / ost_airr_research@ost.doi.gov
Research Request

1. REQUESTER INFORMATION:

a. Date:	b. First Name:	c. Last Name:
d. Street Address, City, State and Zip Code:		e. Regional/Agency/Program Office:
f. Email Address:	g. Telephone Number:	h. Fax Number:

2. DOCUMENT(S) REQUEST INFORMATION (Be as thorough as possible):

a. Name Search (Last, First, MI):	b. Identifier (Account #, Contract, Allotment, Lease):
c. Tribe Affiliation:	d. File Name (Project Name):
e. Agency/Program Office where records were created:	
f. Dollar Amount (if applicable):	
g. Document Date or Fiscal Year:	h. Document or Form Number:
i. Accession/Box/File Number:	
j. Additional Information (If more space is needed, use Section 6, Additional Information):	

3. METHOD OF INFORMATION DELIVERY:

a. Format for Copy of Documents:	b. Method for Delivery of Copies:
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4. REQUEST FOR AUTHORIZATION:

a. Requester's Name and Title (print):	b. Requester's Signature and Date:
c. Approving Official's Name and Title (print):	d. Approving Official's Signature and Date:

5. AUTHORIZATION FOR RECORDS RELEASE (Refer to Instruction Page for Appropriate Use):

a. Responsible Program Official's Name and Title (print):	b. Region/Agency/Program Office:
c. Check one: <input type="checkbox"/> Approve <input type="checkbox"/> Disapprove (if checked, provide justification in Section 6)	d. Responsible Program Official's Signature and Date:



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Reference Request

6. ADDITIONAL INFORMATION: