

# INDIAN AFFAIRS RECORDS SCHEDULE

4200 Series

CREDIT

**SUPERSEDES ALL PREVIOUSLY RELEASED RECORD SCHEDULES**

## INDIAN AFFAIRS RECORDS SCHEDULE

**SERIES: 4200**

**Credit**

4200-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 Credit 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.

NARA JOB #  
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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 Credit 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**Disposition Instructions: PERMANENT.** Cut off at fiscal year end when superceded or rescinded.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.

# INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 4200

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4201-P5 Indian Business Development Grant (IBDG) Contract Files

NARA JOB # a. Indian Business Development Grant (IBDG) Contract Files - APPROVED

N1-075-05-1  
Approved  
3/31/2005

**Contents:** Record includes application, approval letter, agreement, legal organization documents, evidence of Indian ownership, pro forma financial statements, profit/loss statements, plan of operation, annual operating statements and balance sheets, and reports. 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 grant number.

**Official File:** Record copy maintained in office of origin.

**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.

NARA JOB # b. Indian Business Development Grant (IBD) Contract Files – DISAPPROVED (Withdrawn, declined, or cancelled)

N1-075-05-1  
Approved  
3/31/2005

**Contents:** Record includes application, disapproval letter to include evidence of withdrawal, declination or cancellation, agreement, legal organization documents, evidence of Indian ownership, pro forma financial statements, profit/loss statements, plan of operation, annual operating statements, balance sheets, and reports. 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 in office of origin.

**Disposition Instructions:** PERMANENT. Cut off at fiscal year end when notification of withdrawn, decline or cancellation is determined. 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-11).

# INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 4200

Credit

4202-P5 Indian Loan Files

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

a. Indian Revolving Loan Files – APPROVED

**Contents:** Record includes application, approval letter, agreement, legal organization documents, evidence of Indian ownership, commercial credit reports, pro forma financial statements, profit/loss statements, plan of operation, annual operating statements and balance sheets, loan payment history, and reports. 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 loan number.

**Official File:** Record copy maintained in office of origin.

**Disposition Instructions: PERMANENT.** Cut off at fiscal year end when loan is terminated or paid off. 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.

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

b. Indian Revolving Loan Files – DISAPPROVED (Withdrawn, declined or cancelled)

**Contents:** Record includes application, disapproval letter to include evidence of withdrawal, declination or cancellation, agreement, legal organization documents, evidence of Indian ownership, commercial credit reports, pro forma financial statements, profit/loss statements, plan of operation, annual operating statements and balance sheets, loan payment history, and reports. 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 in office of origin.

**Disposition Instructions: PERMANENT.** Cut off at fiscal year end when notification of withdrawal, decline or cancellation is determined. 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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# INDIAN AFFAIRS RECORDS SCHEDULE

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**SERIES: 4200**

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4203-P5      [Credit Loan History Card Files](#)

NARA JOB #      No longer used  
N1-075-05-1  
Approved  
3/31/2005

**RESERVED**

# INDIAN AFFAIRS RECORDS SCHEDULE

**SERIES: 4200**

**Credit**

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4204-T3F      Schedules of Credit Loan Payment Collection Files

NARA JOB #      No longer used  
N1-075-05-1  
Approved  
3/31/2005

**RESERVED**

# INDIAN AFFAIRS RECORDS SCHEDULE

**SERIES: 4200**

**Credit**

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4205-T1      Credit Financing Reports - Working Papers

NARA JOB #      No longer used  
N1-075-05-1  
Approved  
3/31/2005

**RESERVED**

## INDIAN AFFAIRS RECORDS SCHEDULE

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SERIES: 4200

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4206-P5      Credit Operations Report Files

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

**Contents:** Report includes reimbursable collections and summary of fiscal year transactions; annual credit report including profit/loss statements, reconciliation sheet, individual statements of loan delinquencies; and periodic narrative and statistical reports. 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 reporting fiscal year.

**Official File:** Record copy maintained in office of origin.

**Disposition Instructions:** PERMANENT. Cut off at fiscal year end of reporting period. 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.

## INDIAN AFFAIRS RECORDS SCHEDULE

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4207-P5 Credit Operations Audit Report Files

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

**Contents:** Record includes narrative reports on the status of re-lending program operations from monies borrowed from the revolving loan fund (25 C.F.R. 101) that include information on loan accounts receivable, loan delinquencies, and recommendations and/or corrective action. 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.

**Official File:** Record copy maintained in office of origin.

**Disposition Instructions: PERMANENT.** Cut off at fiscal year end of reporting period. 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.

# INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 4200

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4208-T3F      [Stock Purchases Files](#)

NARA JOB #      Refer to 3729-P5 [Stock Ownership Purchase Files](#)  
N1-075-05-1  
Approved  
3/31/2005

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# INDIAN AFFAIRS RECORDS SCHEDULE

**SERIES: 4200**

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4209-P3

Gaming Management Files

NARA JOB #

N1-075-05-1

Approved

3/31/2005

Refer to 3730-P5 Gaming Management Files

**RESERVED**

# INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 4200

Credit

## 4210-P5 Individual/Tribal Management and Technical Assistance Grant Files

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

### a. Individual/Tribal Management and Technical Assistance Grant Files – APPROVED

**Contents:** Record includes management and technical assistance Grants approved under 25 CFR Part 101 – Loans to Indians from the Revolving Loan Fund and 25 CFR 286 – Indian Business Development Program. Records consist of application, letter or approval, agreement, legal organization documents, evidence of Indian ownership, pro forma financial statements, profit/loss statements, plan of operation, annual operating statements and balance sheets, and reports. 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 grant number.

**Official File:** Record copy maintained in office of origin.

**Disposition Instructions: PERMANENT.** Cut off at fiscal year end in which final payment is made or grant is 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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N1-075-05-1  
Approved  
3/31/2005

### b. Individual/Tribal Management and Technical Assistance Grant Files – DISAPPROVED

**Contents:** Record includes management and technical assistance grants withdrawn, declined or cancelled under 25 CFR Part 101 – Loans to Indians from the Revolving Loan Fund and 25 CFR 286 – Indian Business Development Program, application, evidence of withdrawal, declination or cancellation, agreement, legal organization documents, evidence of Indian ownership, pro forma financial statements, profit/loss statements, plan of operation, annual operating statements and balance sheets, and reports. 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 grant number.

**Official File:** Record copy maintained in office of origin.

**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-11).

## INDIAN AFFAIRS RECORDS SCHEDULE

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4211-P5 [Tribal Loan/Re-lending Program Loan Files](#)

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

**Contents:** Record include Tribal Loan/Re-lending Programs files whereby the proceeds of these loans are used to re-pay a loan or loans made to tribes/tribal corporations/enterprises from the Loans to Indians from the Revolving Loan Fund (25 CFR 101). 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 file number.

**Official File:** Record copy maintained in office of origin.

**Disposition Instructions:** PERMANENT. Cut off at fiscal year end when loan is terminated or paid off. 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-11).

## INDIAN AFFAIRS RECORDS SCHEDULE

**SERIES: 4200**

**Credit**

4212-P5 Trust Mortgage Loan Files

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

**Contents:** Record includes approval of trust mortgage used to secure loan by individual, application, letter of approval, agreement, legal organization documents, evidence of Indian ownership, pro forma financial statements, profit/loss statements, plan of operation, annual operating statements and balance sheets, and reports. 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 file number.

**Official File:** Record copy maintained in office of origin.

**Disposition Instructions: PERMANENT.** Cut off at fiscal year end when loan is terminated or paid off. 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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## INDIAN AFFAIRS RECORDS SCHEDULE

**SERIES: 4200**

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4213-P5 [Individual Indian/Tribal Economic Report Files](#)

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

**Contents:** Record includes the Bureau of Indian Affairs (BIA) publications that report the progress and development of individual Indians and tribal economic development from financial assistance obtained from the Indian Financing Act of 1974, as amended, and other Federal/State agencies, and commercial lending institutions that provide information on Individual Indians/Tribal Economic Development. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.

**Filing Arrangement:** Arranged alphabetically by tribe or individual.

**Official File:** Record copy maintained in office of origin.

**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.

## INDIAN AFFAIRS RECORDS SCHEDULE

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**SERIES: 4200**

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4214-P5      Outstanding Receivables (Due From Public) Files

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

**Contents:** Record includes the Bureau of Indian Affairs (BIA) quarterly reports to the U.S. Treasury on new bills, outstanding bills, collections, aged delinquency report, employee payroll deductions, status reports, trial balance, and analytical spreadsheets. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.

**Filing Arrangement:** Arranged chronologically.

**Official File:** Record copy maintained in office of origin.

**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.

## INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 4200

Credit

4215-P5 Annual Credit and Finance Report Files

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

**Contents:** Record includes annual report which provides status report, active notes listing, aged delinquency reports, transaction history, projected collections, accruals and trial balances in accordance with OMB A-129, Administration of Federal Credit Programs. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.

**Filing Arrangement:** Arranged chronologically.

**Official File:** Record copy maintained in office of origin.

**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-13).

## INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 4200

Credit

4216-P5 Loan Service Files

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

**Contents:** Record includes promissory notes and other loan documents, copies of receipts, amortization schedules, copies of demand letters, checks, and money orders. 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:** Arranged chronologically.

**Official File:** Record copy maintained in office of origin.

**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-13).**

## INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 4200

Credit

4217-P5 [Treasury Loan Transaction Files](#)

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

**Contents:** Record includes documents borrowing funds from the U.S. Treasury to fund direct loans and to payoff defaulted guaranteed loans. The records support the general ledger balances and contain Voucher and Schedule of Withdrawals and Credit and Non-expenditure Transfer Authorizations. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation and related correspondence.

**Filing Arrangement:** Arranged chronologically.

**Official File:** Record copy maintained in office of origin.

**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-13).**

# INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 4200

Credit

## 4218-P5 Indian Loan Guaranty Files

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

### a. Indian Loan Guaranty Files - APPROVED

**Contents:** Record includes Loan Guaranty or Insured loans to Indian organizations, groups, or individuals, application, approval letter, agreement, legal organization documents, evidence of Indian ownership, commercial credit reports, pro forma financial statements, profit/loss statements, plan of operation, annual operating statements and balance sheets, loan payment history, and reports. 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 loan number.

**Official File:** Record copy maintained in office of origin.

**Disposition Instructions: PERMANENT.** Cut off at fiscal year end when loan is terminated or paid off. 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.

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

### b. Indian Loan Guaranty Files - DISAPPROVED

**Contents:** Record includes Loan Guaranty or Insured loans to Indian organizations, groups, or individuals, application, evidence of withdrawal, declination or cancellation, agreement, legal organization documents, evidence of Indian ownership, commercial credit reports, pro forma financial statements, profit/loss statements, plan of operation, annual operating statements and balance sheets, loan payment history, and reports. 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 loan number.

**Official File:** Record copy maintained in office of origin.

**Disposition Instructions: PERMANENT.** Cut off at fiscal year end when notification of disapproval is determined. 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-11).**

# INDIAN AFFAIRS RECORDS SCHEDULE

**SERIES: 4200**

**Credit**

4219-P5      Credit Program Evaluation Report Files

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

**Contents:** Record includes narrative reports on the status of re-lending program operations from monies borrowed from the revolving loan fund (25 C.F.R. 101) that include information on loan accounts receivable, loan delinquencies, recommendations and/or corrective action. 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.

**Official File:** Record copy maintained in office of origin.

**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.